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NOVA SERIES TOM. XXVI.

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EGER JOURNAL OF ENGLISH STUDIES

VOLUME II

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EDITOR: ENDRE ABKAROVITS

KÁROLY ESZTERHÁZY TEACHERS' TRAINING COLLEGE
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EDITORIAL NOTE

The Department of English Language and Literature at Eszterházy Károly Teachers' Training College is pleased to present Volume II of the Eger Journal of English Studies.

We would like to continue the practice of the first volume by publishing both papers of members of our own department and those of colleagues from other Hungarian and foreign institutions.

Once more we have the honour of including studies from three established British scholars, who have not only visited our institution in order to give lectures to our students and staff, but have also shown readiness to publish some of the most recent results of their research in our volume.

Ramesh Krishnamurthy, former corpus manager at COBUILD and present research fellow at two universities in the Midlands, offers us an insight both into the activity of researchers in the field of corpus/computational linguistics and into the world of the rapidly growing new forms of electronic learning aids on the Internet and CD-ROMs.

Richard Cauldwell has already paid two visits to our institution and this time he has contributed a paper on the difficulties of listening comprehension and the solutions he suggests, which should be of interest for all teachers of English.

Jan Smaczny, professor at the music department of The Queen's University of Belfast has not only delivered a fascinating series of lectures on various aspects of British music while visiting Eger in 1998, but has also written a very interesting study on the folk roots of British music for us.

We are also pleased to have contributions from all the age groups in our department, ranging from some of the youngest colleagues to the retired, but still active, first head of the English department, Károly Szokolay.

It would be desirable if future volumes could contain even more papers on the various fields of British culture. Linguistics has always been a strong side of our department, and further proof of this might be the present volume, but we would like to encourage both our colleagues and scholars from other Hungarian and British institutions of higher education to contribute more papers on British culture and also on the teaching of the English language in future.

Our journal is published yearly. Manuscripts should be sent to the editor both on a disc and in a printed version. Though most authors might want to insist on the generally accepted format and way of citing in their own special field, they should ask us beforehand for the main guidelines concerning the structuring and referencing of studies in this journal.

RICHARD T. CAULDWELL

LISTENING COMPREHENSION: THREE PROBLEMS AND THREE SUGGESTIONS

Abstract: Listening comprehension methodology of the last two decades is characterised by three problems which obstruct successful learning: misguided faith in first language research into listening; misplaced hope in the ability of learners to perceive elements of the stream of speech; and misdirected charity in helping the learners by focusing too much on what they can manage, and not focusing sufficiently on what they have to master.

Misguided faith

Just over ten years ago, Anderson and Lynch (1988, p. 21) noted that there was very little research into listening in a second language. Because of this gap in research, applied linguists, textbook writers, and teacher trainers have gone to research in first language listening to find principles which will guide listening methodology. As a result, listening comprehension exercises are greatly (and in my view inappropriately) influenced by what is known about successful first language listening.

First language research has established that successful listening is characterised by:

- listening for a purpose
- making predictions based on contextual information
- making guesses when things aren't clear
- inferring what is meant where necessary
- not listening ('straining') for every word

(adapted from Brown, 1990, p. 148)

Teacher trainers and textbook writers have made appropriate use of some of these findings, and inappropriate use of others. In particular they have taken the last of these points (*'they don't listen for every word'*) and have made it an article of faith. This article of faith promotes 'top-down' activities and denigrates any activity which could be characterised as 'bottom-up'. Of

course, there are very good reasons why we should be careful about this particular issue: we don't want learners to strain so much to hear every word that they cannot understand anything. In my view though, it is a mistake to abandon, as we have, bottom-up activities which introduce learners to the essential characteristics of speech.

The acceptance of this article of faith has resulted in the standard explanation of the communicative language teacher: 'You won't be able to understand every word, and you don't need to'. Now I find this explanation worryingly insufficient. Here's why.

Let us start with two indisputable facts: first, native listeners don't attend to every word; and second, learners don't understand every word. We make the mistake of proposing the first fact (*native listeners don't do it*) as a solution to the problems posed by the second fact (*learners don't understand*). In doing so, we ignore the fact that native speaker listeners have great advantages over non-natives both in terms of perceptual ability (in particular) and in terms of the abilities to guess, and predict on the basis of contextual knowledge. We expect learners to simulate native listener behaviour without helping them acquire one of the major prerequisites for such behaviour – adequate perceptual abilities.

Any activity which encourages of bottom-up processing, which requires learners to attend to the substance of speech, has become taboo. For example, some authors discourage teachers from giving learners the opportunity of looking at the tapescripts for fear that it 'reinforces the myth that learners can't understand meaning without catching everything they hear' (Helgesen et al, 1997, p. xii).

Thus, because of the misplaced faith in first language research, we have listening comprehension exercises which require learners to simulate native listener behaviour (*don't try to understand every word*) but which do not sufficiently address the need to teach learners how to acquire progressively native-like abilities in perception – there are insufficient bottom-up activities. If true, this is a serious indictment of an approach (Communicative Language Teaching) which claims to be 'learner centred' and claims to place great emphasis on learners' needs

Misplaced hope

Listening exercises are also characterised by misplaced hope which often appears in the shape of the following words of encouragement to the

learners: 'Just listen to the stresses, they'll be in the most important words, then you'll understand'.

There are three problems with this view: first, very often, 'important' words such as negatives are often unstressed, and so-called 'unimportant' grammatical words are stressed; second, research indicates that it is difficult to pick out stressed words in a language which is not your own (c.f. Roach 1982); third, the concept of stress is loosely defined and fails to distinguish between word-level stress, and stresses associated with higher order phenomena such as tone units.

Misdirected charity

Although all listening comprehension recordings are described as 'natural' very few of them are truly so. Many (though not all) are scripted and artificially slow: very few are instances of 'naturally occurring speech', or 'authentic speech'. The reasons for this can be found in statements such as the following from Penny Ur:

> Students may learn best from listening to speech which, while not entirely authentic, is an approximation to the real thing, and is planned to take into account the learners' level of ability and particular difficulties. (Ur, 1984, p. 23)

I myself find nothing wrong in what Penny Ur says here but I would argue that listening comprehension materials are often over-charitable in leaning towards 'the learners' level of ability' and not taking account of the level of ability required to understand spontaneous fast speech. The gap between the learners' level and the target level (fast spontaneous speech) is a gap that we as teachers and materials writers must help learners bridge.

But we cannot help them bridge this gap if we continue with our charitable focus on what learners can manage at their current level.

We have to help learners cope with speech which is above their current level, and to arrive at a description of 'above current level', we need a description of the topmost level – a description of the features of 'difficult' (fast spontaneous) speech. We need such a description for use in teaching so that we can have an equal focus on both where our learners are, and where they have to get to.

Suggestion 1: More work on perception

It is necessary to do more perception work than we are doing at present. Not that which requires learners to distinguish between phonemes, but work which gets students to attend to, observe, and learn from extracts of authentic, fast spontaneous speech.

Perception work is best conducted after doing the usual communicative work on understanding *(warm up, pre-listening, while listening).* It is also best done by focusing on the same areas which the *while listening* activities focused on. As Helgesen suggests (1998, p. 25) if students get the correct answers to the listening comprehension questions ask them 'How do you know?'. Students, in answering this question will provide the teacher with evidence of the level of their perceptual and comprehension abilities.

If they have not got the right answers to the questions, then the teacher should present them with the extract from the recording which contains the evidence for the answer, and ask them what they think is being said at this point. One way of doing this is to repeatedly play the short extract, and ask student to write down (yes, this is dictation) what they hear. Even if students have successfully 'got the right answer' in the previous tests of understanding, this activity is likely to produce evidence of mishearing. (A way of thinking about such perception work is to treat it as research into second language listening: it is my experience that I learn a lot from students' constructive mishearing of what has been said.)

At this point it is essential to show the students a tapescript, so that they can see the gap between what they thought they heard, and what was said. This is the point in the listening class when we have the opportunity of actually teaching listening (which Field, 1998 argues for): we can help the students bridge the gap between the known and the unknown, but paradoxically it is the part of a listening comprehension class that is most often omitted, or to which least time is devoted. However teachers need more help at this point than their training provides for them. And this leads me into the second suggestion.

Suggestion 2: A fast speech phonology

Teachers should be trained in 'observing' speech of all kinds, and particularly the authentic speech that now is a feature of many listening comprehension and general textbooks. This training does not currently take

place. The training they get is in the area of fixed position phonology for the teaching of pronunciation. This training is typically concerned with the articulation of minimal pairs of consonants and vowels so that teachers can explain to students how they can improve their pronunciation.

But these current approaches to 'phonology for pronunciation' do not give adequate preparation for dealing with the features of authentic fast speech, not even in the areas where they might be thought to do so: elision, assimilation, sentence stress, and intonation. The 'rules of speech' presented in such materials are derived from introspection concerning how decontextualised written sentences might be read aloud. These 'rules of speech' are inadequate to account for what happens in fast spontaneous speech.

There is therefore a need for a 'fast speech phonology' which prepares teachers to observe and explain the variability of fast speech. A major element of this training would be to encourage teachers to rid their minds of the expectations and rules they have inherited from fixed position phonology. As for what else might be included, Field (1998 p. 13) suggests features such as 'hesitations, stuttering, false starts, and long, loosely structured sentences'. To this list one can add all the features of speech described in Brazil (1994; 1997) – prominences, tone units of different sizes, tones, pitch height. One can also add the differences between citation and running forms of words, turn taking, accent, voice quality, and the effects of speed on speech.

Suggestion 3: Don't be over-charitable by avoiding fast speech

Students will claim that fast speech is too difficult for them: and teachers will naturally want to give them easier, slower, scripted materials that they feel comfortable with. If this solution is adopted however, students will under-prepared to encounter and cope with the fast spontaneous speech that will come their way when they meet native speakers of English.

If the goal is to help students become better listeners, it is vital that they *learn to be comfortable* with fast speech. Someone who is *comfortable* with fast speech is:

1. equally familiar with the *running* and *citation* forms of words

2. capable of managing a productive balance between the effort to perceive words in tone units, and the effort to understand meanings of the speaker
3. capable of not worrying about stretches of speech which are beyond their capacity to understand

It will be objected that this can only happen with advanced students. I would argue that it is possible, indeed necessary, to aim at this type of comfort with all levels of students. And the way to do this is to spend more time in the post-listening phase helping students learn from those parts of the recording they have difficulty with – more work on perception.

In defence of perception exercises

There was a time when listening comprehension exercises did involve perception exercises (cf. Field, 1998) but they have generally disappeared, a fact that Gillian Brown describes as 'a quite extraordinary case of throwing the baby out with the bath water' (1990, p. 145). Gillian Brown goes on to argue:

> Students do ... need help in learning to interpret the spoken form of the language and, in particular, the form of the phonetic signal. What we need to do...is to think more carefully about the appropriate methodology...
> (Brown, 1990 p. 146).

Brown makes two important points: first we need to bring back perceptual work; second, we need to think carefully about how we do it. Clearly we have to balance the requirement to work on perception with the requirement to avoid straining for every word. Although at first sight it might seem impossible to reconcile these requirements, it is in fact quite easy to do so. For a 'non-straining' approach to listening, learners have to be made familiar and comfortable with the features of the stream of speech which most distinguish it from writing. Current approaches to Listening Comprehension are denying them the means of acquiring this comfort and familiarity.

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RAMESH KRISHNAMURTHY

ELECTRONIC RESOURCES FOR LANGUAGE TEACHING AND LEARNING: CORNUCOPIA OR INFORMATION OVERLOAD?

Abstract : The rapid increase in the amount of language teaching and learning materials available in electronic form, whether on CD-Rom or on the World Wide Web, now presents teachers and learners with problems of how to find them and how to evaluate them. This paper, based on the author's personal experiences and current research activities, describes the problems and suggests ways in which the situation may be improved in the future.

1. Introduction

As a teacher of courses in Corpus Lexicography and Linguistics since 1991, I probably encountered many of the problems associated with electronic resources earlier than many of my colleagues. But now that the Internet has exploded into the consciousness of every teacher and learner, and resources have increased at such an incredible rate, more and more teachers and students have become aware of them. In fact, I have been involved in teaching courses in Corpus Lexicography and Linguistics (especially in relation to the teaching of English as a Foreign Language) since 1984, to trainee lexicographers within the Cobuild project, but it was only in 1991 that I started introducing these topics to a wider audience.

2. Courses

Since 1991, I have delivered corpus-related courses to students at the University of Birmingham, then at other universities within the UK and abroad. I have also given many individual talks and lectures on aspects of these subjects at institutions of higher education (including the Esterhazy Karoly Teachers College at Eger) and other public venues all over Europe, to audiences of undergraduates, postgraduates, professionals, and interested

members of the public. Throughout this time, I have had the privilege of access to the large corpora of natural English texts collected by Cobuild at the University of Birmingham, initially as a member of the Cobuild staff and since 1997 as an Honorary Research Fellow of the University. In 1984 the corpus was about 7 million words in size, and by 1999 it has expanded to about 330 million words.

The Cobuild courses were extremely detailed and practically oriented towards specific publications, focussed substantially on in-house editorial policies, and made use of largely in-house resources, so they are not really of relevance to the topic under consideration. Here is an outline of some of the other courses I have taught on:

YEAR	PLACE	SHORT TITLE	AUDIENCE		DURATION
1991-3	Birmingham, UK	Corpus Lexicography	5-10	MA students (+ guests)	12 hours in 8 weeks
1992	Brighton, UK	Lexicography	50	Undergraduates	16 hours in 8 weeks
1995	Debrecen, Hungary	From Corpus to Dictionary	20	Undergraduates, Postgraduates, and Staff	39 hours in 6 days
1996	Budapest, Hungary	Computational Lexicography	20	Undergraduates, Postgraduates, and Staff	30 hours in 4 days
1997	Debrecen, Hungary	Computers and Text	20	Undergraduates, Postgraduates, and Staff	40 hours in 7 days
1997	Zagreb, Croatia	Dictionaries and Computers	30	Undergraduates, Postgraduates, and Staff	6 hours in 1 day
1998	Madrid, Spain	Corpus for Science and Technology	45	Academic Staff	16 hours in 4 days
1998	Sogndal, Norway	Corpora and Computer Text Analysis in the Classroom	20	Teachers and Teacher-Trainers	8 hours in 2 days

3. Course Contents

Course contents obviously varied according to the type of students and length of course. Inevitably, courses I myself designed were strongly influenced by my experience at Cobuild. For example, one of my early courses in Corpus Lexicography (Birmingham 1992) had the following components:

1. Types of dictionary, dictionary structures, dictionary contents
2. History of lexicography, use of intuition, citations, and corpus evidence
3. Corpus design criteria: data capture, coding, and storage systems
4. Corpus analysis: frequencies, concordances, collocations, part-of-speech tagging
5. Cobuild methodology: headword selection, definitions, examples
6. Cobuild products: dictionaries, grammars, usage books, guides
7. The Future: larger and different corpora, new software tools, electronic products

The rationale for the course design was to make students aware of (1) the wide range of dictionaries available for different purposes, the differences in the nature of the information provided, and the different ways in which the information can be presented (2) the historical changes in the philosophy and methodology of dictionary compiling, in particular the shift from prescriptive to descriptive goals, and the accompanying move from intuition and made-up examples to empirical analysis of data and authentic examples (3) the changes in dictionary-making technology from handwritten dictionary text and citations on index-cards filed in shoeboxes, to corpora on fiche (and later online) and analyses entered on printed forms and keyed and stored in electronic databases, and semi-automatic extraction of formatted dictionary files, to simultaneous online corpus analysis and keyboarding of dictionary entries by lexicographers using software templates (4) the impact that these changes in philosophy, methodology and technology have had on dictionary content (using Cobuild as the main example) and the creation of entirely new reference publications, with a speculative glance into the future.

Some of the course titles indicate the direction in which the courses have since developed: "From Corpus to Dictionary" is similar to the course above. But "Computers and Text: a practical course in using computers for language analysis" suggests a wider approach, still computationally-oriented but no longer solely corpus-oriented. "The Science and Technology of Corpus, and Corpus for Science and Technology" reflects the need for more specifically targeted corpora and techniques, and the interest in them by teachers of ESP. "The Use of Corpora and Computer Text Analysis in the Classroom" highlights the pedagogical applications of corpus and computational methodologies and CALL.

Several of these courses were conducted with co-tutors: several colleagues from Cobuild, Patrick Hanks (Chief Editor, Current English Dictionaries, Oxford University Press), Gregory Grefenstette (Project Leader, Rank Xerox Research Centre, Grenoble), Tamas Varadi (Hungarian Academy of Sciences), and Bela Hollosy (Senior Lecturer and Deputy Head of Department, Debrecen University). The addition of co-tutors can obviously increase the breadth and depth of the treatment of course topics. In the 1995 Debrecen course, Patrick Hanks dealt with the broader theoretical and philosophical aspects, as well as the publishing issues (Practical Issues in Dictionary Publishing), Gregory Grefenstette focussed on the computational methodology and technicalities, and I gave a more practical view of the lexicographer's task in trying to balance the demands of theory and the commercial publishing world against the wealth of linguistic description which corpus analysis can generate. The Budapest course in 1996 allowed me to take over some of the discussion of theory, with Gregory Grefenstette once more dealing with the programming side of corpus computational techniques, and Tamas Varadi giving a concentrated tutorial on the PERL programming language. The 1997 Debrecen course saw Bela Hollosy taking the tutoring role for computational methods, and a more thematic approach to the sessions.

In the 1998 Madrid course, I tried to focus on the use of corpora and other computational resources for research and teaching, with special reference to scientific and technological discourse. The 1998 Sogndal course included a session on computer text analysis (looking closely at newspaper articles, poetry, fiction, and dictionaries), and one on exploiting a corpus for classroom uses.

