Вопросы теоретической и прикладной лингвистики

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ОТНОШЕНИЕ ЗАИМСТВОВАНИЙ И ИНОЯЗЫЧНЫХ ВКРАПЛЕНИЙ

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Аннотация

Настоящая статья посвящена вопросу отношения заимствований и иноязычных вкраплений. Теоритические вопросы, связанные с понятиями иноязычное вкрапление и заимствование выступают в качестве серьезной проблемы в лингвистике, так как существует три различных подхода к рассматриваемым явлениям. Первый подход подчеркивает, что термины иноязычное вкрапление и заимствование обозначают одно явление. Согласно второй точке зрения, иноязычные вкрапления является начальной стадией процесса заимствования. Третий подход заключается в необходимости разделять понятия.

Исследуемый вопрос является проблемой терминологии. В первую очередь, авторы исследуют термины заимствование и иноязычное вкрапление, анализирует понятия и выделяет критерии, служащие основой для их различения. Проведенный анализ показал, что между заимствованиями и иноязычными вкраплениями обнаруживается ряд как общих, так и отличительных черт. Попытка прояснить вопрос об отношении заимствований и иноязычных вкраплений предполагает выделить билингвизм как один из отличительных факторов.

Ключевые слова: иноязычное вкрапление; признаки иноязычных вкраплений; билингвизм; билингв; языковой контакт; заимствование.

SECTION I. ETHNOLINGUISTICS AND CULTURAL LINGUISTICS

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INTERRELATIONS BETWEEN BORROWINGS AND FOREIGN INCLUSIONS

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ABSTRACT

The present article is dedicated to the question of the interrelations between borrowings and foreign inclusions. The theoretical issues related to the concepts of foreign inclusions and borrowing stand as a serious problem in linguistics, because there are three different approaches to the phenomena under research. The first approach emphasizes that the terms of foreign inclusion and borrowing represent a single phenomenon. According to the second point of view, foreign inclusion is the initial stage of the borrowing process. The third approach is the need to separate these notions.

The subject of the research is the problem of terminology. First of all, the authors explore the terms between borrowings and foreign inclusions, analyze notions and allocate criteria that serve as the basis for their differentiation. The conducted analyses showed that the phenomenon under study has both a number of common and specific features. An attempt to clarify the question about the interrelations between borrowings and foreign inclusions is supposed to provide bilingualism as one of the distinguishing factors.

Key words: foreign inclusion; features of foreign inclusion; bilingualism; bilingual; language contact; borrowing.

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Проблема заимствований интересует отечественных и зарубежных исследователей с начала XVIII века. Лингвисты ведут активные дискуссии по вопросу лингвистической сущности заимствований. Ряд ученых рассматривает заимствование не только как процесс, но и как результат, то есть продукт перехода языковой единицы из одного языка в другой.

Вопросы, связанные с иноязычными вкраплениями представляют интерес для таких дисциплин, как лингвистика, лексикология, психолингвистика, переводоведение, социолингвистика. Однако проблема трактовки термина иноязычное вкрапление привлекла пристальное внимание лингвистов сравнительно недавно.

В процессе изучения теоретических вопросов становится очевидна проблема отсутствия единой и общепринятой терминологии и необходимость уточнить отношение понятий иноязычное вкрапление и заимствование, так как возникает закономерный вопрос: существуют ли различия между терминами иноязычное вкрапление и заимствование или они синонимичны?

Методы

В статье использовались как общенаучные методы (индукция, дедукция, анализ и синтез), так и специальные методы. Основные теоретические положения оценивались и обрабатывались при помощи метода металингвистического анализа. Сравнительно-сопоставительный метод применялся для определения сходных черт и различий анализируемых явлений.

Основная часть

Сначала коротко рассмотрим определения термина «заимствование».

Заимствование представляет собой слово или оборот, вошедшее в язык в результате процесса перемещения элементов из одного языка в другой и ставшее полноправным элементом лексико-семантической системы языка-реципиента [12].

В «Словаре лингвистических терминов» под заимствованием понимается «обращение к лексическому фонду других языков для выражения новых понятий, дальнейшей дифференциации уже имеющихся и обозначения неизвестных прежде предметов» [2].

«Лингвистический энциклопедический словарь» предлагает трактовку термина заимствование как «элемента чужого языка (слово, морфема и т.п.), перенесенного из одного языка в другой в результате контактов языковых, а также процесса перехода элементов одного языка в другой» [13].

По мнению Э.Ф. Володарской, «заимствование - это языковое явление, заключающееся в акцепции одним языком лингвистического материала из другого языка вследствие экстралингвистических контактов между ними, различающихся по уровню и формам» [6]. Заимствование также определяют как «процесс, во время которого происходит постепенное продвижение от разовых, окказиональных использований данного заимствования, по пути его постепенного освоения средствами языковой системы и, в конце концов, включения его как полноправного элемента в систему языка-рецептора с присвоением характеристик, свойственных исконным единицам соответствующих классов» [5].

Л.И. Баранникова выделяет следующие характерные черты заимствований:

1. проникновение чужеродного элемента, подвергающегося ассимиляции в структуру языка;

2. заимствуются только отдельные материальные элементы в составе структуры языка; не заимствуются связи и отношения этих элементов с другими;

3. свойственно менее организованным системам языка;

4. заимствование может происходить в случае кратковременных контактах или при отсутствии непосредственного контакта между носителями языка.

Заимствование не вносит в структуру языка заметные черты и не оказывает на нее существенного влияния [4].

В лингвистических исследованиях существует различные тенденции, касающиеся отношения понятий заимствование и иноязычное вкрапление. Так, одни лингвисты (Ю. Т. Листратова-Правда С. Влахов, С. Флорин, В. В. Карпова) противопоставляют эти понятия, и выделяют иноязычные вкрапления в отдельную группу иноязычных явлений.

Например, С. Влахов и С. Флорин определяют иноязычные вкрапления как «слова и выражения на чужом для подлинника языке, в иноязычном их написании или транскрибированные без морфологических изменений» [7].

По мнению Ю. Т. Листратовой-Правда, главным признаком иноязычных вкраплений является их принадлежность к речи билингва. Лексическое заимствование представляют собой одно из самых распространенных явлений, связанных с иноязычной лексикой. Во многом это обусловлено тем, что билингвизм не является необходимым условием

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для лексических заимствований, в отличие от языкового вкрапления, следовательно, заимствования достаточно быстро распространяются среди монолингвов. Подобного мнения придерживается Л. П. Крысин, говоря, что употребление индивидами иноязычных вкраплений обусловлено «степенью знакомства говорящего с иностранным языком, некоторыми стилистическими или жанровыми особенностями речи», в то время как заимствования появляются в связи необходимостью, «вытекающей из коммуникативной функции языка» [11].

Л. П. Крысин выделяет следующие типы «иноязычных слов:

*   заимствованные слова;
*   экзотическая лексика;
*   иноязычные вкрапления» [11].

По мнению Л. П. Крысина, важное отличие иноязычных вкраплений от лексических заимствований в том что «не принадлежат системе использовавшего их языка, не функционируют в нем в качестве более или менее связанных с лексическим и грамматическим строем этого языка единиц» [11].

Другие лингвисты (В. И. Андрусенко, Л.П. Ефремов и др.) рассматривают лексические заимствования наряду с иноязычными вкраплениями-лексемами [1]. Л.П. Ефремов считает, что по степени фонетической грамматической и ассимилированности, некоторые иноязычные вкрапления не отличаются от «недоосвоенных» или «неосвоенных» лексических заимствований [8].

В. В. Карпова указывает, что иноязычные вкрапления могут рассматриваться в качестве начальной ступени процесса заимствования, так как неосвоенная иноязычная лексика находится на периферии принимающей языковой системы [9]. Большой лингвистический словарь подчеркивает, что «на первых ступенях заимствования слова чужого языка могут употребляться в текстах заимствующего языка в качестве иноязычных вкраплений, сохраняя свой иноязычный облик» [13].

Считается, что при частом употреблении иноязычных вкраплений (в частности, в средствах массовой информации) существует большая вероятность превращения их в заимствования, полностью оформленные по законам языка-реципиента. Отметим, что иноязычными вкраплениями могут являться отрывки текста, которые никогда не войдут в состав принимающего языка, так как стадия иноязычных вкраплений - фактов речи является обязательной для вхождения лексических заим-

ствований в словарный состав языка. Соответственно, большая часть иноязычных вкраплений не входит в словарный состав языка.

Рассматривая заимствование как процесс, необходимо отметить, что оно осуществляется на социальном, а не на индивидуальном уровне. Таким образом, для заимствования нужно всеобщее принятие данного элемента языка, а также разные причины социального характера. Другая ситуация складывается в случае иноязычного вкрапления, на употребление которого оказывает влияние родной язык билингва, т.е. проявляется индивидуальный фактор.

Заимствования является в первую очередь фактами языка, большая часть которых лексикографически зафиксирована, а иноязычные вкрапления – незамкнутые группы слов. Положение о лексикографической фиксированности необходимо уточнить, упомянув, что в некоторых странах наиболее часто употребляемые иноязычные вкрапления помещаются в толковые словари в графике языка источника.

Важная структурная особенность иноязычных вкраплений, служащая основанием для отграничения от других структурных фрагментов, представляющих иноязычные заимствования, отмечена в работе М. Ю. Кириенко: «… должны быть охарактеризованы как разнородные речевые пласты, объединенные в одном или в серии коммуникативных актов, но относящиеся к принципиально разным языковым системам» [10].

Общей чертом может являться тот факт, что как говорилось выше, заимствование не оказывает существенного влияния на структуру языка, не вносит в нее заметных новых черт; иноязычное вкрапление, в свою очередь, также не обладает более или менее прочными связями с лексическим или грамматическим строем языка.

Исследователи считают внутренней причиной лексических заимствований необходимость обозначать новые предметы, виды деятельности, объекты и явлений социокультурной сферы, а также устранение полисемии в принимающем языке. В этом случае, использовать готовые заимствования легче, чем описывать предметы или явления заново. Мы полагает, что иноязычные вкрапления используются билингвами для обозначения уже знакомых им реалий, понятий, предметов, присущих культуре родного языка. В свою очередь, одним из определяющих факторов заимствования в условиях современного общества, и, следовательно, развития языка, становится престижность иностранного языка.

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Заключение

Обобщая изложенное, можно сказать, что вслед за Л. П. Крысиным, С. Влаховым, С. Флориным, Ю. Т. Листратовой-Правда и др., мы разграничиваем термины иноязычные вкрапления и заимствования.

Ж. Багана и Е. В. Хапилина подчеркивают, что процесс заимствования необязательно проявляется в условиях билингвизма. Для заимствования необходим языковой контакт, но не обязателен билингвизм. Заимствование как процесс осуществляется на социальном, а не на индивидуальном уровне.

Для заимствования нужно всеобщее принятие данного элемента языка, и оно возникает не потому, что человек испытывает влияние родного языка, а вследствие самых разных причин социального характера [3].

Иноязычные вкрапления, как и языковая интерференция, существуют лишь при условии билингвизма индивида, как процесс осуществляются на индивидуальном уровне, так как являются отличительной чертой речи отдельно взятого билингва и всеобщее принятие данных элементов языка не является обязательным.

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Огнева Е.А.	*СИНЕРГИЯ КУЛЬТУРНО-МАРКИРОВАННЫХ ЕДИНИЦ ДИСКУРСА: К СОЦИОЛИНГВИСТИЧЕСКОЙ ПОСТАНОВКЕ ВОПРОСА*

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Аннотация

В статье освещены результаты исследования лингвокультурологически обусловленного дискурса как нелинейной социально-коммуникативной модели. Актуализируется научная проблема определения границ допустимой модификации культурно-маркированных единиц дискурса при стабильности ядра этноязыковой матричной социомодели. Уточняется роль языковой картины мира в формировании культурного кода народа, где код выступает в качестве базиса для формирования лингвокультурологического дискурса, его синергии. Выявляется степень динамики синергии культурно-маркированных единиц, образующих исследуемую этноязыковую модель социума. Рассматриваются параметры динамики синергии исследуемых языковых единиц, динамики, обусловленной экстралингвистическими факторами. В исследовательско-методологический корпус вводятся следующие авторские термины: ситуативные трансформации дискурсивной модели социума, перманентные трансформации дискурсивной модели социума, синергия культурно-маркированных единиц дискурса, дискурсивная синергия социума.

Ключевые слова: лингвокультурология, социолингвистика, дискурс, синергия, культурно-маркированные единицы, модель, трансформация модели.

Ogneva E.A.

SYNERGY OF CULTURALLY MARKED UNITS OF DISCOURSE: ISSUES OF SOCIAL LINGUISTICS

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Abstract

The article deals with the results of linguoculturally marked discursive researches. The discourse is studied as a non-linear social-communicative pattern. The author considers some new scientific issues of the culturally marked units' modification. The degree of culturally marked units' modification with a stable kernel of ethnocultural matrix pattern is identified. The role of linguistic world-image in the process of cultural code forming is further defined. The cultural code is identified as the basis for developing the linguocultural discourse and its synergy. The degree of synergy dynamics of culturally marked units, forming ethnocultural pattern of society, is revealed. The parameters of synergy dynamics of culturally marked units caused by extralinguistic factors are studied. The author introduces some innovative terms into the methodology of linguistic researches. The terms include: situational transformations of the society discursive pattern, permanent transformations of the society discursive pattern, synergy of culturally marked units, discursive synergy of society.

Key words: cultural linguistics; social linguistics; discourse; synergy; culturally marked units; pattern; transformation of the pattern .

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Введение

В орбиту современных когнитивно-дискурсивных исследований поэтапно включаются проблемные языковедческие вопросы, нерешенные ранее, в предыдущие периоды развития науки. Появление нового импульса к расширению горизонта когнитивно-дискурсивных изысканий основано на объединении методов и приёмов лингвокультурологии, лингвокогнитивистики и социолингвистики. Так, одним из актуальных методологических вопросов современного языкознания, находящимся в плоскости пересечения трёх научных сфер: лингвокультурологии, лингвокогнитивистики и социолингвистики, является вопрос о создании алгоритма прогнозирования степени модификации лингвокультурологического кода народа в дискурсе трансформирующегося социума.

Дискурс как «категория лингвокультурологическая» [1, с. 9] представляет собой нелинейное, социально обусловленное явление. Дискурс многогранен вследствие его природы, интерпретируемого как «речемыслительное образование событийного характера» [3, с. 248], поэтому он может быть рассмотрен в виде комплексной матричной социомодели, в которой один из сегментов представляет собой совокупность культурно-маркированных языковых единиц, разностороннему изучению которых посвящены многочисленные научные работы. Тем не менее, по-прежнему актуальны вопросы: (1) каковы границы допустимой модификации культурно-маркированных единиц дискурса, при которой возможно говорить о стабильности ядра этноязыковой матричной социомодели в диахроническом срезе; (2) какова динамика синергии культурно-маркированных единиц, образующих этноязыковую модель социума, параметры которой модифицируются с течением времени под влиянием экстралингвистических факторов.

Цель работы

Исследовать структуру лингвокультурологически обусловленного сегмента дискурса и выявить специфику культурно-маркированных единиц социокультурной модели дискурса. Представить авторское видение научной проблемы трансформации дискурсивной модели социума и рассмотреть два типа трансформаций: (1) ситуативные трансформации дискурсивной модели социума, (2) перманентные трансформации дискурсивной мо-

дели социума. Изложить авторское видение направлений исследования синергии культурно-маркированных единиц дискурса и дискурсивной синергии социума.

Материалы и методы исследования

В качестве материала для исследования используется структура дискурсивной модели социума, культурно-маркированные единицы этой модели.

Результаты исследования и их обсуждение

Проводимые нами исследования дискурсивной реализации культурно-маркированных единиц языка с целью установления допустимой степени их модификации базируются на детальном изучении специфики семантических структур, образующих «когнитивные структуры» [18, с. 57-76] , в формате которых функционируют те или иные культурно-маркированные единицы, дискурсивная реализация которых обусловлена как лингвистическими, так и экстралингвистическими факторами.

Особое внимание при этом придается исследованию лингвокультурологически обусловленной специфики сопряжения семантических и когнитивных структур в концептуальной модели языковой картины мира, которая постоянно пребывает в фокусе научных исследований, но, тем не менее, окончательная экспликация её специфики далека от логического завершения. Релевантным нашему исследованию является определение, данное Е.С. Кубряковой, которая рассматривала этот лингвистический исследовательский конструкт как «сокровищницу всех знаний, понятий и форм мышления, убеждений и оценок» [10, с. 8]. Именно в языковой картине мира заложены знания о мире, включающие в себя единицы, отражающие способ восприятия мира человеком, в том числе, и единицы, составляющие этноспектр концептосферы языка: фразеологические единицы, метафоры, афоризмы, пословицы и поговорки, крылатые слова т.п.. Совокупность этих элементов, по мнению Ю.Н. Караулова, «не образует последовательной, стремящейся к завершенности картины мира. Скорее наоборот, они складываются в мозаичную, фрагментарно заполняемую, принципиально незавершенную, а подчас и противоречивую языковую картину мира, сильно окрашенную национальным колоритом» [8, с. 128-129].

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Изучение языковой картины мира в данном аспекте основано на сопряжении соотношения концептуальной системы сознания и «семантической системы языка» [19, с. 53-79] с учётом того факта, что «как и другие нелинейные системы, язык представляет собой самоорганизующуюся и саморегулирующуюся систему, которая в ходе эволюции адаптируется к окружающей среде не только путём обогащения своего состава, но и путём изменения своей структуры» [6, с. 228], поэтому язык способен репрезентировать культурно-национальную ментальность его носителей в виде различных «ментальных моделей» [подробнее: 22, 24].

Языковые знаки «в процессе коммуникации» [20], приобретая способность выполнять функцию знаков культуры, служат в этом случае средством представления основных установок культуры, кода культуры. В когнитивной лингвистике «код культуры» определяется как сетка, которую культура набрасывает на окружающий мир, членит, категоризирует, структурирует и оценивает его в процессе самоорганизации. «Под самоорганизацией принято понимать любое усложнение временной, пространственной или функциональной внутренней структуры сложной открытой системы в процессе эволюции» [12, с. 100], в том числе, и в процессе эволюции культурно маркированного слоя языка.

Общеизвестно, что знание формируется и накапливается исключительно в процессе речемыслительной познавательной деятельности человека, тем не менее, разграничения требуют два понятия: процесс мышления и содержание мышления. Процессы и формы мышления носят общечеловеческий характер и протекают по единым законам работы мозга. Содержание мышления, напротив, имеет национальный характер. В нем находят свое отражение психический склад и духовный облик народа, особенности его быта, культуры и языка, что обеспечивает концептуальное осмысление категорий культуры и подчеркивает опосредованность реальности языком, который тем самым создает образ мира.

Взаимосвязь языка и строя мышления отчётливо прослеживается в закономерности, выраженной в следующих словах А.Ф. Лосева: «мудрецы, которые хотят говорить с простым народом своим, а не его языком, никогда не смогут стать ему понятными. Однако есть множество разного рода понятий, которые

невозможно перевести на язык народа» [11, с. 387]. Следовательно, возникают как *ситуативные трансформации дискурсивной модели социума*, так и *перманентные трансформации дискурсивной модели социума*. Под ситуативными трансформациями дискурсивной модели социума нами понимаются трансформации, обусловленные экстралингвистическими факторами реализации той или иной коммуникативной ситуации. Под перманентными трансформациями дискурсивной модели социума понимаются трансформации, обусловленные историческими, экономическими, политическими и другими факторами развития общества.

Исходя из вышеизложенного, цель проводимого комплексного исследования структуры дискурса заключается в установлении причин и тенденций развития ситуативных трансформаций дискурсивной модели социума и перманентных трансформаций дискурсивной модели социума, что позволит определить каковы границы допустимой модификации культурно-маркированных единиц дискурса, обеспечивающих стабильность ядра этноязыковой матричной социомодели в диахроническом срезе в целом.

Решение задач по достижению поставленной цели основано на привлечении классических и инновационных методов и приёмов эволюционирующих идей лингвокультурологии, лингвокогнитивистики и социолингвистики последних десятилетий. Интеграция данных методов способствует, во-первых, формированию базовых принципов изучения многогранного, культурно-обусловленного спектра единиц языковой картины мира, во-вторых, выявлению социолингвистических результатов длительного процесса интериоризации знаний в сознании отдельной личности и социума в целом, в-третьих, определению предпосылок формирования лингвистического образа мира из актуализированных компонентов языковой картины мира, которая формирует семиотические рамки последующих изменений сознания этноса, изменений, отражённых в трансформирующейся дискурсивной модели социума.

Известно, что концептуальные структуры в этой модели определяют использование тех или иных семантических структур, и, в то же время, испытывают воздействие семантической системы. Сопряжение этих структур реализуется вследствие того, что, по мне-

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нию В.А. Сулимова, «концептуальная основа языка – это, прежде всего, некоторая призма, базирующаяся на культурно-генетических основах индивидуального сознания, обладающая признаками коллективного (социокультурного) сознания» [17, с. 41-42]. Именно поэтому исследование корреляции лингвокультурологических и лингвокогнитивных аспектов языковой картины мира того или иного народа способствует описанию глубинных связей, посредством которых и реализуется *дискурсивная синергия социума*, которая рассматривается нами как формат сопряжения лингвокультурологического и лингвокогнитивного знания народа, поскольку «синергия лингвокультурологических аспектов дискурса базируется на внутренней энергии отдельных языковых и речевых единиц, сопряжение которых в одном тематическом коммуникативном поле приводит к реализации ситуативно обусловленных прагматических целей, а в исследовательском поле, к формированию методологии исследования дискурсивной синергии современной лингвокультурологии» [15, с. 154].

Результаты этого сопряжения реализуются затем в различных типах дискурса, вследствие того, что именно «язык выявляет и объективирует то, как увиден и понят мир человеческим разумом, как он преломлен и категоризован сознанием» [9, с. 37], в котором реализуется, в том числе, и синергия культурно-маркированных единиц дискурса, поскольку, по мнению Н.Ф. Алефиренко, «культурно маркированное слово всегда несёт информационную синергию» [4, с. 8] Именно поэтому востребовано изучение и специфики «когнитивно-семиологической синергетики слова» [2].

Под *синергией культурно-маркированных единиц дискурса* нами понимается смысловое единство актуализированной, тематически обусловленной совокупности культурно-маркированных языковых единиц, когнитивный потенциал которого направлен на изменение изначально заданной лингвокультурологической информативной модели в условиях реализации определённой коммуникативной ситуации. Сама модель может быть рассмотрена в этом ракурсе как совокупность «культурологических моделей в языке и мышлении» [см. подробнее: 21], а синергию, по мнению Г.Г. Молчанова, можно представить как основной типообразующий параметр современных языков и межкультурных инновация [13, с. 9-20],

специфика которых исследуется, в том числе, и посредством методов лингвосинергетики [23].

В основе предлагаемой нами концепции «Синергия культурно-маркированных единиц дискурса» находится классическое понимание того, что язык определяет логический строй мышления и процесс установления зависимости языка от характера познания действительности, вопрос о возможности использования языка как источника сведений об окружающем мире, о его динамике.

Исследования показывают, что синергия культурно-маркированных единиц не единственный синергетический узел в нелинейном формате дискурса. Существуют, по мнению Е.Л. Словиковой и М.Н. Ельцовой, различные синергетические категории дискурса: «образности, эмотивности, оценочности, интердискурсивности / интертекстуальности, напряжения / напряженности» [16, с. 68], а сама «концепция синергетических категорий дискурса согласуется с применяемым в синергетике методом – теорией динамических систем и базируется на понимании смыслового пространства дискурса как сложной и саморазвивающейся системы образов / смыслообразов, характерными признаки которой являются: системность, динамичность, гомеостатичность, иерархичность, способность к самоорганизации, эмерджентность, открытость» [16, с. 67].

Проводимые нами исследования динамики синергии культурно-маркированных единиц дискурса основаны на выявлении параметров лингвокультурологической этноязыковой модели мира, которое базируется на принципах когнитивно-дискурсивного анализа материала [25] с привлечением инновационных методик когнитивно-сопоставительного анализа смысловых единиц как на уровне языка, так и на уровне речи, в том числе, художественной речи [14, с. 69-70] с целью выявления взаимосвязи между единицами языка и единицами речи с одной стороны и теми факторами, которые обусловили их ситуативную востребованность с другой стороны, поскольку, по мнению С.К. Гураль, именно «синергетический подход обнаруживает спонтанность в речепорождении, позволяет проследить влияние коммуникативной среды на содержание речевых произведений» [5, с. 9].

Рассмотрение динамики синергии культурно-маркированных единиц дискурсивной модели социума становится возможным

вследствие того, что «различные языковые подсистемы, которым свойственна динамика, обнаруживают черты роста и упадка и потому являются неравновесно-динамическими образованиями» [26, с. 423, 425]. Следовательно, в одном и том же социуме может сформироваться несколько культурологические дискурсивных моделей, синергия которых способствует существованию общей лингвокультурологической модели в той или иной отдельно взятой стране мира или нескольких странах, объединённых в какие-либо союзы. Однако, подчеркнём тот факт, что в последние десятилетия процесс синергии различных культурологических дискурсивных моделей в единую социолингвокультурологическую модель, характерную для того или иного социума, во многих странах идёт по нисходящей, т.е. очевидна динамика со знаком «минус».

В идеале объединению различных культурологических моделей в одну лингвокультурологическую модель мира способствует центростремительно ориентированная концептуализация мира. Известно, что концептуальная основа языка всегда индивидуальна, но обладает признаками коллективных форм мышления, в том числе, ценностной ориентацией. Включаясь в идеологическую парадигму индивидуального сознания, концептуальная основа языка одновременно включает эту идеологическую парадигму в общий социально-культурный контекст, в котором значим тот факт, что когнитивная функция языка складывается в сознании человека под воздействием интеракции, которая остаётся в сознании как следствие речевого взаимодействия. При этом реализация когнитивной функции языка базируется на том факте, что язык является открытой знаковой системой, способной к неограниченному развитию во взаимосвязи с культурой, именно поэтому в границы языковой картины мира включается и духовный мир культуры, реализуемый как один из сегментов в лингвокультурологической дискурсивной модели социума.

В реальности наблюдается нарушение центростремительного вектора концептуализации мира в рамках построения единой лингвокультурологической дискурсивной модели социума, поскольку именно в формате лингвокультурологической дискурсивной модели социума язык репрезентирует многообразие мира и общества. Процесс репрезентации в данном случае предопределён широ-

той ментальности человека, поэтому «если рассматривать язык с позиций функциональной лингвистики, т.е. как коммуникативную систему, средство передачи культурно-исторического опыта, то средой его существования становится непрерывная (контекстная) система взаимодействий» [26, с. 9], которая подвергается активному влиянию со стороны экстралингвистических факторов.

Тем не менее, в классическом миропонимании, поскольку язык и культура тесно связаны, то «тип культуры обусловлен доминирующим типом коммуникации и соответственно доминирующим типом личности» [7, с. 47], вследствие того, что язык объективирует воспринятый и категоризованный сознанием человека мир в той или иной лингвокультурологической дискурсивной модели социума, динамической по своей природе модели.

Заключение

Таким образом, изучение границ допустимой модификации культурно-маркированных единиц дискурса, при которой возможно говорить о стабильности ядра этноязыковой матричной дискурсивной модели в диахроническом срезе, связано с необходимостью установления лингвокультурологически обусловленной специфики сопряжения семантических и когнитивных структур в концептуальной модели языковой картины мира, с необходимостью выявления параметров «кода культуры». Определение границ допустимой модификации культурно-маркированных единиц дискурса базируется на рассмотрении ситуативных трансформаций дискурсивной модели социума и перманентных трансформации дискурсивной модели социума в целом и лингвокультурологического сегмента этих моделей в частности.

Культуро-маркированные единицы дискурсивной модели социума несут в себе информационную синергию, поэтому актуально и востребовано дальнейшее развитие концепции «Синергия культурно-маркированных единиц дискурса» с целью выявления степени динамика этого сегмента этноязыковой модели социума как модели, входящей в единую социолингвокультурологическую модель, формируемую в отдельно взятой стране или группе стран с учётом того факта, что параметры единой модели модифицируются с течением времени под влиянием не только лингвистических, но и экстралингвистических факторов.

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Огнева Е.А.

**СИНЕРГИЯ КУЛЬТУРНО-МАРКИРОВАННЫХ ЕДИНИЦ ДИСКУРСА:
К СОЦИОЛИНГВИСТИЧЕСКОЙ ПОСТАНОВКЕ ВОПРОСА**

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Огнева Е.А.
**СИНЕРГИЯ КУЛЬТУРНО-МАРКИРОВАННЫХ ЕДИНИЦ ДИСКУРСА:
К СОЦИОЛИНГВИСТИЧЕСКОЙ ПОСТАНОВКЕ ВОПРОСА**

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Serakioti Dimitra | AN EXPERIMENTAL APPROACH TO THE BASIC COLOUR TERMS I N MODERN GREEK: THE CASE OF blĭ, γalɓzjo, γalany

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Abstract

According to Berlin & Kay's [5] theory, it is possible for a language to include more than 11 basic colour terms. It is remarkable that in certain languages more than one term denote «blue». Russian is a good example of a language having two basic terms for blue – sinij (dark blue) and goluboj (light blue). Similar examples of languages with two basic colour terms for blue are Turkish, Arabian, Italian and Chinese. In addition, Androulaki et al. [2] claim that Modern Greek has 12 basic colour terms, supporting that γalɓzjo (light blue) should be included in these terms. The question arising is whether the term γalɓzjo in Modern Greek could be considered as a basic colour term. This is the main issue in the present experimental research. For conducting the experiment the Munsell colour system was used. The results of the empirical research show that the term γalany is a lighter hue of blĭ (blue) in relation to γalɓzjo. Moreover, these terms cannot be considered as basic, since, on the one hand, they are included in a basic colour category (blĭ), and, on the other hand, they occur only in particular collocations, violating the corresponding Berlin & Kay's (5, P. 6) criteria.

Key words: Berlin & Kay's experiment; basic colour terms; Modern Greek; blĭ, γalɓzjo, γalany.

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Serakioti Dimitra
AN EXPERIMENTAL APPROACH TO THE BASIC COLOUR TERMS
IN MODERN GREEK: THE CASE OF blŭ, γαlɓzjo, γalany

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1. Introduction

During the last decades, of particular interest is the theory of Berlin & Kay [5], related to colour categorization. According to this theory, a language can have from 2 to 11 basic colour terms. These eleven basic categories are *white, black, red, green, yellow, blue, brown, purple, pink, orange* and *grey*. In addition, the authors [5, P. 2-3] argue that there are strict restrictions on basic colour categories in languages that include fewer than 11 basic colour categories: all languages have terms for *white* and *black*; if a language has a third term, then it contains a term for *red;* if it has four terms, then these are *green* or *yellow;* if it has five terms, these are both *green* and *yellow*; if a language has a sixth term, it is *blue*; if it has a seventh, then it is *brown*; if it has eight terms, then it is *purple, pink, orange, grey*, or a combination of these.

Besides, Berlin & Kay [5, P. 35-36] mention the possibility a language to have more than eleven basic colour terms. A typical example is Russian, which contains 12 basic colour categories, because of the distinction observed between "sinij" and "goluboj", e.g. between the **dark *blue*** and **light *blue***, concerning lightness. [6; 13; 11; 8; 15; 16; 18]. Similar results regarding distinctions of blue appear also in languages related to Russian, such as Ukrainian and Belarusian. According to Safuanova & Korzh [18, c. 78], "sinij" is used in lexical collocations with words such as "sky", "snow", and also in others with a negative connotation ("heavy clouds", "haze", "harsh"), while "goluboj" is used with words that have a positive connotation ("affectionate", "soft", "tranquil", "serene"). In a similar way, Turkish has twelve basic colour terms, including "lacrivert" (dark *blue*) and

"mavi" (light *blue*) [14]. It is noteworthy that in Nepali the term "Akashi" is used to indicate the sky **light *blue*** [8]. Moreover, in Arabic the following terms are used for denoting *blue*: "azrock" (*blue*), "samawee" (light *blue*) and "khuhlie" (dark *blue*) [1]. As far as Greek is concerned, the research of Androulaki et al. [2] is the only one supporting that it has 12 basic colour terms, including *γαlɓzjo* (light *blue*). Nevertheless, except *blŭ* ("blue") and *γαlɓzjo* (light blue), they recognize the presence of *γalany*, which they consider as identical with *γαlɓzjo*, without discerning any difference between these two terms [2, P. 6, 10]. Research about the basic colour terms in Modern Greek has been also carried out by Serakioti & Markopoulos [19] and Serakioti [20].

The aim of the present research is the experimental examination of the following issues: a) if in Modern Greek there is any difference between the terms *blŭ, γαlɓzjo, γalany*, b) if the above colour terms can be characterised as basic, fulfilling Berlin & Kay's criteria [5, P. 6-7].

2. Methodology

In this study, the Munsell colour array, used also by Berlin & Kay [5], was given (Figure 1) to the subjects of the research, who were asked to find the typical version of *blŭ, γαlɓzjo* and *γalany*. More particularly, the second stage of data collection of Berlin & Kay's experiment was followed [5, P. 5]. The Munsell colour array contains a set of 330 colour chips, of which 320 represent 40 different hues, each divided into 8 different lightness levels (Munsell value). The purpose of this experiment is to check whether there is deviation in the perception of the three colour terms ***blue***, *γαlɓzjo, γalany*, **taking** into account that Androulaki et al. [2, P. 6, 10] consider *γαlɓzjo* as identical to *γalany*.
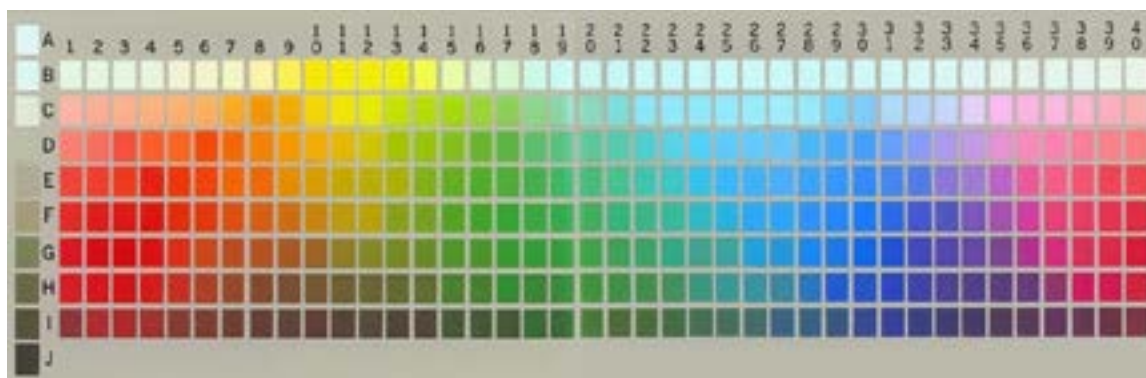
Figure 1. The Munsell colour array

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It is worth noting that the survey participants were asked to mention their age and gender, and these data were later processed. To avoiding the effect of the order in which colours were presented, a different order of colours for each participant was followed.

For registering, grouping and statistically processing data, tables were created, which include the serial number of the speaker, the gender, the colour and the corresponding values for its placement on the vertical and the horizontal axis of the colour spectrum (see Appendix). To facilitate data processing and numerical calculations, for the vertical placement in the colour spectrum numbers were used instead of letters (A = 0, B = 1, C = 2, D = 3, E =4, F = 5, G = 6, H = 7, I = 8). Furthermore, on each axis the average and the standard deviation were calculated for denoting the median of each colour, in order to investigate whether all values are focused on a particular point or there is great dispersion around a central value. In addition, the confidence interval was calculated on the vertical and horizontal placement to indicate the maximum error probability (0.05). The outliers were removed, e.g. values exceeding x'+2×s, and the average and standard deviation were recalculated.

The survey involved a total of 60 Greek native speakers, 30 males and 30 females, aged 20-50 years, who had no achromatopsia or dyschromatopsia problems (see 10; 7, 21; 17].

3. Findings and Discussion

The results of the present research indicate that the terms *γalбzjo* and *γalany* do not correspond to identical values in the spectrum, while there is significant deviation between them and *blŭ*. More particularly, *γalбzjo* appears to be a darker hue of *blŭ* in relation to *γalany*, with average (26.7, 3.2), while *γalany* appears

as a lighter hue of blue in relation to *γalбzjo*, with average (26.82, 2.79), as it can be seen in Figure 2. Thus, in the horizontal axis there is no difference between the two colour terms, contrary to the vertical axis. It seems that this difference regarding the colour lightness is not accidental, since the average of each point is outside the confidence interval of the other.

Moreover, it should be also mentioned that between these two adjectives (*γalбzjos-γalanys*) there are differences regarding the collocations and each of them refers to a particular class of objects. For example, *γalбzjos* is mainly used in collocations with words such as *θбlasa* (sea), *lнmni* (lake), *aktн* (shore), while *γalanys* with words such as *uranys* (sky) and also *simйa* (flag), indicating the blue and white colour of the Greek flag. Thus, it is expected for one to say e.g. *γalбzja θбlasa/ lнmni/ akti*, instead of *γalanн θбlasa/ lнmni/ aktн* or phrases, such as "*to γalбzjo tis θбlasas/ tu uranъ*" (the blue of the sea/ sky) instead of "*to γalany tis θбlasas/ tu uranъ*". From the SEK (Corpus of Greek Texts) (Goutsos 2013) this difference is confirmed, since the term *γalбzjos* is used in plenty of collocations, much more than *γalanys*. These are some examples: "*to γalбzjo tu pelбgus*" (the blue of the sea), "*to aperado γalбzjo tou Egйu*" (the endless blue of the Aegean Sea), "*to γalбzjo tis θбlasas ke tu uranъ*" (the blue of the sea and the sky), "*γalбzjo akroϳбli*" (blue shore), "*γalбzja lнmni*" (blue lake), and also metonymically "*to nisн рu zу нpe γalбzjo*" (the island in which I live is blue), instead of "*to nisн рu zу йхi γalбzja θбlasa*" (the island in which I live has blue sea). The term *γalanys* appears, mainly, in literacy in collocations such as "*γalanys uranys*" (blue sky), "*γalanб nerб*" (blue water), "*γalanб mбtza*" (blue eyes) and also metonymically, e.g. "*to γalany tis vlйma*" (her blue look).