4. Course Presentation techniques and problems: from OHP to computer cluster

Initially, my course sessions were presented entirely on OHP transparencies, sometimes accompanied by some printed handouts, and sometimes making use of a blackboard/whiteboard. It has always seemed somewhat of a mockery to be illustrating the power of a huge computer corpus and sophisticated analytical software through static displays on overhead projector slides. However quickly I changed the slides to simulate the rapid display sequences of a computer screen, I always had to say `at the press of a button/at a single keystroke, my computer would show you this...'.

In many of the early courses, I could not get access to a computer at all. In some places, I had one computer whose screen display was projected onto a wall or white screen. In some sessions of Budapest 1996, and in all sessions of Debrecen 1997, Madrid 1998, and Sogndal 1998, every participant had a computer. As soon as it became feasible, I started to use a computer in my presentations, and demonstrated the corpus via an online connection, using `telnet' to login directly, or Netscape to access data via Cobuild's website (http://www.cobuild.collins.co.uk/). In the early courses, the problems that manifested themselves were fragile computer links, slow speeds of data transfer, and paucity of any other widely accessible resources.

I have recently seen with envy more and more of my colleagues presenting corpus-based papers and courses using Microsoft Powerpoint on a laptop and so on. But while these presentations are often visually entertaining, and informative, they still rely on pre-prepared (and therefore static) analyses. For example, if a member of the audience asks a question about a word or language pattern that the presenter has not prepared, the question simply cannot be resolved there and then. Only direct access to the corpus can supply the answer.

In principle, given the increasing power of laptop computers, and the increasing size of their hard disks, it would now be possible to take a fairly large sample of a corpus, with the retrieval software, on a laptop. But this would still mean that evidence for rarer words and patterns might not be found, and that word frequencies and collocational statistics and other corpus-size related displays would be scaled down and possibly skewed. Once you have worked with a large corpus, and got used to its scales and patterns, it is quite frustrating to work with smaller subsets. And of course one must not forget that the corpus sample would need to be re-indexed before transfer to the laptop, not necessarily a trivial task. One other technical point must be made here: until the arrival of Linux in recent years, corpora built and run on Unix systems could not be ported to a laptop PC running Windows.

In 1991, there were few other electronic resources available. More recently, I have started to take additional software (Microconcord, Wordsmith Tools, Multiconcord) on floppy disks with me (and with permission from the authors), in order to demonstrate the variety and range of products now on the market – and especially products that my audience could buy for themselves and use on their personal computers at home and at work, to look at their own data collections.

However, I have also encountered problems with the students: there is much initial reluctance to engage in hands-on activities. Many participants on the courses are embarrassed at their poor keyboard skills, or their lack of familiarity with computer systems. In many cases, this is quite understandable: they are away from their own computers, being asked to use a strange machine and strange software, to do tasks which they have never before attempted to do.

So even now, whatever facilities are promised, I always take my notes and examples of corpus data with me in the form of OHP transparencies. You never know what technical problems may arise...

5. Currently available resources: problems

Anyone who wishes to see what advances have been made in corpora in the past few years need only look at Michael Barlow's website (http://www.ruf.rice.edu/~barlow/corpus.html), or visit the site of one of the world's major centres for language engineering resources, such as ELRA (European Language Resources Association: http://www.icp.grenet.fr/ELRA/home.html) or LDC (The Linguistic Data Consortium: http://www.ldc.upenn.edu/).

I am currently a member of the Language Learner's Workbench team of the European Commission-funded SELECT research project (Strategies for European LE-Enhanced Communication Training: EC Project LE4-8304) at the University of Wolverhampton (http://www.wlv.ac.uk/select/). A few months ago (just before the Sogndal course in October 1998) I collated and edited a review of existing language learning and language engineering resources and tools for the SELECT project. I was overwhelmed by the vast amounts of resources and tools now available, and the review eventually grew to 90-pages! For example, the review evaluated 12 CD-Rom products and 17 websites that catered for people learning Business English, and 14 CD-Rom products and 31 websites for students of general English. Language engineering resources included 16 speech corpora, 8 automatic translation systems, dozens of terminology banks, and so on.

As a simple illustration, here is a selection of webpages that offer help with English grammar:

http://www.ihes.com/Sresource/Sstudy/adverborder.html

Adverb Order: how to extend simple sentences by adding adverbials; where to put them and in what order.

http://www-personal.umich.edu/~cellis/antagonym.html

Common Errors in English – a page on the most common usage and spelling mistakes in English.

http://www.hiway.co.uk/~ei/intro.html

An Elementary Grammar – an entire grammar book online.

http://www.fairnet.org/agencies/lca/grammar2.html

ESL Grammar Notes: Articles – explanations and rules on using articles, countable and non-countable nouns, Explanations and rules on verb tenses.

http://www.pacificnet.net/~sperling/wwwboard2/wwwboard.html

ESL Help Center – twenty-four-hour help for ESL/EFL students from an international team of ESL/EFL teachers.

http://deil.lang.uiuc.edu/web.pages/grammarsafari.html

LinguaCenter's Grammar Safari. A great place for students to gather real grammar examples found on the World Wide Web.

http://www.edunet.com/english/grammar/toc.html

On-line English Grammar – an excellent grammar resource

http://www.ihes.com/Sresource/Sstudy/simplesentence.html

Sentence Structure: Simple Sentences: the parts of a simple sentence and how to put them together.

Anyone who has tried a simple search on a popular search engine such as Alta Vista will be familiar with the problem. For example, I have just searched for "English + grammar", and I am told that "**688590 matches were found**":

1. Business English grammar,vocabulary,listening and reading exercises
2. On-Line English Grammar
3. The Internet Grammar of English
4. Internet Grammar of English
5. Lydbury English Centre – Grammar page has moved
6. English Grammar
7. English Grammar Clinic – Links page
8. WORDbird: English grammar, editing, and writing
9. Welcome to Jonathan Revusky's Interactive English Grammar Pages
10. Basic English Grammar

How am I – or any teacher or student – supposed to cope with this inundation of information? One answer is that, of course, we do not have to use all of it! A visit to the first site listed may well give us the answer or the

material that we wanted! But why should we expect the first consultation to be perfectly successful? After all, when we go to the library, do we expect that the first book we find on our subject will be the ideal one? We are happy to chase up Index references, Bibliographic entries, and footnotes. Why should the Web be any easier?

But superabundance is not the only problem. Fortune magazine (March 1st 1999) did their own test of search engines and came up with several examples: for instance, searching for "hockey", Lycos gave "SuperBowl.com: the official website of SuperBowl XXXIII" (for those who don't know, SuperBowl is an American Football tournament) as its first hit! So inaccuracy is another problem.

Luckily for us, solutions are being developed. The Guardian newspaper recently reported on a website (http://www.teem.org.uk) called "Teachers Evaluating Educational Multimedia", which contains reviews of software by teachers. Another issue of the same paper refers to the Virtual Teaching Centre on the National Grid for Learning website (http://vtc.ngfl.gov.uk), where teachers can dip into additional resources set up by local education authorities in the UK, and the Learning Resource Index (http://www.ngfl.gov.uk), which is a directory of educational resources, products and services. Some of these sites may be restricted to UK members, but apparently even Bill Gates is trying to help us: Microsoft is investing heavily in "Adaptive Probabilistic Concept Modelling", software which identifies the concepts or ideas behind a text, remembers sequences of texts that you have looked at in previous searches, and tries to filter incoming data accordingly! Another recent newspaper article tells us about the increasing number of educational software retail outlets where members of the public can browse the electronic products and evaluate them before deciding whether to purchase them or not.

6. Proposed Temporary Solution

Meanwhile, is there nothing we ourselves can do? I would like to propose a temporary solution. Each academic institution should build up an evaluated list of websites, to which all members of the institution would add the results of their own experiences, especially students. Indeed, as our students are now often more comfortable with computers than the staff, we should utilise their enthusiasm, experience, and ingenuity. Just as students are shown the library and how to find books in it, we should show them how to use the Internet and ask them to record sites of academic or pedagogic worth. And

then we can share the information with similar-minded institutions, and also share the task of verifying and evaluating the websites.

7. Postscript

I realise that I may – unintentionally and inadvertently – have put off some colleagues who have become interested in using electronic resources for their teaching and learning, by focussing on the problems involved. For those colleagues, who may be benumbed by the awesome advances in Internet technology, and feel like a rabbit trapped in the headlights of an onrushing car, there are a few simple points which may help to ease their anxieties. I summarised them as follows in my recent Sogndal course:

1. Computer technology is here, so why not make use of it? Computers have become part of our daily lives in the past decade, in our homes, schools, shops, and offices. Many of us use computers to write letters, to email friends and colleagues, to search Websites for information, and perhaps even to do our accounts, to produce course notes, or school timetables. Why not also use them in our teaching?

2. The pace of change may itself be one of the problems. Computer technology continues to progress at an incredible rate. From mainframes to desktop machines, laptops, palmtops, and notebooks. Processor speeds have vastly increased. New formats and media: from floppy disks to CD-Roms, zip-drives, writable CDs and DVD (Digital Video Disk). We may be worried that things we learn about today may be obsolete tomorrow. But our students will often be more comfortable with computers than we are. We can utilise their enthusiasm, experience, and ingenuity.

3. There are two main approaches to using computers in the classroom. In computer-assisted language learning (CALL) systems, the computer is actually used as a surrogate teacher. In the data-driven learning (DDL) technique, the computer acts as an informant. The teacher's role is more like a research supervisor.

4. The use of corpora in language learning is increasing. A corpus is a structured collection of language texts, and it can be used for various purposes: providing examples, checking existing reference materials (dictionaries, grammars, etc), generating exercises, raising language awareness, etc.

5. In general, students seem to have a positive learning experience with corpora. The impact of seeing language data on a computer screen is more immediate and the practice of discerning patterns of language use oneself seems to have a deeper and more long-lasting effect than the traditional methods of learning rules and trying to understand abstract explanations. Students respond well to the inductive method, moving from observation of the data to classification and generalization.

6. Another advantage of using corpus data is that lexis, grammar and other linguistic features are presented together, not as isolated entities (as in traditional coursebooks, dictionaries and grammars). This is a more accurate and more holistic view of language.

7. Here is a brief summary of the reasons for using computers/corpora for language studies:

a) accuracy – printed books have to be brief, so often leave many questions unanswered

b) comprehensiveness – especially for non-native teachers, access to a wider range of language

c) speed – no need to look up several books separately (e.g. dictionary, grammar, coursebook) or look in several different places within a book (using contents page, cross-references, or index)

d) repetition – tasks can be repeated instantly, so checking and validation are easier

e) access – many people can use the same data at the same time

8. When analysing texts, computers can do most of the tasks you can do manually, but can do them more quickly and more accurately. But computers can also enable you to do types of analysis that you wouldn't have thought of doing before.

So may I encourage any diffident colleagues to try out some of the techniques and strategies I have suggested, and I am confident that within a few weeks they will begin to realize that we can – and must – harness the power of the Internet, and the growing abundance of electronic services, and use them to enhance and expand our range of teaching and learning opportunities!

JAN SMACZNY

'THE STUFF OF LIFE' – ASPECTS OF FOLKSONG IN THE FABRIC OF ART MUSIC IN THE BRITISH ISLES

Abstract: Folksong has at many stages played an important role in the art music of England, Ireland, Scotland and Wales; in various guises it has also gone on to influence art music in other English speaking parts of the world, notably the United States of America. The primary purpose of this paper is to look at folksong's historical role in the British Isles – with a brief glance at parallel influences and interpretations of the idiom in America – the means by which it has been transmitted and the results of its presence in a number of repertoires. In addition, a major focus of interest is the way in which folksong in Ireland became a significant symbol of national identity.

1

The role of folksong, or what is often frequently referred to as national song,[1] in the development and revival of a number of branches of classical music in Central Europe, Scandinavia and Russia is firmly established. From a European perspective, the crucial presence of folksong in the art music of the British Isles across several centuries of evolution is perhaps less well understood, in part, paradoxically, because it is so pervasive. At nearly every stage in the musical development of British (understood here to mean English, Irish, Scottish and Welsh) music, folksong has been a major factor in conditioning melodic and harmonic style, and to an appreciable extent, form. At the same time folksong has added a particular melos as well as

[1] In the Czech tradition, for example, the distinction between 'lidové' ('of the people') and národní ('national') is a crucial one where definitions of particular forms of melody are concerned. 'Lidové' is cognate much more with what might be described as genuine folk music emanating from remoter regions with a much more clearly ethnic profile; 'národní' as a term is applied to the popular collections of songs (many of non-Czech origin) which were in common currency and which major composers, such as Smetana and Dvořák, might have understood as folksong.

certain cultural markers to compositions frequently destined for bourgeois and upper class audiences. More subtly, and in the twentieth century, perhaps more importantly, the presence of folksong has done much to clarify aspects of musical language at a time of directional uncertainty where style is concerned; a process by which, to quote the title of this paper, folksong does indeed, as far as music is concerned, become the 'stuff of life'.

While no-one would argue that the same level of scientific background in the development of methodologies and protocols for the collecting of folksong practised by Bartók and Kodaly in Hungary (or even Bartoš and Janáček in Czechoslovakia) existed in England, the efforts of the folklorists and folksong collectors Cecil Sharp, Maude Karpeles and the composers Ralph Vaughan Williams and Gustav Holst were of enormous significance. From the late nineteenth well into the twentieth century, figures such as these made a more or less systematic effort to collect and catalogue folksong in England extending their work to survivals of these traditions elsewhere (notably in the Appalachian mountains in the United States of America). Their efforts were primarily born of an enthusiastic desire to capture a fast disappearing wealth of native melody, though they were also based on an expression of frustration with the inadequacies of earlier collectors and their products.

Some of the cultural effects of this period of collection will be examined below, but some consideration of what preceded their efforts must be examined since it parallels in many ways the situation on the continent. Collections of folksongs in various forms go back to the beginning of the seventeenth century. Thomas Ravenscroft produced three volumes which included folk and popular song (Pammelia 1609, Deuteromalia 1609 and Melismata 1611). The collecting of folksong continued in a sporadic and largely unsystematic way into the eighteenth century, and towards the turn of the century into the nineteenth began to increase markedly. Much impetus was given to what was fast becoming a profitable publishing venture by the practice of commissioning well-known contemporary composers to make arrangements of folksongs for voice and instrumental combinations then popular among amateur performers. Joseph Haydn along with certain of his pupils made numerous arrangements of, mainly Scottish, folksongs for violin, cello, the popular and readily available piano (called fortepiano; the harpsichord which was still current in many households was offered as an alternative) and voice for the Scottish publisher George Thomson, as did his contemporary, pupil and rival during Haydn's first stay in London in the 1790s, Ignaz Pleyel; early in the nineteenth century another successful contributor to this growing literature was another of Haydn's pupils, Ludwig van Beethoven.

2

Of a slightly different order were the publications of Thomas Moore (1779–1852) which provide a fascinating test case in the fixing and propagating the image of Ireland, at that stage still part of the British Isles. Moore's *Irish Melodies* were first published in 1808. The full title of the publication, as it appears elaborately engraved on the frontispiece, indicates the particular division of labour in the preparation of the volume: 'A Selection/ of/ Irish Melodies,/ with Symphonies and/ Accompaniments/ by/ Sir John Stevenson Mus. Doc./ and Characteristic Words by/ Thomas Moore Esqr... They comprised traditional Irish melodies (if texted, most of these would originally have been to Irish words) fitted by Moore to new texts, in the spirit of the originals, in English.

These volumes had a spectacular publishing history being reprinted many times through the nineteenth century. The first American edition of the first volume was produced as early as 1808 (or early 1809). The last volume, with Sir Henry Bishop supplying the musical arrangements, was produced in 1834. Apart from English and American imprints, these volumes were widely available in Europe published by Augener and Novello. Even outside the British Isles, the effect of these songs was extensive where performers were concerned and quite decisive for certain composers. Undoubtedly, without the background of these Irish songs the work of America's greatest song writer of the nineteenth century, Stephen Collins Foster (1826–1864), would have been very different. Much in the manner of Moore's collection, Foster produced his own set of *Irish Melodies*, all of which show the influence of the earlier style in their simple accompaniments and harmonies, and the pentatonic outline of their melodies – the most famous and characteristic of which is the well known ballad, 'Jeanie with the light brown hair'. Beyond this first of Foster's volumes, the elements of style he adopted from his Irish models became a major feature of his later songs to the extent that his so-called 'Plantation Songs', 'Ethiopian Melodies' and 'Minstrel Songs' are as much if not more indebted to Irish features as to the music of the slaves and oppressed black population of the southern states of America. Written for a predominantly white society and white performers, including the Original Christy Minstrels and The Great Southern Sable Harmonists (all of whom were white singers 'blacked up' to seem like Negro minstrels), Foster's style remained a potent presence in American music. Even before the end of the century, his songs were, in Virgil Thomson's words: 'Part of

every American's culture who has any musical culture'.[2] Through the work of Foster, the outlines of Irish, and the closely related melodies of Scotland, had passed into the national consciousness. The pentatonic curves of Foster's melody, made up of an amalgam of primarily Irish, Scottish, and to an extent black American thematic characteristics created a powerful strand in American art and popular music. Antonín Dvořák, writing in New York in the early 1890s with the powerful, if musicologically uninformed, voice of a composer come to initiate a new school of American composition, touched on a certain truth when he stated that:

> I found that the music of the two races (Indian [native American] and Negro) bore a remarkable similarity to the music of Scotland. In both there is a peculiar scale, caused by the absence of the fourth and seventh, or leading tone.[3]

Thomas Moore can hardly have had an inkling of the extent to which his *Irish Melodies* would affect musical traditions in the English-speaking world nearly a century after their first publication. But his effort at recovery was in many ways the product of the modern age, reflecting new trends in social and political thought where folk art was concerned, much of it provoked by the philosophy of the French Enlightenment. Attitudes towards country life, often defined in terms of elemental crudeness had given way to a romantic image of pastoral tranquillity in which the natural beauty of the country dweller became an important factor. Moore's collections were a celebration of a native art in which the folk singer, and more particularly in the case of Ireland, the harpist as representative of an ancient cultural lineage, was the symbol of righteous political virtue in the face of oppression. A rallying call from his publication is to be found in the Air 'Thamama Halla', published both in verse form and with a musical setting. The first stanza gives an idea of the quality of the sentiment in a poem where the upholders of Ireland's native culture are seen very much as victims:

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[2] See Richard Jackson (ed.), *Stephen Foster Song Book*, New York: 1974, p. vi.