		Blŭ	*γalбzjo*	*γalany*
average	x	30,49	26,7	26,82
	y	5,87	3,2	2,79
confidence	x	0,19	0,53	0,57
	y	0,22	0,26	0,26
Standard deviation	x	0,72	2,03	2,21
	y	0,82	0,98	1
Number of subjects		55	56	57

Figure 2. Average of blŭ, γalбzjo, γalany in Modern Greek

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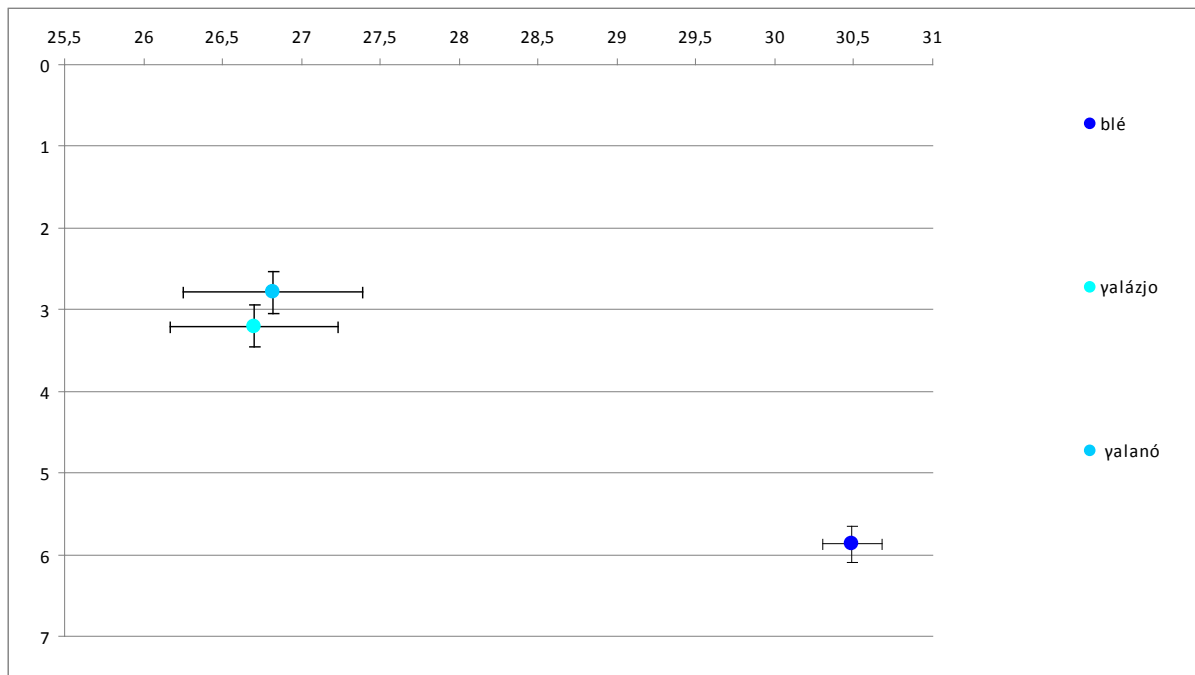
*Figure 3. Graphic depiction of the value of blŭ, γalδzjo,
γalaɲ in Modern Greek*

Moreover, there is a difference between *γalδzjos* and *γalaɲs* regarding their compounds and derivatives. Thus, in compounding with the prefix *kata-* the term *kataγblanos* (very blue) is used instead of **kataγblazos*. According to SEK, the derived word *kataγblanos* appears in collocations such as "*kataγblanos uranys*", "*kataγblani θblasa*", "*kataγblana mbtza*", excluding the use of **kataγblazos* ("**kataγblazos uranys*", "**kataγblazi θblasa*", "**kataγblaza mbtza*". Regarding the derivation of these colour terms with the suffix –*opys* (-ish), *γalazopys* is used instead of **γalanopys*.

Furthermore, in compounding the terms *γalazoprδsino* (blue-green) (*γalδzjo + prδsino*) **and** *prasinoγblazo (prδsino + γalδzjo)* **are** preferred and not **γalanoprδsino* (*γalaɲ + prδsino*) and **prasinogblano* (*prδsino + γalaɲ)*. Also, the term *γalaɲlefkos* (blue and white) *(γalaɲ + lefkɤ)* is used, but not the term **γalazoleukos (γalδzjo + lefkɤ)*.

In the research of Androulaki et al. [2] *γalδzjo* is presented as "lighter blue" and considered as a basic colour term of Greek, on the basis of the frequency of its appearance, while it is also claimed that the term *γalδzjos* is identical with the term *γalaɲs* [2 P. 6, 10-11]. Thus, the term *γalδzjos* **and** *γalaɲs* are both considered as light

blue, without any differentiation between them. Moreover, it is argued that there is no difference regarding the collocations of the two terms, since they are both used to denote the colour of the sea, sky and the greek flag, and also the blue colour of the eyes [2, P. 6].

Regarding the methodology of their research, there is considerable inconsistency in the used sample, since the number of the subjects varies in each stage of the experiment (In different stages of the research the subjects were 8 bilingual speakers of Greek and English (6 females and 2 males), 6 Greek speakers from Crete (3 males and 3 females) speaking a particular Greek dialect of Crete, 18 Greek native speakers (10 males and 8 females) and 12 Greek native speakers (7 females and 5 males)), as well as the ratio of the representatives of the two genders (male – female), while only a limited range of ages is covered (19 to 31 years old). Additionally, the selection of the subjects from Crete, who speak a particular dialect of Greek, is rather debatable (as Androulaki et al. [2, c. 18] mention, the six subjects of the research were born and lived in an isolated village of Crete with about 150 inhabitants).

Concerning the presented experiment, we notice a difference between *γalδzjo* **and** *γalaɲ*

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regarding the hue. Thus, we can consider the two terms as a variation of *blĭ*, given the fact **that** *γalany* corresponds to a lighter hue of blĭ in relation to *γalбzjo*, and *γalбzjo* **to a darker hue of** *blĭ* **in relation to** *γalany* (Figure 4).

blĭ
"blue"

blĭ

"blue"

γalбzjo
"darker blue
in relation to γalanó"

γalany
"lighter blue
in relation to γalбzjo"

Figure 4. Semantic relationships of Greek ble, γalбzjo, γalany
(the scheme is identical with that of Berlin & Kay [5, c. 36] for the Russian siniy and goluboy)

For the question if *γalбzjo* **and** *γalany* are basic colour terms, it would be useful to examine Berlin & Kay's [5, P. 6-7] criteria for the characterisation of a colour term as basic. A colour term is considered as basic when: a) its meaning does not derive from the meaning of its parts (e.g. "blue" and not "bluish", "olive green"), b) it is not included in another colour category (e.g. "scarlet" is included in "red" and is a kind of it), c) it is not limited to a category of objects (e.g. "blond" is mainly used with "hair", "complexion" and "furniture"), and d) it is widely known and accepted by all the speakers (e.g. "yellow" instead of "saffron").

Based on the above criteria, the terms *γalбzjo* **and** *γalany* cannot be considered as basic colour terms in Modern Greek, since they violate the criteria (b) and (c). On the one hand they violate the criterion (b), since they are included in the basic colour category of *blĭ* **and**

are a subcategory of it, and on the other hand they violate the criterion (c), since each of them appears only in particular collocations.

4. Conclusion

According to the present experimental research, the term *γalбzjo* is a darker hue of *blĭ* **in relation to** *γalany*, while *γalany* is a lighter *blĭ* **than** *γalбzjo*, since there is a deviation of values regarding their lightness on the vertical axis. Moreover, these terms cannot be considered as basic colour terms, since, on the one hand, they are included in a basic colour category being a subcategory of it and, on the other hand, they occur only in particular collocations, violating the corresponding Berlin & Kay's [5] criteria. Nevertheless, this issue needs further investigation and interdisciplinary approach.

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APPENDIX. The data for *blŭ, γalδzjo, γalany* in Modern Greek

Serial Number of Speaker	Gender	Colour	Vertical axis	Horizontal axis
1f	female	γalδzjo	6	26
2f	female	γalδzjo	3	27
3f	female	γalδzjo	3	27
4f	female	γalδzjo	4	24
5f	female	γalδzjo	3	25
6f	female	γalδzjo	5	29
7f	female	γalδzjo	3	26
8f	female	γalδzjo	2	30
9f	female	γalδzjo	3	27
10f	female	γalδzjo	3	27
11f	female	γalδzjo	3	26
12f	female	γalδzjo	3	28
13f	female	γalδzjo	2	27
14f	female	γalδzjo	6	27
15f	female	γalδzjo	2	29
16f	female	γalδzjo	3	25
17f	female	γalδzjo	2	22
18f	female	γalδzjo	2	25
19f	female	γalδzjo	2	27
20f	female	γalδzjo	3	27
21f	female	γalδzjo	5	28
22f	female	γalδzjo	4	27
23f	female	γalδzjo	3	22
24f	female	γalδzjo	2	21
25f	female	γalδzjo	2	30
26f	female	γalδzjo	3	28
27f	female	γalδzjo	2	29
28f	female	γalδzjo	5	27
29f	female	γalδzjo	4	28
30f	female	γalδzjo	3	27
1m	male	γalδzjo	3	25
2m	male	γalδzjo	2	29
3m	male	γalδzjo	2	25
4m	male	γalδzjo	5	29
5m	male	γalδzjo	2	23
6m	male	γalδzjo	4	28
7m	male	γalδzjo	2	23
8m	male	γalδzjo	3	27
9m	male	γalδzjo	4	25
10m	male	γalδzjo	4	27
11m	male	γalδzjo	5	24
12m	male	γalδzjo	4	24
13m	male	γalδzjo	2	29
14m	male	γalδzjo	3	30
15m	male	γalδzjo	4	27
16m	male	γalδzjo	3	29
17m	male	γalδzjo	3	28
18m	male	γalδzjo	5	27
19m	male	γalδzjo	3	28
20m	male	γalδzjo	2	24
21m	male	γalδzjo	4	27
22m	male	γalδzjo	4	24
23m	male	γalδzjo	3	25
24m	male	γalδzjo	2	29
25m	male	γalδzjo	4	36
26m	male	γalδzjo	5	27
27m	male	γalδzjo	3	29
28m	male	γalδzjo	4	27
29m	male	γalδzjo	3	25
30m	male	γalδzjo	4	27

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Serial Number of Speaker	Gender	Colour	Vertical axis	Horizontal axis
1f	female	γalany	2	26
2f	female	γalany	2	28
3f	female	γalany	2	24
4f	female	γalany	2	23
5f	female	γalany	3	24
6f	female	γalany	4	25
7f	female	γalany	2	31
8f	female	γalany	2	24
9f	female	γalany	3	27
10f	female	γalany	2	30
11f	female	γalany	3	28
12f	female	γalany	2	28
13f	female	γalany	2	30
14f	female	γalany	3	27
15f	female	γalany	3	28
16f	female	γalany	3	25
17f	female	γalany	1	26
18f	female	γalany	2	28
19f	female	γalany	1	28
20f	female	γalany	3	27
21f	female	γalany	5	26
22f	female	γalany	3	27
23f	female	γalany	4	32
24f	female	γalany	2	23
25f	female	γalany	2	21
26f	female	γalany	2	29
27f	female	γalany	3	27
28f	female	γalany	3	28
29f	female	γalany	2	30
30f	female	γalany	2	23
1m	male	γalany	2	27
2m	male	γalany	2	28
3m	male	γalany	2	29
4m	male	γalany	3	29
5m	male	γalany	2	23
6m	male	γalany	4	25
7m	male	γalany	7	31
8m	male	γalany	2	27
9m	male	γalany	4	25
10m	male	γalany	2	27
11m	male	γalany	5	23
12m	male	γalany	4	30
13m	male	γalany	3	26
14m	male	γalany	5	26
15m	male	γalany	2	27
16m	male	γalany	3	29
17m	male	γalany	2	29
18m	male	γalany	5	27
19m	male	γalany	4	29
20m	male	Γalany	4	24
21m	male	γalany	3	23
22m	male	γalany	4	30
23m	male	γalany	3	25
24m	male	γalany	2	29
25m	male	γalany	4	30
26m	male	γalany	4	25
27m	male	γalany	3	26
28m	male	γalany	2	25
29m	Gender	γalany	3	29
30m	male	γalany	2	27

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Serial Number of Speaker	Gender	Colour	Vertical axis	Horizontal axis
1f	female	blĭ	6	31
2f	female	blĭ	6	31
3f	female	blĭ	6	31
4f	female	blĭ	6	30
5f	female	blĭ	5	30
6f	female	blĭ	7	31
7f	female	blĭ	6	31
8f	female	blĭ	7	31
9f	female	blĭ	6	30
10f	female	blĭ	7	31
11f	female	blĭ	6	31
12f	female	blĭ	6	31
13f	female	blĭ	7	31
14f	female	blĭ	7	31
15f	female	blĭ	7	30
16f	female	blĭ	4	31
17f	female	blĭ	6	30
18f	female	blĭ	3	30
19f	female	blĭ	8	27
20f	female	blĭ	4	29
21f	female	blĭ	7	31
22f	female	blĭ	4	30
23f	female	blĭ	6	31
24f	female	blĭ	6	30
25f	female	blĭ	5	30
26f	female	blĭ	6	31
27f	female	blĭ	6	28
28f	female	blĭ	5	31
29f	female	blĭ	6	31
30f	female	blĭ	6	30
1m	male	blĭ	5	29
2m	male	blĭ	4	28
3m	male	blĭ	8	30
4m	male	blĭ	4	29
5m	male	blĭ	7	31
6m	male	blĭ	6	31
7m	male	blĭ	6	31
8m	male	blĭ	5	31
9m	male	blĭ	6	30
10m	male	blĭ	6	31
11m	male	blĭ	6	31
12m	male	blĭ	6	31
13m	male	blĭ	7	29
14m	male	blĭ	6	30
15m	male	blĭ	6	31
16m	male	blĭ	6	30
17m	male	blĭ	6	31
18m	male	blĭ	6	30
19m	male	blĭ	5	32
20m	male	blĭ	6	30
21m	male	blĭ	5	30
22m	male	blĭ	5	30
23m	male	blĭ	6	30
24m	male	blĭ	7	29
25m	male	blĭ	6	31
26m	male	blĭ	6	30
27m	male	blĭ	5	32
28m	male	blĭ	5	30
29m	female	blĭ	7	31
30m	male	blĭ	6	30

РАЗДЕЛ II. КОГНИТИВНАЯ ЛИНГВИСТИКА И ПРАГМАТИКА

Маджаева С.И.

СПЕЦИФИКА МЕДИЦИНСКИХ ТЕРМИНОВ В МЕДИЦИНСКОМ ДИСКУРСЕ

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Aннотация

Данная статья посвящена изучению особенностей функционирования термина в устном медицинском дискурсе. Термин рассматривается в динамике на основе предметных областей медицины сахарный диабет и СПИД. Анализ протоколов бесед врача с пациентом выявил, что термин выполняет прагматическую функцию и зависит от типа дискурса, различие целей использования медицинского термина. Врач и пациент выступают как субъекты институциональной, регламентированной деятельности, как носители медицинских знаний. При общении с пациентом целью врача является диагностирование, выбор оптимальных способов лечения и объяснение своих действий при помощи толкования медицинской лексики. Используя медицинские термины, специалист-медик подчёркивает объективность вербализованной в текстах специальной информации, имплицитно воздействуя на пациента.

Kлючевые слова: медицинский термин, медицинский дискурс, функционирование.

SECTION II. COGNITIVE LINGUISTICS AND PRAGMATICS

Madzhaeva S.I.

SPECIFICITY OF MEDICAL TERMS IN MEDICAL DISCOURSE

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Abstract

The article deals with the study of specificity of medical terms functioning in medical discourse. The term is analyzed in dynamics on the basis of such medical fields as diabetes mellitus and AIDS. The analysis of conversations between a doctor and patient revealed the fact that the term has a pragmatic function and depends on the types of discourse. Doctor and patient are the objects of the institutional regulatory activity as the bearers of medical knowledge. The goals of the doctor in communication with patients include making a diagnosis, choosing optimal treatments, and explaining his/ her actions with the use of medical terms and their comment. Using medical terms efficiently helps a health-care professional to affect the patient favorably.

Key words: medical term; medical discourse; functioning.

Антропоцентрическая лингвистика характеризуется возможностью изучения развития языковых знаков в речемыслительной деятельности человека. Объектом современного направления терминоведения – когнитивного – является дискурс. Дискурс представляет собой вербально опосредованную деятельность в специальной сфере, в которой происходит развитие профессиональной языковой личности [6, с.40]. Медицинский дискурс в научных работах рассматривается как акт речемышления, включающий в себя процесс ввода знаний о заболеваниях, явлениях, с ними связанных, их свойствах и качествах. Данный акт представлен при помощи терминов и иных лексических единиц. Другими словами, *медицинский дискурс* – совокупность вербальных и невербальных структур, обладающих определёнными прагматическими особенностями и функционирующих в медицинской среде для реализации функций лечения и профилактики [5, с.43].

Результатом, продуктом медицинского дискурса является научный текст медицинской тематики, в ходе анализа которого, как показало данное исследование, можно получить представление о речемышлении медика-учёного, врача-диабетолога, инфекциониста, его терминосфере, особенностях использования специальных лексических единиц.

Медицинский дискурс, будучи разновидностью институционального дискурса, во многом создаётся при помощи соответствующей терминологии.

В связи с этим нами было проанализировано 156 протоколов бесед врача с пациентом, который позволил рассмотреть прагматику термина, Нельзя не согласиться с Е.И. Головановой, что «определение прагматического содержания специальных единиц на разных этапах профессиональной коммуникации, выявление условий реализации этого содержания чрезвычайно важны для современной науки о терминах» [2, с. 94]. Мы исходим из того, что термин фиксирует не всю информацию, связанную с обозначаемыми объектами и ситуациями, а фокусирует внимание лишь на определённых, коммуникативно-значимых в условиях данной информационной среды их сторонах. В соответствии с этим характеристика медицинского термина исследуемых нами предметных областей медицины *СД* и *СПИД* может быть произведена на основе его коммуникативно-прагматической значимости.

В процессе исследования было выявлено, что для устного медицинского дискурса характерны два типа отношений: формальные и неформальные. В первом случае это отношения «врач – пациент», «врач – врач», «врач – медсестра». Данному типу отношений соответствует набор стандартных ситуаций. Коммуниканты выступают как субъекты институциональной, регламентированной деятельности, как носители медицинских знаний. Цели использования лексики в общении различаются. При общении с коллегой главной целью является оптимизация деятельности, выработка лечебных тактик. Главная цель врача при общении с пациентом – диагностирование, выбор оптимальных способов лечения. В первом случае профессиональная значимая информация представлена, главным образом, нейтральными, объективированными единицами, стремящимися к точности и однозначности содержания [2, с. 97]. Используя медицинские термины, специалист-медик подчёркивает объективность вербализованной в текстах специальной информации, имплицитно воздействуя на пациента. В общении с коллегами специалист-медик использует понятную им терминологическую лексику.

Неформальные отношения имеют множество форм репрезентации, набор ситуаций подобного общения не ограничен. Проблемы *СД* и *СПИДа* решаются через рекламу, статьи в неспециальных журналах и газетах, бюллетенях. Термину присваивается субъективированное знание, в котором зафиксирована та часть медицинской информации, которая актуализируется в каждодневных, повторяющихся действиях и операциях. Каждому типу реализованных отношений соответствует значимый выбор специальных единиц (терминов).

Поскольку главным участником медицинского дискурса является врач, он является языковой личностью, передающий информацию посредством специальных лексических единиц. А языковая личность выступает как «совокупность способностей и характеристик человека, обусловливающих создание и восприятие им речевых произведений (текстов), различающихся степенью структурно-языко-

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вой сложности, глубиной и точностью отражения действительности, а также определённой целенаправленностью» [4, с. 3].

Терминологическое пространство врача детерминировано его знаниями, профессиональным опытом, оно неоднородно. Врач-диабетолог оперирует следующей специальной лексикой: *сахарный диабет, инсулин, диета, диабетическая стопа, островки Лангерганса, ретинопатия, полинейропатия, эндокринопатия, диабетид, глюкотест* и др. Терминологическое пространство врача-инфекциониста составляют термины: *СПИД, ВИЧ, иммунодефицитные лица, «защитный экран», «ассоциированные инфекции», иммунодефицит, демиелинизация. ВИЧ-ассоциированная энтеропатия, вирус, антиретровирусный препарат* и др.

Каждое понятие имеет свое когнитивно-дискурсивное пространство, в котором функционируют термины, передающие определённую информацию, заложенную в них. Например: *immunity – immunodeficiency, immunodeficiency host, selective immunodeficiency disorder, primary humoral immunodeficiency, immunopathology.* Или *инсулин, инсулиновый шок, инсулиновая помпа, инсулиновый резистентности шок.* Термин *инсулиновый шок* обозначает коматозное состояние на фоне гипогликемии, сам факт существования такого состояния отражает в сознании врача особенности строения и функции клеток, а следовательно, и дальнейшее лечение пациента. Таким образом, термины, являясь результатом когнитивной деятельности врача, служат средством обработки, хранения и передачи информации. Медицинская терминология, отражая понятие *врач*, «формируется не только как совокупность единиц, а как совокупность очень сложной сетки знаний» [7, с. 93].

Термины предназначены сохранить, передать эти знания, связанные с профессиональным мышлением специалиста-врача. Ценность терминов заключается в репрезентации опыта врача как языковой личности. Врач как высококвалифицированный специалист владеет специальным набором знаний, умеет адекватно действовать в определённых условиях, обладает способностью контролировать ситуацию и управлять ею. При этом выявляется значимость термина как когнитивно-дискур-

сивной единицы, которая «задаёт программу деятельности и поведения» [1, с. 95], то есть в термине заложена связь профессионального знания и профессиональной деятельности.

Врач в своей деятельности включается в «уникальный субкультурный контекст» [2, с. 157] и в дальнейшем выстраивает собственную мыслительную деятельность, поведение, а в соответствии с ними – и речь.

Процесс формирования врача как языковой личности происходит следующим образом:

1) работа в специальной (медицинской) сфере: эта деятельность формируется по мере освоения научной картины мира как последовательное «прохождение» разных уровней сложности деятельности (период социализации);

2) формирование научной картины мира в процессе образования (обучения), представляющей собой континуум последовательных переходов от наивной к научной картине мира, что обусловлено многомерностью сознания носителя языка;

3) формирование профессионального опыта в специальной медицинской сфере (в нашем случае – диабетология, инфекция);

4) дискурсивная компетентность (владение терминологией, умение общаться).

И диабетологу, и инфекционисту присущи вышеназванные характеристики. Согласно этим процессам, понятие «врач» представлено следующими лексическими единицами – терминами:

1) наличие специальной подготовки (*квалифицированный врач, опытный врач, ординатор, интерн, врач высшей категории, кандидат, доцент, профессор, академик, MD, MS*);

2) комплекс знаний (*классификация сахарного диабета, генетические дефекты в действии инсулина, необычные формы иммунно-опосредованного диабета*);

3) наличие узкой специальности (*diabet ologist, podiatrist, эндокринолог, врач-инфекционист, подиатр*);

4) оценка врача пациентами (*empathy, open-ended inquiry, reactive listening, достойный, талантливый, перспективный, взяточник, компетентный, вздорный и др.*).

Анализ выступлений специалистов-медиков, а именно диабетологов, показал, что они субъективны. Каждое сообщение специа-

листа-медика является событием, которое сообщается. Сущность сообщения врача-диабетолога состоит в том, что другой диабетолог вынужден выбрать определенное поведение (в области мышления). Сообщение это есть информация, поэтому выделяем в нем семантический и прагматический аспекты информации. Для адресата важен прагматический аспект, а для адресанта – семантический.

Анализ сообщений врачей Астраханских медицинских учреждений (Н.В. Казачковой, Е.Н. Сучковой) выявил следующие признаки сообщений:

• Актуальность (В большинстве развитых стран СД занимает 3-4 место в структуре инвалидизации и смертности. Эти высокие показатели обусловлены прежде всего сосудистыми осложнениями СД, вовлекающими в патологический процесс многие органы и системы. Реальная трагедия заключается в том, что СД обнаруживается у большинства больных практически случайно при диспансеризации или обращению к врачу с уже имеющимися осложнениями) [Казачкова, 2011, выступление на межрегиональном симпозиуме врачей-диабетологов].

• Достоверность (наличие таблиц, схем, сравнений).

• Научная новизна (комплекс мероприятий не только медицинского, но и социального характера).

• Полнота (анализ осложнений СД).

В сообщении для больных диабетом отсутствуют такие признаки, как научная новизна и полнота. Для специалистов важна полнота сообщения, «у реципиента должно оставаться впечатление законченности и целостности переданной ему информации» [1, с. 93]. Каждое сообщение включает определенные термины. Выступая перед больными, врач применяет толкование, пояснение, объяснение.

Сообщения специалистов-медиков можно разделить на несколько уровней.

1) научно-теоретический уровень (монографии, научные статьи, доклады на научных конференциях, диссертации);

2) методический уровень (учебники, методические разработки, учебная литература и т.д.)

3) документный уровень (история болезни, рецепт, инструкция и т.д.)

4) научно-популярный уровень (статьи в журналах, газетах, выступления перед больными).

Основную массу в выделенных уровнях составляют термины, задачей которых является уточнить, передать, сохранить, обогатить специальные знания. Врач использует термин «по обстановке» и, опираясь на него, строит тот актуальный смысл, который совпадает с прагматической установкой коммуниканта, не исключая актуализации определенного смысла как цели.

Необходимо уточнить, что медицинский дискурс включает в себя функции медицинской деятельности: трансляции социального опыта, информативную, познавательную, креативную, коммуникативную, регулятивную. Именно ценностно-смысловое единство всех функций дискурса позволяет врачу принимать стратегии и тактики для успешного лечения.

Таким образом, анализ протоколов бесед с пациентами, выступлений врачей выявил следующие особенности медицинского дискурса, к которым относим: *динамичность* (изменение дискурса под влиянием воздействующих на него факторов); *социальность* (актуализация дискурса как социального явления); *интегративность* (синтез, объединение в целое всех компонентов медицинского дискурса и их комплексное взаимодействие); *персонализацию* (в центре медицинского взаимодействия находится пациент, страдающий сахарным диабетом, ВИЧ-инфицированный, его мотивы, проблемы, потребности); *диалогичность* (диалогическое взаимодействие со специалистами-медиками, в ходе которого выбираются стратегии и тактики для лечения и их вербализация); *контекстуальность* (учёт особенностей дискурса в контексте медицинской деятельности); *целостность* (наличие всех структурных элементов консультирования ВИЧ-инфицированного); *когерентность* (структурно-содержательная связь между компонентами дискурса и высказываниями пациентов); *ситуативную обусловленность* (учёт социально, культурно, личностно значимых условий и обстоятельств конкретной коммуникативной ситуации); *интенциональность* (учёт коммуникативных намерений участников дискурса); *недискретность* (неопределённость границ дискурса как открытой динамической системы).

Что касается термина, то он выполняет не номинирующую функцию, а ориентирующую и прагматическую функции.

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КОНЦЕПТ «НЕЗАВИСИМОСТЬ» В РОМАНАХ АФРИКАНСКИХ ПИСАТЕЛЕЙ НА ФРАНЦУЗСКОМ И ИСПАНСКОМ ЯЗЫКАХ

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Аннотация

В статье рассматриваются языковые механизмы вербализации концепта «независимость» в африканских художественных текстах на французском и испанском языках. Независимость оказывается одной из важнейших составляющих темпорального кода африканской культуры, точкой бифуркации в художественном пространстве и времени. Африканцев окрыляет возможность взять власть в молодых государствах в свои руки. Однако во главе государств зачастую оказываются отнюдь не те политические лидеры, которые радеют о процветании своих стран. Независимость вызывает у граждан новых республик смешанные чувства надежды, разочарования и тревоги за будущее.

Амбивалентное восприятие концепта «независимость» находит яркое выражение в произведениях африканских писателей на французском и испанском языках, использующих широкую палитру языковых средств, включающих в себя подбор лексических средств, использование приема пиджинизации, состоящего во введении в нарративную ткань автохтонных элементов на различных языковых уровнях, высокой степени метафоризации.

Ключевые слова: французский язык; испанский язык; африканская литература; Тропическая Африка; независимость.

Naydenova N.S.	THE CONCEPT OF INDEPENDENCE IN THE NOVELS BY AFRICAN WRITERS IN FRENCH AND SPANISH

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Abstract

The article deals with the description of linguistic mechanisms of expressing the concept of independence in African literary texts in French and Spanish. Independence is one of the most important components of the African culture code, a bifurcation point of the fictitious space and time. Africans are thrilled by an opportunity to take the reins of power in the young states. However, brand new political leaders are not always eager to care about the prosperity of their countries as expected. Therefore, for the citizens of the young republics, independence becomes the source of mixed feelings of hope, disappointment and alarm about the future.

The ambivalent perception of this concept is illustrated by African writers' novels in French and Spanish involving a bright palette of language means. It comprises a careful selection of lexical units, the use of pidginization involving the introduction of autochtonous elements in the narrative covering various linguistic levels as well as a high degree of metaphorization.

Key words: French; Spanish; African literature; sub-Saharan Africa; independence.

Важной вехой для африканских стран является дата обретения независимости, расколовшей их историю на две фазы. Основой для сравнения выступает состояние до и после «независимостей»: во французском языке стран Тропической Африки данная лексема используется практически исключительно во множественном числе (*les indépendances*), а в испанском форма множественного числа (*las independencias*) употребляется применительно только к обретению независимости африканскими странами в целом. Концепт «независимость» обретает в африканском художественном дискурсе совершенно особое смысловое наполнение, отличное от того, которым он наделяется исходно. Несовпадение содержательной стороны данной лексической единицы при ее использовании в различных ареалах повлекло за собой необходимость введения в африканский художественный дискурс ее пиджинизированного эквивалента – *dipanda*. В романе «Дитя Пото-Пото», действие которого начинается в день независимости Конго, А. Лопес использует именно эту лексическую единицу, семантика которой вбирает в себя целую гамму оттенков значения: восторга, эйфории и в то же время недоверия, боязни за будущее. Лексема *dipanda* может использоваться также в атрибутивных словосочетаниях в качестве определения:

Certains nous appelaient les enfants *dipanda*, un mot forgé pour traduire indépendance *en langue* [7, p. 9].	Некоторые называли нас детьми *dipanda* – слово, созданное для обозначения независимости на нашем языке.

Для описания знаменательного события писатель использует краткие. емкие фразы:

C'était le 15 août 1960. La nuit de l'Indépendance. La nuit des espoirs. Des espoirs insensés, soupiraient les parents [7, p. 9].	Было 15 августа 1960 года. Ночь обретения независимости. Ночь надежд. Безрассудных надежд, вздыхали родители.

Связь между эллиптическими предложениями и последующим текстом устанавливается с помощью приема анадиплозиса. В качестве связующего звена выступает лексема «надежды» (*espoirs*), коннотация которой меняется на полярно противоположную в двух последовательных предложениях. Эпитет «безрассудный» (*insensé*) стирает какие бы то ни было ожидания изменений к лучшему.

Проблема идентичности индивида раскрывается автором сквозь призму коллективной. Показательна в этом отношении сцена со спуском французского триколора и заменой его на флаг молодой африканской республики. При виде этого зрелища у главной героини «встает в горле ком» [7, р. 12]. «Абсурдное чувство»-, отмечает она [7]. С первыми звуками Марсельезы все участники эпохального мероприятия вытягиваются в струнку – ведь они знают французский гимн не хуже таблицы умножения [7, p. 11]. Напротив, гимна нового государства, который исполняется на французском языке, никто не знает. Новый флаг, как и французский, содержит три цвета, которым автор дает весьма своеобразное описание: зеленый цвет ассоциируется с традиционным блюдом сака-сака, а красный – с перцем пили-пили [7, p. 12-13].

Молодая политическая элита сохраняет ментальность вечного «угнетенного», боится, что белые примут их за дикарей, вновь поднимут триколор и конфискуют независимость [7, р. 13]. Речь нового президента, Абата Юлу, одетого в сутану от Диор, написана французами. Да и генерала де Голля граждане молодой республики по-прежнему именуют *papa* [7, p. 13].

Dipanda воспринимается африканцами как нечто эфемерное, что можно «конфисковать». Обретение независимости кажется им не закономерностью, не восстановлением исторической справедливости, а актом «самозахвата», за который их непременно заставят заплатить:

...nous avions eu l'insolence de nous égaler aux dieux en voulant réécrire l'Histoire, lorsque nous avons osé déposséder les Mindélés du commandement du pays. L'heure était venue de payer la rançon de Dipanda [7, p. 69].	...мы набрались дерзости приравнять себя к богам, желая переписать Историю, когда мы осмелились отобрать у белых бразды правления страной. Пришел час расплаты за независимость.

Отношение простых людей к столь важному политическому событию, способному вызвать лишь «неразумные надежды», раскрывается в словах участника народных гуляний, обращенных к главной героине Кимии:

« Oh, mais c'est quoi, maman ? Viens biguiner, ko. À la prochaine Dipanda nous ne serons plus de ce monde, la belle. » [7, p. 16]	«О, да что ж это такое, сестра? Давай, иди танцевать. Когда наступит следующая независимость, мы уже покинем этот мир, красотка».

Это искреннее высказывание, пересыпанное просторечиями и колоритными междометиями, выявляет отсутствие каких бы то ни было надежд на лучшее будущее, фатализм, присущий африканской ментальности.

Как и А. Лопес, гвинейский писатель Х. Мбомио Бачeng в романе «Следы под землей» рисует сцену обретения независимости. С иронией описывает он выступление испанского делегата Мануэля Фрага Ирибарре, который, взмокнув от жары, но, не прерываясь «ни для того, чтобы попить воды, ни для того, чтобы передохнуть» [9, p. 47 - 48], источает дух европейского просветительства и восхваляет роль Испании в развитии Экваториальной Гвинеи. Простые гвинейцы, как и персонажи А. Лопеса, скорее недоумевают по поводу причины столь бурного празднества:

Mba no comprendía tales conceptos. ¿Quién es Estado, quién le ha visto?, ¿qué era la república para él y su tribu?, ¿qué era Guinea? ¿Quién era independiente? <...> Allí, en la plaza de la capital, no se identificaba con nadie [9, p. 41].	Эти понятия были неясны Мба. Кто такой Государство, кто его видел? Что такое республика для него и его племени? Что такое Гвинея? Кто стал независимым? <...> Там, на столичной площади, все были для него чужими.

Приведенный отрывок выражает искреннее недоумение говорящего новым общественным порядком и насыщен речевыми ошибками (использование местоимения *le* вместо *lo*, нарушение категории одушевленности/неодушевленности), что придает ему юмористический оттенок. Однако впоследствии этот юмор оказывается черным, т.к.

Мба, оторвавшись от традиционной сельской культуры, но так и не сумевший себя ни с кем идентифицировать, превращается в одного из палачей режима.

Подобные слова звучат и из уст крестьянина Нсуэ в споре с католическим священником о. Габриэлем и марксистом Патрисио:

Hoy estoy en la cárcel, pero en mi cultura tradicional yo no he cometido ningún delito <...> a mi familia nunca le ha faltado nada, siempre he cumplido con mi deber de hombre africano. Luego nos dijeron que había que crear un Estado, dar nacimiento a una república, ser independientes. Yo no sabía todo eso, tampoco me interesaba, pero hice como los demás... [9, p. 70].	Сегодня я сижу в тюрьме, а ведь в своей традиционной культуре я не совершил никакого преступления <...> моя семья никогда ни в чем не нуждалась, я всегда исполнял свой долг африканского мужчины. Потом нам сказали, что нужно было создать Государство, заложить основы республики, стать независимыми. Я всего этого не знал, да мне и неинтересно было, но я поступил как все...

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**КОНЦЕПТ «НЕЗАВИСИМОСТЬ» В РОМАНАХ АФРИКАНСКИХ
ПИСАТЕЛЕЙ НА ФРАНЦУЗСКОМ И ИСПАНСКОМ ЯЗЫКАХ**

НАУЧНЫЙ
Результат
Сетевой научно-практический журнал

Нсуэ не испытывает проблем с самоидентификацией – самым важным для него является благосостояние его семьи, а необходимость следовать африканским ценностям не вызывает у него сомнений. Тем не менее, как метко подмечает М. Льюис, «Нсуэ становится жертвой, а Мба – палачом» [4, p. 172]. Новый режим отказывает простым гвинейцам, подобным Нсуэ, в самом главном праве – праве на существование: независимость и пришедшая с ней концепция «демократического» государства не приносит Нсуэ ничего, кроме смерти.

Метафоры, используемые для описания африканской действительности после обретения независимости, часто черпаются писателями из мира природы. А. Курума приравнивает независимость к полчищу саранчи, обрушившейся на континент (*une nuée de sauterelles*) [3, p. 22]. А. Лопесом она сравнивается с болотом, наполненным крокодилами (*un marais rempli de crocodiles*) [5, p. 30]. М. Нсуэ Ангуэ говорит об эпидемии «лихорадки завтрашнего дня» (*la fiebre del mañana*), завладевшей умами африканцев, гонящихся за призрачным недостижимым счастьем в то время как проходят годы и века.

Для описания обстановки, сложившейся после обретения независимости – «колониализма, неоколониализма и его субпродуктов» (*le colonialisme, le néocolonialsime et ses sous-produits*) – А. Лопес использует метафоры, основанные на природных катаклизмах. Конго превращается в «зону грозовой деятельности» (*zone des tempêtes*), где бушуют народные тайфуны, землетрясения, цунами [7, p. 74]. Эти ветры перемен сметают вековые традиции, небо становится непроницаемым, раковины каури больше не раскрывают тайны оракулов [7]. Неслучайно автор приводит строку из «Интернационала», исполняемого молодежью с автоматами наперевес о том, что «весь мир насилья мы разрушим до основанья» [Ibid]. В подрывании устоев автор видит угрозу разрушения общества.

Радостный момент обретения независимости в романе Х. Бальбоа Бонеке «Воссоединение. Возвращение с чужбины» омрачает «черная туча, наполненная дурными предзнаменованиями» (*la oscura nube cargada de malos presagios*) [2, p. 10] – метафорическое обозначение диктаторского режима. Примечательно, что в отрывке, посвященном обретению независимости, дважды употребляется лексическая единица *miseria* ('нищета, нужда, лишения'). Первое ее упоминание возникает в рассказе о «цивилизаторской миссии» европейцев, которые «спасли» африканцев от жалкого существования и невежественности. Повторное упоминание возникает при описании диктаторского режима, несущего в себе «смерть, нищету, драму массового изгнания» [2, p. 10].

Х. Бальбоа Бонеке также освещает тему независимости и ее последствий в форме басни в стиле устной традиции. Главный герой басни – белка, для обозначения которой писатель выбирает заимствование из языка буби (*bôjalé*). Белка, «свободная как ветер», «властитель вершин», «бросающий вызов законам земного притяжения» [2, p. 151], однажды падает на землю, где становится пленницей человека, который забирает ее в город и объясняет ей новые, «цивилизованные» правила поведения: «карабкаться к вершинам означает деградацию», «нельзя прыгать и гордо поднимать хвост» [2]. После долгого периода ассимиляции белку насильно возвращают в исходную среду обитания со словами: «Ты свободна <...>. Посмотрим, сумеешь ли ты разумно воспользоваться своей свободой как цивилизованное существо» [2, p. 151 - 152]. Белка со своей семьей поселяется в ущелье. Но проливные дожди разрушают жилище, а ее дети погибают. В ответ на заявление антилопы о том, что место белки – на вершине дерева, она заявляет, что разучилась карабкаться по деревьям, а высота вызывает у нее головокружение. Антилопа дает белке прозвище *êsêlê*, дословно 'белка, живущая в скалах', и говорит ей: «Оставайся в своем ущелье и жди следующего дождя. Может быть, однажды ты убедишься в том, что это не твоя жизнь, и снова станешь такой, как была раньше» [2, p. 153].

Последнее высказывание объясняет использование писателем двух заимствованных лексических единиц – *bôjalé* ('белка, живущая в вершинах деревьев') и *êsêlê* ('белка, живущая в скалистой местности'). В авторском нарративе они символизируют фигуру африканца до и после прихода колонизаторов. *Bôjalé* доколониальной эпохи не знает границ, кроме тех, которые устанавливает себе сама: ведь свобода – это «ее бог и ее правда» [2, p. 151]. *Êsêlê,* продукт

колонизации, убеждена в том, что «стремление к вершинам ведет к деградации», а привычка прыгать с ветки на ветку – признак дикарства. Все эти естественные для белки действия оказываются «проявлениями высокомерия и неприличия и поэтому заслуживают осуждения» [2, p. 151]. Использование приема антитезы, состоящего в противопоставлении лексических единиц «вершины» (*alturas*) и «ведущий к деградации» (*degradante*), прямо свидетельствует

об отношении писателя к вопросу культурной ассимиляции. В немного наивной, но эмоциональной повествовательной манере писатель дает понять, что африканец, утративший укорененность в своей родной культуре, лишается и свободы, чувства гордости, дома и, в итоге, собственной идентичности.

Х.Т. Авила Лаурель говорит об обретении независимости следующим образом:

Fue aquella cosa que se llama independencia. La independencia. Con aquel hecho, empezamos todos los que éramos niños a depender de lo que dijeran los que hablaban del Único Milagro de Guinea Ecuatorial su Excelencia don Francisco Macías Nguema. Aprendimos unas cosas... Fue un milagro que aprendiéramos a leer. Claro que algunos no lo hicieron y es una verdad que puede recoger cualquier estadística. La independencia dio unos pasos y nuestros mayores se arrodillaron ante la sinrazón que se apoderó de todos, casi todos. Dio otros pasos y pronto supimos que Macías no era un hombre de acero ni tenía una voluntad de hierro [1, p. 53].	Это была та штука, которая называется независимостью. Независимость. С ее приходом все мы, дети, оказались в зависимости от того, что скажут те, кто рассуждал об Уникальном чуде Экваториальной Гвинеи - его Превосходительстве доне Франсиско Масиасе Нгеме. Кое-что мы усвоили... Чудом мы научились читать. Конечно, некоторым не довелось этого сделать, и эта правда находит отражение в любой статистике. Независимость сделала несколько шагов, и наши старики преклонили колено перед безрассудством, овладевшим всеми, почти всеми. Она сделала еще несколько шагов, и вскоре мы узнали, что Масиас не был человеком из стали и не имел железной воли.

Независимость пренебрежительно именуется писателем «этой штукой» и соседствует с глаголами «зависеть» (*depender*), «вставать на колени» (*arrodillarse*), «завладевать» (*apoderarse*). Подобное соположение в тексте имени существительного «независимость» и глаголов, содержащих сему подчинения, включая его однокоренной антоним, говорит само за себя. Писатель не питает никаких надежд в отношении нового этапа в истории развития страны, в которой практически сразу устанавливается диктаторский режим.

Тем не менее, отмечается и амбивалентное отношение писателей к обретению независимости странами Тропической Африки. Например, в сборнике эссе «Моя бабушка из племени банту и мои предки галлы» А. Лопес приводит диалог со своей бабушкой, в котором та говорит, что без белых «мы и иголки сделать не умеем» [6, p. 32].

Х.Ф. Сиале Джангани словно вторит этой красноречивой цитате:

...la independencia no se (toma) como una lotería ni como la quiniela, <...> en las circunstancias actuales sólo contamos con cinco medicos, cuatro abogados y unos cuantos profesionales en otras ramas... [10, p. 114].	...независимость невозможно (выиграть) ни в лотерею, ни в тотализатор <...> в нынешних обстоятельствах у нас всего лишь пять врачей, четыре адвоката и несколько профессионалов в других областях...

В романах африканских писателей появляются мотивы ностальгии по колониальным временам, начиная с системы образования и заканчивая распылением ДДТ для травли вредоносных комаров. Но если в произведениях франкоязычных писателей она преподносится скорее с иронией, то в испаноязычном дискурсе она зачастую звучит вполне искренне. Так, Х. Бальбоа Бонеке с ностальгией вспоминает прошлое, ассоциирующееся в его сознании с «простой жизнью», протекавшей на фоне «пышной зеленой расти-

тельности, визитной карточки края банту» [2, p. 10 - 11].

В романе Х.Ф. Сиале Джангани «Пепел калабо и термиты» патриархальная атмос- фера, размеренность, симулякр стабильно- сти разбиваются вдребезги с исчезновением колониальной империи, рухнувшей подобно ее символу на одной из столичных площадей:

Una ojeada sobre el hombro derecho permite ver las torres de la catedral dando protección al palacio arzobispal, haciendo frente a los altos y robustos palmerales de la peculiar plaza de la que, en años venideros, hombres forzudos arrancarían de cuajo la estatua que se erguía en su centro [10, p. 29].	Если обернуться и взглянуть направо, то мож- но увидеть башни собора, укрывающие дворец архиепископа, глядящие на высокие мощные пальмы, растущие на занятной площади, из центра которой в грядущие годы дюжие муж- чины вырвут с корнем статую.

С пришествием независимости автор постепенно утрачивает трепетное отношение к родному городу:

Estaba perdiendo gusto por mi ciudad, destrozada con el paso del tiempo... [10, p. 109].	Мне переставал нравиться мой город, прихо- дящий в разруху с течением времени...

С душевной болью пишет он о его запу- стении, разрухе, обеднении и оболванивании населения, зарождении диктаторского режи- ма, замалчивании кровавых межэтнических конфликтов, иллюзии национального един- ства (*embustera unidad nacional*), появлении новой клики, использующей богатства стра- ны в своих интересах.

Вместо «широких прямолинейных улиц» [10, p. 29] его взгляду предстают «короткие проспекты и узкие улочки» [10, p. 111]. Вместо домов на сваях из бетона или кирпича – стро- ения, наспех сооруженные мигрантами, бегу- щими от бедности из сельской местности, или редкие уродливые здания, возведенные со- гласно плану урбанизации. Некогда гладкий «слой асфальта, в котором отражались мор- ские брызги» [10, p. 30], покрыт выбоинами и издает тошнотворные запахи [10, p. 110]. Но, самое главное, поменялись сами горожане. Тех людей, которые создавали город и застра- ивали его добротными зданиями, чтобы ра- стить в нем своих детей, сменили бездомные, нищие, обездоленные, теснящиеся в лачугах и никак не пытающиеся изменить свое нынеш- нее состояние. Больше всего писателя приво- дит в негодование их бездействие, фатализм, нежелание взять судьбу в свои руки. Если описание горожан в начале романа отличает- ся мажорной тональностью и энергичностью, то сейчас оно насыщено семантикой уныния, безразличия, что выражается в соответствую- щем подборе лексических единиц: моральная усталость (*lasitud spiritual*), временное отупе- ние (*pausa mental*), влачить безучастное суще- ствование (*vivir indiferente sus horas una tras otra*) [10, p. 111-112]. Повсюду царит нищета и запущенность: беспризорные дети, «сироты при живых отцах», опустившиеся мужчины и женщины, пытающиеся хоть как-то прокор- мить семью. Справедливости ради, писатель отмечает, что ему встречались и достойные люди, не опускающие руки перед трудностя- ми, но их хрупкое положение полностью зави- сит от самодурства властей.

Узлы хронотопа могут актуализировать- ся в тексте с помощью интертекстуальных элементов:

...el devenir de la irracional rutina poscolonial había apagado **el sol de la independencia** y masticado las ilusiones como una de esas nueces de cola... [8, p. 31].	...с приходом постколониальной рутины, лишенной всякой рациональности, **солнце независимости** погасло, а иллюзии оказались разжеваны как орехи кола...

В приведенной фразе прослеживается едва различимая аллюзия на роман А. Курумы «Эра независимости» (Les Soleils des independances, дословно «солнца независимости») [3]. Сравнение «жевать иллюзии как (…) орехи кола» (*masticar las ilusiones como (…) nueces de cola*) требует знания вертикального контекста. Орехи кола, содержащие кофеин и теобромин, употребляются африканцами как тонизирующая и слегка одурманивающая жвачка, служат ценным подарком, символом уважения.

Очевидно, что концепт «независимость» играет важную роль в африканском художественном дискурсе. Как точка бифуркации, он служит вехой, открывшей новый этап в истории континента. Отношение писателей к нему оказывается амбивалентным. Первое впечатление свободы оказывается обманчивым – власть в молодых государствах оказывается в руках местных коррупционеров и диктаторов. Персонажи некоторых романов испытывают недоумение и смятение, не понимая до конца смысла происходящего. Поэтому для вербализации данного концепта используются в основном лексические единицы, наделенные семантикой разочарования, разорения и хищности.

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| Suyunova G.S. Andryuchshenko O.K. | THE IMAGE OF THE CITY AS A FRAGMENT OF ONOMASTIC CONSCIOUSNESS* |

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ABSTRACT

The modern urban studies addresses its subject – the city – as a complex organized system whose multiple-aspect nature allows to analyze it from various perspectives. This article deals with one of possible aspects of the study of the city, a cognitive aspect, in which the image of the city appears as a mental pattern formed in the process of its perception by subjects of urban life. The authors refer to the latest research in cognitive science and onomastics and substantiate their thesis on that the image of the city is an important part of onomastic and, in a broader sense, linguistic consciousness. To support theoretical provisions the authors used data of the association experiment conducted by them to identify how the city of Pavlodar is perceived by its residents.

Key words: urban studies; image of the city; onomastics; cognitive; linguistic consciousness; association experiment.

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Аннотация

Современная урбанистика обращается своему объекту – городу как сложно организованной системе, многоаспектность которой позволяет анализировать его с самых разных точек зрения. В данной статье раскрывается один из возможных аспектов изучения города - когнитивный, при котором образ города предстает как ментальное образование, формируемое в процессе его восприятия субъектами городской жизни. Авторы обращаются к современным исследованиям в области когнитивистики и ономастики и обосновывают свой тезис о том, что образ города – важная часть ономастического, шире – языкового – сознания. Для подкрепления теоретических положений авторами используются данные проведенного ими ассоциативного эксперимента по выявлению представлений о городе Павлодаре.

Ключевые слова: урбанистика; образ города; ономастика; когнитивный; языковое сознание; ассоциативный эксперимент.

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Introduction

This article summarizes the authors' efforts to consider the scientific problem of the study of the city image from the perspective of urban studies, cognitive linguistics and onomastics. This provision is associated with our grant-supported research of the general cultural landscape of the city of Pavlodar, the implementation of which provides for the identification of residents' perception of their city as one of the scientific objectives of the project.

Methods

In general, the scientific and methodological basis of the research project rests on a number of fundamental concepts of onomastics and urban study, while the study of the problem of "the image of the city" made it necessary to address the basic conceptual vocabulary of cognitive science since onomastic phenomena are considered by the authors through the prism of cognitive processes. The feasibility of such approach is substantiated by scientists based on the fact that the cognitive structures of organization of proper names are "an organized fragment of linguistic view of the world" and exist in the linguistic consciousness of an individual and the whole community as well"[1, p.154].

This provision is supported by the findings of researcher Shcherbak A.S. stating that "in terms of the cognitive approach the subject of onomastics is transferred from linguistic means provided by the language to onomastic realities in terms of involvement thereof in the process of formation of meaning ..." [14, p.7]. The researcher also cites the opinion of Golomidova M.V. on "the cognitive function of onomastic phenomena", which manifests itself "in involvement of proper names in the process of human mental activity and ability to retain knowledge, either of linguistic or encyclopedic nature" [14, p.8].

Main part

Since the name of the city is also a proper name, in particular such type thereof as astionym, it is fair to say that it may also be the subject of onomastic research, and as such can somehow be perceived by people or evoke certain associations, i.e. it may in a particular manner be associated with a certain city.

A word, a sign, a symbol play a fundamental role in the process of perception and formation of the image of a city. It is reflected, in particular, in

that people have for a long time named cities not only in a specific manner using proper names but endowed them with individual characteristics: Kyiv the mother of Russian cities, free Novgorod, golden-domed Moscow, Odessa the Mother, Rostov the Father. In the Russian culture a number of original "locus" sayings or "teasers" for cities and their inhabitants have been preserved; Vyatka is the queen of wealth; Nizhny Novgorod is Moscow's closest neighbor; Orel and Kromas are the first thieves; He who has never been to Ufa, never saw dirt; Any good hare is a cuff, any good bloke is Tula dweller etc. [9].

Thus, the purpose of this article is to support the provision on that the "image of the city" represented by an astionym is part of onomastic consciousness and as such can serve as subject of a number of sciences, namely urban study, onomastics, cognitive science.

At the beginning of the 1960's Kevin Linch, a renowned architect and urban study expert, conducted a series of studies on the perception of the same city by various individuals. [4] Interviews about the images of the central parts of Boston, Los Angeles, and New Jersey served as the basis for the assessment. One of the main results of this study was a provision stating that the perception (the image) of the city varies considerably from person to person. In turn, such perception depends on a number of reasons, including age, social and civil status, and level of education.

Vilkovsky M.B., unwrapping the essence of the views of K. Linch, places emphasis on that "The Image of the City" written by the urban study expert has provided a platform for initiating a series of new studies of human perception and behavior in the city - cognitive psychology in the city. The task of further research to be conducted by specialists in this field is to bring problems from the level of psychology to the level of social psychology and sociology of the visual image of the city, i.e, architectural sociology [2]. It is worth mentioning a modern work [Gottdeiner Mark and Hutchison Ray], the authors of which write about the need to "humanize" urban studies. [15]

The today's urban study uses the concept of the city image as "a common mental pattern of the external physical world of the city" originating from the Linch's work. [16] As you can see from this definition, the term "the image of the

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city" is undoubtedly associated with human cognitive processes that result in the formation of its cognitive base. Pirogov S.V. points out that "in order to effectively study and design urban life it is not enough to consider the city only as a material-and-production and socio-institutional system, but necessary to focus on the third mode of the reality of the city – the reality of urban life subjects' view of the city" [7, p.12]. In this case, the scientist refers to the works of Max Weber, who was the first to draw attention to the fact that the city is not just a material object but also a system of perceptions thereof. In addition, scientists believe that in this case a sort of intersubjective reality emerges existing in the form of speculative constructions, i.e. what is now called concepts, mental images.

For a philologist, the study of the image of the city implies addressing the theory and methodology of cognitive and onomastic studies simultaneously.

The solution of such research tasks requires using some scientific methods and techniques: the descriptive method and some of its techniques, such as systematization, generalization, classification. Quantitative and qualitative sociological methods have traditionally been used in the study of perception, the image of the territory, and features of the urban mentality. Thus, collecting evidence required using experimental methods of cognitive linguistics, where native speakers (informants) are the most important source material. In addition, the authors used empirical methods: the study of relevant literature, the analysis of the results, the study and generalization of experience. Analyzing the results of the association experiment requires the use of semiotic and statistical methods to a certain extent. The former is used in determining the semantic groups of response-words, while the latter is necessary for counting the number of nominations and selection of the most widely-spread among them.

Thus, identification of perceptions about the city is directly connected with the study of linguistic and onomastic consciousness acting as a part of consciousness in general. Linguistic consciousness, being a specific kind of consciousness, is characterized primarily by its availability for direct observation: its operation processes and their results are recorded in the form of lan-

guage. Trapeznikova A. indicates that "the term "linguistic consciousness" has a wide field of reference" and sets forth known scientific points of view as relate to this phenomenon [11, p. 27].

We share the views of representatives of the Moscow psycholinguistic school, in particular, Ufimtseva N.V. and Tarasova E.F., considering linguistic consciousness as a part of consciousness in general, and understanding it as "a combination of cognitive images created and formed using linguistic means – words, free and set phrases, sentences, texts and associative fields" [10, p. 36]. Consequently, there is a direct link between linguistic consciousness and language skills, and proper names, including astionyms, being a language means, are involved in human cognitive processes, representing fragments of linguistic consciousness. Referring to this, researcher Shcherbak A.S. writes: "Any proper name is an onomastic sign, reflecting the complex of knowledge of the proper name (linguistic and encyclopedic knowledge) and serving to organize onomastic knowledge in the human mind" [14, p. 22].

Thus, the scientists refer to the language and onomastic consciousness as a part of human consciousness in general, and by analogy with the cognitive science use the term "onomastic knowledge", "onomastic representation", "onomastic concept" [14, p. 36]. Researcher Shcherbak A.S. in her dissertation research sets forth the position on the existence of the scope of concepts of proper name, which reflects the worldview at the regional level as part of the worldview at the national level. This, according to the researcher, allows to consider onomastic material as a means of formation and expression of onomastic knowledge in the human mind. Onomastic knowledge is transmitted in units of language and consciousness units as onomastic concepts. The researcher considers the process of such transfer as onomastic representation [14, p. 37]. The method of free association experiment is another recognized method of study of linguistic consciousness that allows "to assess the features of functioning of human linguistic consciousness and ways to generate a verbal utterance, usually not perceived by native speakers and not detectable by other methods of research" [13, p. 229].

The methodology of the association experiment is based on a proven fact in the classic

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psychology: the course of associations is strictly determined, and the stream of words popping-up in mind can be characterized by either cognitive or affective processes.

The association, i.e. assigning to the object (stimulus) the meaning that pops-up in mind first (response) is a dual process [8]. On the one hand it involves activation of the personal experience, on the other - the typical social experience. This research process allows, first, to get information about recurring sense, i.e. to identify the social component of knowledge. Second, it provides an opportunity to explore a qualitative variety of social meanings. Thus, as a result of the association experiment we could identify certain views of Pavlodar city dwellers towards the city as well as the image of the city in the minds of non-Pavlodar residents, having visited **Pavlodar before**.

Based on the foregoing, and in order to identify the perceptions of Pavlodar and, as a consequence, outline its image the authors conducted a free associative experiment in which the respondents were invited to speculate on word-stimulus "Pavlodar" and asked to write whatever would come to mind first without any restrictions on verbal reactions. As a result, the respondents provided single and multiple free associations without limitation to one word in response to a stimulus, providing as many answers as could be associated with the word. A total of 235 persons were involved in the experiment distributed as follows:

The 1st group of respondents: residents of the city of Pavlodar - 83 persons;

The 2nd group of respondents: residents of other regions of Kazakhstan, having been to or heard of Pavlodar, of 82 respondents only one person met such criterion.

The 3rd group of respondents: residents of areas of Pavlodar region - 83 persons.

* Note regarding the number of respondents in each group: this figure was not specifically agreed upon, and the fact that the figures are essentially the same, is a coincidence.

Socio-demographic characteristics of the informants:

1) Group 1 - Pavlodar residents, 83 persons. The respondents were selected having lived in the city for at least 2 years. In this group the broadest age range of respondents was from 8 to 78 years old. This circumstance determined the diversity of social statuses. This includes pupils (19); students (26); employees from different industries, entrepreneurs (23 persons aged 23 - 55); "blue-collar" workers (5); housewives (4), pensioners (6).

2) The experiment covered 83 respondents living in rural areas, of which only 1 person was aged 50 (he gave a detailed response "the city of my youth"); the remaining 82 respondents were pupils and students aged 15 - 25. Anticipating any respective comments we refer to the authoritative opinion of the expert in the considered field of study Karaulov Yu.A.: "Basically, associative norms are "harvested" from the student audience... It is believed that at this age (17-21 years old) the formation of language competence is mainly completed. Whereas the semantic content of language competence (vocabulary, hierarchy of values, pragmatic attitudes) and its formal combinatorial skills in the majority of people remain relatively stable throughout life" [4, p. 192-193].

Thus, processing of the results of the association experiment with respect to the use of response-attributes revealed the following.

A total of 288 verbal responses were provided, most (155) responses were provided by residents of Pavlodar. This is explained by the fact that it was exactly in this group where the respondents provided multiple associations as well, while the third group represented individual free associations (58 responses). Residents of other regions provided 80 responses of both types.

Due to the limited scope of this article we focused only on the individual reactions of the respondents, namely the attributes associated with the proper name "Pavlodar" provided by the respondents in the three groups. Further analysis of all types of reactions will be carried out and become part of a monograph summarizing the results of the project.

The choice of reactions expressed by adjectives is explained by the authors as follows. Ideas about something (someone), as a rule, contain an assessment, and "the attitudinal meaning is characterized by the most vivid expression in the lexical and grammatical class of adjectives. With excessively broad semantic scope, adjectives express the properties of objects, personal assessment of their qualities and combine with a large class of subject names" [12, p.15].

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Scientists, based on the experience of conducting associative experiments, suggest that only a few associations are unique, while most of the answers are typical. Counting results may allow to identify the frequency of occurrence of each association. The most frequent responses are called cultural primary ones, with idiosyncratic as the least common. The lower the time to think, the more frequent are typical responses of respondents, whereas the increase in time leads to a greater variety of responses and to the appearance of unusual and even unique associations.

In our case, 24 attributes associated with the proper name "Pavlodar" were provided, 20 of them were expressed in adjectives and 3 in participles (contaminated, prosperous, Russified). These response-attributes are the implementation of syntagmatic associations, which, according to scientists, reveal subject relationship manifested in speech. The adjective itself is, as is known, a classical language means of denoting various features of the subject, in this case - the city of Pavlodar. Attribute relationships are expressed by participles as well.

Thus, the following response-attributes were identified:

Group A Pavlodar residents	Group B Residents of rural area	Group B Residents of other regions
Clean (3 responses)	*Clean (3 responses)*	*Clean (4 responses)*
Beautiful (2 responses)	*Beautiful (2 responses)*	*Beautiful (5 responses)*
Industrial (2 responses)	-	*Industrial (3 responses)*
Prospering (1 response)	*Prospering (1 response)*	-
good (1 response)	-	*Good (1 response)*
cultural	**big**	civilized
dear	**great**	Green
small	electronic	Large
home	Inhabited mostly by youths	warm welcoming
gray	contaminated	Russified
the best	dirty and crazy	Civil
Total: 11 attributes	**Total: 10 attributes**	**Total: 9 attributes**

As is evident from the table, the number of attributes is almost the same in the three groups, which cannot be said of their semantic features. 5 responses should be considered frequent (in italics), of those 2 responses were provided throughout all three groups: clean and beautiful, in three more cases the responses were repeated in the two groups. These are such attributes as "industrial", "good" (groups 1 and 3), "prosperous" (groups A and Б). "Clean" and "beautiful" should be considered the most frequent responses (9 cases of use), followed by "industrial" (5 responses).

Of those 5 common responses, three responses reflect positive assessment (clean, beautiful, good), two of them characterize the outside of the city – personal attitudinal meaning (clean, nice), with the third attribute having general attitudinal meaning (good).

The rest of the individual response-attributes are as follows:

1) In group A one of 6 adjectives has general attitudinal meaning - the best, all the other adjectives reflect personal attitudinal meanings that give an idea of the native city from various perspectives:

- Emotional evaluation of the positive nature: favorite, dear;
- Assessment of the size of the subject: small;
- Understanding of the cultural level of the city: civilized.

"Gray" is a response of certain scientific interesting. This adjective in its literal sense refers to the color and in fact contains no evaluation.

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It remains unclear what the respondent meant while providing an answer: whether he was thinking of gray multi-storey buildings, which are common in Pavlodar, or defined the city as a boring, uninteresting place to live, devoid of any prominent features.

2) In group B (persons living in rural areas of the region) more interesting response-attributes could be observed compared with those provided by Pavlodar residents. The villagers named a variety of characteristics of the city, probably because the city makes a deeper impression on them than on its residents, accustomed to their city.

So, in group B the response-attributes allow to outline the following image of Pavlodar: a great big city, unfortunately, polluted; there are a lot of young people (inhabited mostly by youths), and, probably, it is a digital city. Named adjectives contain either positive or neutral attitude.

However, one respondent (woman aged 19) provided "an extremely dirty" and "crazy" attributes combining personal sensory and psychological assessment, enhanced with an adverb. Such response can be explained by social factors: the woman-respondent came to the city from a village, has been living here for the first year working as a waitress. We believe that the profession could affect the choice of such attributes related to the city whose negative sides are sometimes experienced by the above respondent.

3) The image of Pavlodar in the minds of the respondents in group B is generally positive, response-attributes convey the following:

- the external perception of the city: large, green, civilized;

- psychological impression: warmly welcoming;

The "Russified" response was provided by 1 respondent, a resident of Kyzyl-Orda, aged 45, a teacher who believes that the Kazakh population in Pavlodar speaks mostly Russian. Perhaps, a social stereotype served as the basis for such attitude, according to which the inhabitants of the northern regions of Kazakhstan are significantly affected by the Russian-speaking environment. However, it should be noted that this is far from actual setup: while in 1989 in the region there were 268,512 Kazakhs and 427,658 Russians, as of the 1st of January, 2014, this ratio was 374,779 and 280447, respectively [6].

Thus, the association experiment and preliminary analysis of response-attributes conducted by the authors allowed to identify some views concerning Pavlodar. The vast majority of respondents positively perceive the city evaluating it in terms of visual perception, sensory experience, psycho-emotional assessments, satisfaction of intellectual and cultural needs etc. Of course, the image of the city is very incomplete at the moment because the authors considered only one group of response- attributes, and further work involves completion of processing of all the results of the association experiment. The evidence used in the article was intended to illustrate our belief in undoubted cognitive importance of the proper name "Pavlodar" occupying a certain space in onomastic consciousness of our respondents.

While studying the problem of the "image of the city" in urban studies and cognitive science we came across the concept of culturological portrait and found it possible to apply to our study certain provisions of the cultural studies. In particular, we are referring to axiological paradigm of cultural studies, which describes the significant cultural characteristics of the portrait. Scientists emphasize its association with the category of human perception and compare it with the concept of the "image of the city" noting their proximity, but not identity, as well as narrowness and applied nature of the latter concept [3]. In the considered material of considerable importance is the statement that "the majority of axiological researches of the city focus on subjective perception by the inhabitants of the various aspects of urban life, urban environment, the image of the city" [3, p. 30].

Conclusion

Speculation on the image of the city and its culturological portrait send us back to the concept of the "heart of the city", being a genetic prototype of cultural portrait. This concept was introduced into scientific use in the 20's of XX century by N. Anciferov, I. Grevs, the founders of the St. Petersburg regional studies school [13 p.31]. What the authors of this article consider valuable for the project-based research of the general cultural landscape of Pavlodar is that the above authors mentioned in their work the variability of the urban landscape, the formation of its myths, legends, symbols, which certainly can

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and should be one of the subjects of the considered study [1]. Also, speculations on the image of the city, the heart of the city may in the long view form the basis of applied researches on the formation of the symbolic brand-capital of the city, revealing "its axiosphere and mentality, the semantic path of development of the city, the dynamics of perception thereof, changes in the attractiveness of the territory" [3, p. 33].

So, on the basis of the provisions put forward by the authors on the relationship of a number of concepts of urban studies, onomastics and cognitive science, the authors believe it is possible to single out the following logical chain: linguistic consciousness - the name of the city - a mental picture of the city, i.e. its image - onomastic consciousness - worldview. Further analysis of the components of the logical chain, its deepening and widening, identification and substantiation of their relationship is the task of the research in the framework of the considered project.

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ON ARABIC ABSTRACT AND CONCRETE WORDS RECALL USING CUED RECALL PARADIGMS: IS IT ABSTRACTNESS, CONCRETENESS, OR ZERO EFFECT?

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ABSTRACT

The purpose of the study is to see whether abstract or concrete words are better recalled in cued recall type and to measure forward and backward displayed factors in cued recall.

9 undergraduates in King Saud University, Saudi Arabia, participated in this study where they were trained to differentiate between abstract and concrete words. A list of 20 Arabic abstract and concrete words was then given to them to be classified into abstract and concrete words based on four factors: concreteness, imageability, meaningfulness and age of acquisition. An observation sheet was provided to the experiment administrator to document the observed recall effects and recalled words. Three methods were used to facilitate this experiment: auditory, visual and writing methods. The sheets were designed to measure both forward and backward recall factors.

Both descriptive statistics and inferential statistics were run to analyse the collected data. Computed referential statistical tools indicated acceptable yet significant values for the researchers-designed measures. Descriptive statistics indicated zero effect as the most frequent effect which meant that there was no advantage of abstract words (M: 10, SD: .00) over concrete words (M: 9, SD: .00) or vice versa thought a minor insignificant difference was calculated in favour of the abstractness effect. There was also no significant percentage between forward and backward recall tests (51%) for the former and (49%) for the latter. The percentage of the non-recalled words was generally less than (1%), (M: 19, SD: .00).

The total number of recalled abstract words was slightly yet insignificantly higher than the total number of recalled concrete words in cued recall paradigms of Arabic abstract and concrete words recall. Also, there was no statistically significant difference between forward and backward recall tests; although, a minor noticed difference was statistically calculated. Lastly, using more than a cue in cued recall paradigms increased the chances of words recall.

Key words: abstract words; concrete words; words recall; cued recall; Abstractness effect; concreteness effect; zero effect; forward recall; backward recall.

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Introduction

Psycholinguistically, words acquisition, production, comprehension and also attrition go through different mechanisms and processes where the achievement of each is dependent on the occurrence and/or achievement of such mechanisms and processes, (Scovel, 1998). Moreover, words could be investigated from different points of view be it linguistic, psychological, or even cognitive. Basically, human words-store are 'referred to as the mental dictionary' or the 'the mental lexicon', (Aitchison, 1987, p. 7). The study of abstract and concrete words, for instance, has been greatly yet intensely examined from different points of view, (Paivio, 1999; Faust, 2012).

For instance, (West & Holcomb, 2000) introduced abstract words as 'words that refer to more general and/or complex concepts, e.g., honesty' as compared to concrete words which were introduced as '(words that refer to specific objects or events, e.g., bicycle', (p. 1024). In terms of language acquisition, (Schwanenflugel, Akin, & Luh) in (Altarriba & Basnight-Brown, 2011) stated that 'concrete words... like table and paper are typically learned prior to abstract words... like liberty and myth' (p. 446). Similarly in terms of processing, it is stated that 'concrete words have also been shown to be processed faster and remembered better than abstract words' (ibid).

Major theories accounting for abstract and concrete words include: *dual coding theory* introduced by (Paivio, 1990) and *context availability theory* (Schwanenflugel and colleagues) in (Marques & Nunes, 2012).

To return to studies that investigated the concreteness effect or the advantage of concrete words over abstract words be it in acquisition, learning, processing, comprehension, production and more importantly recall, consider, for instance, (Harad's & Coch 2009) who investigated the concreteness effect on the ability of processing words and backward recall. 14 normal adults participated in the study where 120 abstract words and 120 concrete words were used. It should be noted that 60 words from each type were old and 60 words were considered as new. Memory tasks including press button judgment were used as tools of this research. It was concluded that concrete word are more re-

membered than abstract ones. The researchers supported their empirical conclusion with that concrete words have more "meaning-based features" than do have the abstract ones, (Walker & Hulme in Harad & Coch, 2009, p. 1; Walker & Hulme, 1999).

Also, (Schwa, Akin, & Luh, 1992) examined the concreteness effect of automatic-imagery, strategic-imagery, and context availability hypothesis predictions to recall abstract and concrete words. The researchers conducted three experiments supporting the view that abstract words "are remembered more poorly than concrete materials", (Paivio, in Schwa, Akin & Luh, 1992, p. 96). The researchers concluded their research with results supporting the "strategic-imagery view of concreteness effects in free recall", (ibid).

Moreover, (West & Holcomb, 2000) conducted an experimental study supporting the previously finding that concrete concepts and/or words over abstract ones in terms of cognitive processing. The study consisted of 36 students in the age range (19-23), divided into three groups where each group represented one investigated level: imagery, semantic and surface levels. The researchers made use of reaction time (RT) and even-related brain potential (ERP) as tool measurements for their research. The ERs were shorter in both the imagery and semantic tasks for concrete words than abstract ones specially the imagery task. Besides, concrete words elicited more negative ERPs than abstract ones.

Furthermore, (Duñabeitia, Avilés, Afonso, Scheepers, & Carreiras, 2008) conducted a research about the representation of abstract and concrete words where this topic was investigated and supported from a qualitative point of view. In other words, unlike the above mentioned studies which investigated this topic quantitatively supporting their claim by that concrete word have more cognitive base over abstract word due to more referents. In this study the qualitative view is supported where it is assumed that abstract word are recognized and represented in terms of semantic associations and concrete ones are represented in terms of semantic similarity.

In addition, (Fliessbach, Weis, Klaver, Elger, & Weber, 2006) examined abstract and concrete words processing on the basis of the notion that concrete words are generally better than abstract

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ones in terms of more successful remembering. The study was based on two theories, both supporting the view that concrete words, but not abstract ones are more accurately remembered. The first theory is called *dual-coding theory* **and** the second one is called *context-availability theory*. The former theory states that concrete words are over abstract ones because they posses "dual coding ... in the form of a verbal and sensory code", (p. 1413). The latter theory states again that concrete words are over abstract ones because they posses "a more accessible semantic network", (ibid). The researchers made use of the even-related functional magnetic resonance imaging (fMRI) technique as a tool for testing their proposed prediction. Twenty one (21) subjects without any neurological or psychiatric history in the age range (19-43) participated in the study. The material of the study was 180 abstract words and 180 concrete words, selected and identified as among the most frequent German words. The drawn conclusion was in favour of more significance in the case of concrete words over the abstract ones in terms of activated places in the brain.

Besides, (Borghi,, Flumini, Cimatti, Marocco, & Scorolli, 2011) conducted four experiments investigating possible differences between the acquisition of abstract and concrete words. 60 students in experiment 1, 32 in experiment 2, 18 in experiment 3, and 18 in experiment 4 who were native Italian speakers participated in the study. The researchers used 3D figures of novel objects and related new labels as material of the study. The researchers were able to identify a number of certain characteristics associated with the acquisition of abstract and concrete words. Among these findings is that those observed characteristics were typical for the abstract words but not for the concrete ones. Besides, the researchers stated that abstract words are non-manipulable though recognizable.

Additionally, (Mestres-Misse´, Mu¨nte, & Rodriguez-Fornells, 2008), examined the contextual acquisition of abstract and concrete words using a functional neuroanatomy approach and/or technique. 15 native Spanish speakers with no neurological or psychiatric history participated in the study where 80 abstract words and 80 concrete words structured in paired sentences were used as material of the study. The tool of

the study was fMRI. Results indicated different qualitative revealed associations for the learned abstract and concrete words.

Again, (Dahlstrom, & Ultis, 2014) investigated the view that concrete words but not abstract ones are generally recognised more by humans. Using an attractor network "a recurrent neural network designed to settle to a stable output over time", (p. 1), the researchers attempted analysing the human behaviour towards language processing. It was concluded that the concrete words are more recognizable than the abstract ones, not because of their highly intensive representation, but of being more "reinforced" (p. 6) in terms of learning [input].

Once again, (Walker & Hulme, 1999) evaluated in their study immediate serial recall (ISR) and maximal speech rate (MSR) of abstract and concrete words differing in length. Four experiments were conducted. The general conclusion was that concrete words have an advantage over abstract ones in terms of being recalled faster than the abstract ones, yet in terms of the direct semantic effect in relation to short-memory.

One more study is that by (Dukes & Bastian, 1966) who tested immediate free recall (IFR) of abstract and concrete words using a list of 10 abstract words and 10 concrete words, more specifically nouns. The words were shown to the participants by a projector twice. It was concluded that the participants recalled more concrete words than abstract ones.

In addition to the above mentioned studies, (Hill, Korhonen, & Bentz, 2013) presented an analytical study evidencing the different organization of abstract and concrete concepts in the mind. The researchers made use of the three sources of words: 1) University of South Florida norms (USF), 2) Word-net programme, and 3) Brown corpus. The researchers concluded that: 1) abstract and concrete concepts have differing patterns of associations with other concepts, 2) abstract words are organized in terms of associations compared with concrete ones which are organized in terms of semantic similarity, and 3) concrete representations are more feature-based than the abstract ones.

Lastly, (Binder, Westbury, McKiernan, Possing, & Medler, 2005), examined distinct brain systems for processing abstract and concrete concepts. 24 literate adults whose first language

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is English participated in the study where the researchers made use of fMRI as a measurement tool in addition to 200 stimuli and task words. The 200 words were divided in terms of abstract, concrete and word-like non-words in English Language. Results indicated that while abstract concepts are "left-lateralized"; the concrete ones are "bilateral", (p. 909). According to the researchers in this paper is that their research results' indication are in consistent with the implications of both *dual coding theory* and *context availability theory*. In other words, in the former, it is assumed that brain consist of a semantic system in the left hemisphere reserved for both abstract and concrete words in addition to a non-verbal semantic system in the right hemisphere reserved only for the concrete words and this is actually what has been approved in this research as shown by the fMRI results in terms of involvement of both hemispheres in processing the concrete words, but not the abstract ones which involved only the left hemisphere. In the latter case, again this theory assumes that more activation happens when processing concrete words due to having more semantic associations than the abstract words. In this research, the researchers approved more neural activation for concrete words over the abstract ones.

Another perspective of approaching abstract and concrete words processing is in the case of bilinguals. Consider, for instance, (Francis & Goldmann's, 2011) study where 72 self-identified Spanish-English bilinguals participated in the study using Repetition Priming as a measurement tool with a list of selected abstract and concrete words. It was concluded that both abstract and concrete words share conceptual representation across languages, yet the "degree of overlap in conceptual representations of translation equivalents does not differ for concrete and abstract words", (p. 661).

Consider also, (Farley, Ramonda, & Liu, 2012) who conducted an experimental study investigating the impact of adding visual imagery to abstract words on meaning recall by L2 learners. The targeted languages were Spanish and English. The participants were 160 American university students, but later only 87 were included in the analyzed data in this study. In order to select unfamiliar abstract and concrete words, the participants were given 33 abstract

and 33 concrete words. Later, 12 abstract and 12 concrete words were only used to be taught to the students. The two groups were referred to picture group and non-picture group. Results demonstrated that "participants in the abstract picture group outperformed those in the abstract non-picture group on both posttest and delayed posttest; however, no such effect was found for concrete words", (p. 449).

Additionally, Immediate Serial Recall (ISR) in terms of forward and backward recall of abstract and concrete words affected by word length and age was examined by (Baker, Tehan, & Tehan, 2012). The study was based on the assumption that words of short lists are better recalled than words of long lists. More importantly, the study raised the importance of backward recall and age influences on word recall. Two experiments were conducted and 20 different participants were included in each. 20 short words and 20 long words were drawn from the (MRC) Psycholinguistic Database. Reached conclusions include but not limited to that: 1) age effects are weaker when forward recall is required, 2) no age effects in recognition, and 3) pattern of word length effects is similar for both younger and older participants.

The last study to be mentioned here is that by (Hanley, Hunt, Steed, & Jackman, 2013) who examined concreteness effect on abstract and concrete words' production. Two experiments were conducted where in 56 undergraduates from the University of Essex participated in Experiment 1 and 58 participated in Experiment 2. 68 words where 34 are abstract and 34 are concrete with their dictionary definitions were used to measure the productions of the words in terms of semantic lexical weighs and phonological lexical weighs. Findings indicated that "poor performance during attempts to retrieve abstract words from their dictionary definitions... associated with more omissions, more alternates, and more tip-of-the-tongue-state (TOTs) than is the case for concrete words", (p. 374).

On the basis of the above reviewed studies, it can be seen clearly that the study of human memory is a very complex issue. (Baddeley, 1999; Baddeley, 2004) concludes that 'memory does not comprise a single unitary system, but rather an array of interacting systems, each capable of encoding or registering information, storing

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it, and making it available by retrieval', (p. 17). Actually, human memory undergoes three core processes: storage, encoding, and recall. Memory storage 'is an umbrella term used to describe the passive storage of any memory within a human or other organism', (Psychology Dictionary, 2012a). It is the 'the process of memory storage covers the internalization and then encoding of information into the memory stores within the brain, there is a range of theories which attempt to explain this process', (ibid). Encoding is 'converting sensory input into a form able to be processed and deposited in the memory' (ibid). This memory process used 'to convert input so it can be placed in our memory', (Psychology Dictionary, 2012). Recall is 'the ability to retrieve processed and/or stored information', (ibid).