[3] In fact, Dvořák knew virtually nothing of native American (American Indian) music and not a great deal about black American music. The quote is reprinted in John Clapham, *Dvořák*, London: 1979, pp. 201–2.

Like the bright lamp that lay on Kildare's holy shrine[4]
And burn'd thro' long ages of darkness and storm,
Is the heart that sorrows have frown'd on in vain,
Whose spirit outlive them, unfading and warm!
Erin! oh Erin! thus bright, thro' the tears
Of a long night of bondage, thy spirit appears!
(Thomas Moore: *Irish Melodies*, 1808, p. 11)

In the remaining verses the imagery focuses on apostrophes to freedom and the renewal of the nation: '... tho' Slavery's cloud o'er thy morning hath hung, The full noon of Freedom shall beam round thee yet' and 'Till the hand of Spring her dark chain unbind, and daylight and liberty bless the young flow'r. Erin! oh Erin! *thy* winter is past, And the hope that liv'd thro' it shall blossom at last!').

Even the iconography of the engravings adorning some sections of the publication is rich with the conceits of innocence married to national imagery. At the head of the first volume, Ireland is portrayed as a maiden, the central picture surrounded by foliage punctuated with wreaths of shamrock, the national flower. The maiden herself seems almost a negation, if not an actual parody, of the imperialist images beloved in English iconography at the end of the eighteenth century. Instead of a proud Britannia with shield, spear and lion, the maiden rests with her elbow leaning on a traditional Irish harp; in right hand is a quill pen and in her left a rolled scroll of parchment. To her right, fallen to the ground is a spear, and to her left a shield, emblazoned with a shamrock, and an upturned helmet set almost carelessly on the greensward. In other illustrations in Moore's publications the pictures favour images of peaceful creativity, for example, the crowning of a bard.

These highly evocative engravings and, of course, the collection of songs itself, were vital in fixing images of the Irish nation in the context of the British Isles.[5] The single crucial musical image was, of course, the harp. The harpist was a central figure in early Irish music and culture. Major Gaelic chieftains held their harpists, who collaborated with poets in the providing of a rich oral tradition of bardic sung poetry, in positions of considerable

[4] This is a reference to the inextinguishable fire of St Bridget at Kildare (mentioned, as Moore himself points out, in Giraldus Cambrensis).

[5] There is, of course, an obvious parallel with the impact of Herder on the construction of a national identity in Germany and later in Bohemia. The products as far as folksong collecting was concurned concerned are to be found in von Arnim and Brentano's *Des Knaben Wunderhorn* (1806–8) and later the massive collections of Moravian folksong by Sušil and Bohemian folksong by Erben.

privilege. This tradition continued into the Norman era in Ireland and beyond into Tudor times in the sixteenth century. The Irish harp, though beautiful in tone, was, *sui generis*, limited to its ancient oral repertoire and proved less able to cope with the requirements of the increasingly chromatic music favoured by the educated classes in the seventeenth and eighteenth centuries. In addition, the arrival and popularity of the fortepiano in the context of domestic music making in tandem with new styles in music proved as far as the harp was concerned a fatal combination. There is an irony that the accompaniments to Moore's *Irish Melodies* along with those of other new collections of folksongs were arranged for the piano and would have been played on that instrument in many an Irish household while the harp languished as a piece of ornamental furniture in the corner. The itinerant harpers, in some ways a kind of latter-day troubadour, travelling from house to house and performance to performance, were still to be found, though drastically decreased in numbers, in the late eighteenth and even in the nineteenth centuries. But fundamental shifts in taste and the growing ability of amateur performers on the piano meant that the attractions of this once remarkable live tradition were fading fast.

A central figure in the latter days of the harp in Ireland was Turlough Carolan (Toirdhealbhach ó Cearbhalláin, 1670–1738). At the age of eighteen he went completely blind as the result of smallpox, thus leaving few options for employment. One possible solution was to take up the profession of harpist; the Irish harp tradition was entirely oral and the instrument was managed with relative ease by the unsighted. Several of the profession were blind, but, with the aid of a helper, managed to make successful careers. Having started relatively late in life, Carolan had difficulty in approaching the dexterity and finesse of his colleagues, but he soon developed a reputation as a composer. Quite often he would originate a song tune and then add words later. It would be a mistake, however, to assume that folksong was the primary influence on his music; along with many of his Irish and English contemporaries, he seems to have been particularly fond, of Italian music, in particular the sonatas and concertos of Corelli and Vivaldi widely performed in England and Ireland throughout the eighteenth century. But, despite the very real attractions of the contemporary classical repertoire, folksong was a presence in his style; though sublimated and considerably refined. As an element in melodic design in his compositions it was a telling point at which folksong entered the fabric of his musical style. Of equal important was the way in which Carolan's output acted as a vessel for the folk impulse since many of his most memorable melodies, some of which may indeed have carried native characteristics, entered the musical

continuum, themselves becoming virtual folksongs transmitted orally, in manuscript copies and eventually reaching print.

In many ways, the last gasp of the harp tradition as it was understood from ancient times came with the Belfast Harp Festival of 1792. This unique gathering marked an early attempt to record for posterity – a clear forerunner of the work of such as Vaughan Williams, Bartók and Janáček – a repertoire on the verge of disappearance. It took place, appropriately enough for such an Enlightenment-inspired event, during the celebrations of the taking of the Bastille in July. Eleven harpers were involved, ten Irish and one Welsh. Their performances occurred over three days while the youthful Edward Bunting transcribed the musical substance of their performances.[6] The event proved to be a considerable public attraction. It was held in the Belfast Exchange Rooms and visiting members of the public paid handsomely to hear the performances at the rate of half a guinea; a number of prizes were given (the fifty-six year old Charles Fanning was awarded the top prize of 10 guineas) and all eleven players received some money.

The experience of the Festival was formative for Bunting and he spent time in the next eighteen years touring Ireland collecting still more music from singers and instrumentalists. Bunting's transcriptions and his subsequent publications are an invaluable document and include information about players, tuning and performance practice. Nevertheless, his volumes of pieces of 1797, 1809 and 1840 reflected the developing fashions of the day and were designed (and increasingly suited) to the piano and its playing techniques. Much the same is true, of course, in Stevenson's and Bishop's arrangements for Moore's melodies which, for obvious commercial reasons, favoured a pianistic accompaniment and the much more classical approach to harmonisation which in many songs tended to distort the inherent qualities of the originals

[6] Edward Bunting (1773–1843) was a talented organist from Armagh. Though certainly able, his transcriptions of the harp repertoire are problematic from a number of points of view. He often did not notate the bass parts and failed to recognise fundamental aspects of improvisatory ornamental writing. Recently practitioners of the Irish harp have also begun to question his notation of melodic lines since some of them seem unidiomatic given the nature of the instrument. His extensive collection of manuscripts is held in the special collection of the main library, The Queen's University of Belfast.

Focusing on Bunting and Moore, albeit briefly, raises interesting questions about the nature of the preservation of the folk idiom, questions which were not to be addressed in a more scholarly fashion until much later. But the achievement of these two pioneers is also a clear indication of an enduring fascination with folksong in the British Isles and the way in which a particular philosophical stance can be brought to bear on a national repertoire. The folk, or popular manner was certainly known to composers at this and many other times. The case of the greatest musical visitor to England, Joseph Haydn, in the late eighteenth century is certainly of significance here. Well before coming to England, Haydn had made use of folksong in some of his symphonies, and throughout Central Europe, from the late seventeenth to the early nineteenth century, the practice of incorporating native elements into art music was popular, as the Pastorella genre shows. Nearly contemporary (1794) with the Belfast Harp Festival and Bunting's first collecting trips, Haydn made use of a folksong, 'Lord Cathcart' (or 'Lord Cathcart's Wee')[7], in the finale of his hundredth symphony composed for his second trip to London. Even where the folksong cannot be identified, the popular manner is evident, quite frequently in Haydn, but closer to home as far as the British were concerned in, for example, the chamber music of composers such as Stephen Storace (1762–96).

The plain fact is that composers had been making extensive use of folk material for centuries. There is a whole tissue of folk allusion to be found in the music of the composers of the Elizabethan and Jacobean eras. Orlando Gibbons and Thomas Weelkes made extensive and elaborate works for voices and viols, known as 'Cryes of London', from the calls of vendors. Folksong was also used in keyboard music. A number of composers wrote lenthy sets of variations for keyboard (virginals, harpsichord or chamber organ) on songs currently popular. Of the forty two pieces included in William Byrd's remarkable collection of virginal music *My Ladye Nevells Booke*, the copying of which was completed in September 1591, seven are primarily based on what could be described as folk or popular tunes: (27) Will Yow Walke the Woods Soe Wylde; (28) The Maidens Songe; (31) Have With Yow to Walsingame; (32) All in a Garden Grine; (33) Lord Willobies Welcome Home; (34) The Carmans Whistle; (37) Sellingers

[7] See H.C. Robbins Landon, *Haydn in England: 1791–1795* (London: Thames and Hudson, 1976), pp. 564–6.

Rownde. A number of other pieces in the collection include allusions to folk or popular songs as follows: (4) The Battell; (5) The Galliarde for the Victorie; (6) The Barleye Breake; (8) The Huntes Upp; (10 and 11) The Firste Pavian and Galliarde; (21) The Sixte Galliarde; (25) The Passinge Mesures: The Nynthe Galliarde; (29) A Lesson of Voluntarie. In all, at least sixteen of the pieces in *Ladye Nevells Books* are based on, or make allusion to, popular sources. In some pieces the quotation or use of a folksong might have a significance greater than popular allusion. In the case of the set of variations on the song 'Walsingham' (used also for a set of variations by John Bull, copied as the first number in the *Fitzwilliam Virginal Book*), with its allusion to the Marian shrine at Walsingham (dissolved in 1538), the use of the melody would have had significance for Byrd's fellow Catholic recusants during the reigns of the Protestant monarchs Elizabeth I and James I. Also, folk melodies, or parts of them, could turn up in the texture of keyboard pieces which did not bear the title of a particular song. Two examples are to be found in Byrd's Barleye Breake, a depiction of a game for couples involving a mock battle; Byrd introduced the bare melodic outline and harmony of the well-known folksong 'The leaves be greene'[8] at the start of his second section and concluded the piece with another well known melody, 'The Bells of Osney' (for further information about Byrd and his use of folksong see Oliver Neighbour, *The Consort and Keyboard Music of William Byrd*).

The content of a series of collections of keyboard music after the heyday of the virginalists (Bull, Gibbons and Byrd were all dead by the mid 1620s) shows that the interplay of folk and art music continued, if at a much less sophisticated level, for several decades and surfaces again in keyboard collections, notably Purcell's *Musick's Hand-maid* ('A New Scotch Tune' and 'A New Irish Tune': London, 1689), at the end of the seventeenth century. The folk/popular impulse was, of course, present again in such works as John Gay's enormously popular *The Beggar's Opera* (1728),and, as we have seen above, was a powerful presence in the late eighteenth and early nineteenth centuries.

[8] The text of the opening of the song was: 'The leaves be green, the nuts be brown, they hang so high they will not come down'. Though well known as a song in its own write, this melody was also the basis for music for viol consorts known as 'Brownings' of which genre Byrd produced a famous example.

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An important development where folksong as an emblem of nation within the art music tradition is concerned occurred in the realms of early romantic music. The Scottish Highlands became a favoured place of tourism and a resort for the romantic imagination partly through the enormous popularity of Ossian's *Fingal* (a favourite of Napoleon) and the novels of Walter Scott; the latter provided the subject matter for a number of early romantic Italian operas. To an extent this projection of the Highlands as a place of romance, complete with tartan-clad clansmen was a manufactured image. Though certainly beautiful, the Highlands still suffered from the depredations of the clearances. The most famous musical results involved the German composers Felix Mendelssohn and Max Bruch: the first wrote a fine 'Scottish' symphony with imitations of Highland folksongs and, it seems, the quotation of the melody 'Scots wha hae' ('Scots will have') at the conclusion of the finale; for his part, Max Bruch wrote a Scottish Fantasy for violin and orchestra in which for much of its length the thematic material is based on Highland melodies (including, once again in the finale, 'Scots wha hae'). More locally, the effect of Highland myth and melody can be found in the work of a remarkable Scottish composer, Hamish MacCunn (1868–1916). Born into a privileged, ship-owning family, MacCunn had great musical gifts which enabled him to win a scholarship to the Royal College of Music in London, only recently opened. Many of his works reflect an interest in Scotland and the Highlands in particular. His most famous work is an overture called *The Land of the Mountain and the Flood*, the title of which is taken from Walter Scott's poem 'The Lay of the Last Minstrel'. But this was only one of several overtures, cantatas, and even two operas which celebrated the history and mythology of the Highlands in much the way that the symphonic poems and operas of Smetana, Dvořák and Fibich celebrated the glories of the Czech past real or imagined. The remarkable aspect of MacCunn is his level of musical success and integrity; the fact that he does not appear to be popular today probably reflects ignorance, or possibly some kind of *froideur* about the programmatic content of his work rather than its musical substance. MacCunn's musical idiom reflects the preoccupations of his contemporaries; Mendelssohn, Brahms, Wagner and Dvořák are all perceptible influences on his music, as indeed they were in the compositions of nearly all British composers towards the end of the nineteenth century. But beyond these influences there is a melodic accent which is among the most distinctive in British music in the nineteenth century. Part of its success is based on an openness to the characteristics of Scottish rhythmic

peculiarities in word setting (note in particular the start of the short Cantata *Lord Ullin's Daughter*) and the melodic aspects of national melody which in turn generate harmonies (often involving plagal progressions) that become a recognisably individual part of MacCunn's style.

This openness to native raw material was a subject to which one of the most famous musical visitors to England often alluded. Antonín Dvořák first came to London in 1882 to conduct concerts of several of his works which were gaining considerable popularity in England. Over the next fifteen he visited England seven times and received a number of significant commissions from musical societies and festivals. Critics in England were quick to perceive Dvořák's effective use of the popular accent in certain of his works, in particular the first set of Slavonic Dances, op. 46. In a contemporary review of these in the *Monthly Musical Record*, the writer ended his notice with the following comment:

> There is no great pretension in the work as a musical composition other than that which aims at the representation of a national peculiarity, and the reproduction, in a quasi-classical form, of things that are in their origin popular.[9]

For his part, Dvořák offered advice to the composers of Britain to base their classical compositions on the: '... fine melodies of Ireland and Scotland'.[10] While far from scientific in his methods of observation, Dvořák frequently noted the presence of national music in the work of other composers. Writing about Schubert's original use of national characteristics in his music, Dvořák offered the following analysis of the practice:

> During his residence in Hungary, he assimilated national melodies and rhythmic peculiarities, and embodied them in his art, thus becoming a forerunner of Liszt, Brahms and others who have made Hungarian melodies an integral part of European concert music. From the rich stores of slavic folk music, in its Hungarian [sic], Russian, Bohemian and Polish varieties, the

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[9] Notice reprinted in Norman Demuth (ed.), *An Anthology of Criticism*, London, 1947, p. 290.

[10] From an interview printed in the *New York Herald*, 21 May 1893. Reprinted in John Tibbetts (ed.), *Dvořák in America: 1892–1895*, (Portland, Oregon: Amadeus Press, 1993), p. 356.

> composers of today have derived, and will continue to derive, much that is charming and novel in their music. Nor is there anything objectionable in this, for if the poet and the painter base much of their best art on national legends, songs and traditions, why should not the musician?[11]

Dvořák made similar observations regarding the potential for classical music in America:

> In the negro melodies of America I discover all that is needed for a great and noble school of music. They are pathetic, tender, passionate, melancholy, solemn, religious, bold, merry, gay or what you will.[12]

The profound irony that Dvořák himself had a profound aversion for using 'borrowed' material was almost certainly lost on his British and American contemporaries. While Dvořák frequently affects the popular style, he almost never quoted actual folksong and only rarely reflected specific features of its outline in his music; his Czech word-setting, however, after an uneasy start was remarkably idiomatic.

But the notion that he had used local material, i.e. plantation songs and spirituals, to add native colour to his 'New World' symphony was widely held. The misconception had considerable effect in Ireland. After the symphony's premiere in Dublin in 1901, the committee of the annual competitive music festival (Feis Ceoil) founded a competition for the composition of an Irish symphony based on traditional songs and folk melodies. The first winner, in 1902, was a Neapolitan composer and pianist who had come to Dublin in 1882, Michele Esposito; the following year (1903) the prize was won by a native of Ireland, Hamilton Harty, from County Down in Ulster. Faithfully building his work on melodies which were certainly recognisable to his audience, Harty's *Irish Symphony* is a vigorous and ingenious four-movement work. Although it has been

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[11] Antonín Dvořák (with Henry T. Finck), 'Franz Schubert', *The Century Illustrated Monthly Magazine,* New York, 1894; reprinted in John Clapham, *Antonín Dvořák: Musician and Craftsman*, London 1966, p. 296–305.

[12] Antonín Dvořák, 'The Real Value of Negro Melodies', *The New York Herald*, 21 May 1893; most of this article is reprinted in John Tibbetts, *Dvořák in America*; 1892–1895, Portland, 1993, pp. 355–9.

recorded,[13] and is still occasionally performed, it has never approached in popularity Dvořák's model. In part this may be accounted for by the difference between genius and talent, but, perhaps also, the very limited local dimension represented by themes with a clear significance only in Ireland and the relative lack of assimilation of the melodies, means that to an extent the work is not only founded on, but trapped by its locality. To make use of native material while transcending its reference and reaching a broader audience is a much more complex process.