In the case of recall, there are three types: free recall, cued recall, and serial recall. Cued recall which is the concern of this paper is defined as '...the retrieval of memory with the help of cues. Such cues are often semantic', (Moult, 2014). It is also defined as 'an aspect of recall in which the retrieval of information from memory is facilitated by the provision of cues, for example the initial letter of a word to be remembered or suggestions as to the category in which the item belongs', (PsychologyWiki, 2012). Cued recall is also introduced as 'an experimental memory process wherein an object that is to be recalled is displayed for examination in addition to a cue and the party involved then tries to remember the object whenever presented with the cue',

(Psychology Dictionary, 2012b). A major advantage of cued recall as being compared to free recall is that 'cued recall is useful for detecting unconscious or automatic aspects of a subject's interpretation of a stimulus', (Dewey, 2007).

There are actually two experimental methods to conduct cued recall either study-test method or the anticipation method (more details will be provided in the method section), (Psychology Dictionary, 2012c). A participant in a cued recall experiment can be tested for either forward recall where, for instance, Ai is presented as a cue for Bi, or backward recall, where Bi is presented as a cue of Ai. To conclude, this study accounts for the following hypotheses:

1. The possibility of abstractness effect (disadvantage of concrete words over abstract ones) other than concreteness effect (advantage of concrete words over abstract ones) using cued recall paradigms; and

2. The possibility of any advantage of forward recall test over backward recall test or vice versa.

Method
Sample

The population of interest in this study was all university students in the undergraduate level who met the following criteria: 1) native-speakers of Arabic Language; 2) registered in the university as undergraduate students; and 3) typical neurological and clinical history. The following table (1) shows the characteristics of the subjects in this study.

Table 1: Characteristics of subjects

Age range	20-24
Mother tongue language	Arabic Language
Dialect	Saudi Arabic Language
Ethnicity	Arab, Islam
Other languages	English (EFL use)
Gender	Male (single and married)
Nationality	Saudis
Specific characteristic	Be enrolled in a BA programme in the university level (King Saud University).

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Probability sampling method, mainly stratified sampling method was used in this study where one class out of many available classes was picked randomly to take part in this study. 9 students were randomly selected from the the class which had 36 students from the college of Engineering who were enrolled in prerequisite English Language course in the College of Languages and Translation, King Saud University, Riyadh, Kingdom of Saudi Arabia, in 2014, February.

The selected sample is aimed to be representative of the population of interest and that reached results are generalizable for populations with similar characteristics. In other words, the study investigates a language acquisition topic from both cognitive and psycholinguistic perspectives and the targeted population is native speakers of Arabic so external effects like time, place and people cannot affect the generalizability of this study as long as they have similar characteristics to the above mentioned ones.

Measures

Two measures were used in this study: one is a list of 20 Arabic abstract and concrete words and an observation sheet of the observed effects of recall types.

To start with the first measure, a list of 20 Arabic words where 20 are abstract and 20 are concrete was used in this study. The words were selected on the basis of semantic relationship where one word could relate to another in terms of meaning but differ from one another in terms of concreteness. For instance, the words: mind and brain which are both semantically related but actually different from one another. It should be noted that by stating semantically similar is to mean that they share same associations and a person can think of both words when provided by certain cues and/or associations.

The list of the 20 abstract and concrete words were selected to measure abstract and concrete words processing and recall through cued call tasks. The words are also expected to allow observing different recall effects and/or factors in each recall type that would support the view either abstract words are more recalled than concrete ones or vice versa. The following table (2) shows the intended effects and/or factors.

The list of the words, yet more procedural issues could be followed in the procedures section below and in the appendix.

Table 2: Intended observed effects during free recall tasks

Recall type	Intended observed factors
Cued recall	Forward recall test
	Backward recall test

Both validity and reliability were calculated in the used measurement tools. In detail, in the case of construct validity: both face and content validities were calculated to represent translation validity. Face validity was calculated by the principal researcher and another PhD student of Arabic Language from the Department of Arabic Language and Literature, College of Arts, King Saud University, Riyadh, Kingdom of Saudi Arabia. Both of them indicated very good face validity for the list of the words. For content validity, again, the list of the words was divided into two types in terms of content: abstract and concrete, yet in terms of semantic relationship between the abstract and concrete pair of words. In other words, the abstract word must have an association with the concrete word in order to be included in the list; otherwise, it will be excluded and replaced by another pair of words. One type only of criterion-related validity, namely, predictive validity, was calculated in this study (see tables 3-5 below).

To move to reliability, two types of reliability were calculated: inter-rater and internal consistency reliability. Inter-rater reliability was measured by researchers who divided the words into two lists: abstract and concrete words on the basis of the following criteria: concreteness, imageability, meaningfulness (Paivio Norms), and age of acquisition, (MRC Psycholinguistic Database, 2013). The list of words was rated twice to make sure that the list of the abstract words are those with negative significant concreteness, zero or negative imageability, and vague and/or ambiguous meaning(s), and the concrete words are those with positive significant concreteness, high or positive imageability, and clear-cut meaning(s). Tables (3-5) below display and summarize the calculated validity and reliability types and their values.

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Table 3: Reliability & validity results of abstract and concrete words scale

Reliability	Statistical tool & result		Validity	Statistical tool & result	
	Tool	**Result**		**Tool**	**Result**
Inter-rater	Pearson	.80, .80, .78	Face	2 raters	High
Internal	Cronbach	.82	Content	Categories	Excellent
			Predictive	Pearson	.49
			Concurrent	Uncalculated	
			Convergent	Uncalculated	
			Discriminant	Uncalculated	

Table 4: Internal consistency reliability of the abstract and concrete words scale

Feature	Corrected Cronbach's alpha	Cronbach's alpha if item deleted
Concreteness	.71	.78
Imageability	.70	.78
Meaningfulness	.69	.80
Concreteness and abstractness	1.00	.71

Table 5: Construct validity of the abstract and concrete words scale

Feature	R value	R Value	R value	R value
Concreteness	.46	.47	.40	.80
Imageability	.46	.44	.37	.80
Meaningfulness	.46	.44	.38	.78
Age of acquisition	.40	.37	.38	.49
Concreteness and abstractness	.80	.80	.78	.49

*Indicates insignificant values, ** indicate low level validity, all other values are significant at the 0.01 level.

The second measure was an observation sheet where the administrator of the research was provided with to document his observations following the given instructions in the provided sheet (see appendix).

Design

A one group non-experimental randomized design was used in this study. The design can be depicted in notational form as:

$$R \quad X^{-}_{1, 2, 3} \qquad O_{1, 2} \qquad O_{1, 2}$$

where:

R = indicates that the groups were randomly assigned

X- = indicates words processing methods (1 = auditory, 2 = visual and 3= writing), (-) indicates that it is non=treatment research

O = indicates the measurement tools used in the study

O = the first O stands for the observation sheet for recall type and the lower case numbers stand for the possible observed factors in cued recall task (forward recall test and backward recall test)

O = the second O stands for observing which type of words comes over which, that is abstract words are better recalled than concrete words or vice versa. The numbers in lower case stand for (1 = abstract words, and 2 = concrete words)

The same participants within the group were compared to see whether in (forward or backward recall tests) more words are remembered and which words are better recalled, that is abstract or concrete words.

Procedure

Between 01.02.2014 and 01.03.2014, the study was conducted and all the following procedures were arranged and followed.

Data collection: an observation sheet for documenting the observed effects was designed where the subjects were first provided with a list of 20 words and asked to classify them into both abstract and concrete words. Before that the students were provided with very basic information about the differences between abstract and

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concrete words. Moreover, they were introduced with related terms to classification process: concreteness, imageability, meaningfulness (Paivio Norms), and age of acquisition, (MRC Psycholinguistic Database, 2013). Having done that, then the list of words was presented to the students using three methods:

1. Auditory methods: the administrator of the research reads the words aloud to the students;
2. Visual method: the administrator of the research presents the list of words to the student using an over-head projector (OHP) and powerpoint slides where each word is presented as a card (pictures are may be provided next to each word); and
3. Writing method: the administrator of the research asks the students to read the words aloud and write them from the over-head projector in the papernotes they are provided with.

The next step was asking the students to start recalling the words they can recall from both abstract and concrete words.

1. The following effects were observed:
α. Forward recall, and
β. Backward recall.

Authenticity: the students were informed by their instructor and were given the chance to take part or not before being the subjects of the study. Having agreed, the students are assured to have full authenticity about the collected data and restricting its use for research purposes only. Needless to say, all the above procedures were officially documented using a consent form signed by each student confirming his free willingness to participate in the study.

Measures administration: the two used measures were administered by the instructor of the course after being trained by the one of the researchers. The instructor was provided with all kinds of instructions that should be followed (detailed procedural issues can be seen in the appendix).

Time and environment of the measurement tools: the study was conducted in the College of Languages and Translation, King Saud University, Riyadh, Kingdom of Saudi Arabia. Each student was called individually into a well-prepared classroom with comfortable chair, OHP, good

air conditioning, and lightening. The used time for all the above described steps to be performed was about 26 minutes (4 minutes for each for those who were assigned to recall 20 words, and 2 minutes for each for those who were assigned to recall only 10 words).

Administering: the following steps were followed for administering the measurement tools in this study:

1. The administrator of the research provides the students with the list of 20 words requesting them to classify them into two lists: abstract and concrete words;
2. The administrator of the research collects the words' lists from the students;
3. The administrator of the test makes sure that none of the students has any words lists remaining with them;
4. The administrator of the test reads the list of words aloud (abstract-concrete or concrete-abstract) to the students;
α. The students are requested to say the words which they can recall;
β. The administrator of the research documents the recalled words in both cases; **and**
χ. The administrator of the research also documents the observed required recall effects (four effects in this case: primacy, recency, word and list length effects).
5. The administrator of the research presents the words to the students using an over-head projector (OHP) requesting them to:
a. Read them silently;
b. Read them either aloud, finger pointing or lips-moving; and finally
c. Write them down
d. The students are requested to note down the words they could recall

Assessing: the researchers but not the administrator of the research (the instructor of the course) does the calculations for the following:

1. Observed factors; and
2. Number of recalled abstract words as opposed to number of recalled concrete ones.

Recall prompts: First letter prompt and semantic associations (miming and or sign-lan**guage**.

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Preliminary analysis steps: Using the 17th version of SPSS (Statistical Package for Social Sciences), both descriptive and referential statistics tools were used to test proposed hypotheses in this study.

Results

17th version of SPSS (Statistical Package for Social Sciences) was used for the statistical analysis of the collected data. Both descriptive and referential statistics were used where different yet suitable statistical tools were used from each to serve the purposes of the study. Table (6) below presents the used type of statistics, the selected tools and performed functions. The proposed hypotheses in this study were:

1. The possibility of abstractness effect (disadvantage of concrete words over abstract ones) other than concreteness effect (advantage of concrete words over abstract ones) using cued recall paradigms; and

2. the possibility of any advantage of forward recall test over backward recall test or vice versa.

Table 6: Summary of the statistical tools used in analyzing the data of this study

Statistics type	SPSS tool(s)	Purpose of use
Descriptive statistics		Total number of recalled words
	Frequency	Total number of recalled abstract words
		Total number of concrete words
		Observed primacy and recency effects
	Mean	The central location of the recalled words in free recall paradigms
	Standard Deviation	Measuring variability among recalled words in free recall paradigms
	Frequencies: graphs	Description and comparisons purposes
Inferential statistics	Pearson	Reliability and validity issues
	Cronbach alpha	Reliability

The total number of participating undergraduates was 9 where both forward and backward recall tests were performed. The following table below illustrates the cued recall paradigms in both forward and backward recall tests.

Table 7: Presentation of cued recall paradigms in forward and backward recall tests

Forward recall test		Backward recall test	
A1	B1	B6	A6
A2	B2	B7	A7
A3	B3	B8	A8
A4	B4	B9	A9
A5	B5	B10	A10

The number of recalled Arabic abstract and concrete words is shown in figure 1 below.

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Figure 1: Recalled Number of Abstract and Concrete Words in Cued Recall Paradigms
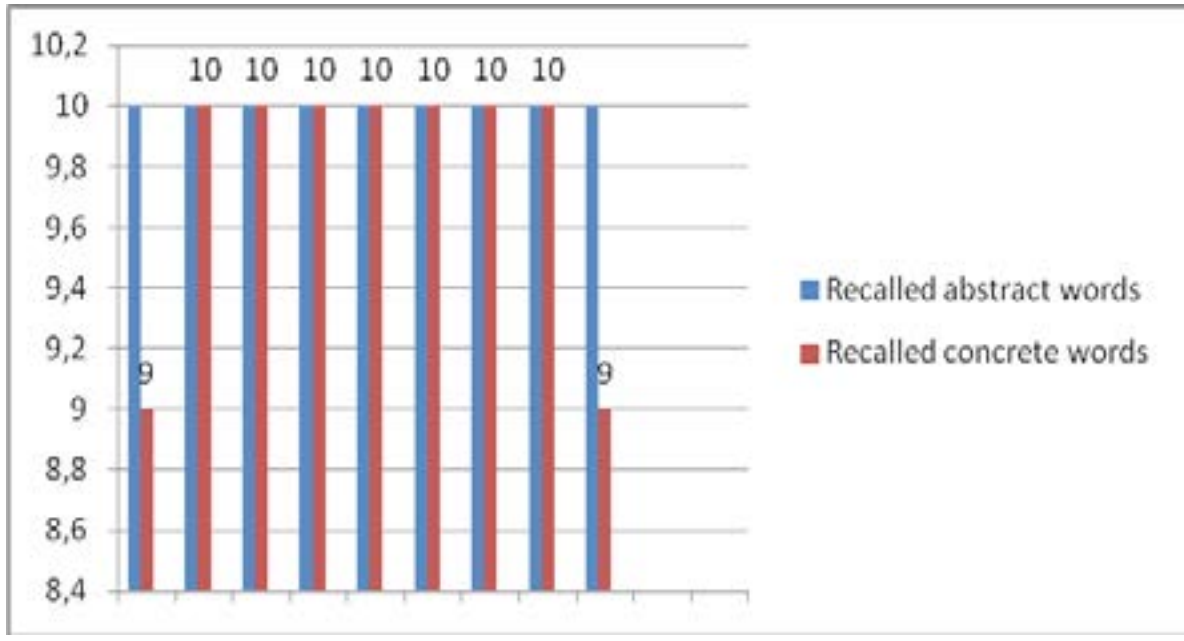
According to figure 1 above, abstract words were all recalled but not the concrete words. The participants were able to retrieve successfully all abstract words. Although the over majority of the participants retrieved all the words successfully, two of them retrieved only 9 concrete words. By this means, we could initially conclude that the total number of recalled abstract words is merely more than the total number of recalled concrete words though statistically insignificant.

The percentage of recalled Arabic abstract and concrete words is shown in figure 2 below.

**Figure 2: Total Recalled Abstract and Concrete Words
in Cued Recall Paradigms**
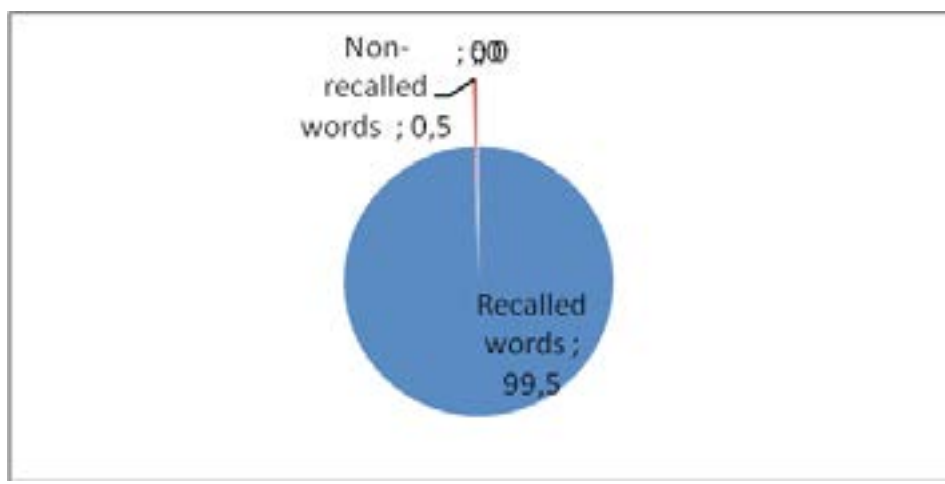
The percentage of total number of recalled words is highly significant than the total number of non-recalled words. In comparison, the percentage of the recalled abstract and concrete words is over (99%) and the percentage of the non-recalled abstract and concrete words is less than (1%). This means that the recalled number of words in cued recall paradigms is highly significant.

Our study proposed the possibility of abstractness effect (disadvantage of concrete words over abstract ones) other than concreteness effect (advantage of concrete words over abstract ones) using cued recall paradigms. The statistical result of the collected data for this claim is presented below in figure 3.

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Figure 3: Abstractness, Concreteness, or Zero Effect?

Zero Effect	98,5
Concreteness Effect	0
Abstractness Effect	1,5

Figure 3 presents statistical data for abstractness, concreteness, and zero effects of recalled Arabic abstract and concrete words using cued recall paradigms. It is immediately appar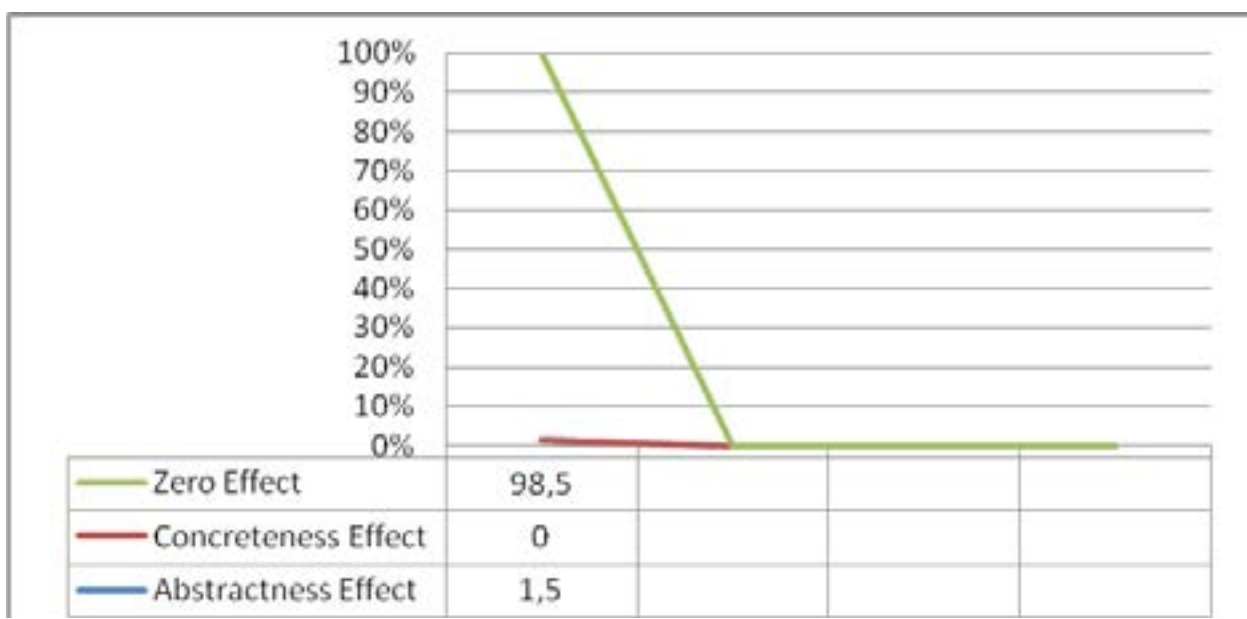ent that there is neither abstractness effect nor concreteness effect though an insignificant effect occurs in the case of abstractness effect (1.5). The major effect in cued recall paradigms is zero effect, that is, the number of the recalled abstract words is nearly similar to the number of recalled concrete words with minor yet mere advantage for abstract words.

Recalled abstract and concrete words together and recalled abstracted words separated from concrete words are presented in table 8 in means and standard deviations.

Table 8: Means and standard deviations of recalled words in cued recall paradigms

Variable	N	Mean	Std. Deviation
Recalled abstract and concrete words	180	19.00	.00
Recalled Abstract words	90	10.00	.00
Recalled concrete words	90	9.00	.00

The central mean for the total number of recalled Arabic abstract and concrete words using cued recall paradigms is (19.0) with a (.00) standard deviation. While the central mean for the recalled abstract words in cued recall paradigms is (10.00) with a (.00) standard deviation, the central mean for recalled concrete words is only (9.00) with a (.00) standard deviation. These statistical results indicate that difference between the means and standard deviations of recalled abstract words and recalled concrete words is clearly insignificant.

With reference to table 7 above, cued recall paradigms were performed using two different tests and/or procedures: forward and backward recall tests. The results of the possible differences between these two used procedures are shown in table 9 and figure 4 below.

Table 9: Means and standard deviations of forward and backward effects in cue recall

Variable	N	Mean	Std. Deviation
Observed effects	180	1.49	.50
Forward recall	9	10	.00
Backward recall	9	9.78	.44

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Figure 4: Comparison of forward and backward effects in cue recall paradigms
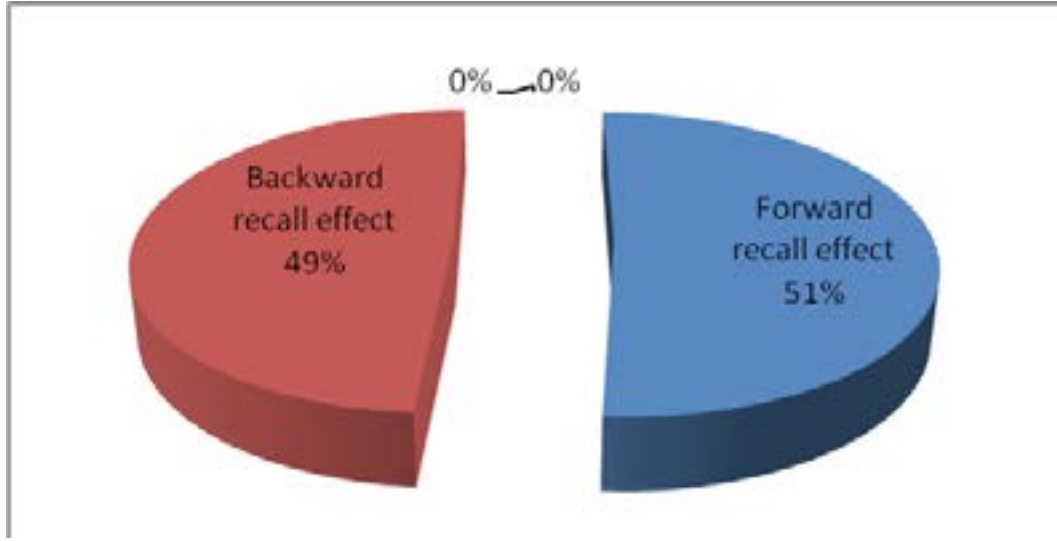
The results in figure 4 confirm the impressions in table 9 in regard to the advantage of forward recall test over backward recall test of vice versa. In other words, the percentage of the forward recall effect is nearly similar to that of the backward recall effect, (51%) for the former as compared to (49%) for the latter. This means again that the difference between the two types of tests in cued recall paradigms of Arabic abstract and concrete words is statistically insignificant.

Since we used cued recall paradigms in this study; two types of cues were used during cued recall paradigms. The percentages of recalled words with no cues, with two cues, and with one cue only are shown in figure 5 below.

**Figure 5: Comparison of recalled words in cue recall
with and without using cues**
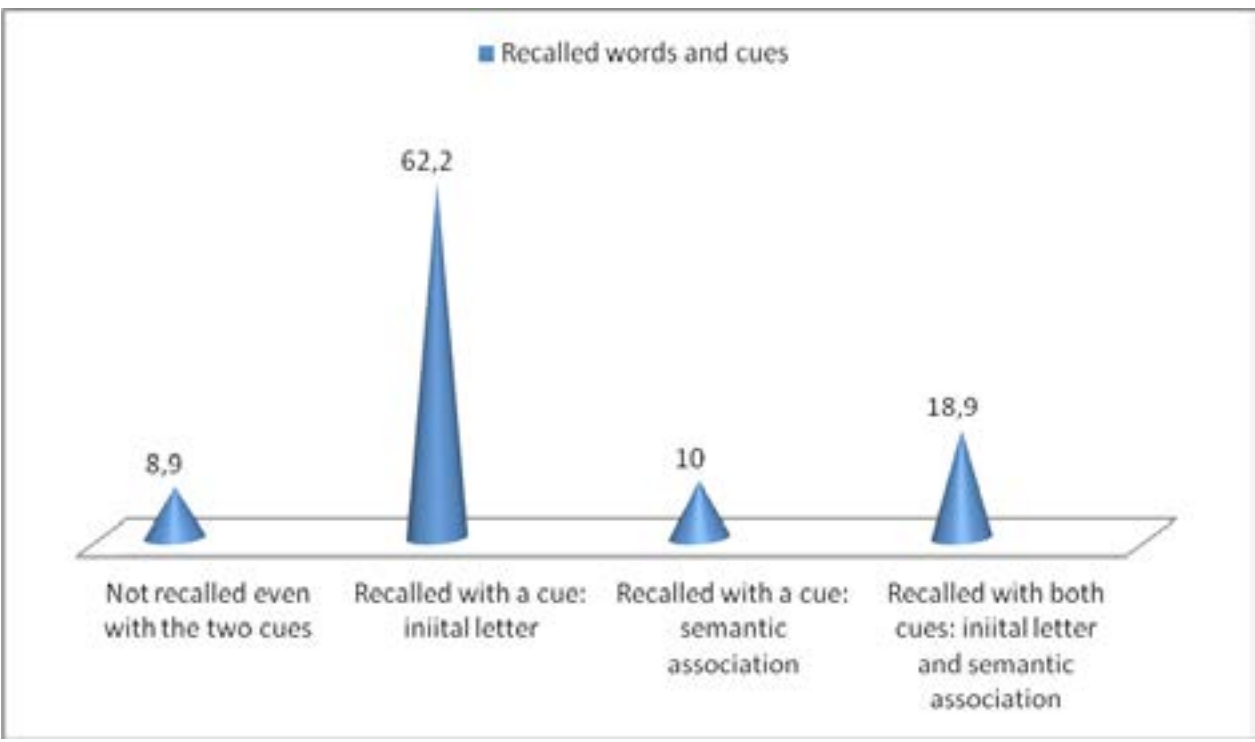
In spite of the fact that Arabic abstract and concrete words were presented in pairs to the students but two additional cues were also provided, namely initial letter and semantic association. The highest percentage of recalled abstract and concrete words in cued recall paradigms is with an initial letter cue and the least is the non-recalled word with even using

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the two cues to help the participants retrieve the word(s). Recalled words with the semantic association is significantly less than the recalled words with an initial letter cue, (10) for the former and over (62) for the latter. The total number of recalled words that required using both cues (18.9) to retrieve the words was also higher than the total number of recalled word with the semantic association cue (10) yet less than the total number of recalled word with an initial letter cue (62.2). Hence, the initial letter cue seems to be more effective than the the semantic association cue according to the presented result in our study. Yet, the semantic association cue seems to be very supportive when the initial letter cue fails to enable the memory to recall the required word.

Discussion

The results of the current study were partially in agreement to the proposed expectations. We proposed two hypotheses where both of them didn't show significantly statistical difference albeit very slight statistical differences were calculated.

Firstly, we proposed that there will be a disadvantage of concrete words over abstract words in cued recall paradigms. We argued in the introductory part of our study that our participants will be able to retrieve more abstract words than concrete ones in cued recall paradigms. This argument was clearly presented through a number of studies either partially in favour of the proposed hypothesis or totally against it. We also presented a number of the theories in relation to our study including *dual-coding theory* **and** *context availability theory* in which both; though differently, support concreteness effect and/or the advantage of concrete words over abstract ones attributing this advantage to means of verbal representation and image representation for the former theory and availability of contextual information for the latter theory. For *dual coding theory,* consider, (Paivio, 1965; Paivio & Yuille, 1966; Paivio, 1968; Paivio & Foth, 1970; Paivio & Okovita, 1971; Paivio & Csapo, 1973; Paivio, 1974; Paivio, 1975; Paivio & Desrochers, 1981; Paivio, 1990) and for *context availability theory* (Schwanenflugel & Akin 1993; Schwanenflugel, Akin, & Luh, 1992; Schwanenflugel, Henderson,

& Fabricius, 1998; Schwanenflugel in Faust, 2012).

Studies supporting concreteness effect assume that there are both verbal and imagery representation for concrete words as compared to their counterpart abstract words which have only verbal representation. Studies supporting this view included: (Dukes & Bastian, 1966; Schwa, Akin, & Luh, 1992; Walker & Hulme, 1999; West & Holcomb, 2000; Binder, Westbury, & McKiernan, 2005; Wiemer-Hastings, 2005; Fliessbach, Weis, & Klaver, 2006; Il'yuchenok, Sysoeva & Ivanitskii, 2008; Harad & Coch, 2009; Lagishetti & Goswami, 2012; Hanley, Hunt, Steed & Jackman, 2013).

On the other hand, other studies support the view that it is not a matter of advantage for one over another, it is rather having a different mechanism for each where each will be superior to another in a certain factor. (Crutch & Warrington, 2005) presented this in terms of semantic similarity for concrete words and semantic associations for abstract words. Other studies with similar perspective included: (Prior, Cumming, & Hendy, 1984; Rastatter, Dell, & McGuire, 1987; Duñabeitia, Avilés, & Afonso, 2005; Mestres-Misse´, Mu¨nte, & Rodriguez-Fornells, 2008; Campos, 2009; Pobric, Ralph, & Jefferies, 2009; Crutch & Warrington, 2005; Wang, Conder, & Blitzer, 2010; Borghi,, Flumini, & Cimatti, 2011; Weiss, Mueller, & Mertens, 2011; Farley, Ramonda, & Liu, 2012; Marques & Nunes, 2012; Yao, Vasiljevic, & Weick, 2013).

We followed a different approach and we presented two new terms: abstractness effect and zero effect. Abstractness affect assuming the advantage of abstract words over concrete ones and zero effect means the disadvantage of abstract words over concrete words and/ or disadvantage of concrete words over the abstract ones. Our argument was based on the argument that as there are both verbal and imagery representations for concrete words there are also both verbal and emotional representations for abstract words. In spite of this and surprisingly, the presented yet reached statistical results did not approve this claim clearly. The most frequent effect was zero effect with over (98) frequency level, with less than

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(2) frequency level for abstractness effect and (0) frequency level for the concreteness effect. The total number of recalled abstract words was very slightly yet insignificantly higher than the total number of recalled words in free recall paradigms.

Secondly, we proposed that there will be significant difference in the performance of cued recall paradigms between forward recall test and backward recall test. These results did not also come totally true because the calculated statistical difference between the two tests was slightly yet inconsiderably different. The percentage of forward recall (51%) was slightly yet unnoticeably different from that of backward recall (49%). This means that the memory recall performance of our participants was nearly the same in both forward and backward recall tests in cued recall paradigms of Arabic abstract and concrete words recall.

Since our study was about cued recall so we also accounted for the frequency and/or the major cue which helped our participants retrieve the list of words better. With reference to figure 5, it can be seen clearly that initial letter was the most effective cue which helped the participants recall more words. Nevertheless, the role of semantic association is very major albeit it was less frequent than the initial letter cue. This could be interpreted in that semantic association cue played a major role in increasing substantially the number of recalled words in cued recall paradigms when the initial letter cue failed to do so. In other words, semantic association is a vital yet effective priming-tool for short-term memory when it comes to words recall.

Conclusions

In the present study, we proposed that there will be an advantage of Arabic abstract words over Arabic concrete words in terms of short-term memory recall in cued recall paradigms. Our presented results approved that it was a zero effect other than abstractness and/or concreteness effect albeit there was a slight yet inconsiderable effect in favour of the abstractness effect as opposed to concreteness effect. We attributed this to the small population size. It was also concluded that there was no significant statistical difference between forward and backward recall test in either increasing or decreasing the total number of retrieved abstract and concreter words during cued recall paradigms. Lastly, it was inferred that semantic association is an effective memory primer which helped considerably in increasing the number of recalled words in addition to the initial letter as a preliminary cue in cued recall paradigms of Arabic abstract and concrete words. These results were not in agreement with our presented studies, but they stand as a base for reconsideration of concreteness effect and moving toward two more types of effect, namely, abstractness effect and zero effect.

Implications

This study has two implications. First using more than a cue as we did in this study (initial letter and semantic association) may have a great chance of increasing the number of recalled words abstract, concrete, or words **in general**.

Second, cued recall paradigms seem to be effective vocabulary learning strategies if integrated and initiated by language teachers Arabic, English, or whatsoever.

Limitations and future work

There is one limitation for this study that the number of population was very small. We do believe that including large size of population would have lead to more reasonable and generalizable results in regard to short-term memory recall of Arabic abstract and concrete word in cued recall paradigms.

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APPENDIX
On Arabic Abstract and Concrete Words Recall Using Cued Recall Paradigms: Is It Abstractness, Concreteness, or Zero Effect?

Group (   ) Classification of abstract and concrete words Participant (   )
Note: This form is used to classify abstract and concrete words

Instructions:
1. Write:
A. No. (1) in the first column if the word has a concrete meaning
B. No. (3) in the first column if the word does not have a concrete meaning
C. No. (2) in the first column if you think that the word can have a concrete meaning, but you are not sure

2. Write:
A. No. (1) in the second column if you can imagine a clear picture of the word in your imagination
B. No. (3) in the second column if you cannot imagine any clear picture of the word in your imagination
C. No. (2) in the second column if you think that you can imagine but the word does not seem to have a clear picture to be imagined.

3. Write:
A. No. (1) in the third column if you think that the word has a clear meaning without any difficulty.
B. No. (3) in the third column if you think that the word does not have a clear meaning and may have a complex meaning and it is not easy to recall.
C. No. (2) in the third column if you think that the word looks simple and at the same time complex and difficult to understand.
4. Write:
A. Try to remember the year during your life time where you think you acquire the word.
Note: Acquisition here means the first time in your life you feel that you can practice using the word.

Classification Form

List of Words	Characteristics of classification				
The Word	Concre-teness	Meaningful-ness	Imageabi-lity	Age of Acqui-sition	
Inspiration					
Human					
Insight					
Data					
Body					
Jinn					
Paradise					
Brain					
Spirit					
Poet					
Charity					
Conscience					
Torment					
Mind					
Eyes					
heart					
Computer					
Money					
Fire					
Happiness					

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Participant (1)　　　　　(Cued recall)　　　　　Group (2)

Note: This form is used to record oral recall

List of words		Aids to remember	
Concrete words	Abstract words	First Letter	Semantic association
Poet	Inspiration	[Sh]	Poem
Eyes	prevision	[b]	Point to your eyes
Computer	Data	[k]	Move your hand as if you **are printing.**
Human	Jinn	[j]	Satan
body	Spirit	[g]	Point your hands to your **body.**
Money	Charity	[s]	Move your hands as if you **are having your food.**
Heart	Conscience	[q]	Move your fingers to mimex heartbeat
Fire	agony	[aa]	Use gestures to show suffering from fire
Brain	Mind	[d]	Point your finger to your head as if you are **thinking.**
paradise	Hell fire	[n]	Imitates alternative torch fire
Total recalled words	Total recalled words		

Instructions:

1. Please mark (√) the word that the student can remember or mark (×) to the word, which the student could not remember.
2. Please mark (√) to the assistance aid that you gave to the student. If the student was able to remember the opposite word without any means of help, then do not do anything in the third and fourth columns either if they do not remember the opposite word even using assistance aids. Place the sign (×) on each. If the student can remember the word using the first assistance aids, place the mark (√) and let the second blank. But if the student could not remember the first assistance, place the mark (×) and on the second (√) if the student was able to remember to use or (×) if the student could not remember them.
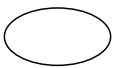
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Participant (1)   (Cued recall)   Group (2)

Note: This form is used to record **oral** recall

List of words		Aids to remember	
Concrete words	Abstract words	First Letter	Semantic association
Poet	Inspiration	[Sh]	Poem
Eyes	Prevision	[b]	Point to your eyes
Computer	Data	[k]	Move your hand as if you **are printing.**
Human	Jinn	[j]	Satan
Body	**Spirit**	[g]	Point your hands to your **body.**
Money	Charity	[s]	Move your hands as if you **are having your food.**
Heart	Conscience	[q]	Move your fingers to mime **heart beat**
Fire	Agony	[aa]	Use gestures to show suffering from fire
Brain	Mind	[d]	Point your finger to your head as if you are thinking.
Paradise	Hell fire	[n]	Imitates alternative torch fire
Total recalled words	Total recalled words		

Instructions:

1. Please write the words that you can remember in the blanks, and do not write anything inside the oval circles. If you cannot remember the word, use the helping aids available to you (the first letter or the semantic association), which will be provided by the person who runs the research process.
2. Please, do not write anything in the third and fourth columns unless you are using any of the means of help to remember the word(s) you want. In case you did that, you must check (√) in the event of using the first help, and helped you to remember the word, or check (×) in the event of using the first help and did not help you to remember the word.
3. Follow the same steps to deal with the helping aids in the fourth column (semantic association).

РАЗДЕЛ III. ТЕОРИЯ И ИСТОРИЯ ЛИТЕРАТУРЫ

Sayyed Ali Mirenayat
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THE DEMONIC GROTESQUE IN FLANNERY O'CONNOR'S EVERYTHING THAT RISES MUST CONVERGE

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Abstract

This paper surveys the grotesque as a main genre in American Literature which is mostly connected with satire. It defines the grotesque from the gothic to the textual analysis of the collection of short stories in *Everything That Rises Must Converge* (1965) as a short fiction by Flannery O'Connor, the twentieth century American writer. He has created great tragi-comedy fictions in Southern Gothic. This paper also tries to place O'Connor's fiction as a great example of the demonic grotesque within the framework of the American gothic. Totally, this paper studies this book on the characteristics which depict the demonic grotesque.

Key words: American Literature; satire; grotesque; gothic literature.

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Introduction

Flannery O'Connor, an American novelist and short story writer, has written tragi-comedy fictions in 'Southern-Gothic' which is "a term describing the work of modern Southern writers like Truman Capote, Flannery O'Connor, Carson Mc. Cullers, William Faulkner, Eudora Welty and others, who were, or, are preoccupied with the private visions and psychological distortions of lonely characters in small loveless communities in the Southern U.S." [9, p. 397].

Violence is as a natural consequence of the religious fundamentalism which controls the Southern society in the time of O'Connor. This violence, every now and then, seem to prevent the appearance of grace. Therefore, O'Connor combines horror and humor with the idiom and manner of her society in her fiction. As a result, Southern life is strangely suitable for the creation of grotesque fiction. Her characters and settings reflect her native Georgia, as she has an eager ear for the dialect of Georgian farm folk. She says that,

My own feeling is that writers who see by the light of their Christian faith will have, in these times, the sharpest eyes for the grotesque, for the perverse, and for the unacceptable. ... The novelist with Christian concerns will find in modern life distortions which are repugnant to him, and his problem will be to make these appear as distortions to an audience which is used to seeing them as natural; and he may well be forced to take ever more violent means to get his vision across to this hostile audience. ... to the hard of hearing you shout, and for the almost blind you draw large and startling figures. [3, pp 805-806].

O'Connor tries to illustrate the techniques of distortion and grotesque exaggeration. Her characters are not complete figures in having compassion, love, confidence, and self-knowledge. With her distinguished style for simplicity, she always states the truth about happenings and characters. Her grotesque characters are mostly used as satiric devices to show social, political, economic and religious themes. She masterfully uses satire in her works through exaggerating and distorting of the characters and events.