5

Dvořák's advice to English and American composers may not have been the starting point for succeeding generations in the British Isles, but their activities indicate that they had come to conclusions which were remarkably close to his recommendations. In England, the activities of Vaughan Williams at the turn of the century as a folksong collector (over a period of nine years he collected folksongs in Norfolk, Hereford, Surrey and Sussex) soon produced all manner of creative fruit. An interesting aspect of the creative fertilisation of folksong is that it found its way into Vaughan Williams edition of the English Hymnal (published 1906), thus introducing a new generation of Church of England worshippers to at least a small part of their heritage of traditional melodies. Of course, the most profound effect was on Vaughan Williams' own music. While fashions have changed concerning the reception of his work, no-one can deny his central role in English music in the twentieth century. He influenced at least two generations of composers and even reactions against his style and ethos by, for instance, Benjamin Britten, are to an extent conditioned by his colossal achievement. For composers like Vaughan Williams, a crucial creative issue was the identity of English music. For much of the nineteenth century, taste in Britain among audiences and composers was largely based on an appreciation of German music, with the work of Mendelssohn, Brahms and Wagner comprising a key corpus which was modestly extended by the music of such 'exotics' as Gounod, Dvořák and Tchaikovsky. Vaughan Williams' recognition of this frankly stultifying state of affairs led to an attempt to escape the German-orientated English tradition, epitomised in many ways by his teacher, the Anglo-Irish composer, Charles Villiers Stanford, by studying with the French composer Maurice Ravel during three months in 1908. He

[13] A modern recording by the Ulster Orchestra conducted by Bryden Thomson is available on the Chandos lable (CHAN 8314).

also consciously allowed his own researches into folksong to enrich his musical style.

In some ways the work that best epitomises these new compositional impulses in Vaughan Williams' early maturity is the song cycle for tenor, piano and string quartet, *On Wenlock Edge*. The influence of Ravel is to be heard in the harmony and instrumental texture at many stages, notably at the very start of this song cycle in the song 'On Wenlock Edge the wood's in trouble' with its depiction of a high wind . The folksong impulse is more complex to define and relates quite closely to the choice of poetry used. The cycle is based on six poems from A. E. Housman's collection *A Shropshire Lad*, which, since its publication in 1896, proved something of a lodestone for many British composers. The poems have a perceptible bitter-sweet melancholy often focused on lost love and youth, a quality shared with many folk ballads in currency at the time. The title of this paper is taken from the second of the poems set by Vaughan Williams, three verses which in many ways distil the inchoate longing found in much of Housman's verse:

> From far from eve and morning
> And yon twelve-winded sky,
> the stuff of life to knit me
> Blew hither: here am I.
>
> Now for a breath I tarry
> Nor yet disperse apart
> Take my hand quick and tell me,
> What have you in your heart.
>
> Speak now, and I will answer;
> How shall I help you, say;
> Ere to the wind's twelve quarters
> I take my endless way.

Vaughan William' superb setting of this affective, if somewhat obscure, love song lifts it into a much more exalted category. The composer's simple, yet sophisticated musical line, energised by an ear attuned to the nuances of spoken English is the new accent Vaughan Williams had been seeking for his music. An accent fired by his native language and the way in which folksong reflects it as a very direct form of musical communication. As far as the music is concerned, 'The stuff of life' goes beyond the poetic content of the verse; in many ways it results from Vaughan Williams' tutelage under

the influence of folksong, the manner in which his musical voice had been refined by his contact with this native resource.

The direct impact of folksong is to be felt in Vaughan Williams' first two symphonies. French influence, in the introduction of the first movement of 'A London Symphony' (no. 2) more especially that of Debussy than Ravel, is again to be found set against the background of broadly conceived symphonic structures. In a 'A Sea Symphony' the scherzo contains folksong elements, namely 'The Golden Vanity' and'The Bold Princess Royal'; in 'A London Symphony' (described almost as accurately as a 'Symphony by a Londoner'; Vaughan Williams spent much of his creative life in the capital city) the ambience is much enhanced in the atmospheric slow movement by the song of a lavender-seller played by a solo viola. These picturesque aspects of the use of folksong are charming, but they are relatively slight set against the extended span of the symphonic canvasses involved. The crucial feature of the involvement of folksong is the way in which it focuses vital musical elements such as melody and consequently harmony. Folksong is a potent presence in terms of both explicit reference and more general melodic outline in Vaughan Williams' operas *Hugh the Drover* (described as a Ballad Opera) and *Sir John in Love*, from which perhaps his most famous folksong-based piece derives, *The Fantasia on Greensleeves.*[14] While folksong quotation is less obviously part of Vaughan Williams' compositional armoury in later works, the folk affinities remain in melodic outline, modal inflection and many aspects of harmonic detail. Later generations may have challenged many of the precepts of Vaughan Williams' practices, but the lessons learned early in the twentieth century have been well assimilated. The definition of folksong may need to be extended to blues, spirituals, jazz and beyond in the work of such composers as Michael Tippett, James MacMillan and Mark-Anthony Turnage, but the principle is still there with folksong continuing to be very much 'the stuff of life' as far as contemporary music in the British Isles is concerned.

[14] Arranged by Ralph Greaves.

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ENDRE ABKAROVITS

TEACHING THE ENGLISHNESS OF ENGLISH GOTHIC CATHEDRAL ARCHITECTURE

Abstract: The present paper has the double aim of describing the role of English cultural studies (and, within that, art historical studies) in training students of English on the one hand and summarizing arguments on the other hand why, among other things, Medieval, especially Gothic, arts should be an important part of the course. Special attention will be paid to Gothic cathedral architecture, which is one of the most outstanding achievements of English arts and culture on the whole, one of those few fields of arts where England was not simply among the best for centuries, but the leading country in Europe for a period.

1 Introduction

For decades the training of students of English in Hungarian higher education has comprised four main fields: literature, linguistics, language practice and methodology. These were the ones which were given priority at the expense of all other possible fields. A fifth area, with usually far less time span, was the one which – separately or condensed into one course – offered information on the history, geography, culture, arts of England, as well as the educational, legal, political, etc institutions of contemporary Britain (and sometimes other English-speaking countries). This was sometimes done within the framework of a single course, but more commonly separated into 'British history' and 'British civilisation'.

The word 'civilisation' has been used in varying senses, and educationalists still have not agreed on a term that would suit its Hungarian or German equivalent best (országismeret, Landeskunde). Very often as much time is spent on British as on American civilisation, although if 'British civilisation' also deals with the historical development of English culture, it should cover at least twice as long a period as its American counterpart. The equal amount of time dedicated to the two countries is made possible only by the fact that most books and courses on British and American civilisation contain mainly the description of the political, educational, legal, economic, etc institutions of contemporary England and

the United States, respectively, dedicating occasionally a chapter to history or, even more rarely, to the arts of these countries. There was, however, no course in the past at most universities and colleges in Hungary that would have covered the development of English culture other than literature.

'Culture' can be understood in various wider or narrower meanings, but neither a wider interpretation of English culture (that would include fields like housing, entertainment, education, hygiene, etc), nor its narrower application for 'high' arts was considered to be a necessary part of the studies of a future teacher of English in the past. Literature has always had an exceptionally prominent role in training students, partly for understandable reasons. Some of these were of a political nature. For a period (some twenty years), the written word was the only way – besides lectures and seminars – of learning the English language in Eastern European countries. There were no travelling opportunities, no satellite TV, not even recorded audio material in the 50s and 60s. The written language had to compensate for the lack of these. Not even written versions of conversational English were used in teaching and learning, but literary works ranging from old English texts to contemporary science fiction were preferred. Right in the first year of our university studies we were expected to read short stories, novels of earlier centuries without being able to distinguish which elements of the vocabulary are still in use today, and which are extinct. Focusing only on one field of culture determined the way of thinking and the preferences of at least one generation. Though I do not deny the general importance of literature as carrier of the language, still, the disproportionate representation of this field of culture at the expense of all the others was and has been clear eversince.

As a result of being trained only in literature and in no other field of culture teachers have usually felt safe eversince only if following the same old track. Someone who has never been trained in visual arts can volunteer to start teaching it only with the help of a lot of autodidactic training and personal interests and motivation in these fields. For decades only a few exceptional personalities at universities were known to discuss also the music, fine arts, architecture, theatre, etc of the age whose literature they were lecturing on.

It is only for a decade or so that more and more tentative steps have been taken at several universities and colleges and new courses have emerged with the aim of introducing students to various fields of English culture (especially arts), even if with the help of a non-specialist. These courses are, however, very often restricted to a certain period or some peripherial phenomenon, depending on the personal interest of the tutor and not the usefulness of the subject for the students. Still, especially because of their usually elective nature, these courses attract many students, who often

recognize the need of some wider understanding of English culture. A comprehensive course of 'English Cultural Studies' or a 'History of English Arts', even at an introductory level, is, however, still missing in perhaps all institutions of Hungarian higher education.

The other problem is that even in the field of literature not the real value of the literary works or the usefulness of their language was decisive, but literary periods were often given the same amount of time (eg one term = one century), independent of the fact whether the literature of the age concerned produced great achievements or not. Very often second- and third-rate poets and writers were discussed, while students were given no information on other, sometimes by international standards far more important fields of English culture. (Though there have always been exceptions, at least in the field of literature, like discussing one of Shakespeare's great dramas for a whole term.)

With the advent of optional courses and with the changes in our living conditions, travelling and communication opportunities, a lot of factors of language learning and teachers' training have improved, especially since the beginning of the nineties. Both teachers and students have greater freedom in offering and attending new courses, respectively, and there is at least some potential chance to integrate other aspects of English culture into the education of students. To avoid the errors of literature teaching, this time it would be, however, important to recognize which aspects of English culture, which periods, which branches of art are those that are important not only from the point of view of the development of English arts or culture, but also by European standards. Unless we have a lot of time to enlarge on every period and aspect of English culture, which will perhaps never be the case, we have to concentrate on those outstanding achievements of English arts that are also highlights of European arts. Such an example is English Gothic art and its best surviving form, English cathedral architecture. In the first part of the main body of this paper I will explain why I have found that this area should be an important part of our training in the field of cultural studies. In the remaining chapters I will try to summarize what features make the Gothic architecture of England different from that of other countries; what made England the leading power of Europe in the field of cathedral architecture in a given period (particularly the 14th century), why cathedral architecture is so important among the various fields of arts and as a result an indispensable part of our knowledge about the country whose language and culture we learn and teach. Finally I will also sum up what conclusions I have drawn from a decade's experience in teaching English arts.

2 The Englishness of English Gothic cathedral architecture

2.1 The importance of learning about English arts (Pragmatic and professional considerations)

As I have already indicated in some papers (eg: Abkarovits, 1995), everyday experience induced me to start introducing art courses to the training of our students. When escorting groups of our graduating students on trips to England and witnessing their visits to cathedrals or other churches or when listening to accounts of their private journeys or by asking them to fill in questionnaires about basic concepts (Eg 'What is a cathedral?', 'Which English cathedrals have you heard about?', 'What English painters or sculptors do you know?', 'Name some English composers.', etc), I had to realize that they did not have any information about these fields and they were also lacking the basic vocabulary, very often not only in the foreign language, but also in their native tongue. When they were guided around a cathedral, they could not understand the guide properly for lack of this vocabulary and also because they did not understand the essential features of church architecture. When visiting cathedrals on their own, they usually turned out to have missed some of the most famous and best parts, because they simply did not suspect the existence of certain constructions behind or beside the main body of the building. On the other hand, we all have the experience that the first thing, if you go to some bigger English town, is to visit its cathedral. For me it is almost unthinkable that one should go to York, Canterbury or Exeter, and not want to see their cathedrals. So, there are very practical reasons to learn something about the history of English arts and acquire some vocabulary in this field. On the other hand, it is not just the practical consideration, which should make us study English art history. A teacher of English is expected to know the culture, and, within that, the arts of England (and perhaps other English-speaking countries), or at least the greatest achievements of the various branches of their arts. The knowledge of English literature cannot compensate for all other aspects of arts, what is more, even literature cannot be properly understood without seeing the processes of the age in a wider context of the state of arts and culture.

2.2 Why just Gothic cathedral architecture?

As is the case with all nations, the English did not create outstanding works of arts in every century and in all fields of the arts. If we want to be honest, we have to admit that there have been relatively few periods and few

fields when and in which England played a leading role in the history of Western arts. English Gothic architecture is one of the few exceptions. Gothic has a special role in England. If we just take the sheer quantity of time into consideration when people were erecting buildings mainly in this style, we have to realize that during almost one half of the second milleneum this was the predominant or most favoured artistic style in England. (Roughly, from 1150 to 1550, plus the Gothic revival of the 18th and 19th centuries.) (Watkin:156) Especially the last phase of English Gothic, the Perpendicular, is so much felt to be their own that it is often referred to as the 'national style' of England. The style of this Gothic period was revived in the eighteenth century and preferred to all other former styles.

The Anglo-Saxon period did not leave behind great churches. The Norman period was already characterised by large-scale construction activities and important fortresses and cathedrals have survived from this period. We can say, however, that, on the whole, the English did not build very original and outstanding constructions in this period either, though there are some exceptional achievements such as Durham cathedral, but even the latter has a mixture of styles and its importance is largely due to the fact that the three main features of Gothic architecture (ribbed vault, pointed arches, flying butresses) are already present. But the earliest surviving pointed rib vaults (1120–1133) of the Middle Ages had no effect on the walls or piers. (Wilson: 19–23) Durham only anticipated the vaults of the Ile-de-France, but we cannot know if it exerted any influence on them.

The question of why just cathedral building became important at the beginning of the Gothic period is answered by Martindale in the following way: 'Much of the major building is cathedral architecture. Monasteries had had their churches by 1200, with which they were satisfied. By contrast, many towns were not satisfied with their main ecclessiastical building. The years 1140–1250 were a period in which it became possible to build churches the size and height of which had not been known since the fall of the Roman Empire.' (Martindale: 13)

It is the Gothic age when England created great works of art, even by European standards. Although Gothic was not born in England (though its main elements are already present in the dominantly Norman Durham cathedral, as we have seen), within a century England caught up with France and after the disaster of Beauvais cathedral, when the French were unable to renew their Gothic style, the English remained innovative and went on developing this style.

From Pevsner's remark it seems that even the English are not always aware of the real value of their achievements, especially concerning the Decorated period. 'In fact, the architecture of England between 1250 and

1350 was, although the English do not know it, the most forward, the most important, and the most inspired in Europe.' (Pevsner: 128)

Unfortunately not all aspects of English Gothic arts can be studied today. During the Reformation most of the wall- and panel paintings of England were destroyed, similarly, much (and perhaps the best) of the sculpture. For various reasons, the cathedrals were spared, while the similarly valuable buildings of the monastic orders were also destroyed. Today only the ruins of the formerly wonderful abbeys of the Cistercians can be marvelled at. In the later centuries of the Gothic age the architecture of the parish churches also showed high standards.

The reason why I find the discussion of cathedral architecture important is, however, not only its artistic quality. The cathedral was not simply a building in the Middle Ages, not just an important sacral centre, but it was what Harvey describes in this way: 'The cathedral of the Middle Ages reigns supreme as the chief of all art forms; the cathedral was not a church alone, it was the greatest of art galleries, the noblest of lecture halls, sublimest of opera houses. The best of sculpture, of painting, of music and of verse were not too good for its service.' (Harvey: 9)

Edwards writes about cathedrals: 'In England no buildings are more important as architecture or as embodiments of history, and not many buildings contain so much beauty.' (Edwards: 6)

As we can see today in many English towns, though not on as large a scale as in the Middle Ages, cathedrals are regaining their roles not only as religious, but also as cultural centres of their town.

So, we should not consider cathedrals simply as remains of architecture, but both as the religious centre of a town, which was normally planned to house its whole population standing, and as a site which provided space for a lot of activities, ranging from everyday legal and trade transactions to cultural events like theatre (passion plays) and musical performances and sites of the most important milestones of human life like birth, marriage, death (baptism, wedding, funeral ceremonies).

For the average visitor of cathedrals, who has not studied art history, all Gothic churches may look alike. There are however striking differences between the Gothic architecture of the different countries, such as England, France, Spain, Germany or Italy. My aim in the following parts is to sum up, as much as the limits of this paper permit, those characteristics which, as the main title of this chapter indicates, provide the Englishness of English cathedral architecture, which make it distinct from the Gothic of other countries. This can be best observed when it is contrasted to the Gothic of France, the birthplace of this style.

2.3 The origins of Gothic and the influence of France on English cathedral architecture in the Early English period

As is well-known, Gothic architecture was born in France, and what is rare in the history of arts, it can be traced to the exact building. Its birthplace was the abbey church of St. Denis near Paris, the burial place of French kings. (The rebuilding of the choir took place between 1140 and 1144.) Even the man behind the whole scheme is known: Abbot Suger.

Suger 'argued that we would come to understand absolute beauty, which is God, through the effect of precious and beautiful things on our senses. ... This was a revolutionary concept in the Middle Ages. It was the intellectual background of all the sublime works of art of the next century and in fact has remained the basis of our belief in the value of art until today.' (Clark : 50)

The fact that Gothic architecture was born at St. Denis does not mean that its main features had not existed before, but they were used here for the first time as an entity to organize the whole space. The combination of the already existing motifs were used for a new aesthetic purpose. (Pevsner: 89) Earlier, Normandy and Burgundy had been architecturally the more progressive parts of the French lands, but during the 12th and 13th centuries the Ile-de-France, the central area around Paris, became more important and several stupendous cathedrals were erected in the new style in this region. (Chartres, the Notre Dame of Paris, Reims, Amiens, Beauvais, etc)

What was typical of all these cathedrals was the quest for one perfect solution, the consistent application of verticality, the priority of height. They were usually built during one continuous building period, sometimes within the lifetime of a single architect, although most of them were never completed, at least as far as the towers and their spires are concerned, so we cannot know exactly what they would have looked like if their construction had been finished.

England had been influenced by the architecture of the cathedrals of the French lands well before this, since the time of Edward the Confessor, who was brought up in Normandy. From the time of the Norman Conquest Normandy had a decisive influence on English architecture. (Normandy became part of the French kingdom only in 1204–6.) Now the new Gothic style of France also played a strong initial influence on England, especially in Canterbury and Westminster Abbey, the latter being only architecturally a cathedral, otherwise, apart from a short period, it has not been the centre of the see of a bishop, which is the requirement of the title 'cathedral'.

But 'the introduction of Gothic into England was neither a single event, nor a continuous process, but rather a series of disconnected events'.

(Wilson: 72) This happened, because in the south-east there was no need to build a great church until the 1170s, as after the post-conquest boom a lull followed in the middle of the 12th century, and only accidental fires (like in Canterbury) or the collapse of Norman parts forced the clergy and the congregations to start major construction activities. On the other hand, in the north and west it was rather the influence of the Cistercians than that of the Ile-de-France that prevailed.

There were also some basic differences in the organization of the Church itself in the two countries. On the one hand, the cathedral was a typical product of a town on the Continent, the symbol of the growing riches of the burghers, while a monastery was typically built in far-away places. The two were exclusive of one another in several countries. Cathedrals were normally built for huge lay congregations in most countries and were served by 'secular' clergy. In England there were, however, some monastic cathedrals, so the two institutions got mixed up to a certain extent, often causing friction between the bishop and the monks. (Harvey: 210–211) But there were also several cathedrals in England which, although they had never had monks, had monastic buildings for show or practical purposes. (One of the best and most beautiful examples of this is the cloisters of Salisbury.) On the other hand, England was also different from France in the number of dioceses. The great provinces of France were almost like separate countries at that time and the number of dioceses was far more than in England, where there have always been just 2 archiepiscopal provinces and in the whole history of England there have been only about 100 cathedrals, 27 of which survive. 'When the Middle Ages ended there were still only 17 dioceses and about three times as many clergy to cover about 9500 parishes.' (Edwards: 29)

The relative small number also has a share in the high quality of English cathedrals. In connection with France we should not only think of the huge cathedrals of the Ile-de-France, but of the many insignificant ones of other provinces, too. (Harvey: 21) There were some basic differences even between French cathedrals and the French-like 'cathedral', Westminster Abbey, even the first, Norman version of which (built at the time of Edward the Confessor in 1045–1050) had already had the emphasis on length (as it became typical of English cathedrals) instead of the French emphasis on height. The French were obsessed with height and the rivalry in this field led to the disastrous collapse of some parts of Beauvais cathedral, which put an end to the until then continuous development of French Gothic. (1284)

The proximity of Normandy and the activity of some French master masons in England, like that of William of Sens in Canterbury, made their influence felt in the Early English period, but in later English cathedrals French features were avoided. As Wilson puts it, 'Canterbury was also an

end to the period of English receptiveness to French Gothic ideas.' (Wilson: 85) Of course, we should not understand this as a complete exclusion of all French ideas in the coming centuries, but there was an ongoing aversion to some large-scale imitation of French designs, while individual ideas were often welcome.

The typical semicircular termination of the apse with the ambulatory was retained only in 3 English cathedrals, in all the others, especially with the later addition of Lady Chapels, which were usually the extension of the Eastern arm, the flat ending was preferred. This made the construction of the huge windows on the square Eastern walls possible in the Decorated and Perpendicular periods.

Although Cistercian churches also have square ending sometimes, especially in the initial period, in many other respects they have so little in common with English cathedrals, that it is not likely that they were built under Cistercian influence. Some authors suppose that the preference for rectangular east ends may have been an Anglo-Saxon feature, suppressed at the Conquest, but reemerging a century later. (Coldstream: 17) There are also views according to which we can see the survival of some pagan elements in the strict Eastern orientation of the cathedrals and the efforts to let in as much light through the Eastern window as possible. We should not forget that England was pagan for several centuries during the first milleneum, while many parts of Europe were continuously Christian. On the other hand, I find it interesting that from the point of view of designing the semicircular apse and the ambulatory around the sanctuary are the most difficult structural problems for the architect. (When Villard de Honnecourt copied the groundplans of the most important cathedrals of his time, he found only the Eastern arm important to draw, the design of the nave was shown only by one bay). (Cs. Tompos et al: 489). The English got rid of this problem by applying rectangular sections. This may also prove that they were not so much interested in the solution of structural problems, but in the ornamentation, and this will be more and more obvious during the evolution of English Gothic architecture.

Another field where the two countries took a different approach was the number and position of towers. Though very often the original plans of a greater number of towers were abandoned, so we cannot know exactly what these buildings might have looked like if everything planned had been built, still, it is obvious that the French laid the emphasis on the Western towers, while the English insisted on building a huge central tower, even if this caused a lot of technical problems for them. The four corner points of the crossing had to carry the tremendous weight of the central tower and its stone spire. The result was often collapse or near-collapse. In some

cathedrals the English took advantage of this problem and by applying stunning inverted arches, they supported the central tower. The inverted arches, although originally not part of the plan, became from then on one of the highlights of the church. The most famous example is Wells (1338), but Salisbury also has similar constructions.

Spires, and usually stone ones, were an essential component of the Englishness of these cathedrals. Most commonly the two Western towers and the central tower all had spires, but today only Lichfield preserves the three stone spires. Lichfield can give us an impression what the typical English cathedral may have looked like, although if we try to add spires to the towers of Lincoln in a photo, the upward pull of the cathedral is even more striking.

From the point of view of towers it is also decisive that many English cathedrals were not built surrounded by narrow streets, but in the middle of the spacious 'cathedral close'. So, it was not just the Western facade, which people could look at from a distance, but the whole volume of the cathedral, often from all sides. Under such conditions the central tower had a far more important aesthetic and symbolic role, and this may be part of the explanation why the English insisted on it. (Cs. Tompos et al: 551) (Another feature of the English 'cathedral close' was that it was often surrounded by a stone wall, and with the cathedral and the buildings of the bishop and the cannons it was almost like another settlement within the town.)

The application of substantial transepts and the insistence on the huge central tower are also in close connection, the former providing important support to the latter. The central tower of Beauvais collapsed, because the French built it before the construction of the nave, so it had no sufficient support from one side. Transepts were more projecting in England (also for the above mentioned structural reasons, which is also shown by the fact that where there are two pairs, the one supporting the central tower is more projecting than the other pair). The construction of two pairs of transepts does not come from the cathedrals of the Ile-de-France, but from Cluny, which was rebuilt in the 11th century. (Cluny III)

In spite of the great length of English cathedrals, this feature is not disturbing when inside, because we usually can't see the whole vista to the end of the church, as a screen often separates the choir from the nave. The screen sometimes has an organ on top of it, and the whole construction has been the subject of frequent criticism for centuries, as in Exeter.

Exeter, on the other hand, is the only exception in the field of the central tower, having none. The survival of two Norman towers on the sides made it unnecessary, bringing about in this way the longest unbroken vaulting of

England. It is a unique experience to visit the loft area of Exeter cathedral, where this great length is even more obvious.

While the French tried to have some unity of space from the beginning, almost all English cathedrals have a patchwork character, with the various parts of the church built in successive periods, often incorporating Norman remains and having substantial sections from the different periods of Gothic. (See Appendix) This may be due to historical circumstances, to the lack of enough money, but some authors also suppose that this is another feature of English architecture, namely that with their additive approach they rather joined one compartment to the other while the French preferred spatial concentration. (Pevsner:119).

But just the example of Exeter shows that, while the English went on building their cathedrals sometimes for centuries, they were also able to follow the original concept if they wanted to. At Exeter five successive bishops had the cathedral built in a consistent style between the 1270s and the 1370s. 'Thanks to them this church, which was not one of the richer cathedrals in the Middle Ages, was one of the most glorious.' (Edwards: 27)

As to the number of aisles, England usually had two, while French cathedrals often had four. In general, England insisted on the basilica type also in later periods, avoided building hall churches, where the nave and the aisles are of equal height. (Except for Bristol.) In England the aisles are much lower than the nave, and behind their roof the triforium can be found. It is one of the usual three levels of the nave, although in some cases the number is reduced to two. The four-storey elevation, which can be seen in some French cathedrals, never became popular in England. (Martindale: 30) The most common order of the tiers is: arcades, triforium, clerestorey windows. It is the proportion of these levels to each other which is often decisive from the point of view of the aesthetic effect. Even a non-specialist may have the impression on entering a cathedral nave that something is wrong with the building, but perhaps he can't put his finger on it. I myself had had such impressions in certain cathedrals and these feelings were later justified when reading the analysis of a specialist about the proportions of the tiers.

The use of a triforium instead of gallery had been general practice since Chartres in France, too, but the English tended to have small clerestory windows first, and they were very often deep ones, unlike those of most French cathedrals which had the glass on the inner plane of the wall. (Though there are exceptions in England as well, like the clerestory at York.)

Another characteristic of English cathedrals regarding the tiers is the ongoing emphasis on the horizontality of these levels. While the French lead the shafts from the floor to the vaulting, even such well-proportioned naves

like that of Wells go on having the horizontal division lines of the three tiers, breaking the vertical pull in this way. Especially in the light of later developments (eg the hall churches of the new preaching orders in other countries, particularly in Germany), it becomes more and more obvious that the English remained conservative in this respect: instead of attempting to achieve spatial unity they go on dividing the space and surfaces. (Vertically into arcades, triforium, clerestorey; horizontally into nave and aisles; longitudinally into bays, as well as, nave, choir and retrochoir.) In spite of the additive character of building and the insistence on divisions, some cathedrals (such as York, Lincoln, Lichfield) don't make the visitor feel uneasy about the lack of spatial unity, while in some other cathedrals, like Gloucester you feel as if you were passing from one church into a completely different one when you approach the choir or retrochoir from the nave.

The patchwork or additive character must have been a national pecularity, because they followed it not only in places where surviving remains of former buildings hampered the design of the new construction, but this had been typical in Anglo-Saxon times and in some new foundations as well. (Pevsner:121) The groundplan of Salisbury, which was built from scratch on a new site, is basically not much different from that of many other English cathedrals.

Amiens and Lincoln might be good examples to show the differences in the English and French approaches to cathedral building. Many of the above mentioned differences are clearly shown by the groundplans. (Illustration from Cs. Tompos et al: 478, 554)

The French preferred simple, but high vaulting. The English got more and more interested in decoration. The groundplan of Lincoln shows various solutions, even patterns that defy structural logic, like the 'crazy vault' of the choir. (Coldstream: 20) In England the structurally needed ribs were often completed by a central ridge-rib, from where additional ribs, also the so called tiercerons were started. The ridge-rib and the tiercerons were first introduced at Lincoln. The junctions were richly decorated bosses. 'The evident pleasure in surface ornament became a feature of English Gothic architecture and reached its first climax in the rebuilding of Lincoln cathedral (begun in 1192).' (Martindale: 32)

Stained glass did not play as important a role in England as in France, at least the quality of Chartres and some other cathedrals was never reached in England during the Middle Ages. The best ones are said to be those of the Corona at Canterbury. Even the effect of applying stained glass was different in the two countries. French stained glass provided a mystic

atmosphere excluding the outside world, while English stained glass windows let the light come in.

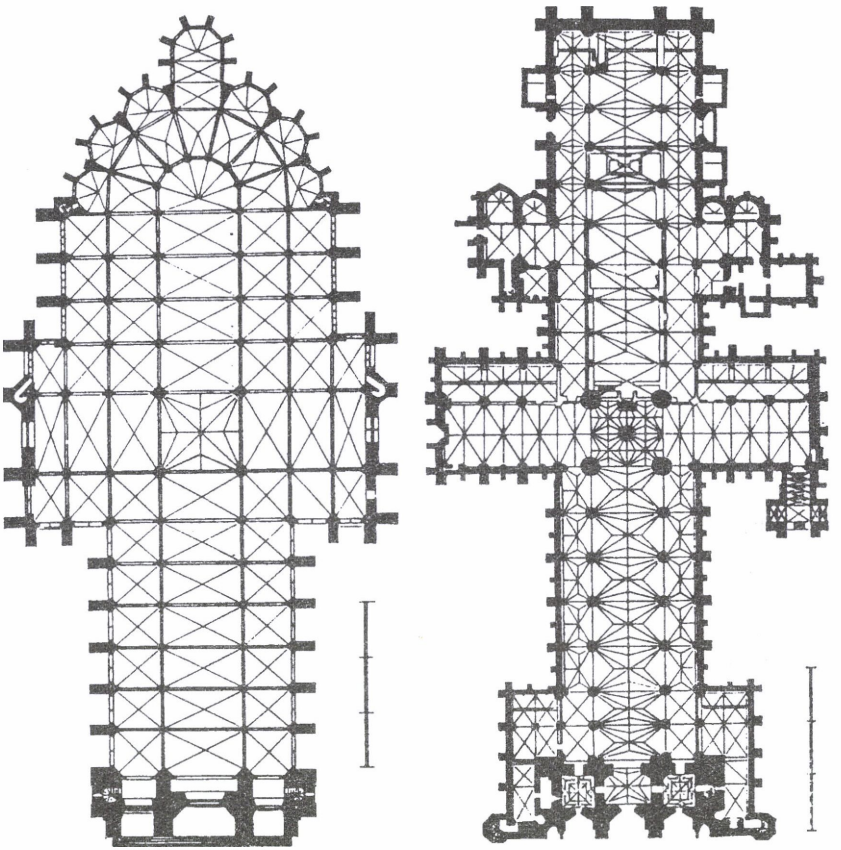

Illustration: The groundplans of Amiens and Lincoln

Many paintings were comissioned for churches and palaces around the middle of the 13th century, but later almost all the painting on a larger scale has vanished. Frescoes and altarpieces were destroyed in churches by the Puritans, usually only fragments survive. It would have been easier for illuminated manuscripts to survive, as was the case with French books, but as Henry III was not a bibliophile, no royal manuscripts date from his time. (And not much from the following periods either.) (Martindale: 131)

Much of the sculpture is lost in England. The doorways were never so richly decorated sculpturally as in France. Even the cathedral facades that

used to have the greatest number of sculptures, like Wells, have small, unimportant doorways. The splendour of the original Wells facade, the first of its type in Gothic England, with its painted and gilded sculptures must have been a dazzling sight for medieval people. As for individual sculptures, only a few – mainly royal – tombs (like those at Westminster or that of Edward II at Gloucester) excel from among the few surviving pieces of the various Gothic periods.

2.4 Gothic cathedral architecture after 1250

The division of Gothic into periods may vary with different authors. Pevsner calls the period after 1250 'Late Gothic' for the continent. In connection with England the traditional division is: Early English (1150–1250), Decorated (1250–1350), Perpendicular (1350–1550, the second hundred years of which is often called Tudor).

The differences discussed in the previous chapter had been present from almost the very beginning and remained typical features of English Gothic in later periods, too. Although the English introduced remarkable innovations and avoided direct imitations of French examples, the French were unquestionably the leading power in Gothic arts in the whole of Europe during the period until 1250, which is called Early English in England and High Gothic in France. They soon reached such perfect solutions which were difficult to surpass, and excesses in increasing height soon led to the already mentioned disastrous consequences.

The historical background did not favour French arts either. After the long and prosperous reign of Louis IX, more difficult times were to come. A hostile atmosphere surrounded France. The development of towns slowed down, the benefits drawn from the Crusades were over, general stagnation was typical of the economy, and in the fourteenth century, at the beginning of the Hundred Years' War the French were the losers.

In England the second half of the thirteenth century saw the birth of national consciousness. The spirit of nationalism (with all its good and bad sides) was awakened in Europe for the first time here. While earlier the language of the upper classes had been French in England, English became the language of the whole nation now for the first time. Edward I invaded Wales and parts of Scotland and carried out large-scale construction activity. (Welsh castles) The first universities were set up. His grandson, Edward III, started the Hundred Years' War against France and was successful at first. But in 1348–49 the Black Death killed almost half of the population. It is

difficult to ignore these events when we discuss the development of the arts of this period. (Halliday: 56–57)

Before that, however, during the second half of the 13th century the Church was rich and fearing that Edward I might confiscate their money for his wars, they invested it into building activity. These facts all prove how much political events, economic conditions and the state of culture are intertwined. And from among all fields of arts it is architecture that is the least inseparable from the conditions of its age. While a poet or painter can make himself independent of the general conditions of his time, at least to a certain extent, architecture can flourish only under proper circumstances.

So, it is not by chance that perhaps the most prosperous period of English architecture was between 1250 and 1350, and that later, during the 200 years of Perpendicular (and Tudor), not a single new cathedral was built, only parts of older cathedrals were rebuilt or Lady Chapels and towers were added or completed.

The wealth of the Church at the time of Henry III and the first Edwards made the construction of outstanding pieces of architecture possible like the best examples of Decorated Gothic (the nave of Exeter, the cloisters and chapter house of Salisbury, the Angel Choir of Lincoln, the nave of Lichfield, the chapter house of Wells, the nave of York, the octagon of Ely, etc). I think it is typical especially of this period, what is sometimes said about English cathedrals in general, that 'a warmth, a welcoming and homely quality... ' is the ruling atmosphere of these cathedrals, which cannot be found in most Gothic cathedrals in other countries. Moderation and the quest for the golden mean, preoccupation with decoration, especially lines are typical. (Harvey: 21)

From the 1240s bar tracery, which had been probably invented in Reims, had a strong impact on the development of English architecture. The name 'Decorated' was coined originally for the period following the arrival of window tracery. All further innovations of tracery in following periods, like wall tracery, can be deduced from window tracery.

What is typical of Decorated architecture is not some kind of structural unity; on the contrary, most new constructions were just extensions to or replacement of earlier parts. 'The architects of the time were interested only indirectly in structural problems. Their main preoccupations were with ornament and shapes, whether in ground-plans, vault patterns or window tracery, and structural changes were made primarily to accomodate new ideas about the forms.' (Coldstream: 10) Unfortunately, after the destructions of the Puritans and the neglect of the following centuries, it is very difficult to imagine today what the Decorated churches might have looked like, with all their carved and painted sculptures, paintings, liturgical furniture, and

precious metals. It is mainly window traceries and vaulting patterns that can give us some idea of the overwhelming interest in ornamentation, which had been typical of the English, to varying degrees, also in earlier periods.