The family in a Flannery O'Connor story is more often than not incomplete: one or more parent is dead or gone; children or the young do battle with widowed mothers or fathers, or with uncles, great-uncles or grandparents: the old chafe lives with hostile or indifferent children. [2, p. 23]

This paper tries to characterize the demonic grotesque in this O'Connor's work concerning distorted characters, terrifying violence, caustic humor and satire, and irony.

Main part

O'Connor usually looks at the conflict between two generations of the same family. In *Everything That Rises Must Converge* (1965) that is borrowed its title from the French paleontologist Teilhard De Cahrdin's *The Phenomenon of Man*, there is a collection of nine stories. Chardin believed in Darwin's theory of biological evolution in which different species go into higher and higher forms of consciousness.

Therefore, Everything That Rises Must Converge is a collection of stories about the enlargement of vision. The characters share in the rising action of the title, toward a convergence with Christ at the summit of time. Of course, Miss O'Connor portrays degrees of illumination and uses a variety of genres: tragic, comic, tragicomic, [and] satiric. [8, p. 89].

In this collection, O'Connor illustrates the rebel of the black people, and the big gap between the young and old generations by two characters: Julian and his mother Mrs. Chestny. Julian is modern and open-minded person who is completely different from his mother as a Southern orthodox woman who is proud of being a descendent of an upperclass family, 'the Godhighs'. To her, the rebellion of the blacks is acceptable on condition that there is no convergence. Oppositely, Julian is considered as enlightened and liberal person has different views from his mother's thoughts and attitude towards the Negroes. From the beginning of the story, O'Connor shows Julian's indifference towards his mother. He thinks about different views of unlikely ways and means to teach her mother a lesson.

The story starts with Julian taking his mother to an unseparated bus for the whites and the blacks. In there, a black lady wearing a green and purple hat similar to that of Mrs. Chestny's. All at once, the black lady and Julian and his mother get down from the bus at the same destination. They quarrel together and after some time leave the scene. In the story.

When the civil rights Movement was in full swing and desegregation in the South an actual fact and blacks had begun to externalize those thoughts and feelings of anger they had repressed so long, she finally saw fit to write a story in which a black would take a key, and very active role. [8, p.7]

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Therefore, the writer sets the story in the condition of the grotesque in contemporary Georgia. Mrs. Chestny's thinking about the black lady in the bus who is wearing identical hat like hers is an ironical humor. Moreover, 'hat' is a symbol showing the fact that the Negroes' economic situation is as good as the whites. She looks at the black lady as if she is a monkey that had stolen her hat. This is the way that O'Connor uses her characters as satirical tools to show the political and economic status of her society. Violence in the story shows itself. So, there is a weird co-existence of humor and violence in the story, both along with the demonic grotesque. The theme is more about racism that O'Connor focuses on it.

The writer illustrates Julian's relationship with his mother as a love-hate relationship as Julian loves her due to depending on her and at the same time he is hatred of her mother because of her views. Therefore, characters are mentally weak and dependent and can be called psychological cripples. O'Connor gives an ironic twist to the story and throughout the story her character Julian is obsessed with the thought of teaching lesson in which the black lady is the teacher and the student is Julian, not his mother. And this is the irony of the story. The story shows the changing social in the American South, especially in the time of the writer. It deals with the fall of aristocracy and the rebellion of the poor whites.

Another main theme is the religiosity of the people of South, shown in the story by two key characters, Mrs. May and Mrs. Greenleaf. Although Mrs. May knows herself as a respectable Christian lady, she says to her boys, "I don't like to hear you boys makes jokes about religion. If you would go to church, you would meet some nice girls". [8, p.35] Opposite of this materialistic character, is a superstitious lady Mrs. Greenleaf who is mystic engaged with 'prayer healing', to an extent that Mrs. May says, "Jesus would be ashamed of you" [8, p. 31]. Then, the superficial religiosity of Mrs. May counteracts with Mrs. Greenleaf's fundamentalist faith **in religion**.

As I mentioned before, the story explores the mother-and-son relationship. Here also, Mrs. May, as a widow, runs a farm to support her and her sons. Her sons are both irresponsible and indifferent to the chores and different problems of their mother. On the other hand, Mrs. Greenleaf's boys are really positive and successful in their life. The end of the story contains an ironic comic.

The tone of the story, meanwhile, is governed by a carefully modulated comic control, whereby seemingly gratuitous violence is subsumed under a vision of order. [6, p.23]

The death of Mrs. May makes the end of the story a violent one. It makes the story a great combination of humor and violence which is simultaneously grotesque. On the other side, Mr. Greenleaf completes the grotesque end by shooting the bull four times. Then, the unexpected death of Mrs. May shows readers the radical social transformation at work. Her death is a symbol of convergence.

The violence of her death reveals the dark beauty of the story, the beauty of a rising action that resolves harsh opposites into a converging unity. [8, p.92]

From the beginning of the story, Mrs. May is shown doing her best to keep her control over the Greenleafs. The religious and social elements are united with the theme of the story.

In another short story, we can see a relationship between grandfather, Mark Fortune, and his granddaughter, Mary. Mark as a rich farm owner allows his daughter and family to farm his land, though he hates his son-in-law, Pitts. This story also sets in rural Georgia in which the story illustrates the economic advances of the old South and also the emergence of the new South. Mr. Fortune imagines himself as the pioneer of advance and is happy for selling his land with the idea to see his rural and uncivilized environment developed and modern. He is a man of developed dreams, albeit he is seventy-nine years old.

This story also contains violence and is not lack of comedy. Mary is placed between her father and her grandfather. She loves her grandfather and simultaneously respects her father who beats her because he can hurt Mr. Fortune through Mary.

Thus, Mary Fortune Pitts is the victim of both men. She is used by her grandfather much as young Tarwater is used by the old prophet as a means of extending his will into the future. She is used by her father as the instrument of his own revenge. She is both a projection of Pitts's rage and of Fortune's hopes, as ambiguous and impersonal a character as the wilderness she loves. [4, p. 110]

This is the convergence of the features of Fortune and Pitts in Mary that brings about the misfortune in the story.

In another short story, there is also another mother-son relationship which is intertwined with the religious beliefs of people of the South. It also treats the racial theme in a higher extent. It is about

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Asbury Fox and his 60-years-old mother, Mrs. Fox, and his 33-years-old sister, Mary who is a master school. The story contains the racial theme in a comic vein with frightening irony. Asbury holds his mother responsible for all of his mistakes in life. He always thinks that his death will be a kind of punishment for his family. On the other hand, his mother is also a failure in life in her domestic role as a mother of a family. O'Connor skillfully gives an ironic twist to the story as it climbs up to the climax.

Another short story is about a possessive son, Thomas, and a powerful mother. He as the protagonist of the story is an intellectual man who considers himself as the perfect blend of his parents, as he says, "he inherited his father's reasons without his ruthlessness and his mother's love for good without her tendency to pursue it" [4, p.121]. He as a possessive man wants his mother only for himself. When his mother decides to bring home a girl named Sarah Ham, Thomas tries to put some sense into his mother, but his mother does not listen to him. He continuously calls Sarah as a slut because he only wants his mother for himself not anyone else. About the end of the story, he kills his mother and pin it on Sarah.

Conclusion

Flannery O'Connor is as a main grotesque writer among her contemporary American writers. She absolutely drew on her former writers like Poe, but she introduced her own peculiar interests to the grotesque. Therefore, the elements of the grotesque are as a main thread in the short story of O'Connor.

As far as O'Connor is concerned, the contemporary Southern society becomes the butt of her satire, because she has a magnificent personal insight of the follies of the people around her. Her characters are all country people or farmers, landowners and sheriffs. She parodies the pride of sham intellectuals in her short stories. She mocks at the hypocritical nature of some of her self-styled sophisticated characters who pose to be progressive and modern in their outlook. Her satire did not even spare maternity and motherhood, as, widowed or divorced mothers and their disaffected children are a common feature of her fiction.

Almost all of her characters are either physically disfigured or spiritually distorted or at times even all the two put together. This fusing of the disparate modes of the laughable and the deplorable, to produce a single effect is also typical of many modern writers and O'Connor is no exception. Her humor thrives on the ironic incongruity between pretense and actuality, with a pointed satire of human foibles. It is the alarming disparity between what the characters assume themselves to be and what they are in reality, which evokes laughter, as their follies are laid bare before the reader.

Some of her stories end in a climax so grotesque that it becomes ludicrous. Her fiction is burdened with moments of severe clarification issuing from ludicrous condition, and undercurrents of hilarity rise in the midst of catastrophe. Physical violence plays an indispensable role in this paradigmatic conflict. Then, the tensions involving personal identity, social hierarchy, and economic stability inevitably lead to violence in her short stories.

To conclude, the element of central conflict, which inevitably leads to violence and death in O'Connor's stories, also becomes the pathway to the Christian aspect of Grace or Salvation.

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THE INFLUENCE OF RUMI'S THOUGHT ON WHITMAN'S POETRY

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Abstract

Sufism or *tasawwuf* is the inner, mystical, or psycho-spiritual dimension of Islam. However, many scholars believe that Sufism is outside the sphere of Islam. As a result, there has always been disagreement among religious scholars and Sufis themselves regarding the origins of Sufism. The traditional view sees Sufism as the mystical school of Islam and its beginnings in the first centuries following the life of the Prophet Mohammad. Indeed, there is another view that traces the pre-Islamic roots of Sufism back through mystics and mystery schools of the other regions gathered into the trunk known as Islamic Sufism.

The word Sufi originates from a Persian word meaning wisdom and wisdom is the ultimate power. The following survey tries to explore this concept in the works of Rumi and its impact on the western writers and poets particularly Whitman. It tries to show how Whitman inspired from Rumi and came to be the messenger of Sufism in his poems. These poems reveal the depth of Sufi spirituality, the inner states of mystical love, and the Unity of Being through symbolic expressions. They also express aspects of Sufism and of traveling the Sufi path inaccessible in prose writings.

Key words: Sufism; Persian literature; Persian poetry; Rumi, Whitman.

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Introduction

Persian writing is one of the world's most established written works (Bruijn, 2015; Trinity, 2013). It compasses over two centuries, though a significant part of the pre-Islamic material has been lost. Its sources have been inside Greater Iran including present-day Iran, Iraq and the Caucasus, and additionally locales of Central Asia where the Persian dialect has truly been the national dialect (Tehrani, 2014; Reviews, 2012). For example, Molana (Rumi), one of Iran's best-adored artists, conceived in Balkh or Vakhsh (in what is presently Afghanistan or Tajikistan), wrote in Persian, and lived in Konya, then the capital of the Seljuks. The Ghaznavids vanquished expansive regions in Central and South Asia and received Persian as their court dialect. There is in this way Persian literature from Iran, Mesopotamia, Azerbaijan, the wider Caucasus, Turkey, western parts of Pakistan, Tajikistan and different parts of Central Asia. Not all this literature is composed in Persian, as some consider works composed by ethnic Persians in different languages and dialects, for example, Greek and Arabic, to be incorporated. In the meantime, not all writing written in Persian is composed by ethnic Persians or Iranians. Especially, Indic, Caucasian, and Turkic poets, essayists and writers have likewise utilized the Persian language as a part of the land of Persianate societies and cultures (Branch, 2014; Zarandi et al., 2014).

Depicted as one of the colossal writings of humankind, Persian literature has its establishes in surviving works of Middle Persian and Old Persian, the last of which go back similarly as 522 BCE (the date of the most punctual surviving Achaemenid engraving, the Behistun Inscription. Persian literature was considered by Goethe one of the four primary collections of world literature (Zarandi et al., 2014). The majority of surviving Persian literature, notwithstanding, originates from the times after the Islamic success of Iran around 650 CE. After the Abbasids came to control (750 CE), the Iranians turned into the recorders, scribes and bureaucrats of the Islamic domain and, progressively, additionally its poets and writers. The New Persian literature emerged and prospered in Khorasan and Transoxiana in light of political reasons – the early Iranian administrations, for example, Tahirids and Samanids were situated in Khorasan (Zarandi et al., 2014).

Iranians wrote in both Persian and Arabic (Divsalar and Mazhari, 2013; Lewis, 2011); Persian prevailed in later artistic circles. Persian poets, for example, Ferdowsi, Sa'di, Hafiz, Attar, Nezami, Rumi and Omar Khayyam are additionally known in the West and have affected the writing of numerous nations.

Persian Poetry

Classical Persian poetry and verse is constantly rhymed. The principal verse structures are the Qasideh, Masnavi, Qazal and Ruba'i (Iran Chamber Society, 2015; Schimmel, 2014). The qasida or ode is a long lyric and poem in monorhyme, for the most part of a panegyric, instructive or religious nature; the Masnavi, sent in rhyming couplets, is utilized for gallant, sentimental, or narrative verse; the ghazal (ode or lyric) is a similarly short poem, generally passionate or mysterious and fluctuating from four to sixteen couplets, all on one rhyme. A convention of the ghazal is the presentation, in the last couplet, of the poet's nom de plume or pen name (takhallus). The ruba'i is a quatrain with a specific meter, and an accumulation of quatrains is called "Ruba'iyyat" (the plural of ruba'i). At last, a gathering of a poet's ghazals and other verse, orchestrated alphabetically based on the rhymes, is known as a divan (Iran Chamber Society, 2015).

A word may not be strange here on the unconventional challenges of deciphering Persian verse and literature toward the western reader. To the pitfalls regular to all interpretations from verse must be included, on account of Persian literature, such extraordinary challenges as the free utilization of Sufi symbolism, the incessant artistic, Koranic and different references and suggestions, and the general occupation of monorhyme, a structure exceedingly compelling in Persian yet unsuited to most different languages. In any case, most essential of all is the way that the verse of Persia depends to a more prominent degree than that of most different countries on excellence of language for its belongings. This is the reason a significant part of the considerable volume of "qasidas in commendation of sovereigns" can at present be read with delight in the oriqional, though. It is gener-

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ally unsuited to interpretation. So, the best appeal of Persian literature lies, as Sir E. Denison Ross commented, in its language and its music, and subsequently the reader of an interpretation " has perforce to forego the essence of the matter" (Iran Chamber Society, 2015: Zarandi et al., 2014).

Characteristics of Persian literature
i. Preponderance and advantage
of Poetry

A genuinely broad prose literature, basically of a narrative, episodic, and admonishing kind likewise thrived, yet it is dominated by poetry regarding quality and quantity alike (Nanaje, 2010; Nejati and Shafaei, 2008). In fact, poetry is the art par excellence of Persia, and her notable social and cultural accomplishment. In spite of their significant achievements in painting, pottery, textiles, and architecture, in no other field have the Persians succeeded in accomplishing the same level of prominence. While the extent of alternate arts stayed constrained, literature and verse formed into a vehicle for the most refined musings and the most profound suppositions. Pensive and enthusiastic in the meantime, poetry talks the language of the Persian heart, psyche, and soul, completely mirroring the Persian world perspective, background and life experience (Nanaje, 2010).

ii. "Tangential" Structure
and Organization

The literary works of Persia for the most part have a tendency to be unmistakable instead of emotional, expressionistic rather than naturalistic, natural as opposed to compositional (Lee, 2012). This does not imply that Iranian writings lack sensational, dramatic or well-constructed stories. The Shah-nama contains some intense stories with impressive emotional impact. The scenes of Rostam and Sohrab, Siyavosh and Sudaba, and Rostam and Esfandiyar, are compelling in themselves as well as told with excellent structural cohesion - just like various occasions reported by the eleventh-century historian Bayhaqi. From their Persian interpretations, it is clear that the Middle Persian historical novels in light of the lives of Mazdak and Bahram Chobin were emotional and well-formed. One need just allude to the epigrammatic quatrains of Omar Khayyam and his imitators to demon-

strate that emotional strategy was not outsider to Persian literary taste. Numerous authors and poets exceeded expectations in effectively expressing an idea adequately by the prudent utilization of complexity, accentuation, paradox, and incongruity, yet above all else by a fitting delineation utilized as a part of Persian didactic literature to dramatize an abstract point or dictum.

But it is the making of mind-sets and impacts and the portrayal of scenes and opinions that have remained the main concerns of the writers and poets of Persia. Abstract and literary constructions of an architectural nature, where all points of interest are subordinated to the prerequisites of an overriding subject or thought, have from time to time been the convincing point of Iranian literary works. Structural frames as, they are seen in the West, with emotional pressure coming about because of their improvement of characters and their imagined connection don't distract the Persian literary mind. Instead of following a planned advancement from introductory premises to climax and resolution, the Persian authors permit themselves to investigate, frequently at a lackadaisical pace, the scenes and points of interest that energize their own creative energy, and to impart these to the reader. This, unfocused, wandering kind of literary development finds its preeminent sample in Rumi's Mathnavi, where mysterious thoughts and preachings are represented by stories inside of stories, with no reasonable structure between drifting sermons and philosophical comments.

It is additionally obvious that in the present century, when fiction composing has get to be prominent, it is the short story (basically descriptive) and not the novel that has pulled in the best talents and abilities. What's more, in Afghani's Showhar-e Ahu Khanom and Dowlatabadi's Kelidar, two huge post-World War II books, continuous peregrinations, have a great time abusing the repercussions of their subjects, and fanning out into side back alleys are usual of the same centrifugal inclination that we see in the works of Nezami or Attar.

Persian poets and essayists are demonstrated experts of vignettes, aphorisms, concise comments, world renowned expressions, well suited

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definitions, pregnant suggestions, illustrative stories, and innovative short depictions; these methods are exemplified in the pages of the most observed Persian exposition work, Sadi's Golestan (The rose greenery enclosure), created in the thirteenth century. Persian and Middle Persian have a rich store of insight writing, comprising for the most part of withdrew or approximately associated good adages and moral perceptions from which one can barely find a rational arrangement of moral reasoning. It is symptomatic of the Persian method of speculation and artistic preference that the genuine unit of Persian verse is the line (distich or bayt). The best Persian artists regularly succeed in communicating significant contemplations or energetic conclusions within the limitations of a solitary couplet (Artarena, 2015).

iii. Decorative Orientations

A third element of Persian writing is its desire for the utilization of rhetorical devices and ornament. It has regularly been notified that Persian arts have a marked decorative inclination. This is obviously found in the visual expressions: architecture, book illustration, wall painting, calligraphy, bookbinding, and materials, and also in music. In modern Persian criticism, this propensity, an indispensable piece of masterful expression in Persian letters, has been fairly belittled, incompletely as a result of changes in abstract qualities and mostly on the grounds that the faultfinders have typically centered around exorbitant cases. Such a perspective, in any case, overlooks the benchmarks of taste prevailing in medieval Persia and its circles of social impact, and it misses, too, the genuine nature and capacity of decoration in Persian writing. A long way from being a simple expansion or adornment, decoration is a key component of literary expression. It is one of the significant gadgets writers or poets utilize to show their resourcefulness, granting style and modernity to their items, and awakening the reader's profound respect (Iran Daily, 2010; Chalisova, 2009).

In early Persian poetry, ornament is negligible, mostly as a result of the poetry's youth and as it was displayed on Sassanian poetry. In pre-Islamic Persia, as we have seen, poetry and music went as hand in hand, and the minstrels for the most part sang their ballads to the backup of instruments. Poetry, to judge by our few remaining cases, was genuinely basic in arrangement since the music was there to help convey its passionate effect. Numerous early Persian sonnets were, indeed, imagined as melodies and were sung by the writer or a ravi (Arabic rawi, reciter) as instanced by Rudaki's well-known poem on Bukhara (Nanaje, 2010; Iran Daily, 2010).

It was not long, notwithstanding, before poetry accomplished an absolutely isolate presence from music and its own particular custom was built up with a repertory of routine topics, themes, symbolism, and imagery. Since the free play of creative ability was fairly restricted by the limitations of this convention, embellishment and decoration turned into an essential method for displaying scholarly aptitude and of inspiring one's audience. Stylistic mastery and rhetorical craftsmanship slowly turned into a sign of good composition.

iv. Conventionality

A fourth element of Persian literary custom is the conventionality of its themes, imagery, and symbolism. The significant themes and types of Persian poetry were situated in the first century of its appearance; they are seen as early as the works of Rudaki (d. 940-41). Besides, the distinctive classifications of Persian poetry for the most part relate to particular structures: the qasida (tribute), a long mono-rhyme, for panegyrics; the ghazal, a shorter mono-rhyme of around seven to fourteen lines, for lyrics; the mathnavi or couplet, for narrative themes; the roba'i or quatrain for epigrammatic ballads; and the qet'a (piece or fragment) for casual themes. These structures and their relating genres have remained genuinely consistent for almost a thousand years (Nanaje, 2010; Iran Daily, 2010: Simidchieva, 2003). Traditional poets have constantly made their works inside of the prerequisites of formal canons and thematic and imagistic traditions.

Persian Sufi poetry

Poetry, more specifically Persian poetry, is not as simple to discuss in an article as it is the speech and heart of Persia, the land of beauty, love, and poetry playing the most important role in Persian literature. The softest and richest lan-

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guage in the world is the Persian and it is so peculiarly adapted to the purposes of poetry. The history of Persian Sufi poetry was called by A. J. Arberry "the golden era" (De Bruijn, 1997). The term golden era was coined because the greatest sufi poets who created the most influential poems all lived in Persia. Sufi poetry has had a great effect in persian poetry as Reynold Nicholson's statement shows:"Sufism has few ideas, butan inexhaustible wealth and variety of illustration" (5), we can claim that Sufi poetry is the most fruitful form of persian poetry that has had such a superb effect in persian literature being called the mine of persian literature (Lotfi, 2009). "The mine of Persian literature,' observes an elegant writer, ' contains every substance, from the dazzling diamond to the useful granite, and its materials may be employed with equal success to build castles in the air or upon earth" (Costello, 1899, p. 44).

Most of the classical Persian poets are Sufis, a profession of religion so mystical, that it is difficult to explain in a few words (Ernst, 2003). Sufism or *Tasawwuf* is "the esoteric or inward aspect of Islam" (Burckhart, 2008, p. 5). They prefer meditations and ecstasies of mysticism to the pleasures of the world. Their fundamental tenets consists of the existence of absolutely nothing but God: that the human soul is an emanation from His essence and it will finally be restored to Him.

The poetical compositions of the Persian Sufi poetry are of several kinds. The most important are the quatrain or *rubai*, the *qasida*, the *ghazal*, and the *mathnavi*. Persian quatrains consist of four lines and the sequence of two internal rhymes. The Persian name for quatrain is *rubai*, a derivation from the Arabic *arba*. According to Shams- iQays who was living in early thirteenth century, "the *rubai* was invented by the poet Rudaki who lived in the tenth century" (De Bruijn, 1997, p. 7). *Rubai* deals with any theme that could be treated in classical Persian poetry. The Qasida was borrowed by religious minded poets from the literature of the courts. It is originally a long poem of praise (a long praise poem) written in monorhyme. It may consist of either praise or satire, morality or other subjects. The Persians do not extend the length beyond one hundred and twenty distiches; but the Arabians sometimes make it exceed five hundred.

Love is probably the most universal symbol for the relationship between the mystic and the Divine. In the language of love, a poet can put his words in the most proper manner for his relationship with his Creator. No form of poetry is as closely tied to the theme of love, as the Persian *ghazal*. In general, we can tell *ghazal* is a poem of love, using various themes. "Sanai was also the earliest writer of mystical *ghazal*" (57).The name of Maulana Jalal al-Din Rumi is often mentioned as the third master of *ghazal* after Sanai and Attar. The usual subjects of the *ghazals* are beauty, love, or friendship; but frequently they are employed to set forth the praises of wine, and many treat of the mysteries of the Sufis. The poet generally introduces his name in the last couplet.

Mathnavi is a "kind of narrative poetry, internal rhyme of all distichs, which changes with each following line" (84). The greatest mathnavi is *Mathnavi* by Rumi which has a literal and figurative sense. In fact, whatever we are searching for in Persian literature, we can understand that the name of Rumi is in the peak of this mountain. Especially in Persian Sufi poetry the name of Maulana Jalal al-Din Rumi can't be denied because his name is like a star which is at the center of the Sufi's sky. A great star which Sufi's sky can't be bright without its presence.

Maulana Jalal al-Din Rumi
Jalal al-Din Rumi was born on September 30, 1207 to native Persian speaking parents, originally from the Balkh city of Khorasan, in modern- day Afghanistan. He was born probably in the village of Wakhsh, a small town located on the Wakhsh River in the greater Balkh region, in modern-day Tajikistan. But because the whole area at that time was Persia, the major portion of which is present-day Iran, Rumi is celebrated in Iran as one of that country's most illustrious poets. Rumi is one of the famous influential figures in the history of Persia, currently known as Iran, as well as in the Western World.

His father, Baha al-Din, was a theologian, jurist and a mystic from Wakhsh. In 1219, Baha al-Din fled with his family from Balkh because of the impending invasion of the Mongols. Baha

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al-Din, with his family and a group of disciples, set out from Balkh to Konia. On their way they passed some cities. When Baha al-Din arrived in Nishapur, the Iranian city, located in the province of Khorasan, Rumi encountered one of the most famous mystic Persian poets, Attar. It has been told that Attar "presented young Jalal al-Din-Rumi with his *Asrarnama* and informed his father that the child would someday become famous throughout the world" (Davis, 2013, p. 34). From Nishapur, Baha al-Din traveled to Baghdad. There he was invited by Shahab al-Din Suhrawardi to stay a while at his *Khaniqah*, but he did not accept. Instead, he stayed at the *Mustansariah* School. After Baghdad, he visited Mecca, Medina, and Damascus, all the time looking for a town in which he could settle (in or down) a *Madrasah* and teach his disciples who had accompanied him. None of these places satisfied Baha al-Din's requirements for a new home. From Damascus, he moved to Aleppo, and then to Malatya where he stayed for four years before he moved to Laranda (present-day Karaman), southeast of Konia, in present-day Turkey. He lived in Laranda for seven years. At Laranda, Jalal al-Din married Gawhar Khatun. They had two sons: Sultan Walad and Ala-eddin Chalabi. Finally, they settled in Konia. In Konia, Baha al-Din was given the title "king of the religious scholars *(sultan al-ulama)*" (Chittick 3). In Konia they found a peaceful place, and established themselves under the royal patronage of Alla al-Din Kaiqobad, a great Suljuk prince. When his wife died, Rumi married again and had a son, Amir Alim Chalabi, and a daughter, Malaken Khatun. When his father Baha al-Din passed away in 1231, Rumi succeeded him as professor in religious sciences at the largest theological school in Konia.

The climax of Rumi's life was at the moment he met a wandering dervish named Shams-e Tabriz. It is one of the most memorable encounters in the history of Sufism. Although there are various stories of this encounter, probably the most reliable account is the one that Shams himself recorded in his discourses (*Maqalat*). Where he says that he spoke as follows to Rumi:

"The first thing I talked to him was this: How is it that Bayazid did not need to follow (the example of the Prophet), and did not say Glory be to Thee, or we worship Thee?" (Ernst, 2012, p. 286).

The place where these two oceans met each other for the first time is known as "Marc'al Bahreyn" (Aydin, 2004, p. 7). It is the most famous and probably the most fruitful relationship in Rumi's development .From that moment on, it was a great change in Rumi's life. He took Shams to live in his own home and the two men were inseparable; they spent hours a day together, sometimes isolating themselves for long periods to pray and fast in divine communion with God. This close relationship caused anger and jealousy among his students and his family. Rumi's lack of attention made them angry, because they were unable to change the attitude of their teacher. Because of their jealousy, life in Konia was very difficult for Shams. Without informing Rumi about his future residence, Shams left Konia. For fifteen months Rumi sought Shams's place without any luck. Finally, he received information that Shams was living in Damascus. He sent Sultan Walad to persuade Shams to return to Konia. In his joy Damascus was the centre of this world. *We are enamoured and bewildered and enraptured of Damascus, We have given our soul and bound our heart to the passion of Damascus* (Schimmel, 1993, p. 22). When Shams returned, for some time, all was well between him and Rumi's disciples. But the reunion of Rumi and Shams did not last for long. Again, a lack of attention to his teaching infuriated the disciples. Shams left Rumi for the last time (1247). Some people told Rumi perhaps Shams went to Syria. So, Rumi went to Syria but it was no result. We don't know exactly about the disappearance of Shams, and there are various stories, but the most reliable one is perhaps this one:

"Aflaki boldly states that he was murdered in connivance with Rumi's son 'Aliaoddin', the pride of professors". (23)

Rumi's major work is *Mathnavi Manavi* (spiritual couplets). Soon after his spiritual friend Shams appeared in his life, Rumi started his marvellous work, *Mathnavi*. It consists of twenty-seven thousand verses. It was written in couplets and collected into six large volumes. Rumi's six-volume masterpiece, *Mathnavi*, also may be said to have had only a single purpose:

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communion with the Absolute. The *Mathnawt,* has often been called "the Quran in the Persian language" (Chittick 2). Rumi's *Mathnavi* contains within its tales references to the Quran, the sayings of Prophet Muhammad, Muslim history, famous saints and sinners, poetic allusions, and tales of animals and fantastic events. Professor R. A. Nicholson translated the *Mathnawi*into English and characterised Rumi as 'the greatest mystic poet of any age'(Iqbal, 1991, p. 13). The *Mathnavi* expresses Rumi's burning love, refined spirits, fine intelligence and lofty mysticism through the form of linked stories. Jalal al-Din Rumi is said to have been forty-three years engaged in writing the *Mathnavi.* Often whole nights were spent in its composition, Rumi reciting and his friend Husam al-Din copying it down and sometimes singing portions of the verse in his beautiful voice. It's the only one of Rumi's works that he deliberately composed in chronological order for a single purpose. R.A Nicholson (1925-40) in praise of *Mathnavi* said: "This is the Book of **the** *Mathnaшн*, which is the root of the roots of the roots of the (Mohammedan) Religion in respect of (its) unveiling the mysteries of attainment (to the Truth) and of certainty; and which is the greatest science of God and the clearest (religious) way of God and the most manifest evidence of God." (p. 13)

Rumi's other major work is the *Divane Kabir* (great work) or *Divane Shams* (The Works of Shams of Tabriz); because Rumi used his friend's name as his pen name, and consisting of over forty thousand couplets, this is a monumental work of divine lyricism. The *Divan* is a remarkable piece of literature in that it translates the author's ecstatic experiences directly into poetry. William C. Chittick (2005) for explaining the value of *divan* has made this statement:

''It is well known that most of the *ghazals* (or "lyric poems of love") of the *Diwan* were composed spontaneously by Mawlana during the *sama'* or "mystical dance." This dance, which later came to be known as the "dance of the whirling dervishes," is an auxiliary means of spiritual concentration employed by the Mevlevi order, a means which, it is said, was originated by Rumi himself'.(p. 5)

Rumi was fading away in the autumnal days of 1273, and the physicians despaired of diagnosing his illness. He passed away on 17 December 1273, at sunset. It is told that that night was named *Shab-e Arus* (literally Wedding Night or Rumi's Night of Union with God). His funeral was attended by all people from different religions.

Rumi and Whitman

It is a matter of common knowledge that the 19th century American writers Emerson and Thoreau were deeply influenced by the oriental thought. For Whitman, the Sufi poets held a prominent position in shaping the course of hispoetics, from its philosophy to its structural organization. One poet in particular, Jalaluddin Rumi, seems to have had an effect on Whitman that has not been adequately examined. One of the primary problems in connecting Whitman to Rumi and the other Sufi poets is determining what kind of access Whitman had to their work. In nearly any scholarly analysis of Whitman's poetry it is impossible to exclude mentioning Ralph Waldo Emerson's influence as a mentor upon his poetic development. Emerson was America's first internationally significant writer and philosopher, and his writings drew deeply on Persian poetry and thought. Best known for his role as a founder, philosopher, and poet in the Transcendentalist movement, Emerson also made a great contribution to American literature as a conductor who exposed Americans to medieval Persian Sufi poetry through his own efforts as a translator. Farhang Jahanpour claims that Emerson's acquaintance with Persian literature started in his teen years:

''A study of Emerson's *journals*, and especially an examination of the often neglected literary journals that he borrowed from various Boston and Harvard libraries, shows that Emerson's familiarity with Persians goes back to his youth." (Aminrazavi, 2014, p. 118)

His eastern studies between 1845 and 1855 were mainly dominated by Persian literature. Among the most important books which Emerson read during these years about Persian literature were: "W.R. Alger's (1865) *the poetry of the east*; James Atkinson's translation of *the Shah-Nameh*; James Ross's translation of Sa'di's *Gulistan* (the Flower Garden); the German transla-

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tion of the *Divan* of the celebrated Persian mystic Jalal al-Din Rumi" (118). Sufi ideas found a way into Whitman's spiritual development under the influence of Emerson. Alger's *Poetry of the East*, more than half of which is devoted to Persian poetry, with a large selection of Rumi's poems, the rest of it being allotted to Hindi and Arabic poetry. In his "Introduction to Oriental Poetry," the second part of which deals with the Persian poets, Alger introduces Jalal al-Din Rumi in these exalted terms:

''The Sufi poets are innumerable, but their universally acknowledged head and master is the celebrated Mewlana Dschelaleddin Rumi, the greatest mystic poet of the whole Orient, the oracle of the devotees, the nightingale of the contemplative life, the lawgiver in piety, the founder of the principle order of Dervishes, and author of the Mesnavi. The Mesnavi is a vast and famous double-rhymed ascetic poem, an exhaustible coffer of Sufi lore and gems. From the banks of Ganges to the Bosporus it is the hand-book of all Sufis, the law-book and ritual of all the mystics. From this work, says Von Hammer, this volcanic eruption of inspiration, breaks forth the inmost peculiarity of Oriental mysticism, a solitary self-direction towards the loftiest goal of perfection over the contemplative way of Divine Love. On the wings of the highest religious inspiration, which rise far beyond all outer forms of positive religion, adoring the Eternal Essence, in its completest abstraction from everything earthly, as the purest fountain of eternal light, soars Dschelaleddin, above suns and moons, above time and space, above creation and fate, beyond the primeval decrees of destiny, beyond the sentence of the last judgment, forth into infinitude, where he melts into unity with the Endless Being as endless worshiper, and into the Boundless Love as boundless lover. . ." (Alger, 1865, p. 66-67).

The searching eye of Whitman, himself a mystic bard of the Occident, must have seen over these lines. Undoubtedly, he also read Emerson's article, "Persian Poetry," "in the *Atlantic Monthly* in 1858. Emerson introduced his readers to Persian poetry in this essay, particularly"the seven masters of the Persian Parnassus": Firdusi, Enweri, Nisami, Jelaleddin, Saadi, Hafiz, and Jami" (Ford, 1987, p. 12-13). The different ways in which the two Americans came to appreciate the Sufis' work ultimately highlighted their deeper philosophical differences to such an extent that it led to a split between Whitman and his onetime mentor. Emerson approached the Sufis from an intellectual standpoint, while Whitman was increasingly drawn toward the way in which the Sufis placed the body at the core of their poetic expression, including, and particularly, sensual experience. Indeed his very transcendental doctrines, which later influenced Whitman's *Leaves of Grass*, are said to have developed largely out of his reading of Persian mysticism, at the center of which, of course, stands Rumi's *Mathnavi*. By way of indirect influence, *Leaves of Grass*, in addition to Alger's *Poetry of the East*, seems to have benefitted from Emerson's Persian mysticism too. And this could be responsible for the amazing points of resemblance we can encounter between Rumi and Whitman.

Another critic Massud Farzan in his article *Whitman and Sufism: toward a Persian lesson*, mentions similarities between Whitman and Rumi.

Massud Farzan reminds us Lord Viscount Strangford's idea:

'Whitman instead of wasting his gifts on *Leaves of Grass*........... should have translated Rumi (Aminrazavi, 2014, p. 155). Here however Farzan offers a thoughtful conjecture:

'While Strangford's comments were undoubtedly exaggerated, there is no reason why Whitman would not have been acquainted with Sufi poets of Persia and highly influenced by their thought and poetry. His contemporary kindred soul Emerson was extremely interested in the Sufis, having read their works extensively and written about them, notably Saadi and Hafiz. Thoreau too was fond of the Sufis and had quoted from Saadi's*Gulistan* in Walden. More unequivocally, Whitman's own 1891 poem 'A Persian Lesson' – originally called 'A Sufi Lesson' – is indeed a surprisingly accurate and inspired reflection of Persian Sufism'. (p. 164)

"A Persian Lesson" not only reflects a Sufi-inspired piece; it also contains lines which marvelously complement many a poem of Rumi dramatizing his concept of mystic evolution:

The motion of every atom is towards its origin;

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A man comes to be the thing on which he is **bent**.

By the attraction of fondness and yearning, the soul and the

Heart Assume the qualities of the Beloved, who is the Soul of souls (Nicholson 83). Rumi

It is the central urge in every atom,

(Often unconscious, often evil, downfallen)

To return to its divine source and origin, however distant,

Latent the same in subject and in object, without one exception. Whitman

Like Whitman, Rumi composed a vast amount of poetry. His masterpiece work is the *Mathnawi*, a six-book piece consisting of more than twenty thousand lines. However, it is not a single-storied epic poem, but a series of stories and meditation all directed toward the education and improvement of the soul. The opening lines of the proem to the first book evoke Whitman's use of grass:

Listen to the reed how it tells a tale, complaining of separations –

Saying, "Ever since I was parted from the reed-bed, my lament hath

caused man and woman to moan.

I want a bosom torn by severance, that I may unfold (to such a one) the

pain of love-desire.

Every one who is left far from his source wishes back the time when he

was united with it.

In every company I uttered my wailful notes, I consorted with the unhappy

and with them that rejoice. (Nicholson, 1898, p. 1-5)

Rumi's reed longs to return to the reed-bed from which it has been separated; Whitman's relationship between human and grass works similarly. Whitman does not personify the grass as Rumi does, but he endows it with a nature that represents unity.

The closing lines of "A Persian Lesson" strongly echo Rumi's poetry in particular.

The Sufi teacher of the poem ends his lesson in Whitman-like fashion with a series of questions followed by his own conjectural response:

'Would you know the dissatisfaction? the urge and spur of every life;

The something never still'd – never entirely gone? the invisible need of every seed?

'It is the central urge of every atom,

(Often unconscious, often evil, downfallen,)

To return to its divine source and origin, however distant,

Latent the same in subject and in object, without one exception.'

The urge that Whitman attributes to every atom to return to its original, divine source evokes the proem to the first book of the *Mathnawi*. Rumi uses a reed and the crying noise associated with it as a musical instrument to illustrate longing.

Conclusion

One may consider Whitman and Rumi as panentheists, according to their vision toward nature and God. In their panentheistic idea, they maintain that the Divine can be both transcendent and immanent at the same time. From their viewpoint, God might be everything without being identical with everything.

The research was not to express similarities between Rumi and Whitman because it is clear that both poets believed in God as a unifying force. But instead of all similarities found in Rumi and Whitman's poetry already mentioned above (some of them), it would be fantastic to mention how Sufi ideas attracted American writers. The peak of Sufism who is Rumi and an honor for Persia in the 13th century has been influential on American writers' thoughts like Whitman in 19th century. As Mentioned in Rumi's introduction we can't deny the importance of Rumi in Persian literature as well as the world literature especially in Sufism.

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| Pernelle Beatrix | *ALTERITY IN AMERICAN LITERATURE: THE FACES OF THE OTHER IN MELVILLE'S MOBY-DICK AND BILLY BUDD* |

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Abstract

This paper discusses the question of the expression of alterity as "faces" in Herman Melville's two masterpieces, *Moby-Dick; or,The Whale* **and** *Billy Budd, Sailor*. The issue of otherness and the relationships between subjects stands as a major problem in literature, but also in philosophy and ethics, as it also logically entails a questioning about identity and sameness. The analysis uses the concepts of face from the phenomenological point of view of Emmanuel Levinas, but also that of faciality developed by Deleuze and Guattari in *A Thousand Plateaus*. The difficulty, or even impossibility to reach the Other who stands as pure exteriority in a nonreciprocal relationship leads to a number of communication deadlocks, that language itself cannot solve as the deadly face-to-face in Billy Budd makes it clear. The traditional vision of the western philosophy of representation, based on the Greek model ruled by the idea of the Same and identity must be therefore left and redefined in order to take into account the pure exteriority of the other.

Key words: alterity ; Billy Budd; face; identity Herman Melville; Moby-Dick; Other.

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INTRODUCTION

The question of alterity and the relationship to the Other appears in different ways and in a variety of fields, such as art, medicine, anthropology, sociology, psychology, politics, philosophy, theology, ethics, language and literature. But whatever the discipline, the evocation of alterity immediately entails the question of the relationship with the Other, or others, most often in connection with ethics, even though this subject can also be studied through a phenomenological approach. This relationship and the complex intricacies it causes affects the issue of representation, an obviously central point in literature.

In the major literary texts in which alterity manifests itself, the main question that arises logically is: how can we consider the other? The aim of this paper is to explore otherness as it appears in two major fictions by H. Melville, *Moby-Dick* (1851) and *Billy Budd* (published in 1924), using the philosophy of Emmanuel Levinas's works *Totality and Infinity – An Essay on externality* (1961) and *Otherwise than Being or Beyond Essence.* (1990), as well as the approach of G. Deleuze and F. Guattari in *Capitalism and Schizophrenia 2: A Thousand Plateaus* (1972). The term "face" used for this analysis must be unsderstood according to the definition given by the two authors in the mentioned works.

1 - Faciality and otherness; the Other ("Autre") and the other ("autrui")

The Other is not necessarily an Other, but "others" involved in a love/hate relationship As Jean-Luc Marion points it, the etymology of the term indicates that the other ("Autrui") derives from an alteration of "alter", in other words, it results from the addition of a dative (attribution) to the "other".

But according to Levinas, this is a non-reciprocal relationship, where the identity of the subject, considered as "I" (in the nominative case) has to be set in the accusative: in the thought of the philosopher, the subject "I " has to answer for the other, which implies a notion of responsibility. The result is a fundamental passivity of the subject, who can not "receive" the other from a basis it would assume in advance, because it is always already called or inspired by the other. The subject is then in the position of passive exposure to others, in a movement in which the subject who is affected by others builds itself by the same assignment. This exposure to Others will be referred to as "The Saying without the Said" (that is to say below any *Said*) in *Otherwise than Being or Beyond Essence*, a situation which seems to correspond to that of Melville's *Billy Budd*, a character exposed to different faces of Others including that of the Master at Arms Claggart in the fatal face-to-face.

How does the other manifest itself?

There are different "names" for the other, if indeed it can be named at all. "Face" is one of these names (used by Deleuze, Levinas), or "trace" in *Otherwise than Being* ; it may also be called Saying (which then equates "face", "passivity", "diachrony") vs Said, like writing, synchrony, history, or "trace of God" (the notion of "trace" in Derrida, "writing and differance " was inspired by Levinas). The face is that by which we recognize the other, that by which it reveals itself to us. It appears as the condition of possibility of intersubjectivities and should, as such, remain visible and legible.

The question of visibility, of "Seeing" must then be broached, as well as the issue of intersubjectivity.

Seeing the other

We will start from the concept of "faciality" (Deleuze) to study the human face, not as a natural given, but as a semiotic construction. Face and "faciality" affect other concepts, in particular:

1. The "savage", as an ethical or scientific concept, which considers the face as the site of a socio-ethical expression, as for instance *Moby-Dick*'s Queequeg, a perfect embodiment of the savage for the white narrator Ishmael.

2. Subjectivity, as expressed by the face, as a phenomenal evidence of the subjectivity of others, and whose relation to subjectivity constitues a main issue in XXth century French phenomenology. In that case, "face" is not to be regarded as a reflection of the soul, nor does it take any special meaning.

3. Phenomenality and its limits : Consequently, to what extent can a phenomenon be called a "face"? What and/or who can be referred to as such ?

I - The idol and the icon: eidolon vs eikon, Moby-Dick and the idolator

The questions of the Face and of the Other inevitably lead to the larger notion of visibility,

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especially when addressing the issue of the absolute Other ("God") and of the irreducible distance that characterizes it, which can be called exteriority. Visibility and its corollary, vision, appear as prominent concepts which in turn involve the central notions of the idol and the icon, two crucial yet distinct terms that will be used in our study.

The distinction between eidolon and eikon stems from etymology: both words are formed on the same root, but only eidolon falls within the sphere of the visible because it is formed on a theme that expresses the idea of seeing (from the Greek verb *idein* "see", and *eidos*, the name that applies to the first visible appearance). On the other hand, *eikon* relates to the root *weik*, indicating suitability or appropriateness (for instance like the adjective *eikelos*, "similar")

The different values of the words clearly lead to an opposition between the *eidolon*, as a copy of sensitive appearance, and the *eikon*, the transposition of essence. The *eidolon* and its model rest on the identity of surface and meaning, while the relationship between the *eikon* and what it represents lies at the level of the deep structure and of the signified.

Tradition has eventually reduced the visible *eidolon* to pure appearance, and thus applies to gods that exist only in their image, while *eikon* is reserved for the representations of God (icons). So that the Idol finally coresponds to what is seen, what is visible; but the divine idol implies distance, as J-L Marion remarks: "The idol attempts to bring us close to the divine and to appropriate it to us." [8, P 7]; The idol gives us an idolatrous face of God, but this face is man-made, in keeping with the human experience of the divine, and actually refers to this type of experience and not to the Being or essence. In other words the idol aims to reduce the gap and the withdrawal of the divine; then the radical otherness, the irreducible exteriority of the other is canceled, as the idol eliminates the "irrefutable otherness which, properly, attests the divine " as Marion affirms: "The idol lacks the distance that identifies and authenticates the divine as such – as what does not belong to us but befalls us". [8, PP.7-8].

The irreducible distance with the Other entails a number of major issues that affect the question of representation in literature, and

Herman Melville's *Moby-Dick* specifically devotes several chapters to the impossible depiction of the white whale. But at the beginning of the monstrous book, chapter 3 "The Spouter Inn" already introduces this question, through the "wild", apparently terrifying character of Queequeg. This chapter describes the first meeting between Ishmael the narrator (American, white and Christian) and the strange barbarian whose body is covered with tattoos, and who peddles shrunken heads when ashore. Queequeg embodies the "savage", the "pagan", the Other par excellence, and first produces a reaction of terror and rejection from the part of Ishmael. Forced to share a room, and even his bed with that character, the young narrator is already in bed, late at night, when Queequeg eventually arrives, and engages in a curious ritual which can be described as an "idolatrous ritual", actually a prayer to his dark wooden "idol":

I now screwed my eyes hard towards the half hidden image, feeling but ill at ease meantime—to see what was next to follow. First he takes about a double handful of shavings out of his grego pocket, and places them carefully before the idol; then laying a bit of ship biscuit on top and applying the flame from the lamp, he kindled the shavings into a sacrificial blaze. Presently, after many hasty snatches into the fire, and still hastier withdrawals of his fingers (whereby he seemed to be scorching them badly), he at last succeeded in drawing out the biscuit; then blowing off the heat and ashes a little, he made a polite offer of it to the little negro. But the little devil did not seem to fancy such dry sort of fare at all; he never moved his lips. All these strange antics were accompanied by still stranger guttural noises from the devotee, who seemed to be praying in a sing-song or else singing some pagan psalmody or other, during which his face twitched about in the most unnatural manner. At last extinguishing the fire, he took the idol up very unceremoniously, and bagged it again in his grego pocket as carelessly as if he were a sportsman bagging a dead woodcock. [10, P. 30] The description points to a "strange", grotesque ritual, in which the "face" that appears is that of the human, barbaric and wild as it may be, without any distance, in a roughness brought by familiarity; as " the half hidden picture " shows, it is a mere image, a dis-

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torted appearance ("a curious little deformed image ") that Ishmael quickly identifies as "nothing but a wooden idol". Unsurprinsingly, in chapter 16 the idol becomes a "god" named "Yojo" who plays the part of an oracle supposed to guide Queequeg in selecting the ship he will embark on. Here again, Ishmael humorously underlines the comic inadequacy of the relationship between God and the idol, *" a rather good sort of god, who perhaps meant well enough upon the whole, but in all cases did not succeed in his benevolent designs."* [10, P.66]

The essence of the icon is obviously completely different, but we may wonder what thing or being does the icon offer the face of. The Bible mentions " the image of the invisible God" (Who is the image of the invisible God, the firstborn of every creature". (*Colossians* I, 15) The Bible, King James Version), a religious icon, i.e the representation of a face in which the eyes play a prominent part for in that case, it is a face who gazes at me, as philosopher Jean-Luc Marion states it:

"The icon manifests neither the human face, nor the divine nature that no one would be able to envisage, but, theologians of the icon would say, the relationship of the one to the other (...) The icon conceals and reveals that on which it is based: the gap between the divine and his face."[8, P.23]

The icon corresponds to the visibility of the invisible, a visiblility where the invisible is to be seen as such and which definitely does not seek to abolish the distance. "The icon properly manifests the nuptial distance that weds, without confusing, the visible and the invisible -- that is, the human and the divine." [8, P. 26]

The novel *Moby-Dick* devotes several chapters to this question (a crucial one in the study of the problem of representation), especially when it comes to portray *("without brushes or canvas"*) the mythical monster, and the difficulty- if not the impossibility- of this task rapidly appears. Starting with the always "approximate", oblique, evocation of the "face" of Moby-Dick (called "Sphynx", "mystic" or "mysterious" in the book) the narrator realizes immediately the impossibility of such representations, mainly because of the essential invisibility of the white whale, as whale hunting amounts to an attempt to approach the alterity and various modes of the other.

Chapters 55 and 56 of *Moby-Dick* expose the impossibility of reaching any satisfactory representation, that is to say an iconic one, capable of conveying the essence of the Same (of Moby-Dick, or the Absolute Other). As a matter of fact, only erroneous monstrous pictures of the Whale have been achieved, as the etymology of the Monster seems to imply. It relates to "demonstration", it shows, but remains within the domain of appearance, of the visible, without accessing essence, in other words, it remains an idol: *True, one portrait may hit the mark much nearer than another, but none can hit it with any very considerable degree of exactness. So there is no earthly way of finding out precisely what the whale really looks like.* [10, P.228]

The only way to reach a satisfactory result is to experience a physical encounter with the monster : "*And the only mode in which you can derive even a tolerable idea of his living contour, is by going a whaling yourself; but by so doing, you run no small risk of being eternally stove and sunk by him".* [10, P.228]

It is a risky business, whose major danger lies in encountering the Other and the Face, deliberately or accidentally, as seems to suggest the episode of Pip, who survived after falling overboard during a lowering but whose spirit seems disturbed forever after the unfortunate episode. After his wreck, Pip has turned into a "fool", he has seen the forbidden "face" of God, becoming himself "altered" yet an "idiot" after his contemplation, or perhaps revelation "of God-omnipresent" : *"He saw God's foot upon the treadle of the loom, and spoke it; and therefore his shipmates called him mad. So man's insanity is heaven's sense; and wandering from all mortal reason, man comes at last to that celestial thought, which, to reason, is absurd and frantic; and weal or woe, feels then uncompromised, indifferent as his God."* [10, P. 93] (Cf The Bible King James Version, *Exodus*, 33:20:" And he said, Thou canst not see my face: for there shall no man see me, and live.")

It seems that Pip faced absolute otherness, God in his radical exteriority, in a direct and therefore violent encounter with a face which brings us back to the thought of E. Levinas in *Totality and Infinity*, where God stands as the epitome of the Unreachable Other, and whose direct contemplation is impossible.

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Face and exteriority

Meeting the other face-to-face is the starting point of the ethical relationship for E. Levinas. This relationship to the Other is in fact a relation to the absolutely other, an encounter with an unrepresentable face or unknown language.

The other, in his absolute singularity, always escapes me: I am "never close enough," in the words of Levinas. The way the other occurs to me, escaping me by facing me, is called "face" in the philospher's system.

But thematizing the face, that is to say giving him features, means already disfiguring him. Of course this face is not limited to aesthetics, to the features of the face or to its face. For Levinas, the only possible meeting is the encounter with the manifestation of the other in the face, but not with the other since a direct encounter is impossible : "If we could possess, grasp and know each other, it would not be another." [8, P.83]; there would not even be any phenomenology of the face, since logically there must be first a phenomenon beforehand. Therefore, if the sperm whale is the Other, the "face" should be the face of the whale, considered as the irreducible Other. And indeed, Moby-Dick does not have any proper "features" : *"For you see no one point precisely; not one distinct feature is revealed; no nose, eyes, ears, or mouth; no face; he has none, proper (…)* [10, P.292]

Any "depiction" or representation is then impossible, and nobody ever tried to achieve it, as the opening lines of chapter 79 make it clear. The sperm whale is definitely an unfathomable enigma that no Champollion could decipher, and Ishmael's project may seem somewhat pretentious since any attempt to represent the face of Whale is doomed to failure.

II - Faciality: the beautiful face of the savage

The notion of "face" leads to that of faciality as expressed by Gilles Deleuze and Félix Guattari, a concept which in turn involves the notions of savage and norm. Deleuze and Guattari propose a genealogical study of these concepts, so as to consider the face not as a phenomenological given but as a type of coding of the expressions of the human head specific to Western cultures:

"The face is not a universal. It is not even that of the white man; it is White Man himself, with his broad white cheeks and the black hole of his eyes.

The face is Christ. The face is the typical European, what Ezra Pound called the average sensual man, in short, the ordinary everyday Erotomaniac (nineteenth-century psychiatrists were right to say that erotomania, unlike nymphomania, often remains pure and chaste; this is because it operates through the face and facialization). Not a universal, but fades totius universi. Jesus Christ superstar: he invented the facialization of the entire body and spread it everywhere (the Passion of Joan of Arc, in close-up). Thus the face is by nature an entirely specific idea, which did not preclude its acquiring and exercising the most general of functions: the function of biunivocalization, or binarization. It has two aspects: the abstract machine of faciality, insofar as it is composed by a black hole/white wall system, functions in two ways, one of which concerns the units or elements, the other the choices. Under the first aspect, the black hole acts as a central computer, Christ, the third eye that moves across the wall or the white screen serving as general surface of reference. Regardless of the content one gives it, the machine constitutes a facial unit, an elementary face in biunivocal relation with another: it is a man or a woman, a rich person or a poor one, an adult or a child, a leader or a subject, "an x or a y." [2, PP. 176-177]

They re- defined the face as the result of a "faciality", that is to say, the result, historically dated, of the meeting of three layers : First, an organic level, when a part of the body (here the head) makes it signify. Secondly, a signifying layer which assigns a specific meaning to the elements described. Third, a subjective layer, which considers the face as the expression of an individual consciousness.

However a relation between facial features and the signified cannot be denied, and it must ne noted that faciality leads to the creation of "types", then to the establishment of standards and norms, which in turn may entail a close connection with the political sphere. The arrangement of these three strata is called the "abstract machine of faciality" by Deleuze and Guattari.

It seems that Melville's *Moby-Dick* somehow broaches the issue of "faciality", more particularly through the evocation of the face of Queequeg the "savage", regarded as an ethical or scientific concept. This paradigm considers the face as a place of socio-ethical expression which con-

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veys the contrast between the smooth/striated spaces and the interplay of territorialisation and deterritorialisation. Still according to Deleuze and Guattari, the maritime model exposes the complex opposition between smooth and striated spaces : the authors suggest several other types, including that of the fabric (i.e. the striated space) vs the smooth space of felt, an "anti-fabric" randomly intertwining fibers and defined as "in principle infinite", capable of spreading in every direction.

"Felt is a supple solid product that proceeds altogether differently, as an anti-fabric. It implies no separation of threads, no intertwining, only an entanglement of fibers (...) An aggregate of intrication of this kind is in no way homogeneous: it is nevertheless smooth, and contrasts point by point with the space of fabric (it is in principle infinite, open, and unlimited in every direction; it has neither top nor bottom nor center; it does not assign fixed and mobile elements but rather distributes a continuous variation)". [2, P. 476]

Another opposition of concepts associated with the technological model of the fabric is also mentioned, that of embroidery (striated space) and the patchwork (smooth space) so typical of American culture. A similar model appears in the text of Melville, especially when the narrator comes to discuss his meeting with the terrifying savage who shares his room at "The Spouter Inn" in chapter 3.

The first meeting with the South Sea harpooner, previously introduced as a head peddler and idolatrous pagan lost in the very Christian community of New Bedford, New England, already reflects the opposition : governed by the rules of Puritan morality and by the laws of the whaling trade that sustain it, the highly normalized city constitutes a type of striated space, against which the very special "face" of the savage Queequeg stands out most conspicuously. Ishmael does not immediately perceive it as such, and the narrator's long waiting in the darkness of the room brutally ends with the shock of the sight he finally sees; what he discovers is not a "face" properly speaking, it is first of all a disconcerting and utterly frightening "head": *His bald purplish head now looked for all the world like a mildewed skull.* [10, P. 28]

According to G. Deleuze, "the head, even the human head, is not necessarily a face." [2, P. 170]

; the concept of face stems from what Deleuze calls "the abstract machine of faciality", that is to say an assembling and social production of significance corresponding in fact to the western face of the white and Christian man: "The face is Christ. The face is the typical European"; (...) This is a bi-univocalization, or binarization. "[2, P. 170] The striating and criss-crossing power of faciality is clear; it orders a normality away from which all those who cannot be considered as Man, White, and Christian constitute a deviance.

At that point in the text, this is indeed what Queequeg emblematizes in the eyes of the narrator since the frightening character concentrates all the oppositions and deviances that have just been mentioned: Christian/pagan; white man/Dark skin; Civilization/Wild; New Bedford/South Seas. The description of the harpooner becomes then more accurate, and finally focuses on a face that does not meet the standards of the white man: *it was of a dark, purplish, yellow color, here and there stuck over with large, blackish looking squares. (..) They were some stains of some sort or other.* [10, P. 28].

After a moment of surprise, Ishmael realizes that the whole body of Queequeg is also covered by the same colorful patterns, which he eventually identifies as tattoos: " (...) *these covered parts of him were checkered with the same squares as his face ; his back, too, was all over the same dark squares(...) Still more, his very legs were marked, as if a parcel of dark green frogs were running up the trunks of young palms. It was now quite plain that he must be some abominable savage or other shipped aboard of a whaleman in the South seas, and so landed in a Christian country."* [10, PP. 29-30]

In fact the whole body can be "contaminated" by the facialization process, or on the contrary, as is the case here, completely deviate from it. As Ishmael decides to refuse faciality too, his appreciation of the "cannibal" shifts to a complete reversal of his initial impression; the savage now becomes "courteous", "kind" and even "charitable: " *for all his tattooings he was on the whole a clean, comely cannibal* ", a statement that the narrator concludes with a surprising" *better sleep with a sober cannibal than a drunken Christian* ". [10, P. 31]

The strange patterns covering Queequeg's body also suggest another smooth space, the

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patchwork model, mentioned by Deleuze in *A Thousand Plateaus*. In Chapter 4, aptly entitled "The Counterpane", Melville 's fiction associates to the savage a patchwork bedspread, specifically crafted using the technique of "quilt": "*The counterpane was of patchwork, full of odd little parti-coloured squares and triangles ; and this arm of his tattooed all over (...) looked for all the world like a strip of that same patchwork quilt.*" [10, P.32]

Now, the patchwork, made of "successive additions of fabric" is an informal space where there is no center; it is "an amorphous collection of juxtaposed pieces that can be joined together in an infinite number of ways."[2, P.476]. But Queequeg comes to literally merge with the bedspread (which also happens to be a quilt), which also offers a possibility that there may be neither top nor bottom. This shows a high degree of affinity with nomadism, as if a smooth space came out of a striated space, as if the checkered body, striated with tattoos, "de-facialized itself " before opening onto a smooth space, inseparably linked to movement, and an onto a rhizomic organization in which flux leads to creative lines of deterritorialization. As Ishmael remarks, Queequeg seems bound to change in nature and undergo a metamorphosis: "*[he] was a creature in the transition state -neither caterpillar nor butterfly. He was just civilized enough to show his outlandishness in the strangest possible manner.*" [10, P. 34]

And indeed, Queeequeg appears to be somewhat "strange, "outlandish", both "barbaric" and bizarre. In Chapter 12, devoted to his biography, the reader learns that in the eyes of his family, his stay in the Christian world makes the savage unfit to access an otherwise legitimate throne, but the 'Christian world "does not regard him as "civilized "!

As for Ishmael, he decides to take a path seemingly opposed to the ethos of the Christian world he belongs to and adopts the cannibal's hideous face, to which he feels irresistibly attracted: "*Wild he was ; a very sight of sights to see ; yet I began to feel myself mysteriously drawn towards him. And those same things that would have repelled most others, they were the very magnets that thus drew me.* "[10, P. 53].

This concept of faciality also appears in *Billy Budd*, through the noticeable and radical alteration of the main character : after murdering Claggart and being sentenced to death, the young "Handsome Sailor ", the former jewel of the British Navy previously and unanimously considered as innocent and profoundly moral ("*The moral nature was seldom out of keeping with the physical make"*[9, P. 431] radically changes status. Indeed, Billy Budd's perfect indifference to the pious words of the Chaplain come to comfort him on his last night before the execution, results in his "downgrading" to the rank of barbarian: "*in vain the good Chaplain sought to impress the young barbarian with ideas of death akin to those conveyed in the skull, dial, and cross-bones on old tombstones; equally futile to all appearance were his efforts to bring home to him the thought of salvation and a Saviour.*" [9, P. 495]. As the young foretopman evinces little – if any- of the emotion or decorous behaviour expected from a White Man/ Christian, it can only be because he has become a "savage" : "*And this sailor-way of taking clerical discourse is not wholly unlike the way in which the pioneer of Christianity full of transcendent miracles was received long ago on tropic isles by any superior savage so called.*" [9, P. 495].

III - Billy Budd or the impossible confrontation

Melville's last text - posthumously published - mainly revolves around the problematic relationship to the other, which can be addressed from the perspective of alterity, as Levinas's analyzes it in *Otherwise Than Being*. The status and definition of the Other need to be clarified in this theory : standing as a figure that appears in face-to-face encounters, facing the face of the other, the other assigns me to responsibility, and even persecutes me, a situation that appears to be that of the famous "Handsome Sailor" in Melville's novella.

The philosophical concept of responsibility is designated by Levinas by a noun corresponding to the verb "to answer", in the double significance of " answering to" and "answering for". Others appeal to me. And it is in response to this call that I am me, to the point of existing in the accusative : "Here I am", Levinas says. Exposed to the other and to its violence, Billy Budd must actually "answer to " (before "answering for") the other, or rather the face of the Other embodied by the Master at Arms and the Captain of the

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ship in the famous confrontation scene; but first the young sailor shows a total inability to speak (and therefore to answer), a main expression of his passivity conveyed through the typical stutter which afflicts him in the emotionally intense situations. In such circumstances, he is absolutely unable to reply and defend himself, which leaves him no choice but to kill Claggart during the deadly face-to-face of Chapter 19. The Master-at-arms appears here as essentially different, an irreducible figure of the outside termed as "face" by Levinas. It is only with the manifestation of his face that this irreducible other shows his presence in an "epiphany" that Levinas calls "face" : Coming from the other side of being, it stands as a revelation of an other world, absolutely outside and above me, and above Billy Budd. Claggart seems to be here an "outside", an "other", a threatening face, the stranger with whom it is impossible to establish a relationship, with whom there is an "infinite distance" never reducible to the domain of the same and which therefore constitutes an absolute difference : " In speech, it is the outside,that speaks in giving rise to speech, and permitting me to speak" Blanchot writes [1, P.55]

The face of the other definietely appeals to Billy Budd, as a subject or " me" summoned to answer and accept this necessary responsibility by setting himself in the "accusative". The deadly confrontation between the foretopman and the master-at-arms takes on the appearance of a conflict between two faces: after ordering Claggart to "*tell this man to his face*" what he had just heard, Captain Vere is preparing "*to scrutinize the mutually confronting visages.*"[9, P. 476]. The phrasing itself implicitly hints at an underlying meaning, as the definition of" confront "given by the *Webster Dictionary* suggests, among several possible meanings:

1) to face especially in challenge : oppose <confront an enemy>

2) to cause to meet : bring face-to-face <confront a reader with statistics>

Both meanings expressed by these entries suggest the potential but predictable violence that will break out in this impossible dialogue. The fatal outcome of this face-to-face is hardly surprising, since it establishes an admittedly impossible connection between the "*yet smooth face, all but feminine in purity of natural com-*

plexion [9, P. 436] of the innocent sailor and Claggart's "*remarkable face,*" radically different from that of Billy and the other mariners as chapter 8 makes it clear. The "marked contrast between the persons of the twain " assessed in Chapter 13 extends into the crucial scene of chapter 19; the distance between the other and the foretopman seems to be infinite, yet this distance is at the same time a presence, albeit a definitely different and therefore infinitely "other" presence. The face-to-face stages the terrible encounter with the other in its immediacy, revealing in speech an other who goes beyond and exceeds the young sailor.

But the only "answer" that Billy Budd is able to make to the other does not resort to any speech or dialogue; as this is impossible, he responds with the physical violence of his uncontrolled gesture by which, far from shirking from the call of the other, Billy Budd really constitutes himself as a responsible subject, which entails a change in his status from the self in the accusative to a "self – accused I", following a progression from responsibility to identity, and finally to freedom.

Now there can be a language only because there is an otherness and a fundamental difference between speakers; therefore the other cannot be on an equal footing, essential to the existence of a dialogue, as any true "discourse is discourse with God and not with equals", Levinas declares [6, P. 297]. The absence of this distance, which allows communication to take place, is a separation which also constitutes a protection and makes the immediate inaccessible. This confrontation with the other face occurs in the speech that governs the face-to-face: in this case, the encounter with the naked and immediate presence of the other becomes totally irreducible to any measurement, any mediation, and my power cannot be satisfied with a partial negation; it asserts itself through a much more radical affirmation which can lead to death (i.e absolute negation). Man facing man has no choice but to speak or to kill. In the confined space of the captain's cabin, Billy Budd is facing this face of exteriority; summoned by Vere to " speak" to defend himself, the petrified sailor is unable to do so and has no alternative but to kill the officer. In this terrible encounter where the mute protagonist has no other choice, to kill or to speak, he also shows a " passive" exposure to

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the face, or to the other, when facing the face of the threatening other.

Billy Budd's passion

One of the main characteristics of this otherness is violence, whether immanent (the violence of the Same) or transcendent (the violence of the other). The violence of Transcendence is never perceived from a center, it is always received, or suffered. This violence is that of the other, who still affects me, an "exteriority" which comes from the other, or the others. But the Other is very ambivalent, and Billy Budd stands as a subject exposed to a threatening Other that appears either as Justice or murderer.

The Other appears as rather amorphous and blurry, for the other who threatens me is not only the victim but also the implacable judge who threatens my comfort, or even my life with a death sentence: in Melville's fiction, it appears alternately under the features of Captain Vere (who will ironically end his career on the aptly named " Atheist", and for Levinas, atheism means separation, an essential requirement for the possibility of the Face), of the officers of the hastily assembled court martial and of course, of the malicious, aggressive enemy Claggart, who harbours evil intentions towards Billy Budd. Faced with this wickedness of the others, only a passivity or undergoing of the subject (that can even reach nonsense) may be characterized as "absolute Patience" [9, P. 111].

In this relationship of non-reciprocity, where the Other is radically different, pointing to an "other" proves to be impossible, " the face appears as no one: it must be understood henceforth no longer only as superlative phenomenality, but as its anonymity; it appears as "no-one," as no individual, as no particular person, in short, it neither appears in person nor as a person." [8, P. 49]

CONCLUSION

The notion of Other that guided our analysis varies according to philosophers and writers. In the two texts taken from the American literary canon, the concepts analysed by Levinas bring to the fore what a complete philosophical tradition had always rejected, i.e. the Other in aid of the Same, the Other who, "manifesting itself as being, loses its otherness" [3, P.263-] Like the various instances of idols in *Moby-Dick*, alterity appears as pure externality, sometimes without

phenomenality, as radically different; the other to whom the subject is exposed is also caught in an asymmetrical relationship, since he can hardly bear any relation with that irreducible otherness; and yet, the other orders the subject to answer. The case of Billy Budd summoned to respond to Claggart definitely shows the subject's passing to the accusative while being persecuted by the absolutely other.

Billy Budd's subjectivity is described as "twisted", crucified, as evidenced by the depiction of his face bearing *" an expression which was as a crucifixion to behold"* [9, P. 479]. This is indeed an ordeal, a "passion" of Billy Budd who also experiences the passion of exteriority. The Handsome Sailor seems doomed to passivity, a term which a semantic shift can change from "passion" to "patient passivity", where patience characterizes a passivity close to quietism; but there is another kind of "patience", which eludes any formulation and suggests a movement toward the unsurpassable, which says nothing, but the being as Being. This is the case of the young seaman, who does not utter a word, who never protests and nods silently, patiently. This infinite passivity, which "goes beyond being" makes him an original figure who goes beyond "any form explainable." Billy Budd unquestionably obeys a logic that defies comprehension; like Claggart, he already appears as "other" in the universe of the *Bellipotent*, a stranger to a world from which he stands out: after all, is not Billy *" (...) a sort of upright barbarian"* [9, P. 438] belonging to one of *"those so-called barbarous"* communities *"which in all respects stand nearer to unadulterate Nature "*? [9, P. 494]. Apparently the young seaman can exist only in the suspension of his will, his "ascending" flooding the world with the clarity of dawn: Billy Budd is an angel, as Vere's remark highlights it : *"Struck dead by an angel of God! Yet the angel must hang!"* [9, P. 478]. An angel, that is to say αγγνλος, a messenger of a transcendent speech in which God is the Other itself.

From *Moby-Dick* to *Billy Budd*, Melville's fiction shows an evolution similar to that of Levinas from *Totality and Infinity* to *Otherwise than Being*. However the question of otherness, of which the concept of face is only one aspect, stands as a central issue in the study of literary representation: first in terms of narrative and

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storytelling, then in hermeneutics, through the notion of trace related to language in the system of J.Derrida, a contemporary and friend of Levinas's. The desire to get out of oneself towards the other is a thought of pure difference which encounters a major obstacle in language itself, as speech occurs in the space of the Same. Under these conditions, how can the other be conceived if it does speak only as exteriority, in a space of non-alterity?

This seems to imply a rejection of traditional philosophy, and a will to leave the model of Greek philosophy, based on the central ideas of the one and the same (for Plato, the other is a subjectivity that should be reduced, by force if necessary). The discussion between the purser and the surgeon about the strange absence of movement points to the inadequacy of the Greek thought and model :

"Euthanasia, Mr. Purser, is something like your will-power: I doubt its authenticity as a scientific term —— begging your pardon again. It is at once imaginative and metaphysical — in short, Greek". [9, P. 499].

In other words, the surgeon's doubts about Greek and its lack of seriousness seems to show the need to exit the tradition of Greek philosophy and the overwhelming supremacy of the One and the Same.

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L'HISTOIRE DES MENTALITÉS EN LITTÉRATURE: L'IMAGINAIRE DE LA CRÉATION AU XVIE SIÈCLE

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Abstract

This study presents a reflection on the critical approach of the literature from the history of the mentalities. To understand the works of the XVIth century it is advisable to make an effort of epistemological disorientation, to find as far as possible the processes exégétiques which livened up the authors and the readers of the studied period, to read texts according to *their* criteria of reading, and *their* own conception of poetic creation. The study of the historic, philosophic, artistic, and theological context must allow to draw the lines of a mental landscape, and to seize the coherence of their intellectual and imaginary universe. Thus, the modern reader discovers a literature which sets seriously, more than he or she would have thought, the efficiency of the word and the wealth of his or her spiritual echos. The works of the Pleiad for example organize a significant polyphony, from a multiplicity of sources, to offer them the purification and regeneration. The link of the humanist authors with texts must be dreaded in its complexity: he considers a dynamics of transformation of texts in a cultural continuum where the redemption of the world history takes place.

Key words: Literary critic; history of the mentalities; literature of the XVIth century; renaissance; conception of the literature; antiquity and Christianity.

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Introduction

De nombreuses écoles critiques (comme le formalisme, les approches psychologiques, sociologiques, etc.), ont fait peser un soupçon sur les notions mêmes d'auteur et de sens dans l'œuvre littéraire. Ce soupçon, qui correspond à une crise de la pensée au XXe siècle, permet de mesurer combien il est anachronique d'aborder les textes des siècles passés avec un regard moderne. On peut ainsi aboutir à des interprétations totalement opposées d'une même œuvre. Les romans de Rabelais, par exemple, ont été étudiés à la lumière de son « athéisme » [1]; ou de son engagement évangéliste [2, 3, 4] ; ou à la lumière d'un combat social qui montrerait le triomphe du carnaval populaire contre la culture dominante [5], pour en arriver être le symbole d'une écriture ludique, jouissant du non-sens et de la contestation permanente des savoirs [6]. Ces contradictions proviennent de la différence de positionnement du sujet critique : si sa démarche d'analyse demeure ancrée dans son propre temps, il est normal que son discours en reflète d'abord la pensée et les problématiques, au lieu d'éclairer les textes prétendument analysés. Pour comprendre les textes du XVIe siècle, en effet, il convient de faire un effort de dépaysement épistémologique, pour retrouver autant que possible les processus exégétiques qui ont animé les auteurs et les lecteurs de l'époque étudiée [7]. Les démarches d'interprétations sont soumises à l'évolution des différentes *épistémè* au cours des siècles. Elles font partie d'un ensemble cohérent de représentations du monde, de l'homme, du sens (ou de la négation du sens pour les périodes modernes), c'est-à-dire d'un univers mental, que le critique doit tenter de cerner et de reconstituer, afin de lire les textes selon *leurs* critères de lecture.

De même qu'il existe un courant d'études des mentalités dans les disciplines historiques, il s'agit d'affiner une méthode de critique littéraire qui s'appuie sur l'analyse préalable des mentalités esthétiques, pour cerner les conditions de création des œuvres, leur système exégétique et la représentation que l'on se faisait de la valeur des œuvres et de leur fonction.

Nous voudrions proposer ici, après quelques remarques de méthode, des pistes pour mieux appréhender l'imaginaire de la création littéraire au XVIe siècle.

I. Remarques sur l'histoire des mentalités en littérature.

Les «mentalités» sont les systèmes de représentations qui, à une époque donnée, régissent les structures de l'imaginaire, des concepts et des représentations, ainsi que la manière dont on donne du sens, dont on conduit les chemins d'interprétation –ceux qui guident à la fois la création et la réception, dans un univers mental cohérent. Le critique doit d'abord identifier les sources de confusion entre son propre système de pensée et celui de la période étudiée de façon à analyser les textes avec les outils exégétiques et culturels qui étaient les leurs. Pour cela, il convient de réexaminer systématiquement les définitions de termes, de notions, les relations entre les concepts et les images, sans rien considérer comme « allant de soi ». Par exemple au XVIe siècle, les mots français sont très proches de leur sens étymologique, et en même temps la relation au langage reste créative puisque la langue elle-même est en pleine croissance et le chantier littéraire est ouvert à toutes les investigations. Le programme d'illustration des Lettres françaises de la Pléiade (Du Bellay, *La Défense et illustration de la langue française*, 1549), encourage l'innovation par l'imitation des Anciens, le travail sur une langue, qu'il faut corriger et «faire fructifier».

De plus, les notions, les images sont organisées selon un système de valeur spécifique. L'analyse des éléments notionnels et imaginaires se complète par celle de l'architecture générale des représentations. De même que dans le langage le vocabulaire se comprend par rapport à la syntaxe, qui organise un sens, dans les « mentalités » les éléments (thèmes, notions, etc.) s'articulent entre eux selon une hiérarchie des valeurs et une axiologie spécifique, qui met au premier plan certaines lignes de force et renvoie d'autres massifs dans l'ombre. Les études de thèmes sont donc incomplètes si elles ne tiennent pas compte des différentes mentalités qui leur donnent une nouvelle place et un nouveau sens. C'est ce paysage général, dans toutes ses dimensions, qui permet de lire et d'expliquer les œuvres dans leur contexte et selon leurs principes herméneutiques.

L'explication littéraire s'appuie ainsi sur une pluridisciplinarité qui met en relation

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l'ensemble des créations artistiques, littéraires, philosophiques et religieuses, et les conditions historiques, de façon à comprendre ce qui anime le geste de l'artiste, quel est son dessein, quels sont les enjeux de son œuvre. Il est révélateur d'étudier le travail de l'écriture poétique à partir des textes de réflexions sur la langue, et des débats idéologiques et spirituels, dont on trouve la trace dans les préfaces, les productions théoriques et culturelles contemporaines. Peu à peu se dessinent de nouveaux systèmes d'oppositions, de rapprochements, de renvois, ainsi que des questionnements sous-jacents, alors brûlants d'actualité, et invisibles pour un regard moderne.

Cette méthode se fonde d'abord sur l'analyse comparée et précise de textes contemporains. Christophe Bourgeois, dans son ouvrage *Théologies poétiques de l'âge baroque, La muse chrétienne (1570-1630)*, 2006, a conduit une analyse croisée des poèmes et des pratiques de la parole religieuse (traités de dévotion, ouvrages mystiques, catéchétiques, commentaires et paraphrases). Il a pu repérer des types de discours « qui s'offrent au poète comme un matériau disponible pour sa propre composition ». Selon lui, les modèles de la méditation ou du sermon, les mécanismes herméneutiques déployés par tel ou tel commentaire, importent davantage «que les modèles symboliques censés être communs à tous ces textes. D'une certaine manière ils nous font entrer dans l'atelier de la Muse chrétienne, si l'on veut bien être attentif aux mécanismes complexes qui régissent la transposition en vers d'un motif issu d'un traité, d'une méditation patristique ou d'un commentaire homilétique» [8]. De la même façon, Guy Demerson [9] montre à propos de Rabelais que la pratique franciscaine des sermons parodiques, de l'ironie et l'autodérision, exercée au sein de la vie fraternelle ecclésiale, dans une visée purificatrice et spirituelle, explique la fonction mystérieuse du «rire» et du jeu dans l'œuvre rabelaisienne, et d'une certaine façon permet de dépasser les contradictions de la critique que nous avons soulignées en introduction.

Quelles sont les notions déterminantes et complémentaires pour commencer à dessiner une « mentalité » ? On peut en distinguer deux particulièrement révélatrices : la conception de l'homme (dans son rapport au monde, à Dieu, dans la définition qu'il donne de lui-même) et sa conception des relations entre le signe et le sens. Or, les textes littéraires sont précisément les lieux d'exploration privilégiés de ces problématiques, et offrent à déchiffrer un système herméneutique en acte.

Il nous faut donc commencer par poser les jalons d'un imaginaire de l'écriture littéraire.