The birth of the Decorated style can be identified with Henry III's decision to choose Westminster Abbey, out of his devotion to Edward the Confessor, as the royal church of England. He had the church of Edward demolished, which was similar in groundplan, just with shorter transepts and had a central tower according to the Bayeux tapestry, and started to build a more beautiful one. But when the king died, only the sanctuary, the transepts, and the choir were completed. (Fox: 8)

Westminster was to merge the functions of three main royal churches of France: Reims (coronation church), St Denis (burial place of the French kings) and Sainte-chapelle (the chapel of the royal court with the most important relics). The ornate quality of Westminster, especially inside, even today, when it has been deprived of most of its earlier decoration, is apparent and was due to the influence of the newly built Saint-chapelle in Paris, which had been constructed to house the relics of the Crown of Thorns and part of the True Cross, giving the impression of a metal reliquary turned inwards. (Coldstream:12) Westminster is rather un-English when we consider its height, rose windows, polygonally apsed east end, etc. On the other hand, it shows several English characteristics (deep gallery, ridge rib, great width, etc), and just in the field of window tracery it had an important effect on the development of English architecture, as in the 1240s English cathedrals still had plain lancets, while French great churches had already been embellished with huge windows with bar tracery. 'The true significance of Westminster lies in its decoration, the ornament and the tracery.' (Coldstream: 25)

However, royal Westminster was not followed by other English cathedrals, perhaps except for the windows. (Martindale:101) (Besides other factors its costliness may also have played a part in this. No other patron could afford to spend that much money on a church.) Wells and Lincoln set the examples for the others. All English cathedrals insisted on having relatively thick walls and as a result, they did not need the huge flying butresses of the French. Even if they used them, they tried to hide them under the roof of the triforium or otherwise. The French, on the other hand, enjoyed displaying them. (Eg Notre Dame, Paris)

Two new cathedral works were begun in the 1250s: the Angels' Choir at Lincoln (consecrated in 1280) and Old St Paul's. The latter was the biggest cathedral of the time, built mainly under the influence of the Notre Dame, Paris, but also showing typical English features like the rectangular ending and the usual English elevation. It exerted the strongest influence on future

cathedrals in the field of tracery. The Europe-wide fashion of applying naturalistic leaf sculpture was best shown here, as well as at Lincoln and Southwell.

But the decorated cathedral 'par excellence' is Exeter, which, apart from the above mentioned two Norman towers, was wholly built in Decorated 'with greater stylistic consistency than any other pre-Reformation English cathedral except Salisbury.' (Clifton-Taylor: 147)

In Exeter the ribs starting from the springer take almost the shape of palm trees during the Decorated period. The origin of these palm tree-like ribs was the chapter house, a typical English building-type. The archetype was the Westminster Chapter House, English in its octagonal shape, but having huge French traceried windows. (1253) One of the highlights of many English cathedrals is their Decorated chapter house. (Wells, York, Salisbury, etc) This building type is, however, not a new invention of the Decorated, as we know circular (eg Worcester from the Norman period) and poligonal (eg Lincoln or Lichfield from the mid thirteenth century) examples before them, having basically the same arrangement. But Decorated chapter houses surpass the others in beauty.

The English did not have many rose windows. They had more and more complicated bar tracery instead. The square Eastern ending made the erection of an enormous Eastern window with rich bar tacery possible. First simple geometric elements (circles, quatrefoils, trefoils, etc) were used during the Decorated period (Lincoln), which were later followed by less attractive and less fanciful Perpendicular divisions (York, Gloucester).

The roof of the Eastern termination rose in the north and east of England sheer from ground to apex, in the south and west the high gable is set back from the East end, in the latter case enabling the erection of two big Eastern windows, one for the choir, the other for the Lady Chapel. (Harvey: 74) Instead of the gloom of French cathedral terminations, England tends to have more and more light at the Eastern end till the whole Eastern wall is transformed into a glass-wall of the size of a tennis-court at Gloucester. These huge Eastern windows are however rather unimaginative in their design. (Clifton-Taylor: 213)

It is usual to divide the Decorated period into Geometric and Curvelinear. After the simple forms of tracery in the Geometric period, which could be drawn with the help of a liner and compasses, in the first half of the 14th century, for the first time in the history of Gothic arts, its ruling arch form, the pointed one was abandoned for the sake of the ogee arch, which had existed in Islam arts long before. One of the most famous examples is the Lady Chapel at Ely. (1335–1349) Another unique feature of Ely from this period is the octagon and lantern for the crossing, which may be a deliberate

attempt at breaking with the thirteenth century's discipline of right angles. (Pevsner: 138)

As mentioned above, political, economic, and living conditions changed radically around the middle of the fourteenth century. It is almost symbolic that the Black Death put an end not only to the lives of half of the population, but also to the artistic period (Decorated), which meant possibly the climax of English Gothic arts. Though English Gothic remained innovative and influential during the next (Perpendicular) period as well, its decoration is felt decadent, too lush by many people. Some experts feel even the Curvelinear decadent, while others deny this. (Coldstream: 9)

While Early and High Gothic showed a lot of similarities in Western European countries, Late Gothic was characterised by more national characteristics everywhere. But even in this period the various countries exerted strong influence on each other, and eg it is difficult to imagine the star and net vaulting of Germany or Spain without the English examples. In Lincoln ribs began to get separated from the vaulting long ago, and the English influence is felt as far away as in the Vladislav Hall in Prague Castle. (Martindale: 224)

Although not completely Perpendicular, Gloucester is the archetype of Perpendicular. The choir was rebuilt in 1350 and a century later the Lady Chapel was added and it became one of the most important examples of Perpendicular.

Fan-vaulting was also born here in the cloisters in the form of inverted half cones, but it was used for decoration in cathedrals only in the retro-choir of Peterborough and in the tower of Canterbury. The most famous large-scale fan-vault, without pendants, is that of King's College Chapel at Cambridge. (Clifton-Taylor: 226–230) The future development of the vaulting designs is represented not by cathedrals, but royal chapels. (King's College Chapel, Cambridge; Henry VII Chapel, Westminster Abbey; St. Stephen's, Westminster Palace; St. George's, Windsor Castle) The only exception is the pendant lierne-vault of Oxford cathedral. 'Structurally, this is a feat of extraordinary architectural ingeniuty, to which no Late Gothic buildings on the continent of Europe offer any close parallel.' (Clifton-Taylor: 232)

The cult of relics had been important for a long time. (Earlier they had been preserved in the crypts, but as the crypts caused structural problems, in several cathedrals they were done away with, and the relics were put on public display in the retro-choir. This was also important from the point of view of pilgrims.) In England they had never had as precious relics as the French or the Spaniards (Sainte- chapelle, Chartres, Santiago de Compostela, etc), which were connected to the life of Christ and his disciples. So, local

holy men, very often the first bishops, were revered as saints. At the beginning of the Gothic period these bishops were also often felt as symbols of the Englishness, when most of the aristocracy, particularly those connected more closely to the court, spoke in French.

The future saints, neither representatives of the clergy, nor those of royalty, had to lead a saintly life necessarily. Even people (living in quite distant ages) like Thomas Beckett (d. 1170) and Edward II (d. 1327), who had been despised during their lifetime, when killed in a cruel way, quickly turned into martyrs and their shrines became centres of pilgrimages and as a result, a source of revenue for the cathedral. It is not by chance that Perpendicular was born at Gloucester, which managed to get the bones of Edward II, and had a beautiful shrine built for the relics, and the until then unimportant monastery suddenly became a centre of pilgrimage. The money the pilgrims brought enabled the clergy to rebuild most parts of the church gradually, with the exception of the nave.

As mentioned above, the relics were usually kept in shrines in the retrochoir of most cathedrals, and the spreading cult of the Virgin (in the Lady Chapel) made the Eastern extension of the church also necessary. In France the central chapel of the apse was normally dedicated to the Virgin, while in England a whole new section was usually added to the Eastern end. As the choir itself was as long as some naves in France, through extending it with a retrochoir or Lady Chapel the Western and Eastern arms became equally long in several cases.

In the fourteenth and fifteenth century England went on experimenting while the development in France came to a halt. In spite of this, as already mentioned, because of the halving of the population in 1348–49 and the decreasing incomes of the Church, as well as the less successful continuation of the Hundred Years' War and later the consequences of the War of Roses, no new cathedral constructions were begun, only additions and alterations took place. Innovations were typical of the decoration of vaults and other surfaces. Besides the tierceron ribs of the Decorated style, lierne ribs appear, having no structural function at all, just pleasing the English preference for linear decoration. During the Perpendicular period not only the vaults, but also the wall surfaces were divided by ribs, and not just vertically, as the name would suggest, but also horizontally. That is why 'Rectilinear' is also used as an alternative term. Because of this grid the whole space takes on a cage-like effect. Again Gloucester, especially its Lady Chapel, can be mentioned as a typical example.

Many cathedrals managed to (re)build their central tower only in the Perpendicular period. Gloucester, Canterbury and Worcester are perphaps the most successful ones. On the whole, I can agree with Harvey, who says

'The special triumphs of Perpendicular architects were mainly centered on two features: towers and vaults.' (Harvey: 224) In some cathedrals it is precisely these two things that are the most outstanding features, as at Norwich, which has the second highest tower in England (with one of the four surviving stone spires of a central tower) and several hundreds of gilded and carved bosses at the junctions of the vault ribs.

I think Pevsner is right when he says 'To find English architecture of 1350 to 1525 at its best, one should visit not cathedrals and abbey churches, but manor houses and parish churches for the happiest ensembles, and the royal chapels for the highest architectural standard.' (Pevsner: 153)

So, the period was over, when the guiding principle was to build one huge church for the whole town. Parish churches, though they had existed for a longer period, had an increasing importance, but they are beyond the scope of this paper. No new cathedral was built in England until Old St. Paul's was destroyed in the Great Fire of London in 1666, but by that time the Gothic era had long been over.

3 Conclusion

Though the limits of this paper do not make it possible to give a more detailed description of the differences between English Gothic and the Gothic arts of other countries (especially France), I think even the arguments of the preceding chapter (mainly on cathedral architecture for lack of suviving evidence in other fields of arts) are sufficient to prove that English Gothic has a distinctive national character. The French gave a strong initial impetus to the development of English Gothic cathedral architecture. (And probably to painting and sculpture as well, but as they have largely vanished, the two countries are difficult to compare in these fields). But in the 13th century the English gradually broke away from the French influence, developed their own style, which did not aim so much at structural perfection, but at more and more sophisticated decoration. As we have seen, after the French dominance in Europe until the middle of the thirteenth century, during the following period it was England that was able to develop its Gothic with new ideas and became the leading country in the field of cathedral architecture for at least a century. Though Perpendicular is called the 'national style' of England by many authors (just as several other countries developed their own Gothic style in that period), I think the Decorated Gothic between 1250 and 1350 is the climax of English Gothic architecture and also the most important period by European standards, though Perpendicular undoubtedly also showed a lot of innovative ideas.

We have also seen how closely the different factors of life (political and military events, the state of the economy, major epidemics, the contribution of outstanding individuals, both patrons and artists, etc) are linked with the development of arts. It is not by chance that France was the leading country in architecture when the principalities united under the leadership of the king, there was economic boom in the country, the Crusades contributed to the growing wealth of the towns and their citizens. And it is not by chance either that when from the second half of the thirteenth century the economic boom was over and military defeats weakened the French kingdom, opportunities to build new cathedrals from scratch also dried up. And similarly, the relative stability under Henry III (1216–1272) and Edward I (1272–1302) in England, with the military victories and the increasing prosperity of trade, etc, largely contributed to a situation in which arts could flourish. And it is no sheer coincidence either that Decorated Gothic came to an end when the Black Death halved the population of England and the initial victories of the Hundred Years' War were followed by defeats.

So, without understanding the historical background, learning about political, military events, economic, cultural, religious tendencies, etc it is unthinkable to understand the development of arts, should it be literature or fine arts, least of all architecture.

These are the considerations why I think a complex study of a specific age or/and of the whole historical process comprising all major aspects of life would be necessary to understand the development of British culture and civilisation. A course that might be called 'A Cultural History of England' (or 'Cultural Studies') could serve this purpose best. But as it is an extremely complex area, few tutors may feel competent and confident to teach all major periods and fields of English culture. I can see two possible solutions. One is to devide the lectures on the various epochs (eg, using terms of history of art, Norman, Gothic, Renaissance, Baroque, etc England) among specialists of these periods from different institutions of higher education. (We have talked about the possibility of this kind of 'travelling circus' at national conferences organized by the British Council, but this idea has not been put into practice yet for organizational difficulties.) The other solution is to divide this complex area into specialised courses either according to historical periods or the fields of culture, and teach only those where a specialist is available. There have been tentative attempts at the latter in Hungarian higher education in recent years. I myself started teaching optional courses to introduce students to English arts almost a decade ago. It seems students have also realized the need of such a course and its popularity is constantly increasing. A number of students have chosen

English arts as the topic of their final thesis, many of them wrote on Gothic cathedral architecture.

We have to cope with fundamental difficulties with each year of students. They have little knowledge of art history, they lack the basic vocabulary of art terms both in their mother tongue and in English, they don't know much about the Christian religion, without which it is impossible to understand Western art. We should not forget that Medieval art is basically of a liturgical nature. At that time most works of art were created to please and serve God. All parts of a cathedral were built with some liturgical function. It is rather rare – although in England it is perhaps a bit more common than in some other countries – that something was built just for its beauty, and not for some function. (Think of the cloisters at Salisbury.) But even in such cases the ultimate aim of people may have been to please and glorify God.

England is a very special country, known for its conservatism. Gothic has stayed with English people eversince the Gothic age, not only through the survival of the works of art of that age, but they applied some of its features in the following periods as well. English aristocrats usually did not want to live in direct imitations of French Renaissance or Baroque palaces, they were happy to dwell in Gothic or timber-framed buildings. In their new palaces Gothic often survived either in the structure or in the decoration, until it was explicitely revived in the Romantic period of the 18th and 19th centuries. So, Gothic is not simply one of the periods of art in England. And cathedral architecture is not just one of the fields of English Gothic, but the most important one. This is why studying about English Gothic cathedral architecture is an indispensable element in our understanding English culture.

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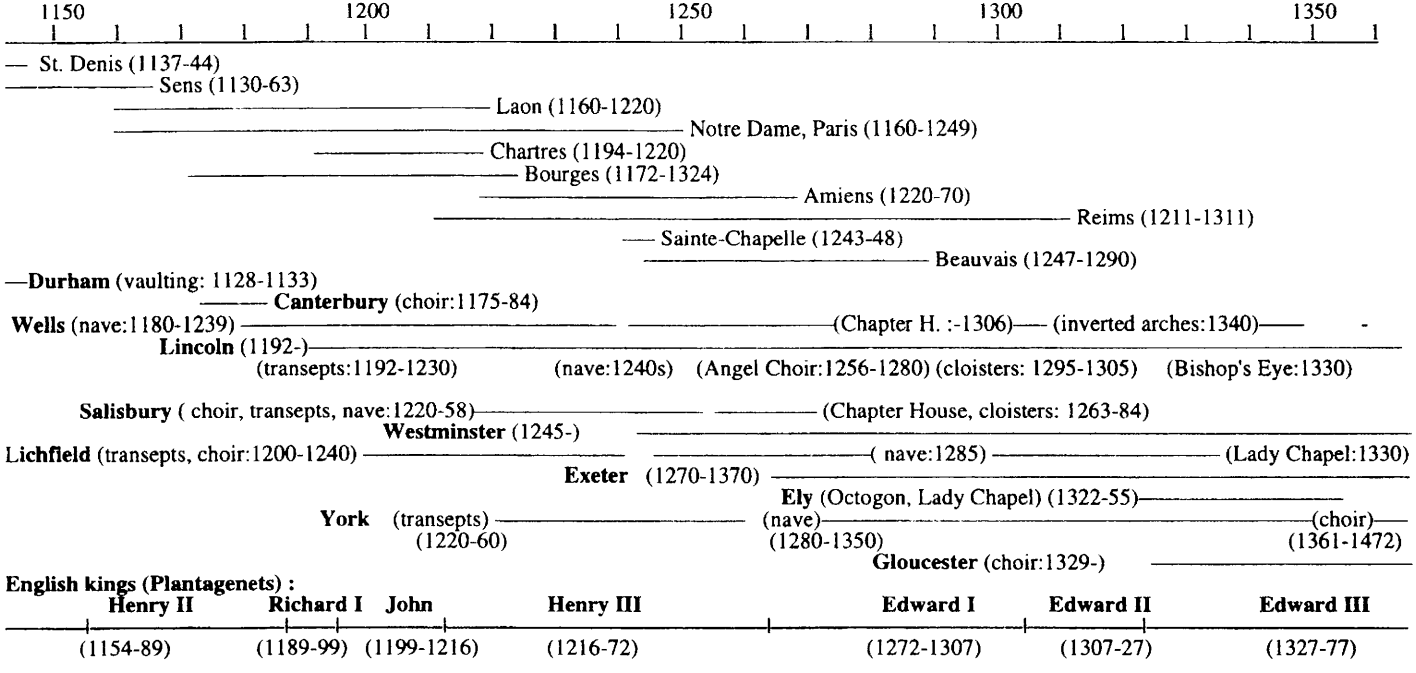
Appendix

Gothic construction periods at some French and English cathedrals (and some royal churches) before 1350



PÉTER ANTONYI

PHRASAL VERBS: A STUDY AND ITS IMPLICATIONS FOR TEACHING METHODS

Abstract: This paper describes a study conducted on the acquisition of phrasal verbs and by the analysis of the data found it seeks to suggest methodological remedies to the numerous kinds of difficulties identified. After discussing the implications for improved teaching efficiency, it also provides a short review of the most influential teaching/practice materials currently in print and examines their treatment of the area with respect to some of the proposed methodological considerations.