2. L'imaginaire de l'écriture.

Le XVIe siècle en France est une époque de renouvellement de la pensée mais aussi de crise [10]. Les Réformés apportent un nouveau modèle anthropologique et sémiotique qui fait débat. Pour eux, il y a rupture entre le signe et le sens, entre l'homme et Dieu, alors que les catholiques valorisent la continuité mystérieuse qui les réunit. La critique calviniste de l'art, qui distrairait l'homme de sa piété, oblige toujours plus les poètes des deux confessions à justifier leurs choix d'écriture et à en analyser les enjeux théologiques. Si, pour certains auteurs, les sources religieuses ont été largement étudiées (Marguerite de Navarre, Rabelais, M. Scève, Marot), pour d'autres, notamment les auteurs de la Pléiade, elles ont été souvent négligées, la critique ayant plutôt favorisé la recherche des sources antiques; or, les sources scripturaires et patristiques permettent d'éclairer considérablement leur création.

Les références aux textes antiques sont à déchiffrer par rapport à la conception de l'histoire humaine universelle: elles sont transformées et réorientées en fonction de perspectives spirituelles, éthiques et métaphysiques. Car l'univers mental du XVIe siècle, comme celui du Moyen Age, est beaucoup plus cohérent que le nôtre. Tout a un sens, tout est plein de signes et de symboles. Les humanistes cherchent à trouver les clefs de lecture qui permettraient d'articuler et de lier l'Antiquité et la modernité, le profane et le sacré.

Si les protestants critiquaient les références antiques, c'était dans une entreprise de transformation de la parole littéraire par la substitution de tous les modèles anciens par les seules sources bibliques, et non parce qu'ils auraient cru que les catholiques étaient devenus païens au sens propre. Ils valorisaient un modèle lit-

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téraire substitutif, au nom de la vraie foi ; tandis que les catholiques valorisaient un modèle littéraire d'unification et de transformation des sources antiques. Marc Fumaroli montre que la fin du Concile de Trente ouvre un véritable «atelier» de rhétorique, qui s'appuie à la fois sur les auteurs antiques et sur Saint Augustin et les Pères de l'Eglise. Le cardinal Charles Borromée réunit à Rome une Académie des Nuits Vaticanes pour chercher une voie de conciliation où l'éloquence profane soit au service de la foi, une rhétorique dont l'unité soit fondée sur l'inspiration intérieure. Les jésuites à la fin du XVIe siècle font une place encore plus large aux modèles antiques et à la culture universelle. Ainsi, « paradoxalement, le recul du «cicéronianisme», le rejet d'un culte «païen» et exclusif de la forme, s'accompagnent d'un véritable triomphe de l'éloquence, élevée à la dignité d'office sacerdotal et apostolique. Préparée par la pédagogie rhétorique des collèges et des séminaires, répandue sur un immense public par une armée de prédicateurs, cette Eloquence sacrée est par principe la rivale sinon l'ennemie des Belles Lettres profanes et modernes. Mais elle doit s'appuyer, pour plaire autant qu'instruire, sur le modèle des Belles lettres profanes de l'Antiquité, elle associe la théologie et le « bien dire » en langue vulgaire... » [11].

La poésie, quant à elle, est particulièrement apte à devenir ce creuset de conciliation mystérieuse. Or ce point a été source de confusion pour des générations de lecteurs modernes, croyant que le recours à l'Antiquité païenne signifiait un reniement ou une opposition à la culture chrétienne. Ronsard a été apprécié pour ce qu'on imaginait être une liberté d'esprit, parce que ses ouvrages sont imprégnés de mythologie. Paul Laumonier a (toujours au début d'un XXe siècle qui se plaisait à renier la religion chrétienne), relevé soigneusement, dans les notes de son édition des œuvres de Ronsard, les références aux auteurs antiques, et éludé celles qui renvoient aux textes bibliques, liturgiques et patristiques. Or, la dimension religieuse, l'autre grand pan de la culture humaniste (aussi important que le modèle classique), permet de résoudre bien des ambiguïtés ou contradictions apparentes, car les ressources de la pensée antique étaient utilisées dans une perspective

d'évolution des civilisations, et mises au service de problématiques nouvelles.

La «Renaissance» des Lettres antiques s'est faite d'abord dans la perspective exégétique «typologique» héritée de la Tradition patristique, avec une tentative synthétique d'unification des savoirs à la lumière de la révélation chrétienne (c'est l'entreprise, entre autres, d'un Marsile Ficin), et d'une réintégration des sagesses antiques dans un vaste courant de «*reductio ad sacram scripturam*», qui accomplit une sorte de «rédemption» de toutes les cultures humaines, dans la mesure où elles avaient à leur manière et avec leurs limites, progressivement pressenti les prémices de la Vérité, et préparé les hommes à la recevoir. Loin d'être le signe d'un retour au paganisme, la résurgence de l'antiquité est canalisée et orientée. Guillaume Budé, montre comment, dans le *transitus* ou le *passage* d'une civilisation à une autre, s'opère une sorte de purification baptismale (*De transitu hellenismi ad Christianismum,* 1535). Le dessein humaniste est celui d'une thérapie de la mémoire où les fils de l'histoire seraient renoués dans une même aventure humaine.

L'originalité dans la création telle que la conçoivent les modernes, c'est-à-dire l'inédit, ce qui rompt avec la tradition, n'est pas intéressant au XVIe siècle. Le texte à la Renaissance est conçu comme tissé d'autres textes, dont il se nourrit, qu'il transforme et avec lesquels il dialogue, comme en témoignent la poétique de la Pléiade, les discours construits autour de citations, les «farcissures» de Montaigne [12]. C'est la visibilité de cette trame textuelle qui donne sa beauté et sa profondeur au texte, et c'est dans cette profondeur que le poète travaille, à la face des peuples et de l'histoire universelle. Inventer quelque chose d'inédit ne peut se faire qu'à partir de ce travail subtil d'orchestration de résonances complexes.

L'un des paradoxes de cette littérature du XVIe siècle peut être résumé dans la formule saisissante de Du Bellay: «Et puis je me vante d'avoir inventé ce que j'ay mot à mot traduit des aultres» [13]. L'inspiration, selon Du Bellay et la Pléiade, provient à la fois de la fureur et du travail, les deux étant en échange permanent. Dorat formait ses élèves à une lecture «généalogique» des textes, en montrant comment

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les auteurs latins s'étaient approprié les textes grecs, et, par-delà, ceux des civilisations précédentes. On se plaisait à l'idée que le flambeau de la civilisation, selon la *translatio studii,* venue de la renaissance italienne, suivît un schéma historique ascensionnel, chaque civilisation (successivement l'Egypte, la Grèce, Rome, l'Italie, la France…) vivant une étape de gloire, puis de décadence, après laquelle la suivante en reprenait les acquis et les portait à un degré supérieur… Les jeunes poètes voulaient participer au renouveau de la société, aux côtés du Prince, contre les risques de régression à la barbarie, dans une mission de sauvegarde la civilisation et de l'humanité tout entière. Ecrire signifiait pour eux entrer dans l'immense concert polyphonique des paroles humaines au cours des siècles [14].

Nous devons mesurer l'impact de cet imaginaire. La notion d'imitation ou d'« innutrition » suppose qu'une transformation s'opère dans la personne même du poète pour donner naissance à un texte organique et « vivant », qui à son tour produise de la vie chez le lecteur. Les métaphores sont révélatrices : les Romains, dit Du Bellay, « Immitant les meilleurs aucteurs Grecz, se transformant en eux, les devorant, et après les avoir bien digérez, les convertissant en sang et nourriture », en reprenaient les plus beaux traits et les vertus, «et icelles comme grephes, entoient [*greffaient*] et apliquoient à leur Langue» [15]. L'imprégnation des plus beaux textes fait partie d'une véritable initiation du poète, et son travail devient une ascèse [16]. L'œuvre est perçue de façon quasi biologique : le poète a pour mission de soigner, de cultiver la langue comme un jardinier. Ainsi qu'Adam, placé dans le Jardin pour le cultiver, le poète humaniste doit collaborer à l'œuvre divine de transformation du monde et de lui-même [17]. Or, l'étude des lettres, selon Guillaume Budé est le moyen privilégié pour l'homme d'«accomplir» son humanité : sans elles, dit-il, les Romains «estimaient en effet que …les hommes n'étaient guère capables d'accomplir et de conserver leur humanité» [18]. Les *studiae humaniores* permettent de devenir «davantage» homme. Car, «On ne naît pas homme, on le devient» selon la formule d'Erasme [19]. L'image de la greffe du travail poétique rejoint celle de l'inspiration, puisque l'homme est directement relié à la source divine qui lui donne l'Etre en permanence.

Entre le Verbe de Dieu et la poésie, il existe une connexion mystérieuse qui donne une efficacité indirecte à la parole poétique, et oblige l'homme à en user pour l'harmonie et la paix. Ronsard rappelle la dimension métaphysique et spirituelle de la poésie, *Prisca theologia*, -dans un passage repris par tous les arts poétiques jusqu'à la fin du siècle-: «la Poësie n'estoit au premier aage qu'une Theologie allegoricque» [20], donnée à l'homme de façon à devenir compréhensible, au travers d'un processus d'enrichissement de la parole. Les premiers poètes «divins» ont développé les messages succincts des oracles, prophètes, etc., pour habituer l'imaginaire à la révélation de Dieu : «ce que les oracles disoyent en peu de motz, [ils] l'emplifioyent, coloroyent, et augmentoyent». Puis, vinrent les poètes «humains» (Virgile, Horace…), qui ont transmis les «fables» en prenant au sens propre ce qu'il fallait interpréter en sens allégorique,… C'est l'origine du paganisme: «Les Muses, Apollon, Mercure, Pallas et autres telles déitez ne nous représentent autre chose que les puissances de Dieu, auquel les premiers hommes avoyent donné plusieurs noms pour les divers effectz de son incomprehensible majesté». Pour Ronsard, le poète peut recevoir l'inspiration par contiguïté, au travers des textes inspirés, car il peut désormais sous les déviations païennes dont ils ont été l'objet, en lire le message profond (cf son Hymne de l'Hercule chrestien). Il existe selon lui une véritable contagion de l'Inspiration – et de la révélation-, du poète au lecteur, grâce à la puissance sacrée qui émane encore du texte, comme par une chaîne aimantée. L'image vient de Platon [21]. L'intertextualité est ainsi l'équivalent, dans le domaine de la poésie, de la *ruminatio* des textes sacrés que saint Augustin conseillait aux moines comme préparation spirituelle. L'écriture a bien pour enjeu une transmutation **et une** *métanoïa*. Sans cette dimension, ne restent que des «versificateurs», selon les termes méprisants de Ronsard et Du Bellay. Les poètes de la Pléiade veulent créer une parole «mythique», c'est-à-dire qui laisse entendre le déploiement des significations dans l'architecture des strates textuelles, jusqu'à l'infini.

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Le but recherché est toujours une révélation intérieure chez le lecteur, dont on sait qu'elle excédera le seul dessein du poète, car le texte n'appartient à personne, et demeure un outil au service de la croissance personnelle de chacun. Les formes sont d'une importance relative par rapport à ce dessein heuristique supérieur (les genres ne sont pas encore fixés, les règles ne seront élaborées qu'au XVIIe siècle). La figure de la «pointe» est souvent utilisée dans le sonnet pour provoquer un choc, une surprise, qui oblige à relire l'ensemble avec un autre regard. La lecture permet l'apprentissage infini de points de vue et de la clarification des chemins de vérité. Loin de l'illusion de la *mimesis* **de la** première renaissance, qui prétendait donner accès au réel, comme par une fenêtre ouverte, l'homme du XVIe siècle pense qu'il ne peut atteindre la vérité que de biais, c'est-à-dire par la prise en compte des déformations subjectives qui garantissent aussi l'authenticité de la révélation au cœur de l'homme.

Le maniérisme et le baroque organisent partout une dramatique de l'interprétation. Ces esthétiques, si souvent décriées pour leur goût de l'artifice, disposent une réfraction des textes entre eux (maniérisme) ou une dynamique puissante (baroque) pour engager et soutenir le lecteur dans une quête du sens au-delà de toutes les illusions. Une des difficultés pour le lecteur moderne est de comprendre combien les hommes de ce temps prenaient au sérieux le pouvoir de la parole, et la quête du sens, que notre époque a si facilement évacué.

Conclusion

Ainsi, les textes du XVIe siècle doivent être analysés à partir de leur propre conception de la création poétique. L'histoire des mentalités esthétiques permet de lier des domaines jusqu'ici séparés, et de comprendre la cohérence de ce qui semble contradictoire au premier abord. La notion d'auteur permet de replacer le texte dans un ensemble de représentations humaines, subjectives, et de reconstituer les réseaux sémantiques d'une société. Le lecteur moderne découvre alors une littérature qui prend au sérieux, plus qu'il ne l'aurait pensé, l'efficacité de la parole et la richesse de ses résonances spirituelles. Les œuvres de la Pléiade par exemple organisent une polyphonie signifiante, à partir d'une multiplicité de sources, pour les offrir à la purification et à la régénération. Les auteurs donnent un sens à cette histoire universelle. Pour eux, les cultures sont appelées à se rejoindre, comme les paroles poétiques, dans un dialogue infini, une mise en harmonie d'échos intertextuels, qui dessinent un chemin de sens et d'unité, et contribuent au dévoilement de la vérité en chaque lecteur.

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13. *L'Olive*, éd. E. Caldarini, in Joachim du Bellay, *La deffence et illustration de la langue françoyse et l'Olive*, TLF, Droz, Genève, 2007, p. 235.
14. Du Bellay, Joachim, *La Deffense et illustration de la langue françoyse*, éd. H. Chamard, Paris, Marcel Didier, S.T.F.M., 1961, p. 195-197 : « La donq', Françoys, marchez couraigeusement vers cette superbe cité Romaine; et des serves depouilles d'elle (comme vous avez fait plus d'une fois) ornez voz temples et autelz ».
15. *Deffence, éd. cit*, I, chap.VII, p. 42.
16. Voir *Deffense, éd. cit*, II, chap. III, p.106.
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THE SATIRIC GROTESQUE IN POE'S TALES OF THE GROTESQUE AND ARABESQUE

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ABSTRACT

This paper surveys the grotesque which takes a principal position in the American literature since the nineteenth to the present. It outlines the evolution of grotesque from art to literary form, and its meaning that is combined from different critical works. Moreover, it describes the grotesque from the gothic to the textual analysis of Tales of the Grotesque and Arabesque which is a short fiction by Edgar Allen Poe as a key literary writer in the ground of the grotesque. He appears as a groundbreaking writer in the nineteenth century American literature and a fruitful influence on his followers. His grotesques are not as common as his gothic stories because the former ones are of a humorous and unusual character when compared to his other stories. In fact, his grotesques fall into the territory of satirical grotesques. s.

Key words: grotesque; satire; horror; gothic; humor.

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Introduction

Edgar Allan Poe (1809-1849), an American poet and short story writer, is a well-known writer in horror fiction, not only in the nineteenth century, but to date. The grotesque in both art and literature is used significantly. Grotesque and arabesque are two artistic terms which are used in Poe's *Tales of The Grotesque and the Arabesque* in 1840. It derives from the Italian term *grotte* that it means caves in English. The archaic meaning of this word was the chambers of old historical building in sixteenth century. Such buildings had frescoes and decorative paintings including weird images of half-human and half-animal beings.

Thus, it is generally accepted that the word grotesque originated as a term descriptive of the fanciful murals, in which human and animal motifs were combined with foliage and floral decoration, found in the chambers of Roman buildings excavated about 1500, particularly in the Domus Aurea of Nero. [3, p.1]

In his short stories, he was both trying to cash in on present interest and also satisfy the readers. He shows a penchant for the combination of fantasy and grotesque for weird characters who are mostly doomed and isolated in strange dramatic settings.

Afterwards, the term of grotesque became synonymous with words of 'irrational', 'irregular', 'licentious', and 'immoral'. Although, this term extended to the field of literature in sixteenth century in France, but its common usage in literary works started from eighteenth century. In the nineteenth century, this word extended to the kind of art that was similar to caricature in order to exaggerate the characters. In that time, grotesques were satirical pictures which were used as sarcastic ways to present social, economic, political and religious themes satirically. In the twentieth and twenty-first centuries, this term has divorced from its archaic roots and has become a big umbrella term. The distinguishing of grotesque with gothic is the main reason for all misunderstandings in mystifying grotesque with something like deformity and monstrousness. The word of gothic to Brenden Hennessy has three principle meanings:

Barbarous, like the gothic tribes of the Middle Ages – which is what the Renaissance meant by the word; medieval, with all the associations of castles, knights in armor and chivalry; and the supernatural, with the associations of the fearful and the unknown and the mysterious. [3, p.7]

From Gothic to Grotesque

Gothic in fiction includes different themes if deformity, fear, evil, crime, punishment, and death. In this genre of literature, the atmosphere of horror is displaced in the settings everywhere – dungeons, secret underground passages, castles, dark jungles, desolated cities and houses, winding staircases, and so on. The characters of this genre are mostly devils, cripples, and mysterious people. Therefore, fear is the birthplace of the gothic in which writers usually try to show it in every part of their stories. According to the German critic, Wolfgang Kayser, the grotesque is an alienated world which instills the fear of life rather than the fear of death. To him,

The grotesque is a play with the absurd. In spite of all the helplessness and horror inspired by the dark forces which lurk in and behind our world and have power to estrange it, the truly artistic portrayal effects a secret liberation. The darkness has been sighted, the ominous powers discovered, the incomprehensible forces challenged. And thus, we arrive at a final interpretation of the grotesque: an attempt to invoke and subdue the demonic aspects of the world. [7, p.188]

In general, the characters in the grotesque are exaggerated because the grotesque is characterized by distortion or unnatural combinations of the human and animal realms. These characters are mostly physically deformed or mentally distorted characters. They are usually depicted as victims of guilt, passion and insanity.

Although the themes of the grotesque are commonly contained by alienation, absurdity, ambiguity and insanity, the treatment is comic. To most of the twentieth century gothic writers, the grotesque is a psychic phenomenon, which intends to explore the levels of human experience. They succeed in locating horror within human being's psyche, not environment. Concerning the role of comic in the grotesque, Philip Thomson says,

In the discussion of the difficult role of the comic in the grotesque, it was pointed out that laughter at the grotesque is not 'free', that the horrifying or disgusting aspect cuts across

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our amusement. In particular, it accounts in psychological terms for the essential paradox of the grotesque: that it is both liberating and tension – producing at the same time. [10, p.27]

Thus, the comic features in the grotesque are regarded to create such contradictory influences on the mind of the reader. In total, the world of the grotesque is placed somewhere between the tragic which is realistic, and the comic which is fantastic. The grotesque includes two kinds: the satiric, which is usually seen in ironic texts; and the demonic, which results in the feeling of disgust. The grotesque in Poe's works mostly contains humor and exaggeration. His basic technique of satire in most of his works is a distortion which is placed in the form of exaggeration.

Techniques of the Grotesque

Poe tries to look into the minds and hearts of his characters to show their thinking and emotions to the reader. He shows his satiric goal in his grotesque and his social satires and he camouflages death and fear in his stories. He, in this story, seems to criticize the poor literary taste of his contemporary writers. Characters like Mr. Lackobreath that is literally means 'lack of breath' and Mr. Windenough means 'enough of wind' show their roles in the story. Poe tries to describe with dramatic tone of unexpectedness like when the narrator loses his breath while abusing his wife in the story:

I was preparing to launch forth a new and more decided epithet of opprobrium, which should not fail, if ejaculated, to convince her of her insignificance, when, to my extreme horror and astonishment, I discovered that I had lost my breath. [4, p.485]

All the characters and happenings in this story are a beautiful imagination of Poe. He is a literature master in the nineteenth century who makes this story a mixture of fantasy and reality as the main characteristic of the grotesque. He unbelievably illustrates his characters of this story in all their grotesqueness. He strongly exaggerates a single characteristic in each character to make a perfect caricature of them as a grotesque. His descriptions of characters and happenings are comic irony that is a great combination of humor and horror. This is considered as a main requirement of the grotesque.

The most fetid and poisonous smells everywhere prevailed – and by the aid of that ghastly light which, even at midnight, never fails to emanate from a vapory and pestiential atmosphere, might be discerned lying in the by-paths and alleys, or nothing in the windowless habitations, the carcass of many a nocturnal plunderer arrested by the hand of plague in the very perpetration of his robbery. [4, p.193]

Another thing is that Poe's characters' names seem to be undermined: the Duchess of Bless my soul, the Marquis of So and So, the Earl of This-And-That, and his Royal Highness of Touch-me-Not. Poe tries to describe his story with dramatic suddenness for the reader's surprise. Although the story is based on reality, the characters and happenings seem artificial and illusionary. It makes the story a perfect synthesis of fantasy and reality which is a requirement of the grotesque. He succeeds in illustrating a perfect grotesque character in Mr. Smith by making him a cripple man with an artificial eye, leg, arm, teeth, hair and a voice-enhancing machine. The writer seems to hint at the truth that complete perfection is just a myth or a utopian ideal which happens only in the world of imagination. The real comic irony of the story lies in our realization of the hiatus between our imagination or expectations and actual reality that is what we imagine things and persons to be and what they are in actuality.

Poe sustains a feature of suddenness and surprise in accordance with the grotesque tradition. Even though all the characters and happenings in the story are a product of the writer's imagination, the main framework of the story is originated from the concrete social reality. He in this story digs at the pretentiousness of his contemporary writers in the field of science and progress. He makes a mocking satire about Democracy:

Thirteen Egyptian provinces determined all at one to be free, and to set a magnificent example to the rest of mankind. They assembled their wise men, and concocted the most ingenious constitution it is possible to conceive. For a while they managed remarkably well; only their habit of bragging was prodigious. The thing ended, however, in the consolidation of the 13 states, with some 15 or 20 others, in the most idioms and insupportable despotism that was ever heard upon the face of the earth. [1, p.547]

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THE SATIRIC GROTESQUE IN POE'S TALES
OF THE GROTESQUE AND ARABESQUE

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Poe rails at the spurious scholarship of contemporary society through fantasizing the revivification of an Egyptian mummy. Therefore, he makes fantasy as a tool for his criticism of reality in this society. He refrains from the character portrayal method, as he finds it dispensable to the plot which demands complete preoccupation with the mummy. He makes a terrifying description of the uncovering of the mummy which at once becomes grotesque. He originates the practice of comic allegorizing of names in the stories from the South Western humorists. The names that I have already mentioned include Mr. Windenough and Mr. Lackobreath.

To conclude, this story emphasizes the fact that Poe's grotesques are primarily satiric with the employment of techniques like distortion and exaggeration in the form of understatement, pretense, and others. Throughout the story, Poe introduced humorous observations on politicians and on contemporary notions of progress and delights in deflating the faith of modern men in their achievements and technology.

Conclusion

Edgar Allan Poe's satire is directed at the society at large. The important feature in his writing is the blending of humor and horror which is striking in his grotesque. Though he may start with conventional satiric playfulness, he dilutes it with exaggeration, puns and other wordplay, literary burlesque, even private jobs. The comic sense in Poe often emerges from the very proliferation of such devices, and though they may be funny in themselves, they crowd and nudge each other to the point where satiric intent is smudged.

In his grotesque, horror also runs closely with satirical humor. He uses the grotesque technique of suddenness and surprise to reach the anticipated effect of humor or horror. His fiction share a common focus as far as the fusion of the elements of humor and horror are concerned. But a distance should be placed between them. Because the specific tone of his short story is comically ironic. His story usually has a completely imaginative setting. His grotesques sound to be either realistic or completely separated from the facts of American life as he masterfully illustrates characters, happenings and settings that search the everyday experience of human.

Even though he seems to be worried about life-like characters and settings, they are against a contemporary social reality. It causes the exceptional feature of his grotesques that is the intertwining of the territories of fantasy and reality. All in all, Poe's fiction fits into the category of satiric grotesque, as he belongs to the pre-civil period or the Age of Romanticism. He is a product of his time, namely, the nineteenth century American Renaissance.

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РАЗДЕЛ IV. ЛИНГВИСТИКА И АКТУАЛЬНЫЕ ПРОБЛЕМЫ ПРЕПОДАВАНИЯ ИНОСТРАННЫХ ЯЗЫКОВ

Nancy Burkhalter

PREDICTING STUDENTS' GPAS BASED ON CLOZE TESTS IN KAZAKHSTAN

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Abstract

The purpose of this study was to determine what correlation, if any, existed between the MA TESOL entrance exam, specifically the cloze test, and students' performance in the program at an English-medium university in Central Asia. This was accomplished by comparing the results of students' scores on the three parts of the exam (cloze and two essays) with their GPAs. Findings showed the number correct in the second half (with exact-word scoring) of an academic passage had a higher correlation with GPA (0.60; significant at 0.01). Correlations with the essays were not significant. A brief review of the literature of the issues surrounding the cloze procedure relevant to our program are discussed, viz., 1) how well cloze measures ESL reading comprehension, 2) which scoring method correlates with second language proficiency, 3) whether we should score both halves or only the second half of the test, and 4) what the optimum deletion frequency is. The results will be used to further calibrate entrance requirements and exam assessment procedures.

Key words: cloze; reading comprehension; scoring method; deletion ratio.

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INTRODUCTION

Our English-medium university in Central Asia began a master's program in Teaching English to Speakers of Other Languages (MA TESOL) in 2007. Given that students in our program, most of whom speak English as a foreign language, must read anywhere from 20 to 50 pages each week from academic texts, accurate evaluation of applicants' reading comprehension is crucial.

To measure reading comprehension, we use the cloze procedure, a test requiring applicants to restore words deleted from a text. In addition to the cloze, other factors are also considered for admittance, such as a university wide entrance exam, two essays on the MA TESOL exam, and an interview to assess spoken English. We take these data and form a profile of the student's abilities, goals, and spoken language proficiency, and depending on their performance, grant regular status, no admittance, or provisional standing. Students falling into the latter category must take remedial English courses (e.g., graduate English classes, critical thinking, and/or foundation English classes) until such time as they are granted regular status.

Since its inception, the program has admitted 41 students and had 16 withdrawals. Of those who withdrew, nine earned a minimum of three credits toward the requisite 44. For purposes of program assessment, we wanted to revisit our testing procedures to determine if they are a reliable and valid method of testing applicants' abilities.

The purpose of this study was to see what correlation, if any, exists between our entrance exam, specifically the cloze test, and students' (N=28) performance in the program. The results of students' scores on the three parts of the MA TESOL exam (cloze and two essays) were compared with their GPAs. The results will be used to recalibrate our entrance requirements and exam assessment procedures.

We were particularly interested in re-examining the issues about cloze and its predictive ability. Cloze has been a controversial method of ESL reading assessment since it began being used by [15]. Proponents of cloze testing assert that it "measures comprehension that ranges beyond the context immediately surrounding a cloze deletion" and see it as "stable, reliable, and sensitive to comprehension processes at various levels." Critics, on the other hand, have found it

to be "unreliable and erratic" [8, P. 61]. While there are many issues surrounding cloze testing, the ones that relate to our inquiry include the following: 1) How well does cloze measure ESL reading comprehension? 2) Which scoring method correlates with second language (L2) proficiency?, 3) Should we score both halves or only the second half of the cloze?, and 4) what is the optimum deletion frequency? Following is a discussion of these issues.

OUR QUESTIONS SURROUNDING LOZE

1) How well does cloze measure ESL reading comprehension?

Text comprehension

[12] claims that standardized tests of reading comprehension correlate as high as .80 and above with cloze tests. [1], however, is not sanguine that cloze testing measures overall text comprehension but errs on the side of caution, stating that "...cloze is largely confined to the immediate environment" [P. 225]. After all, he points out, cloze never deletes phrases or clauses, which are, in the main, those elements that carry cohesive devices (with the "exception of anaphora, lexical repetition and logical connectors," [1, P. 225].

While researchers agree that context clues can occur in the near vicinity of the deleted word, and even beyond sentence boundaries, [12] states that some items can be sensitive to constraints as far away as 50 words before or after the blank. Not surprisingly, the more proficient subjects were in English, the more agile they were in reaching beyond sentence boundaries for context clues [4].

Even more difficult for readers are cases where the sense of the meaning is only hinted at through context with no exact referent. Take, for example, the following two sentences. To fill in the blanks using context, the deletions must be understood through a subtle clue requiring close attention to the meaning. (Words deleted are underlined):

Typically, these students come <u>to</u> the first class session <u>feeling</u> both apprehensive and resentful. <u>They</u> are nervous about having <u>to</u> take the class, and, <u>at</u> the same time, they ***suspect*** it will be of <u>no</u> use. [6, P. ix]

If we examine the word *suspect*, it seems at first blush to be a difficult (exact) replacement, but the clue, albeit subtle, is given in the first sentence, stating that students are both "apprehensive" and

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"resentful." In the second sentence, the first clause gives an example of their apprehension: because they are nervous about the test taking; the second clause gives an example of their resentfulness: they believe it is not useful. But the word *suspect* is a more appropriate replacement because it is not something the students can confirm (as, say, the words *believe* or *know* might indicate). So in this instance, if readers understand how texts are created, i.e., that statements are backed up with examples, they may be more aware of those clues. But, it may be a nuance that escapes them as they negotiate all the other demands of reading an academic text about a topic they do not know much about in a language and a rhetorical pattern they do not handle with ease, not to mention the anxiety provoked by test-taking in general. (See Appendix for another full passage.)

Context clue aside, [1] cautions that cloze tests can be manipulated both in terms of scoring procedures (discussed below) and difficulty of texts, both of which would alter the expected outcome, and are therefore unreliable.

Alderson is not alone in his skepticism of cloze [9, 10, 14, to name a few. See [8] for a longer discussion of these objections.). But others believe that if testers hew closely to certain rules of test creation and scoring procedures, cloze is indeed reliable and valid and sensitive to comprehension processes at various levels, [e.g., 4, 7, 12].

Also at issue is how reliably cloze measures higher order skills, such as uncovering an author's inferences and assumptions, and other top-down comprehension processes that are largely independent of the words deleted. [8] believes cloze does do that, stating that "the cloze procedure…challenges universal processing mechanisms at all levels from word recognition through concept building; therefore responding to cloze tests must necessarily involve a great deal of higher order language processing" having to do with coherence and cohesion [8].

2) Which scoring method correlates with L2 proficiency?

[2] discusses four possible methods of scoring cloze tests: the exact answer, which accepts only the word from the original text; the acceptable answer, in which any semantically appropriate word for that context is deemed correct; the cloze-entropy, which weights acceptable answers according to their frequency in a pre-test given to native-speakers; and the multiple choice method, which provides a set of alternative answers test takers can choose from to fill in the blank. Brown points out that whereas the first three methods test productive skills, the latter, multiple-choice format, is more likely to be testing receptive skills.

[2] also states that all four methods fare equally well in terms of validity and reliability. If ease of test creation is a high priority, then scoring for the exact word is preferable since it can be scored by anyone. While function words (prepositions, articles, connecting words) require exact-word scoring, [2] finds exact-word scoring for content words "repugnant because it counted an answer wrong, which is actually correct, simply because the author of the original passage did not choose to use that word" (2, P. 316).

We might also add that the cloze procedure assumes the original text was well written. Too, academic prose often uses low-frequency words, thereby increasing the potential for a lower score if the exact-worth method is used. Overall, Brown found the acceptable-word method slightly superior to the exact-word method for testing productive skills when all criteria were considered.

It could also be argued that L2 learners who are able to find an appropriate replacement may be exhibiting greater knowledge of the various definitions and nuances of a word or expression, as well as an overall understanding of the text. This would argue in favor of acceptable-word replacement.

3) Should we score both halves or only the second half of the cloze?

[14] raise the possibility that intersentential comprehension may be greater in the second half of the passages due to accumulated knowledge from earlier text. If this is true, scores on the second half would "prove a better measure of reading, as it allows the measurement of the use of cumulative information, an important skill in the integration of information across sentence boundaries" [14, P. 237]. If it is found that scores on the second half correlate better with our students' GPAs, perhaps we might consider changing policy to reflect that finding, thus foreshortening our grading process.

4) What is the optimum deletion frequency ratio?

A mechanical deletion ratio (e.g., every fifth word) will be insensitive to how many content and function words are removed. Function words

have only one exact replacement and are bound by more immediate context clues than content words, which are recovered from a general understanding of the context, aka intersentential comprehension [14].

[14] cite [13], who gives the rationale for selectively deleting both function and content words: "...function words *might* [emphasis theirs] result in a better measurement of the understanding of structural or syntactic meaning, and that content deletions would result in a better measure of the understanding of the subjective content" [14, P. 236]. Even though deliberately deleting specific words may be a more precise measure of what they call "intersentence integration" [14, P. 237], doing so would add to the burden of the test designers and not worth the effort. Therefore, they conclude, deleting every fifth word is a suitable deletion frequency ratio.

Would placing blanks farther apart aid readers? Not according to [1]. He did find that placing blanks more frequently, say, after every third word, increases difficulty in word restoration because, as [12] states, "much discriminatory power is lost" [12, P. 107]. However, placing blanks after the 6th, 7th, 10th or even 15th word had no effect on predictability of a deletion. So a deletion ratio of every fifth word is preferred.

The length of a cloze test can affect reliability. [3] recommends it be no longer than 50 deleted items. (Our test passages delete about 40 words out of roughly 250 words.) Although longer tests tend to be more reliable than shorter ones, fatigue can set in and students stop taking the test seriously or merely give up. In addition to the deletion rate, other factors that can affect reliability are the students' abilities and the difficulty of the text, as [1] stated above.

RATIONALE

Even though the issues surrounding cloze testing are not settled, it is still very widely used in many areas of education because it is an easy and cost-effective way to administer a reading comprehension test. Since our program is now four years old and about to graduate its first students, we wanted to make our first evaluation of how well the cloze test predicts applicants' performance in our program. (Note: The results of the writing tests are included in this study for purposes of information about our testing procedure but are not the main focus.) Specifically, we wanted to know what correlation(s) exists between the students' MA TESOL test data and their GPAs.

MATERIALS AND METHODS

Participants

GPAs of 28 students who had accumulated at least three credits in our program were compared with their scores on both the written and cloze parts of the MA TESOL entrance test. *Tests*

Writing Samples

Students write for a half hour on each of two essay topics. The first asks them to write about their reasons for wanting to enter the program. The second asks them to respond to a quote stating that learning English in a country where it is spoken is easier than learning it in a country where English is not the first language.

Scoring

Responses are scored using the 6+1 Trait Writing Scoring Continuum developed by [11]. Each essay can earn a maximum of 30 points on the following traits: ideas, organization, voice, word choice, sentence fluency, and convention. (Each trait is worth 5 points; the presentation trait is not scored). The twelve scores from both essays are averaged. A minimum score of 3 is considered passing.

Cloze

The creation and scoring of the cloze test followed the protocol outlined in [14].

Set-up

All the passages from academic textbooks used by our program total about 250 words each. The first and last sentences of the excerpts remain unaffected. Every fifth word is deleted. Students are instructed to read the excerpt and insert the most appropriate word into each blank, with each blank representing only one word. No further instructions are given to the test takers as to how to use context cues or how the passage will be scored.

Scoring

A passing score consists of 50% or better on a minimum of two components of the cloze test. We set the cutoff at 50% because we have been scoring the test using word-accurate insertions. So to compensate, we felt it necessary to be somewhat lenient in the required percentage correct.

The following scores are calculated for each student, using exact replacement criteria:

1. Cloze score: percentage of words replaced for the entire excerpt.

2a. First *half* score: percentage of words correctly replaced in the first half. Exact match is required.

2b. Second *half* score: percentage of words correctly replaced in the second half. Exact match is required.

3a. *Function* words (prepositions, articles, connecting words): percentage correct using exact word replacement.

3b. *Content* words (not function words): percentage correct using exact word replacement.

FINDINGS AND DISCUSSION
DATA ANALYSIS

Each student's cloze scores were summarized by means of descriptive statistics for comparison with the scores of other students. Scores from the writing tests and the cloze procedure were collected from each of the 28 participants.

The cloze test data were recorded as the number correct in each half of the test. The number correct in the second half had a higher correlation with GPA (0.60; significant at 0.01) than the number correct in the first half (0.35, not significant at 0.05). A cloze total score was computed by adding the number correct in the first half and the number correct in the second half. This total score has a correlation of 0.56 with GPA (significant at 0.01).

The essay data consist of six scores for Ideas, Organization, Voice, Word Choice, Sentence Fluency, and Convention. In most cases these scores were averages for two essays (in some cases, only one essay was graded). A total essay score was computed as the sum of the six individual scores. Its correlation with GPA is 0.31 (not significant at 0.05).

The correlation between the total cloze score and the total essay score is 0.39 (significant at 0.05). Although this suggests substantial overlap of the abilities measured by cloze and essay, it should be noted that a small group of students had much better essay scores than their cloze scores would suggest. These students have remained in the program with (mostly) good GPAs.

Little test data were available for those who withdrew from the program. However, it is interesting that of nine who withdrew (and had completed at least 3 credits before doing so), five had GPAs greater than 3.0. It might be worthwhile exploring through interviews why these people withdrew.

Given the small sample size of this study, we can draw only slim conclusions about the predictability of our cloze and writing results and students' success in the program. However, there does seem to be some evidence that 1) students who scored well on the cloze will predict a higher GPA, thus validating our confidence in it as a testing instrument, and 2) the second half of the test correlated with GPA slightly better than the first half, thus lending some support to the notion that the second half measures comprehension any better than the first due to accumulation of knowledge about the passage [14]. However, the data are not robust enough to abandon grading the first half of the test just yet.

This study has led us to change our scoring procedure from exact word only to the acceptable replacement method, as we now feel it is a more accurate indication of our population's reading abilities and will more accurately reflect a student's knowledge of English. This seems to be a prudent decision since an L2 learner's use of a suitable synonym does not in any way mean they do not understand the text. On the contrary, it shows they do understand it and have a word stock large enough to draw from.

Despite the focus on the cloze test in this article, we also found that the reading and cloze may be in effect measuring similar skills; however, there was a small group who attained an average score on the cloze but fared quite well on the essay. This finding also supports our holistic approach to judging applicants' abilities: no one test tells us everything.

Although the data are not robust enough to make major policy decisions about our entrance exam, preliminary information gives us cautious confidence that we are fairly and accurately measuring reading comprehension and predicting students' performance in the program. Moreover, with a few adjustments in our scoring procedure to an acceptable-word method, we hope to show even higher correlations between the cloze score and GPA the next time correlations are run.

CONCLUSION

Using the cloze procedure would also seem a valid measure for educators in any discipline, regardless of the language of instruction, who wish to sample a student's reading comprehension by using a text from their discipline.

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APPENDIX

Example of a passage chosen for the cloze entrance task where every 5th word is deleted, excluding the first and last sentences.

Instructions: Read the excerpt below. Each blank represents only one word. Replace the deleted words. Write the most appropriate word for each blank.

Phonetics and phonology are concerned with the study of speech and, more particularly, with the dependence of speech on sound. In order to understand the distinction between these two terms it is important to grasp the fact that sound is both a physical and a mental phenomenon... At the same time, however, neither speaking nor hearing are simply mechanical, neutral processes. We endow the sounds we make and hear with meaning. They have a mental or cognitive existence as well as a physical one. Another way of putting this is to say that sounds are psychologically, as well as physically, real. Psychological reality is important in linguistics. Sometimes things can be psychologically real without having any real-world correlates. So, for example, most people will idealize their own speech and hear themselves speaking perfectly clearly and accent-neutral, when in fact the reverse is the case.

This division between the physical and mental dimensions of speech sounds is reflected in the terms 'phonetics' and 'phonology'. Precisely where the division comes has been, and still is, a matter of fierce debate between phoneticians and phonologists... Phonetics is really a technically based subject concerned with measuring sound, recording frequencies, and generally studying the physiology of speech. Phonology, on the other hand, is essentially preoccupied with sound as a system for carrying meaning. Its fundamental concern is with identifying phonemes. These are the small building blocks of the spoken language that provide the skeleton framework of speech. [5, P. 32]

Penkov B.V.