1 The Study

Initial purpose: This survey is aimed to examine the tendency of students to use phrasal verbs. I consider using phrasal verbs on the part of EFL students as running a risk in the light of the numerous learning problems they impose on the students. Obviously, the likelihood for the students to choose phrasal verbs was naturally quite low as they could freely use language, in which the class of phrasal verbs is only a limited set. Free language use was merely controlled by the context (it was a gap-filling exercise) and the Hungarian translation of the full English text, the latter being an indirect means of encouraging (rarely discouraging) the use of phrasal verbs by deliberate L1 interference imposed on the students.

1.1 Hypothesis

The study is to demonstrate that, in spite of the factors guiding toward the choice of phrasal verbs, on the whole, students tend to avoid them due to complex learning problems. No doubt that they feel considerably more comfortable and secure choosing simple, mostly latinate, one-part verbs (the usual synonyms for phrasal verbs in textbooks), whose meaning and usage are more evident to them.

The study also meant to point out that avoidance of phrasal verbs is not simply a matter of overall ignorance shown in this field of lexical items. In

fact, it was supposed that relatively good knowledge of phrasal verbs has been given through tuition, but a curious deadlock seems to hinder the switch from passive to active vocabulary. At least one reason for this deadlock could be identified as a general feeling of uncertainty associated with this area.

1.2 Subjects

I tested three groups of Hungarian students of English on the use of phrasal verbs. In order to survey a bigger spectrum, I examined two groups of secondary school students and one group of university students. A short description of each group in the chronological order of testing is as follows:

1.2.1 Group one

Group one (hereafter G1) numbered *seven secondary school students* of the fourth grade (age: 18). Each holds a certificate of medium level Hungarian State Language Examination in English. This roughly means that they are (upper-) intermediate students of English.

1.2.2 Group two

Group two (G2) consisted of *twelve secondary school students* of the third grade (age: 17), only one of them holding a certificate of the language examination mentioned above. Nevertheless, it was an excellent group with some conspicuously sparkling students. Their average level could be determined as intermediate.

1.2.3 Group three

Group three (G3) comprised *eighteen first-year university students*. As a matter of fact, English majors are widely presumed to have a good command of English (at least upper-intermediate level). However, this is not always the case because students come to university with considerably varied language backgrounds, ranging from low intermediate to highly advanced level. Basically, an average level, which is quite hard to estimate for a concrete group like this, would probably be upper-intermediate.

1.3 Materials and procedures

Basically, I have used a test-sheet that consists of two authentic passages. It was turned to be a gap-filling exercise with the phrasal verbs of interest omitted. The term 'phrasal verb' is used in a broader sense as defined in *Exercises on Phrasal Verbs* by Jennifer Seidl, for, strictly speaking, the

items include some prepositional verbs as well, matching the average language-learner's position who is quite likely to lump these apparently identical categories together, being ignorant of the complicated syntactic background.

The Test Sheet (hereafter TS) contained two different texts, the first one of which being a letter for advice and an answer to it taken from *Bella* magazine, whereas the second one is an extract from *Never Work for a Jerk* by Patricia King, to be precise, I readapted these materials from *Exercises on Phrasal Verbs* by Jennifer Seidl.[15] A kind of balance was struck by using these two extracts since *text one* is a representative of British English while *text two* is of American origin.

TS tested seventeen phrasal verbs also including some phrasal-prepositional verbs (see TS in Appendix A).

In addition to TS, I used an accompanying sheet to test the receptive knowledge (Receptive Test: RT) of phrasal verbs omitted in TS. RT comprised English sentences either to be fully translated into Hungarian or to interpret the underlined phrasal verbs in them (see RT in Appendix C).

As for the actual experiment, all groups, that is, G1, G2, G3 were tested on TS. An essential point to be made here is that none of the groups were told what sort of vocabulary items to concentrate on and each gap could be filled with any number of words of their own choice. However, I did not intend this to be a cloze test, that is, I did not mean to test students' ability to use textual cohesion. In order to put my subjects in a situation where they are surely aware of what they want to express and the focus of interest is rather the choice of language they make, I needed to present them with the Hungarian translation of the texts (see Appendix B).

Each group was given approximately 50 minutes, 35 minutes of which could be devoted to the gap-filling test (TS) leaving the remaining 15 minutes for the passive test (RT) to work on.

1.4 Evaluation and points for analysis

In evaluating TS, I adopted the following system of signs:

OP – original phrasal verb (the same as in the original text);
DP – different but appropriate phrasal verb;
NOP – non-phrasal verb, but correct completion;
WP – wrong phrasal verb, inappropriate use or non-existent combination;
W – wrong (non-phrasal verb) completion;

[15] Seidl 1990 p. 59, 81

NIL – no answer is given.

The evaluation of RT was not classified further than correct and incorrect answers. The use of DPs in most cases is just as excellent as that of OPs, so it is probably merely accidental that the original texts selected OP and not DP. (Although there are some cases where OP is more suitable, a DP must undoubtedly be acceptable.)

The frequency of NOPs tells a lot about avoidance and ignorance of phrasal verbs, although the translations do not always encourage OP or DP completion. This is inevitable because some phrasal verbs do not translate well into Hungarian 'phrasal verbs'. Wherever I could, I retained analogous structures in the Hungarian translation of TS to help positive L1 interference function although these did not always suggest obvious translation equivalents but rather hinted at the kind of structure to be favoured.

The occurrence of WPs is almost the most interesting area of the analysis since it gives an opportunity to see how Hungarian students of English are apt to guess at certain combinations, largely controlled by L1 interference, that is, using the structural and lexical analogies rooted in their mother tongue when communicating in the target language (L2). It is also an area of immense significance for it is likely to give clues about the potential utilization of positive L1 interference (positive transfer) and about possible ways to develop L2 (target language) intuition.

1.5 Receptive Test (RT)

I do not intend to discuss the different kinds of errors found in RT since their purpose was simply testing the receptive knowledge of the phrasal verbs. One might even argue that no errors should be in a test like this because somebody either knows the phrasal verbs in question or not. Actually, I am well aware that this test does not exclude guessing since the phrasal verbs are contextualized and thus, it has come to test the informants' ability to recognize these phrasal verbs.

However, I would rather have *recognition* (receptive knowledge) and the tendency for *production* of phrasal verbs juxtaposed than drafting an unfair list of phrasal verbs out of context and ask about equivalents, when most of them may acquire several (occasionally idiomatic) meanings depending on the context they are used in. Another device to keep successful guessing to a minimum would have been the use of 'atypical' sentences that make clear the particular meaning of the phrasal verb in question but do not allow for

success from sheer guessing. This balance, however, is extremely difficult to strike and there is considerable danger of sentences failing to specify even the desirable meaning and therefore they could well be unfit to detect even receptive knowledge sufficiently. Anyway, guessing, as in natural language use, was allowed to function and created L1 interference errors like 'kitalál'(= *make up*, devise) for *find out* and free association from the sentence like the one with *bottle up* rendered as 'Sokat iszik' ('S/he drinks too much').

Nevertheless, even guessing could not prevent markedly difficult (and unfamiliar) phrasal verbs from being highlighted. For instance, 'get *carried away*' proved to be the trickiest and caused a lot of headache in RT, too.

1.6 Results

To show the capacity of the group tested in terms of receptive knowledge and the distribution of answers in the gap-filling exercise the following tables are to be studied:

Table I.

	OP	DP	NOP	WP	W	NIL	PT corr.
G	2.8%	6.5%	50.9%	11.1%	21.5%	7.1%	79%

All tests show that students avoid using phrasal verbs although they know (or recognize) relatively large number of them. Let us reinforce this finding by a quotation from one of the sources:[16]

> Since the phrasal verb structure is a peculiarity of the Germanic languages, it should be the case that the avoidance phenomenon noted in this paper is found generally with regard to learners of English who are native speakers of non-Germanic languages other than Hebrew. The theory advanced here would indeed receive strong support should similar studies done with speakers of other non-Germanic languages confirm our findings.

[16] Dagut and Laufer 1985 p. 78

Another important observation is that they tend to be largely controlled by their native language not only to comprehend but to create phrasal verbs in the target language.

Table II. (three classifications)

	Correct	Incorrect	PhV	Non-PhV	Corr. PhV	Incorr. /Non-PhV
G	60.1%	39.9%	28.2%	71.8%	9.3%	90.7%

This demonstrates that a relatively high level of correct performance in general and a good knowledge of phrasal verbs do not necessarily correlate.

2 Implications

As the study has pointed out students clearly tend to avoid using phrasal verbs and feel much more at ease with choosing NOP solutions. The vast influence that L1 interference exerts on the acquisition of phrasal verbs should not be proven any further. In addition, L2 intuition is another important component to direct the production of phrasal verbs mostly, when guesses are made by recalling vague memories of certain combinations (sometimes they are non-existent) that are supposed to convey the desired meaning.

Guessing of some kind was generally the main source in 'creating' phrasal verbs. This study, by principle, cannot determine whether a correct phrasal verb was the result of guessing or not, so it must fall back on WPs to analyse the way guessing works. Studying WPs, however, a simple question arises: which part of the phrasal verb is remembered more successfully in general? The verb or the particle? The present study has evidence both for and against either case, but as it is not the immediate objective of this paper and transfer has the most subtle influence on shaping phrasal verbs, this question needs considerable research to be fairly answered or there might not even be a general answer. Nevertheless, avoidance of phrasal verbs by EFL students and their tremendous frequency in target language use (English) evidently challenges the traditional teaching methods regarding this field of vocabulary.

The traditional methods tended to imply that the verbs randomly select particles and hence, there is no system at all. The most decisive argument against this implicit hypothesis is that people utilize their knowledge of other combinations and inevitably use some sort of analogies when they create

new phrasal verbs. This primarily takes place in slang, science and technical areas. These analogies are often made in a way that the particle remains the same (e.g. *hold on*, *hang on* –> *wait on* – recent American version). Moreover, if someone is told to *bog off* (go away), s/he will surely manage to understand it properly, without having the faintest idea of what 'bog' means, since the particle bears the main communicative function. There are, of course, counterexamples, in which the particle adds little to the communicative value. In the examples *dream on*, *go on*, *cry on* etc. it seems to be the verb that carries more weight of meaning and the particle only adds the semantic component of continuity. Surprisingly, this very component makes the particle become the more significant part in the synonyms of 'wait' (see earlier examples) since in that case continuity is the most important semantic feature. A most remarkable example from Hungarian is that with yes/no questions an optional way to answer 'yes' to the question is simply repeating the particle; this obviously confirms its communicative priority over the main verb. Let us go back to a previous example to demonstrate this:

(1) Péter elvitte a levelet?
'Peter away-took the letter?'
Did Peter take away the letter?
Answer: Igen ('yes') **or** El ('away').

2.1 Richard Side's theory

The 'meaning' of the particle, then, might be arrived at by discovering the connections between the environments it occurs in.

Let us take a classification of this kind for *up* after Side:[17]

> *Up*, being one of the most commonly used particles, is also one of the most complex. Its areas of meaning can be defined as follows:
> **1** General definition: *in an upward direction. Increasing, growing, improving, (or preventing from doing the opposite of these).* The first part of this definition may be viewed as more literal, the second part as a more metaphorical extension. Examples would include the following:

[17] Side 1990 p. 149-150

Blow up a balloon
I was born and *brought up* here
Cheer up!

(....)

Business is *looking up* (= improving)

(....)

2 General definition: *stopping/completion of act; finality*. Examples would include the following:

We *ended up* in a field
We must *settle up* (= pay the bill)
Shut up!

(....)

They *beat* him *up*

(....)

3 General definition: *for a purpose*. This definition is Alexander's (1988: 339)[18] I must confess I don't like it much as, instinctively, it doesn't seem to fit into the general idea of *up*. However, I cannot think of any alternative of these examples:

Start a car *up*
Measure sb *up* (for a dress)
Learn sth *up* (for a test)
Call up your mother (= phone her)

With *up* there are also a number of awkward examples which can only be categorized, if at all, with difficulty. While some people may be happy with *draw up* (a document), *bring up* (a topic for discussion), or *act up* (= behave badly), other

[18] Side's reference: Alexander, L.G. 1988. Longman English Grammar. London: Longman

> examples such as *turn up* (= arrive), *look* sth *up* (in a dictionary), *follow up* (= investigate), and *own up* (= confess) seem like square pegs in round holes. At least we can say that such examples form only a small minority.

This theory suggests that learning phrasal verbs would be much more effective if they were grouped according to the particle rather than the verb (e.g. for *up*: *eat up*, *drink up*, *finish up*...). Perhaps a more sophisticated grouping would form various sub-groups to match different meanings of the same particle, as derived in the quotation. However, I must admit that I have no experience about the real efficiency of this method.

2.2 Teaching aspect

Contextualization is a keyword at presenting any kind of vocabulary, since it proves to be beneficial in many ways. On the one hand, it sets guessing to operate – a basic strategy we pursue in everyday language use (mostly in understanding) and also an excellent device of personalization. On the other hand, it carries information on structural features (e.g. word order, separability) and pragmatic (e. g. register) properties of a given combination, so it is a good way to fix the meaning in the minds of the students more effectively. To sum it up, its purpose is:[19]

> To supply groups of words that regularly accompany particular phrasal verbs and that should be learnt in company with them. These groups of words help to limit and define the meaning of a verb.

2.2.1 The three Ps

Practically, after a contextualized *presentation*, the teacher can make the students guess what the approximate meaning of a given phrasal verb is. This should always precede the drilling stage to avoid mechanical drilling in favour of meaningful drills. The *practice* stage may consist of choral drilling followed by group drilling, finally getting to drilling in pairs. Here the teacher might want to employ different sort of substitution drills that make the meaning even clearer by providing additional contexts. As for a possible *production* stage we might imagine a groupwork activity in which the students contrive situations employing the given phrasal verb to be acted out

[19] Mortimer 1972 p. iii (intro.)

before the class. This is to enhance creative use and to prompt personalization – an idiosyncratic approach to what is to be learnt.

2.2.2 Switch from receptive to active knowledge

To trigger off a better recall 'path' in the students we should help them learn to systematize the new items ready for memorization. Adding new phrasal verbs to lists is strongly recommended. This can be done either according to the particle or with respect to their relation to L1, that is, whether they are *identical*, *similar*, or *different* as compared to their approximate counterparts in L1.[20] Also – as with any kind of vocabulary – it is advisable to form semantic fields (lists as *walk*, *stagger*, *tread* etc.) in which the organising principle is one prominent semantic component that all the items share. It is also advisable to present phrasal verbs according to specific situations, circumstances, activities, professions etc. they are used in (e.g. travel, motoring, telephoning, banking etc.). In my opinion, however, out of the first two ways, the second type of listing will benefit the students more in the long run since they can always fall back on their L1 knowledge in remembering a combination. The 'hazy' meanings of the particle may prove to be helpful only for rather highly advanced students, who presumably have a command of the language good enough to enable them not only to tell one meaning from another, but to work out the right placement for a newly-learnt phrasal verb. Whether it will help them to recall a combination better or not is another question but – as my experience shows – it surely will with the kind of listing Irujo proposed.

2.2.3 Making use of positive interference

Another important task is to exhaust L1 interference, which has been demonstrated to be of immense importance in the acquisition of phrasal verbs. Not only is the comprehension of phrasal verbs controlled largely by transfer but their production is often carried out by using L1 patterns. To make use of the latter, lists should be compiled selecting *identical*, *similar* and *different* phrasal verbs, as mentioned before – although originally devised for use with idioms – the idea can be extended to phrasal verbs since a great many of them are idiomatic. We can manage to draft these lists by comparing a phrasal verb to the corresponding construction in the native language, in the case of Hungarian verbs with prefixes. To illustrate this, example lists for Hungarian have been given in Appendix D. Now , I would argue with Irujo at this point for I do not think that these lists might be used at the presentation stage since this would lead to memorization of isolated

[20] Irujo 1986 p. 297-300

lexical items. However, no doubt that they can be put to use successfully when it comes to systematization (arrangement) of items already presented. It is perhaps a good idea to make the students judge which list a certain phrasal verb belongs to hoping that it would guide them so as to achieve an intuition on transferability eventually.

2.2.4 Developing intuition in L2

This is an ability which could be called L2 intuition and – to describe it simply – by this I understand the learner's potential to decide whether something 'sounds right' in L2. To put it more formally, it is the ability to suspect that an utterance is not only grammatical but it also suits the overall concept structure of the target language, that is, it would not strike a native speaker as though grammatical but indisputably outlandish language use. This ability, naturally, presupposes an advanced user since this kind of 'hang' for the language may solely be built on knowledge of analogies. A speaker can take advantage of L2 intuition especially with phrasal verbs, both at the comprehension and the 'creation' of unknown items, if we bear in mind that new combinations do not randomly come to existence but by the instinctive and unconscious application of the same analogies by natives. To develop L2 intuition we might consider going on to exercises on nominalized and adjectival forms either after having presented the phrasal verbs from which they are derived or for more advanced students it can be 'off hands' exercises without ensuring that the phrasal verbs used have already been introduced.

2.2.5 Teaching idiomatic combinations

As for idiomatic combinations, this is the area most crucially demanding a traditional teaching approach (if any in particular) to be revised, or methodological negligence to be lifted since along with definitely poorer knowledge of these phrasal verbs, an additional uncertainty as to appropriacy (pragmatic properties) can be found. Perhaps this uncertainty accounts for a higher rate of avoidance with idiomatic phrasal verbs stated by the quotation:[21]

> ... the result is always the same: the majority of learners will prefer the one-word verb and avoid using the semantically equivalent phrasal verb. This avoidance is most evident with *figurative* phrasal verbs-where it is much more frequent than in the case of *literal* or *completive* phrasal verbs.

[21] Dagut and Laufer 1985 p. 77

Plenty of games, puzzles and fun activities could be used here, including making up humorous situations or jokes that display a misunderstanding stemming from the difference between the idiomatic and the literal meaning of a certain combination. In order to pursue the same objective, exercises as matching cartoons and captions, drawing/acting out literal or idiomatic meanings etc. could be adopted. The most extraordinary thing about these activities is that they *personalize* the acquisition of these items and by doing so, they undoubtedly make it much more effective.