EDUCATIONAL DISCOURSE: INFORMATION TECHNOLOGY IN HIGH SCHOOL

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Abstract

Educational discourse demonstrates a number of characteristics, which can be analyzed and grouped according to various parameters. The Theme of Online and Blended Learning occupies a critical domain within the educational discourse, including the language of high school. The discourse of senior high school provides sets of stylistic and genre markers for the discourse, such as terminological and professional vocabulary that defines and clarifies concepts and categories within the discourse of education. These characteristics index and differentiate texts and affect the discourse flow as well as interdiscursively motivate its connections with other types of discourses in a larger network. The research of pedagogical literature and regulatory documents examines the organizational, including operational aspects of online and blended learning, pedagogical experience, the use of related technologies and of competencies approach to support learning in a high school setting. In conclusion, the article reminds of the legitimacy of qualitative methods for building a methodological foundation to make organizational and operational solutions to enhance learning experience encouraging open education and technological practice. Educational technology develops human resources in terms of professional development of teachers along with preparedness for career and personal success of high school graduates, stimulates the adoption of new technological products and services across nations.

Key words: gBlended Learning; discourse; discourse analysis; educational technology; high school; new media; online learning; open education.

Пеньков Б.В.

ОБРАЗОВАТЕЛЬНЫЙ ДИСКУРС: ИНФОРМАЦИОННЫЕ ТЕХНОЛОГИИ В СРЕДНЕЙ ШКОЛЕ

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Аннотация

Характеристики образовательного дискурса описываются на материале субъязыка школы, старших классов средней школы. Анализируются дискурсные характеристики Темы «Online and Blended Learning» (дистанционное и смешанное обучение). Маркеры современного дискурса систематизируются с целью дифференциации текстов, принадлежащих к образовательному дискурсу и к рассматриваемой тематике. Тексты педагогической литературы и документации, посвящённые смешанному и дистанционному образованию, содержат набор жанрово-стилистических и дискурсных элементов, например, лексику терминологического характера, которая описывает связанные концепты и категории в образо-вательном дискурсе. Описаны организационные, педагогические аспекты исполь-зования дистанционных и смешанных подходов, а также принципы улучшения преподавания учебных дисциплин на основе новых технологий и компетентност-ного подхода. Результаты исследования можно использовать для прогнозирования перспектив смешанного и дистанционного обучения, расширения методологической основы принятия управленческих и операционных решений улучшения качества образования, основанного на принципах открытого образования и новых образовательных технологий.

Ключевые слова: анализ дискурса; дистанционное обучение; новые медиа; образовательные технологии; образовательный дискурс; открытое образование; смешанное обучение; средняя школа.

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Market players in online and blended learning in high school education segment have shown great enthusiasm in design of digital learning based on ICTs and distance learning technologies. The progress has introduced an abundance of terminology, which defines the trends in discourse of education and molds competition in the multifaceted international market of learning innovations (including Eastern Europe and the Russian Federation). The change demonstrates appealing prospects to many individuals and publics. The basic objectives for writing this paper could be described as follows. First, I am interested in both international discourse on online and blended high school education as well as regional variants of the discourse [22, p. 3]. The research examines the indication of linguistic changes in the field, which reflect the technological and methodological innovations, and identifies trends in the development of the discourse and the field itself. Additional stimulus for writing on this topic is to formulate a clear cut starting point for other researchers like me as well as wider public – policy makers, managers, teachers, students, and their parents – to participate in the ongoing discourse and make it more efficient. The rapid change within technology and discourse requires active position on behalf of researchers and teachers to participate in the discourse, so that the terminological and conceptual taxonomy of blended and online learning would become more transparent and comprehensive. The active role of discourse participants should improve the interaction of teachers and students in the classroom, of students with each other, and should strengthen communications produced by policy makers and high school administrators [27, p.11].

The development of organization models to enhance online and blended program's effectiveness with the help of organizational activities employs the analysis of human behavior and methodical experimentation to achieve justifiable conclusions [3, p. 15; 8, p. 20; 18, p. 385; 30; 31]. The efficiency of online learning is conditioned by executive and operational success and implies the following factors: reasonable costs of hardware and software, development of content or licensing of digital materials, and ongoing support of the system. Scholars examine organizational aspects of online and blended learning describing models and stages of the learning process. The basic stages of online experience consist of design (проектирование),

implementation (реализация), and reflection (рефлексия). Then, the learning activity could embrace preparation (подготовительный этап) with motivation and goal-setting for students, project design (проектирование), self-assessment (самооценивание), programming (программирование), implementation of the individual plan (реализации индивидуальной образовательной программы) and wrapping up or evaluation (рефлексивно-оценочный этап) [6, pp. 83-84; 11, p. 18; 16, p. 12; 21, pp. 87-88; 31].

The discussion of the economic domain of online learning defines the cost-effectiveness of online education and assesses the efficiency of e-learning [14, p. 11; 15; 18, p. 385]. The economic assessment of online learning in the high school setting examines data for the cost calculation of the implementation of the online learning. The initial investment and total cost of ownership of online learning is calculated in a standardized fashion; yet, there are challenges like the choice of the management methods to guarantee success of investment in the programming of educational events. The efficiency of online educational services is connected with strategy planning to attract additional resources for the project to create value in the sector. The quality discourse, which deals with educational management, promotes the advancement of educational discourse [17, p. 2; 19, p. 21]. Educational discourse, even though it demonstrates certain characteristic features, has open boundaries and interacts with other discourses and genre-stylistic varieties; thus, offering data of different sources and nature to be included in the discourse analysis [23, p. 63; 29].

Digital learning is a pedagogical process to achieve didactic objectives of training, realized in stages with facilitator's control over the use of technologies. Attention is paid to the maintenance of the school site and LMS, so that pedagogical and psychological support would be available and accessible [2, pp. 338-339; 5; 7, p. 121-122]. The stakeholders want to ensure the efficiency of K-12 education, keeping in mind the ultimate goal that the high school graduates should be prepared for success in crisis surroundings of the labor market and economy and should be ready for lifelong learning. To raise the quality of online learning and better define the standards, policy makers, the school management, and teachers strengthen the structure of independent work or self-study (preferably encouraging the creative type of work), design curriculum based on module

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approach, develop the corpus of testing materials, e-textbooks, and teaching aids.

In the global arena of educational discourse we find characteristics showing the semantic implementation of policy makers and high school objectives to use technology across curriculum, so the application of online and blended learning is entering the K-12 corporate cultures and affects attitudes, perceptions and professional development of school administration and teachers. Special emphasis is made on innovation and quality in building the high school online profiles and electronic portfolios of all the participants of the discourse. The attainment of a set of values of the educational discourse is reflected in the rubrics of lesson plans, lesson observation requirements, and portfolio management [9, p. 25; 10, p. 3323-3324; 25, p. 216-217]. The universality of common discourse features like values and competencies can be demonstrated in the form of national standards and competencies, when students are expected to gain and demonstrate certain performance characteristics [12, p. 55; 13; 20; 33, p. 44]. The use of ICT for successful online learning demands from students the demonstration of cultural and professional competences, ICT competences (компетенции в области информационных и коммуникационных технологий, ИКТ-ком-петенций). Online didactic tools are used to teach the competences and to prepare electronic educational resources (электронные образо-вательные ресурсы, ЭОР); that is, materials like digital objects [9, p. 32; 21, p. 85]. Teaching ICT competencies comes across difficulties, for example, a conflict between the demand of society for first-rate online skills that students should have and insufficient educational and organizational tools of the implementation locally. This holds back communication between stakeholders of the learning endeavor, results in unproductive management of online and blended learning process and leads to low student motivation to complete tasks on their own. The factors that keep up the climate of learning are thought-out applications of ICT (that ease the exchange of information and encourage visible pedagogical support and insightful management of the educational practice).

Method

The Basic Interpretive Qualitative Study examines educational discourse to outline the frontiers of discourse analysis in our field and to explain the features of educational discourse. This methodology interprets texts of stakeholders (school administrators, teachers, and students) and establishes key themes and concepts of the discourse [22; 26, p. 37-38], including the characteristics of online and blended learning in the context of high school. The complex nature of discourse analysis requires the use of qualitative investigation to approach cross disciplinary objects within linguistics or education [1; 4; 28; 32]. The building of conceptual frameworks and the analysis of their components takes into consideration the active role of the discourse participants, so the description also benefits from the Delphi method of inquiry for data collection and analysis, which is helpful in the description of the interdiscursive elements that reflect the innovative educational technology [24]. The Delphi method assembles a holistic model of the discourse using multisource data and clarifies the taxonomy of themes, concepts and recurrent discourse features [3, p. 90-91].

Results

The tendencies in the discourse of education (in the context of digital learning in high school setting) demonstrates a set of similar themes, concepts and categories, which reoccur in regional and global discourse varieties, representing, for example, organizational efforts to manage online and blended learning, pedagogic and didactic approaches to the implementation of the learning content to achieve creativity among students and other educational results like a set of competences. Internationalization of high school online and blended discourse fosters the democratization of knowledge and of education as well as creates freedoms for learners and strengthens the principles of open education. The benefits from a quality educational discourse is multifold; that is, high schools receive better marketing position and competitive edge, teachers get access to better professional development experience, stronger networking opportunities, and better pedagogical tools to deal with learning challenges and to create new content for excellent educational and cultural programming and results. In addition, an efficient educational discourse in the high school context motivates students to create and work on projects with their peers locally and around the world, preparing for lifelong education and life beyond graduation, including transition to other types of discourses, for example, from high

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school discourse to university discourse (which we can also call undergraduate discourse). The transition, analyzed from the points of view of discourse analysis, reveals discourse markers like taxonomies of professional lexical and semantic indexes, Some of the parameters are common (for high school and university discourse types), while others are specific sets of terminological vocabulary that differentiate texts belonging to language of high school and separate language of undergraduate studies as well as discourse of middle school (if we take the transition of middle school discourse into high school as another frontier of the high school discourse). The understanding and classification of the discourse characteristics helps to improve high school and its discourse practices.

Discussion

Never before have school administrators, teachers, and students faced such exhilarating challenges brought by digital technologies into organizational and pedagogical sphere of high school. The discourse analysis examines linguistic benefit from facing the challenges and describes the features of interactional practices among the discourse participants. Contemporary discourse characteristics are related to management, financial and pedagogical themes of conversation but also stress new, evolving and critical themes like digital learning. New discourse covers topics like online and blended learning, using social media for education, and open education. The discourse themes and conceptual frameworks expose not only subject related value but are also of cross disciplinary significance as well as highlight both regional and global discourse markers. One of the motivational forces for the rapid development of the discourse of education (and the Theme of Online and Blended Learning) is the demand on the market for the technology and educational services (for example, in the core subjects taught at high school and in the extracurricular activities). Therefore, the management of education, pedagogical and didactic concepts of online learning are also stimulated (for example, by policy makers as well as other discourse stakeholders) to move to new technologies and to compete on the local and international markets. The enhancement of discourse practices is reflected in interactions of teachers, which can be, for example, in the form of professional development of online and blended teachers that highlights experience in

each of the core subjects and across curricula. The teacher is also the facilitator of the educational discourse values, who guides and corrects the building of the system of values, conceptual frameworks, and understanding of the required concepts and terminology. The teacher conducts this reality check of discourse values through utterances and texts intervened into the curriculum, content, and assessment, subject area activities, rubrics for design of the digital materials for each subject—within a set of subgenres of the discourse. Student interaction is also affected by technology as their success depends on the understanding of key concepts within the topic of online and blended learning and the preparedness to participate in the discourse following the predesigned discourse frameworks and rubrics, that define how they should communicate with peers and the teacher. The high school students and graduates are motivated to move on with the education discourse practices and maintain them when they transfer to education discourse used on university or college campuses as well as within the culture of lifelong learning. The development of educational discourse illustrates the linguistic responsiveness of the participants regarding ways to fashion their interactions to efficiently apply blended and online technology.

Limitations of These Studies

The study of the educational technology theme in the high school setting within discourse analysis framework is a broad and fruitful research sphere (both from the regional and global perspectives) as it deals both with the interdiscursive aspect of the discourse examination and with other thematic segments of the discourse, so the author has to limit himself to the description of certain features. Therefore, this study is an effort of interpretation of the vast data available in the ongoing discourse and another contribution to the appreciation of the developing technology that motivates the fast improvement of the discourse practices.

Conclusions and Future Study

The discourse of education should be further differentiated and described with attention to the clarification of the discourse terminology, its major genres, themes, and concepts, on all levels of discourse analysis. The Theme of Online and Blended Learning in the high school setting shows a number of common discourse features in the regional varieties and global discourse.

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Organizational, financial, pedagogic and didactic terminology of digital learning would show some variety from one national language to another, though the underlying structure of the global discourse of education, its themes and concepts tend to have also common characteristics. Synchronic study of educational discourse as well as diachronic descriptions are rewarding for regional studies and for international research, especially related to the trends of open education. The differentiation of educational discourse examines common discourse features and sets of characteristics on all levels of discourse. The changing online and blended learning technologies bring along alterations in the domains of the educational discourse and stimulate the development of terminology and other discourse parameters of interactional practices of school administrators, teachers, and students.

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STRATEGIES FOR L2 LECTURE COMPREHENSION: AN INTERVENTION STUDY

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Abstract

The study reported in this article set out to investigate the effect of an intervention into the strategies for second language (L2) lecture comprehension. The research was conducted in a Bulgarian university context and adopted a quasi-experimental pretest-posttest design. The 15-week instructional sequence was based on explicit/ direct teaching of cognitive and metacognitive strategies for listening to lectures in English. The results indicated that the students in the experimental group (n = 34) significantly outperformed their counterparts in the comparison group (n = 25) in a multiple-choice test used as a measure for L2 lecture comprehension. The findings, therefore, suggest that the strategy-based instruction could facilitate the development of L2 lecture listening skills.

Keywords: L2 lecture comprehension; strategy-based instruction; L2 for academic purposes.

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INTRODUCTION

Parallel with the internationalisation of higher education worldwide, nowadays, growing numbers of students use a second language (L2) for study and research, both in their home country and abroad. A serious consideration for these students is achieving the language proficiency required for academic success. In university settings, for instance, students attend lectures, participate in seminars, and listen to presentations. In other words, they need to be able to communicate effectively in various listening situations in order to successfully pursue their studies. In terms of L2 lecture comprehension, the literature reveals that students who attend English-medium courses, both in English-speaking and non-English-speaking countries, face persistent difficulties in processing the L2 lecture content [11, 29]. With this in mind, research into the variables that affect L2 lecture comprehension becomes increasingly important because it would help theoreticians and practitioners to better understand this process; and, thus, provide insights into how listening to L2 lectures can be facilitated. There have been a number of studies which aimed at identifying the strategies reported by university students in Bulgaria [29, 22]. No previous study, however, investigated the effect of strategy-based instruction (SBI) in an academic context with Bulgarian learners. The impetus for the present study, therefore, came as a response to the perceived need for further research into the area of L2 lecture comprehension. More specifically, this paper aims to address the knowledge gap that exists regarding the effect of listening SBI in the Bulgarian university settings.

LECTURE COMPREHENSION SKILLS AND STRATEGIES

Lecture comprehension

In contrast to hearing, which is an automatic process, in the field of cognitive psychology, listening is generally understood as an intentional, controlled process which is modulated by attentional capacity. Listening further requires the use of self-regulatory resources and involves information processing involving different modalities across the acoustic and visual domain [16]. From a cognitive stand, listening has also been described "as the process of selecting, organizing, and integrating information,"

drawing both on internal and external sources for the processing of information [16, p. 98]. A listener does not only take in verbal information: variables as prior knowledge, context information, situational factors, body language, and paralinguistic messages also change and complement the verbal input [16]. As Field notes, the listener acts upon two information sources: "**one** *perceptual*, based upon auditory input and **one** *conceptual*, drawing upon the listener's own world knowledge, topic knowledge, and recall of what has been said so far" [8, p. 103]. Process models of listening [10] focus on the direction of information processing and the information sources employed for the interpretation of the message. Thus, *bottom-up* ("data-driven") processing draws on the acoustic signal or the perceptual data as an information source, while *top-down* ("knowledge-based") processing incorporates activated knowledge structures or contextual sources [7]. Most authors agree that the two processing paths are complementary and occur in interaction [7, 10]. In fact, listening and reading researchers have been interested in the preferred processing route, rather than in establishing which single path has been selected for the construction of meaning from text [7]. Furthermore, the preferred processing direction seems to greatly depend on the individual characteristics of the listener and the specific task she/he has to perform.

The discussion above applies to listening in any and all situations. However, lecture listening has its own distinctive characteristics. Thus, lecture comprehension has been associated with the listener's background knowledge, including subject matter knowledge; the ability to evaluate information according to its relevance and importance; the ability to concentrate, follow and comprehend extended stretches of discourse while at the same time taking notes; the ability to integrate information derived from the spoken input with other media. Lecture listening also exhibits less turn taking and less emphasis on the interpersonal or illocutionary meaning as compared to conversational listening [9]. Another take on lecture listening comes from Aryadoust, V., Goh, C., and Lee, O. K. [3] who propose a multicomponential construct comprising interrelated elements. The main components in their model are "cognitive processing skills

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(CPSs): "ability to understand surface (explicitly stated) information and making inferences; and linguistic components and prosody (LCP): vocabulary and syntactic resources" [2, p. 4]. Other variables associated with CPS and LCP are "note-taking (NT): ability to take notes of main ideas and details of the aural message; knowledge of lecture structure (LS): students' awareness and/or understanding of the framework upon which the structure of the lecture is founded; relating input to other materials (RIOM): ability to form a mental connection between the information transferred through various modes; memory and concentration (MC): ability to keep important parts of the message in mind" [2, p. 4]. This section has briefly summarised the core dimensions underlying lecture comprehension. The next section will highlight perspectives on the strategies for L2 lecture comprehension and previous research into listening SBI.

Strategies for lecture comprehension

The term "strategy", in the present study, is considered from the perspective of Macaro's [17] theoretical framework, drawn upon cognitive psychology and information processing, and his and Cohen's [5] characterisation of learner strategies. Namely, important is the element of *choice,* and the definition of strategies as conscious mental, goal-directed actions used in relation to language learning or use tasks and which (if appropriately selected) can be effective in maximising existing linguistic resources and language performance. It is worth pointing out that strategies are *neutral*, i.e. they cannot be intrinsically effective or ineffective. The failure of a learner to accomplish a specific task could not be due to the use of ineffective strategies. A strategy can only be effective if the learner knows *when* (depending on the task) and *how* (in orchestration with other strategies) to deploy it. What Macaro views as "skills" in contrast to "a strategy" is "the ability to carry out a language task with relative expertise to a relatively successful degree" [17, p. 321]. He stresses that skills are measurable products (manifestations) of L2 processes and that they can be measured either in isolation (listening, speaking, reading, and writing) or in combination (summaries, reports). Skills can also be measured in terms of successful task completion and with respect to skill acquisition rate. Macaro concludes

that the automatisation of strategies through recurrent use of strategy clusters during L2 processes brings about skillful behaviour [17]. Hence, following his line of argument, one can deduce that the automatisation of cognitive and metacognitive listening strategy clusters would lead to students' increased proficiency in listening to L2 lectures.

A great variety of strategy taxonomies have been constructed by a number of researchers [20, 4, 12, among others]. Among them, the classification proposed by O'Malley and Chamot [20, pp. 197-199] introduces the distinction between metacognitive and cognitive strategies. Further, they divide strategies by function in three groups: *metacognitive* (advance organisation, advance preparation, organisational planning, selective attention, self-monitoring, self-management, self-evaluation), *cognitive* (resourcing, grouping, note taking, summarising, deduction, imagery, auditory representation, elaboration, transfer, inferencing), *social/affective* (questioning for clarification, cooperation, self-talk). However, the present study is built upon the cognitive-metacognitive strategy distinction since it emphasises on two essential operations in L2 language processing. More specifically, on such aspects of cognitive activity as perception, decoding, processing, storage, and retrieval. Metacognitive operations, on the other hand, involve effectiveness planning, monitoring, and evaluation. As Macaro asserts, metacognitive strategies include the affective strategies because the latter draw upon learner's self-knowledge and monitoring of learning; while, "social strategies are clusters of cognitive and metacognitive strategies that lead to Strategic Plans" [17, p. 328]. Also, the present study refers to strategies as associated with a specific receptive skill area [6] – namely, listening strategies for effective comprehension of L2 lectures.

Recent work in strategy research has investigated the effect of SBI on students' strategy use and on listening development [19, 24, 14, 28]. Overall, the studies testing the effect of SBI for listening in academic settings produced inconclusive and conflicting findings. There are some intervention studies which reported results in favour of strategy training in academic settings [e.g. 18]. However, a systematic review

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of available research on SBI reported low weight of evidence that strategy interventions can improve listening [15]. A meta-analysis of 6 studies, conducted in the tertiary foreign/ second English, Japanese, and Russian language context, concluded that there is limited evidence for the effect of SBI on listening comprehension. This is so mainly (a) because of methodological flaws of the studies; (b) because of failure of some studies to show significant improvement. These findings resonate with the opinion of other authors who have questioned the viability of listening SBI (esp. with low-proficiency learners) and the effective transfer and use of these strategies in "real-world" situations [8, 21, among others].

In this context, the overall aim of the present study is to empirically test the effect of a SBI programme, based on modelling of cognitive strategies and metacognitive development (focus on metacognitive strategies), on L2 lecture comprehension in the academic discourse.

METHOD
Participants

The participants (N = 59) were first-year students at the average age 19.4 (range 18-27; *SD* = 1.32). They were all intermediate and upper-intermediate level (CEFR B1-B2) in English proficiency, as determined by the university entrance exams. All of them, studying towards a Bachelor's degree at the University of Veliko Turnovo and the University of Shumen in Bulgaria. A two-group, experimental (EG) and comparison (CG), design was employed. Thirty-four students comprised the EG and twenty-five served as a CG. With regard to gender, the female students outnumbered (66.102%) the male participants (33.898%). However, gender did not seem to play a role as a confounding factor in the quasi-experiment because the *t* test produced no significant differences between the mean scores of the female (*M* = 13.897, *SD* = 6.00) and the male group (*M* = 14; *SD* = 5.380) on the pretest (*p* = 0.949). The first language of the overall sample was Bulgarian.

Instruments
The lecture listening test

The quasi-experimental design was based on pre-test and post-test data gathered from a set of two lecture listening tests (LL-test) devised for the purposes of the study. They

aimed at determining the level of students' comprehension of the lecture extracts. The two tests comprised of twenty-six multiple-choice items (statements) and asked the respondents to select among three possible options per item. The test items measured the students' ability to comprehend global and local, as well as implicit and explicit information. The items came in the same order as the information presented in the text. Each correct answer receives 1 mark.

The test reliability was examined using the Classical Test Theory (CTT) and Item Response Theory (IRT). The models within the IRT paradigm vary according to the test type [26]. For multiple-choice binary items, IRT suggests a 3-PL model with three parameters. This model was utilised in the study and the IRT theta values were used instead of the raw scores in the test evaluation. The Cronbach's alpha or the internal consistency reliability for the overall LL-test (α = 0.854) was high enough. The item-total correlations (from 0.237 to 0.579) were positive; therefore, all items were of significant positive discriminant power. Finally, the item means (from 0.390 to 0.754) indicated that there were no items of extremely high or low difficulty.

The input texts

The texts were audio-recorded authentic lectures, given by L1 speakers of English. The lecture topics were on the educational system and the health services in the United Kingdom and they were related to the participants' field of study in English and American Studies. The listening segments were between 17-20 minutes long. Their length reflected a fundamental characteristic of a real-world lecture listening task where the lecture monologues are not "interrupted by interactive exchanges (questions/ requests for clarification) more frequently than once every 15 minutes" [23, p. 364], even for more participatory lecturing styles.

Procedures
Data collection

The research was conducted during the participants' regularly scheduled classes on listening skills development in EFL as a component of the Practical English course. The quasi-experiment took place over 15 weeks (2 classes per week) during the first term when the students start attending English-medium courses. Only the EG received SBI in listening

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to academic lectures in English, whereas the CG did not systematically focus on strategy development.

Following the introductory sessions, the EG and the CG did the pretest. During the last week of their courses, the posttest was administered, also across the two groups. Before taking the tests the students were provided with instructions that aimed at setting the context orally and in writing (in the test materials). They were briefed on the nature and purpose of the listening task, the topic of the talk, and the speaker. The learners were then asked to preview the questions for 5 minutes before listening. The students were also allowed to take notes on a blank sheet of paper while listening to the lecture. It was emphasised that the notes could be in any language and they would not be marked. Following the lecture listening task, the learners were given 20 minutes to complete the multiple-choice task. They were allowed to use their notes.

The intervention

The intervention focused on the development of listening strategies for L2 lecture comprehension in English. The metacognitive strategies emphasised were selective attention, directed attention, planning, monitoring, evaluation. Cognitive strategies in focus were inference, elaboration, grouping, and summarisation. The training programme was adapted following the CALLA instructional sequence [20], with an emphasis on the explicit training or metacognition about strategies since it allows learners to monitor and self-regulate their listening performance. Thus, the SBI was built around a metacognitive instructional framework incorporating listeners' metacognitive knowledge (person, task, strategy) and cognitive control (metacognitive strategies for planning, monitoring, evaluating) [13, 27]. The course also aimed to heighten students' metacognitive awareness of the lecture as a genre in the academic discourse and about lecture listening as a typical task during their university study. Structured class and weekly assignments (e.g. listening log) for self-assessment and peer-assessment were also included in the instructional sequence. The materials were selected to expose the students to naturally occurring speech events and speakers – formal and interactive lectures delivered by L1 and L2 English speakers.

Data analysis

The statistical analysis of the test scores was conducted using the software *Statistica 8.0*. To contrast the achievements between the pre-test and post-test performance of each group, Student's *t* test for dependent samples and the nonparametric Wilcoxon test were utilised. In addition, to contrast the achievements between the EG and the CG, Student's *t* test for independent samples and the nonparametric Mann–Whitney U test were performed [25]. The 3-PL theta scores were used in the analysis of the test results. Dispersion analysis for repeated measures (ANOVA) was also conducted to test the main hypothesis which proposes that the intervention programme contributes to higher achievement of the EG in the development of lecture listening in L2. Three null hypotheses were verified in this instance. The most important one was the hypothesis for nonsystematic or random interaction between group type (comparison vs. experimental) and measurement occasion (pre-test vs. post-test). Rejecting this hypothesis would serve as evidence for the existence of intervention effect and as a confirmation of the main hypothesis.

RESULTS AND DISCUSSION

Results

Pre-test and post-test comparisons

Firstly, the *t* test for dependent samples indicated that the difference between the CG pre-test and post-test scores approached but did not reach statistical significance [t(24) = 1.496; p = 0.148]. The Wilcoxon test produced similar results [Z = 1.251; p = 0.211]. Therefore, the observed difference effect cannot be considered as statistically significant.

On the other hand, a comparison between the pre-test and the post-test results of the EG showed a statistically significant difference in a positive direction after the intervention. This was confirmed by the *t* test for dependent samples which revealed a strong statistical significance [t(33) = 6.015; p < 0.001] of the difference between the two sets of scores obtained prior to and after the SBI. The same results were obtained using the Wilcoxon test [Z = 4.300; p < 0.001].

Intergroup comparisons

The comparison of the pre-test scores of the EG and CG demonstrated that the groups were equivalent in their L2 lecture listening proficiency

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before the intervention. More specifically, the *t* test indicated no statistical significance [t(57) = 0.634; *p* = 0.529] of the difference between the pre-test mean scores of the EG and the CG. In addition, the *F* test for variances confirmed that there was no statistical significance [*F*(33, 24) = 1.268; *p* = 0.552] of the observed differences between the EG and the CG results (Table 1). Furthermore, the Mann-Whitney U test returned a similar result [*Z* = 0.736; *p* = 0.462], with no significant difference between the groups (the average rank for the EG was 31.412 and for the CG was 28.080).

Table 1

Contrast between the Comparison and the Experimental Group for the LL-Test at Pretest Measurement (t test and Fisher's F test)

			Student's *t* test			Fisher's *F* test		
	M EG	*M* CG	t(57)	*p* value	*SD* EG	*SD* CG	F(33,2)	*p* value
LL-test	-0.169	-0.334	0.634	0.529	1.037	0.921	1.268	0.552

* *p*<0.05, n (EG) = 34, n (CG) = 25

The results of the EG and the CG at pre-test measurement are displayed graphically in Figure 1.
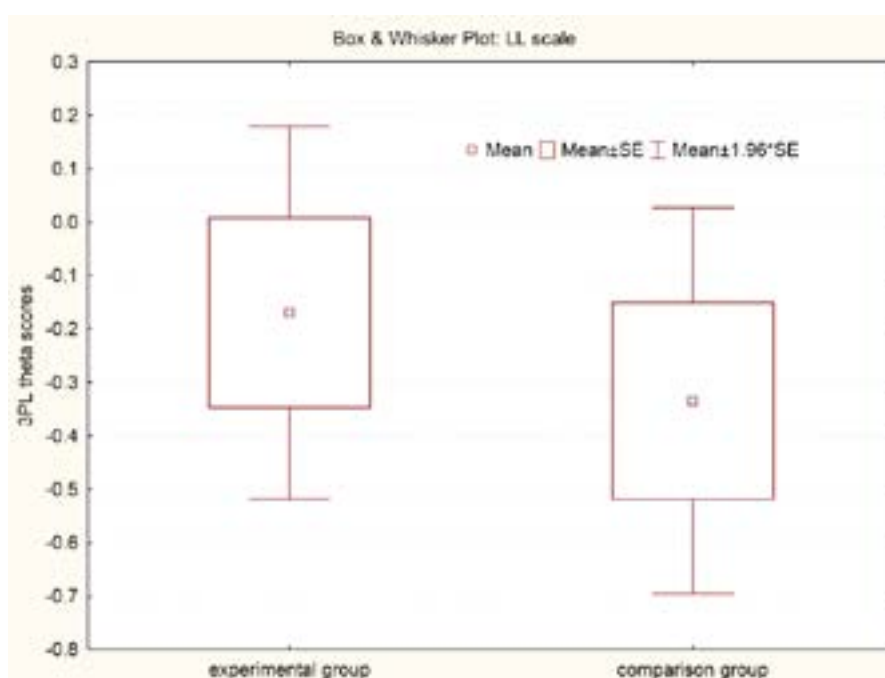

Figure 1 Box and whiskers plot for LL-test at pre-test measurement.

More importantly, at posttest measurement, the mean score of the EG (*M* = 0.852) was significantly higher than the mean score of the CG (*M* = -0.610). As Table 2 shows, there is a statistically significant difference [t(57) = 6.916; *p* < 0.001] between the mean scores of the EG and the CG, while the *F* test for variance shows no statistical significance [*F*(33,24) = 1.080; *p* = 0.824]. The result was confirmed by the Mann-Whitney U test [Z = 5.062; *p* < 0.001] which revealed that the EG performance was significantly higher than the CG (the average rank for the EG was 39.706 and for the CG was 16.800).

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Table 2

Contrast between the Comparison and the Experimental Group for the LL-Test
at Posttest Measurement (t test and Fisher's F test)

	Student's *t* test				Fisher's *F* test			
	Mean EG	Mean CG	t(57)	*p* value	SD EG	SD CG	F(33,2)	*p* value
LL-test	0.852	-0.610	6.916	0.000	0.789	0.820	1.080	0.824

*$*p < 0.05$, n (EG) = 34, n (CG) = 25

The observed differences between the scores of the EG and CG are highlighted in Figure 2.
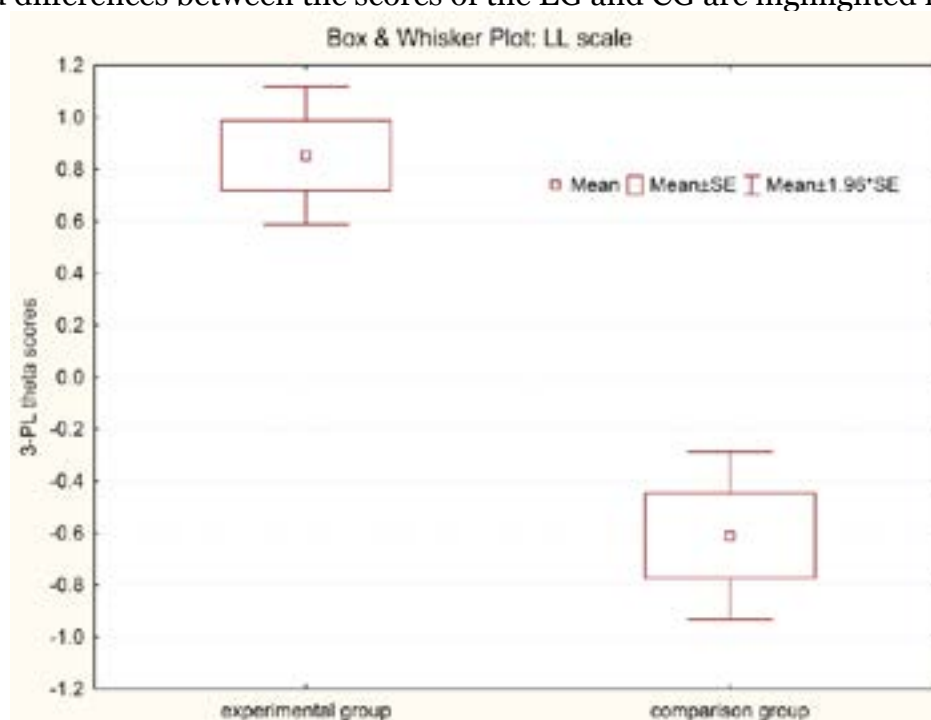

Figure 2. Box and whiskers plot for the LL-test at post-test measurement.

Finally, the repeated measures ANOVA provided data which strongly supported the main hypothesis that instruction in cognitive and metacognitive strategies leads to improvement in the students' lecture comprehension skills. In this respect, Table 3 indicates that all three observed effects were statistically significant: the main effect of the "group" [$F(1,57) = 16.436$; $p < 0.001$], the main effect of the "measurement occasion" [$F(1,57) = 8.669$; $p = 0.005$] and the effect of the interaction "group" x "measurement" [$F(1,57) = 26.208$; $p < 0.001$].

Table 3

Results of the Repeated Measures ANOVA

	F(1,57)	*p* value
"group"	16.436	0.000
"measurement occasion"	8.669	0.005
"group" x "measurement occasion"	26.208	0.000

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Post-hoc analysis was conducted to examine the contrasts in more detail and to highlight exactly where the significant differences were. It is important to note again that there was no statistically significant difference between the scores of the CG and the EG on the pretest [$p = 0.488$]. In contrast, the difference was highly significant at the posttest [$p < 0.001$] in favour of the EG. Also, the difference in the performance of the CG between the pretest and the posttest [$p = 0.157$] did not reach significance.

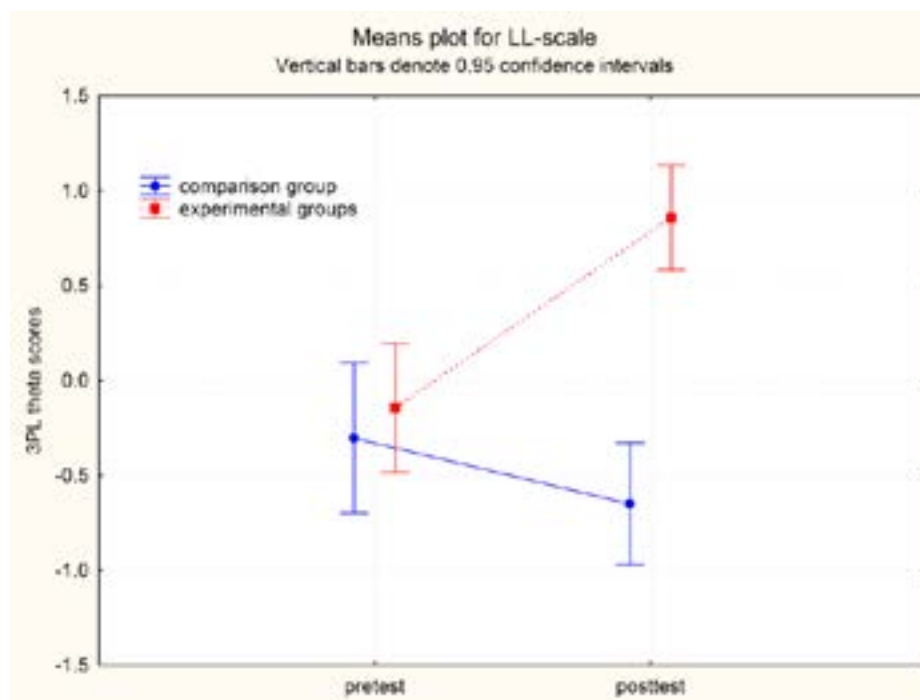The result is illustrated in Figure 3.

Figure 3. Means plot for repeated measures ANOVA.

To sum up, the results in this section support the main proposal of the study that a SBI programme contributes to a significant improvement of students' skills for listening to lectures in L2. This finding corroborates with previous research in other L2/FL teaching contexts [19, 14, 18, 28] and differs from the results of the studies which did not obtain conclusive evidence that SBI positively influences L2 lecture listening proficiency [15].

There are several factors in the nature of the programme that could have accounted for the observed effect of SBI. One possible explanation is the informed training in the strategies required for effective processing of the lecture material which differs from the indirect approach, based "on guided practice on the listening process as a whole, through extensive exposure to and practice with the naturalistic oral texts" [28, pp. 487-488]. In this study, the students were made aware of the purposes of the training and the specific strategies they were encouraged to try out and apply, both in the training sessions and in "real-life" lecture listening situations.

Explicit SBI was also deemed highly beneficial in the specific context of the study where raising students' awareness of the characteristic features and conventions of the lecture as an academic genre could be an important knowledge source they could purposefully draw upon while processing a range of academic talks.

It is also important to note that the intervention was based on an integrated model of skill learning and text access through interaction of top-down and bottom-up processes. As stated earlier in this paper, the distinction between these two types of processes is associated with the competition between two types of sources that govern cognitive processing – "the previous context or the present input" [1, p. 4]. Thus, the SBI was devised on the premise that L2 lecture comprehension involves a continuous interplay between bottom-up and top-down processes. Therefore, the SBI incorporated activities that help students manage effectively the two types of processes in text understanding. Hence, alongside inference and elaboration (top-down processes), the students in the EG practiced such

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"bottom-up" strategies as, for example, focusing on prosodic features; noting redundancy; noticing reduction, ellipsis, and assimilation.

CONCLUSION

The purpose of this paper was to provide empirically-based evidence about the effect of SBI on L2 lecture comprehension. The research was situated within a cognitive framework with the central assumption that cognition and metacognition (both metacognitive knowledge and regulation) have a primary role in the performance of complex tasks – i.e. listening to lectures delivered in a second/foreign language. The results of the study support the main hypothesis that SBI significantly contributes to students' higher achievement in the comprehension of academic lectures in English. Since the instructional sequence focused not only on cognitive strategies but also on students' metacognitive development, the results further suggest that monitoring of attention, listener control and consciousness are of critical importance during the processing of oral input during listening to L2 lectures and extended talks. The present research also provides a framework for the exploration future instructional improvements in regard to L2 for academic purposes. In particular, with a view of using SBI to facilitate the L2 lecture comprehension skills of the students and increase their ability to handle the real-world demands of the academic programmes at their home institutions and internationally.

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