2.3 A short review of some (exercise) books

Finally, a word is given to some (mostly recent) books on phrasal verbs with the view of the new approach in mind. The oldest of them, *Phrasal Verbs in conversation* by Colin Mortimer, lists phrasal verbs in the old fashion (according to verbs) but contextualizes them perfectly:[22]

> Each conversation attempts to present a dramatic and developing situation with economy of words, and with some attention to compelling rhythmical and stylistic patterning. The situations are fairly adult and are based particularly on the workings of human nature-a powerful source of motivation in language learning that has often been left untapped in language teaching materials.

English Idioms by Jennifer Seidl and W. McMordie has a single chapter on phrasal verbs in the form of a dictionary (according to verbs), but it classifies them in semantic fields like business, motoring, telephoning etc. in other sections of the book which is a commendable example.

One of the accompanying exercise books of the latter, *Exercises on Phrasal Verbs* by Jennifer Seidl uses authentic material and contains plenty of witty jokes, cartoons and puzzles, but occasionally it falls into the trap of presentation out of context. However, its most remarkable merits are that it concentrates on nominalized forms,[23] too, and lists similar pairs of phrasal verbs with different meanings.

Test your Phrasal Verbs by Jake Allsop combines the traditional and the new approach to the area in that it presents phrasal verbs both according to

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[22] Mortimer 1972 p. iii (intro.)

[23] Seidl 1990 p. 33

the main verb and the particle. It maintains a considerably high level of contextualization throughout. In addition, it deals with nominalized and adjectival derivatives and provides some excellent exercises for more advanced students as well e.g. headline-correction tasks prove to be a real challenge that also unleashes L2 intuition ('guessing') strategies and in so doing they are extremely useful from a methodological angle. On the whole, this book turns learning phrasal verbs into sheer fun by including exercises of great variety.

As a final word, we can say that the field of English phrasal verbs definitely deserves further research and will undoubtedly continue to be a fascinating challenge both for scholars and language learners wishing to master their actual linguistic skills.

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Appendices

Appendix A

Fill in the blanks as you like with the help of the translation you are given! You can use any number of words for each slot! However, please do not cut out the fixed text!

TEXT I

LETTER:

I have done something very silly and I don't know what to do. The other day, I had lunch in a café I often use, but when it came to paying the bill, I discovered that I had forgotten my purse. I was too embarrassed to say anything, so I just _____(1) without paying. Now I haven't got the nerve to go back, in case I'm arrested. I'm terrified that it will all _____(2) and I will _____(3) in court and lose my job.

ANSWER:

You were very silly to _____(4) like that. Whyever didn't you just explain you would pay later? They might have asked you for some identification and your name and address, but that's all. Now you have laid yourself open to the charge of `making off without payment' contrary to section three of the Theft Act 1968. This is committed where a person _____(5) without paying intending never to pay. You would do well to go back to the café, explain what happened, apologize and _____(6) . If you feel that you can't do that, at least send the money by post with a covering letter.

TEXT II

If you're having problems with a difficult boss, first of all you need to talk to her. She may not know you are having trouble. By _____(7) such a meeting while _____(8) your feelings, you could _____(9) as an irrational person when you finally confront her. No one, least of all management, wants to listen to hysterical complaints. Before you speak with your supervisor, prepare your approach. Make sure your requests are valid. For example, if you want a bigger office, _____(10) whether one is actually available. Are your expectations realistic? Try to anticipate any objections your boss may _____(11). Think positive. _____(12) the meeting in your mind and anticipate how your boss will react. Plan how you'll _____(13) negative responses, so you can maintain a positive attitude overall. Be very specific about what you want. For example, `better communication' is not a clear objective. Neither is merely wanting a raise. If you ask for a raise and your boss says yes, you may _____(14) with $1.50 more a week. A little background is probably necessary to frame your problem, but don't get _____(15) with long-winded speeches. Use all the communication skills you have to get the best response from your boss.

Use the most straightforward methods you can in _____(16) your boss. Come out of the meeting with a plan of action. Set a date for another conference, and make these meetings seem like business as usual. If you call a meeting only when something _____(17) , you will be seen as a complainer.

Appendix B
(Hungarian translation of TS)

ELSŐ SZÖVEG

LEVÉL:
Valami nagy hülyeséget csináltam, és nem tudom, mitévő legyek. Valamelyik nap ebédeltem egy kávéházban, ahová gyakran járok, és mikor fizetésre került a sor, rájöttem, hogy nincs nálam a pénztárcám. Túlzottan zavarban voltam, hogy magyarázkodjak, Így egyszerűen ellógtam fizetés nélkül. Mostmár nincs bátorságom visszamenni, mert még letartóztatnak. Nagyon félek, hogy minden ki fog derülni és a bíróságon találom magam, és elveszítem az állásomat.

VÁLASZ:
Tényleg nagy butaság volt így kereket oldania. Miért nem magyarázta meg egyszerűen, hogy később fog fizetni. Biztosan elkérték volna a papírjait, a nevét és a címét, de semmi több. Így az 1968-as, vagyon elleni bűncselekményekkel foglalkozó törvény harmadik cikkelyébe ütköző, „fizetés nélkül való távozás" vádjával illethető. Ezt az ember akkor követi el, ha fizetés nélkül távozik, és soha nem is áll szándékában fizetni. Okosan tenné, ha visszamenne a kávéházba, elmagyarázná, mi történt, elnézést kérne, és fizetne. Hogyha úgy érzi, hogy ezt nem képes megtenni, legalább küldje el a pénzt postán, egy levél kíséretében.

MÁSODIK SZÖVEG

Ha problémáid akadnak a főnököddel, először is beszélned kell vele. Lehet, hogy nem is tudja, mi bajod van. Azáltal, hogy halogatod az ilyen beszélgetést, miközben az indulataidat elfojtod, könnyen hülyének nézhetnek, mikor végül összeütközésbe kerülsz vele. Senki sem szeret hisztériás panaszkodást hallgatni, legkevésbé a főnökök. Mielőtt beszélsz a felettesedel, készíts tervet. Győződj meg arról, hogy a kéréseid teljesíthetők. Például, ha nagyobb irodát akarsz, nézz utána, hogy egyáltalán rendelkezésre áll-e ilyen. Reálisak az elvárásaid? Próbálj elképzelni minden

ellenvetést, amellyel a főnököd előhozakodhat. Gondolkodj pozitív módon! Képzeletben játszd le a beszélgetést, és próbáld megsejteni a főnököd reakcióit. Tervezd meg, mit fogsz lépni a negatív válaszokra, hogy végég meg tudd tartani a pozitív hozzáállást. Konkrétan mondd meg, mit akarsz. Például a „jobb párbeszéd" kialakítása nem tekinthető konkrét célnak. Az sem, hogy pusztán fizetésemelést akarsz. Ha fizetésemelést kérsz, és a főnököd igent mond, lehet, hogy heti $1.50 emeléssel kell beérned. Egy kis bevezetésre szükség van, hogy előadd a problémádat, de ne ragadtasd magad hosszú szónoklatokra. Vesd latba az összes kommunikációs képességedet, hogy a legkedvezőbb választ csald ki a főnöködből. A legcélravezetőbb módszereket válaszd, amikor a főnököddel tárgyalsz. Beszélj meg vele egy másik találkozót, és tégy úgy, mintha mi sem lenne természetesebb, minthogy időnként tárgyaltok. Ha csak akkor beszélsz vele, ha valami nincs rendben, elégedetlenkedőnek fognak tartani.

Appendix C

Give the meanings of the underlined phrases or translate the following sentences!

(1) My car always *breaks down* when I'm about to set off for a journey so I usually take a train.
(2) I'm not really used to *dealing with* kids.
(3) John was *carried away* with hatred for his mother-in-law.
(4) Let's *wind up* the meeting, it's getting late.
(5) We had *gone over* the play several times before we performed it.
(6) He kept *bringing up* unimportant matters, which annoyed me.
(7) I couldn't *find out* more about the murderer.
(8) If you continue to behave like this, you would *come across* as an idiot.
(9) Don't *bottle up* your anger because it's bad for your health!
(10) By the time the police arrived, the thief had *made off.*
(11) If you don't slow down, you'll *end up* in hospital.
(12) Finally all the illegal business of the company *came out* and the case was taken to court.
(13) He never *pays up* in time so I've decided not to give him credit anymore.
(14) George *slipped out* unnoticed, taking a silver spoon with him.
(15) The meeting has been *put off* till tomorrow.

Appendix D

Some *'identical'* phrasal verbs (+ transfer): *catch out, hold up, give up, pick up, count on, cut in, go into, go on, go through, grow up, call back, pile up, look up to, move out, think over, help out, keep up, see through sth, settle down, speed up, slow down, stand by, wake up, write down, answer back, bring sth up, calm down, deal with, turn off etc.*

Some *similar* phrasal verbs [*(p)*='particle' is identical, *(v)*=verb is identical]: *take on (v), talk into (v), try on (v), back out (v), break down (p), change down (v), crop up (p), cut out (p), turn out (p), work out (p), come off (v), bring sb up (p), finish off (v), find out (p), make off (p), take sb in (p), get up (p), dress up (v) etc.*

Some *different* phrasal verbs: *carry on, catch up with, stamp out, call off, call on, turn up, turn in, put up with, turn down, drop by, drop off, fall through, see sb through, own up, make up, fall behind, strike up, etc.*

ÁGNES DELI

COGNITION AND POLITENESS

Abstract: Scientists working in the areas of gestalt psychology and cognitive semantics rely on the fact that the physical experience of the surrounding world is a determining factor in cognition and in the establishment of conceptual systems. It has been found that these systems strongly bear upon human communication in general.

The paper seeks an answer to the question: why do speakers often use declaratives instead of interrogatives to ask questions?

The phenomenon is assumed to be related to politeness, which is manifested by the speaker's lexico-grammatical choice. It is proposed that in discourse the upshot of such unstraightforwardness is politeness, and it is likely to spring out of a process, which is a kind of metaphorization in the philosophical sense. This process involves various metaphors both on the side of production and interpretation, such as MORE IS MORE, or DISTANCE IS LACK OF STRENGTH, which affiliate with two underlying concepts: **'Knowledge is Mental Space'** and **'Cognition is a Tour'**.

By virtue of these basic concepts politeness is a reflection of physical reality.

1. Experience and Meaning

The human conceptual system contains several basic concepts. Some of these emerge directly from our physical experiences such as spatial orientation (eg. UP-DOWN, IN-OUT, NEAR-FAR, FRONT-BACK), others are ontological concepts (eg. ENTITY, SUBSTANCE, CONTAINER, PERSON), and we also encounter with some structured experiences and activities (eg. EATING, MOVING, TRANSFERRING OBJECTS FROM PLACE TO PLACE) in our life.

Cognitive linguistics is based on an approach to language in which meaning is understood to arise from the physical experience of the surrounding world. This gives rise to a novel interpretation of metaphor, which is considered inherent to understanding abstract concepts. The richness and complexity of the metaphorical systems of the English language has been discussed in a huge literature (see Lakoff and Johnson (1980),

Reddy (1979), Sweetser (1987), Lakoff (1985), Langacker (1986), Dirven (1985), Radden (1985), Johnson (1987), *inter alia*).

Lakoff (1985) assumes that besides these the human mind also contains metaphorical concepts. He defines them as follows:

> "Metaphorical concepts are those which are understood and structured not merely on their own terms, but rather in terms of other concepts. This involves conceptualizing one kind of object or experience in terms of a different kind of object or experience" (ibid.:58).

Lakoff and Johnson (1980) classify metaphors into three types (see also Lakoff,1985):

orientational metaphors:

> More Is Up, Control Is Up, Good Is Up, Rational Is Up,

ontological metaphors:

> Ideas Are Entities and Words Are Containers, The Mind Is a Container, The Mind Is a Machine, The Mind Is a Brittle Object, Vitality Is a Substance,

and **structural metaphors** such as

> Understanding Is Seeing, Life Is a Gambling Game.

Whether or not it is admitted many scientific communication theories account for **conceptual metaphors** and **folk theories** such as

> 'Communication Is Sending', 'The Mind Is a Container', 'Ideas Are Objects', 'Linguistic Expressions Are Containers'.

These are parts of the pervasive folk theory which Reddy (1979) calls the CONDUIT metaphor. Theories that are based on the view that language is a code and communication is sending messages in that code from a speaker to a hearer make use of the CONDUIT metaphor. Reddy (ibid.) provides more than a hundred types of linguistic expressions in English that are systematically organized by the conduit metaphor. The following are but a few of his examples:

> it's hard to put my ideas into words, his words don't carry much conviction, your words seem hollow, let me try to get across what I have in mind, who gave you that idea?

Lakoff (1985) notes that although the CONDUIT metaphor seems natural, because it fits very well certain types of situations which are taken by many communication theorists as being prototypical - e.g. at the checkout counter at the local supermarket - in most significant cases the CONDUIT metaphor is inadequate to a greater or lesser extent. He proposes that

> "In fact, what makes such cases of communication important is the very failure of the CONDUIT metaphor. Communication matters

> most where the elements that make the CONDUIT metaphor fit well are *not* present - that is, where we do not share the same cultural assumptions, relevant knowledge, and relevant experience, and especially where our conceptual metaphors and folk theories differ. In such cases communication requires special skill; it becomes a matter of imaginative and poetic skill on the part of *both* participants, not just the speaker" (1985:71).

In the cognitive-experientialist view cognition involves some basic schemata which are inherent part of our thinking (cf. Neisser 1976).

Lakoff's (1987) and Johnson's (1987) work is based on the conception that meanings derive from our bodily experience of the surrounding world and our bodily interaction with the environment. They argue that the child's early sensorimotor experience in the spatial world determine our thinking, and that abstract thoughts are metaphorically grounded in our preconceptual kinesthetic image schemas. They notice that the basic schemas like 'the Container schema', 'the Link schema', 'the Up-down schema' and 'the Path schema' are mapped onto our abstract modes of thought, and thus they are reflected in the language.

The discovery that the physical world and our experiences of it are present in the language via imagination and metaphorical projection led Johnson to "put the Body back into the Mind" (cf. Johnson (1987)).

Johnson (ibid.) suggests that image schemata are central to meaning structure, and that they influence the ways in which we can make sense of things and reason about them. He points out that

> "Metaphorically, we understand the process of reasoning as a form of motion along a path - propositions are the locations (or bounded areas) that we start out from, proceed through and wind up at. Holding a proposition is understood metaphorically as being located at that point (or in that area)" (1987:38).

To illustrate how the above described general metaphorical system is reflected in the English language about reasoning Johnson (ibid.) provides the following examples:

> Let us *start out from* the proposition that Hamlet feared his father.
> You can't *move to* that conclusion form *where* you are now.
> *From here I'll proceed* to show that humans are slaves of their passions.

Once you *reach that point* in the argument, you've got to *go on to* the conclusion.
The *next step* is to demonstrate that monkeys can make tools.
He *got off the track* of the argument.
That assumption will *lead you astray*.

In what follows I assume that cognition is a complex process in which two major domains of human experience play a determining role: the domain of 'KNOWING' and the domain of 'NOT KNOWING'. These are psychological states of mind alternating in the process of cognition, intertwining, and verbal communication presupposes the presence of both.

Cognition is a tour across these domains.

2. Conceptual Metaphors of Cognition

In the following I propose some elaboration of Lakoff and Johnson's (1980) ontological metaphor: *'The Mind Is a Container'*.

My suggestion is that **psychological and cognitive states**, as products of the mind, just like ideas, are also **experienced as a substance**. Some states of mind are experienced as a pervading material medium into which humans can descend in the same way as they can plunge into a pool of water. The English language reflects this metaphorical projection in phrases expressing the shift into certain psychological states such as:

plunge into despair, plunge into daydreaming.

One can also *plunge into one's thoughts,* an obvious evidence that cognitive processes are experienced in a similar way.

Other phrases imply that "States of Mind Are Territories":

I don't want *to intrude on your grief.*
Don't *intrude into her solitude.*

Part of the concept of 'Knowledge' seems to be the metaphor 'Knowledge Is Mental Space'. States of consciousness like 'KNOWING' and 'NOT KNOWING' are territories, i.e. **domains** of the mind, which is reflected by phrases such as

live in ignorance, be / live in a fool's paradise, or *be in the belief that...,* *advance in scientific knowledge.*

In my interpretation the domains of 'KNOWING', and 'NOT KNOWING' intersect to form a third domain, that of 'BELIEVING'. To believe is neither to know nor not to know; it is to make a supposition, a hypothesis. In discourse a supposition can be either confirmed as true, or denied as not true, so the speaker expressing his hypothesis either gets into the domain of 'KNOWING' or slips over into the domain of 'NOT KNOWING'.

In figure a below I propose a schema of how the cognitive domains of the mind impart the three different kinds of domains:

Figure A

It would be oversimplification of the matter, however, to maintain that the borderlines between the domains are as distinct as shown in Figure 1, and that their arrangement can be identified in such an explicit way. The schema is meant only to imply that in the process of cognition there is a possibility of transition from one domain into another one. The usual direction of the tour is from 'NOT KNOWING' to 'KNOWING' or from 'BELIEVING' to 'KNOWING', but it can also de diverse.

In the mind the process of learning or understanding is associated with movement:

> one can *get/come to know things, come to the understanding /conclusion that..., get into the way of things, make great strides* in the domain of 'KNOWING' or run into problems/difficulties in the domain of 'NOT KNOWING', and perhaps *go round in circles*, which does not lead anywhere, whereas one who does not want to take such 'trips' may *live in a cuckoo land*, i.e. be ignorant of reality.

The experience of movement in the process of cognition gives ground for the metaphor: **'Cognition is a Tour'**.

In the course of discourse the participants often are in different 'domains', i.e. they are at different stages of cognition, and often, their purpose is to get into one and the same domain of knowing or believing, i.e. to come to some understanding or agreement. The process is a very delicate one, and it seems to involve several concepts about the physical world and reality.

One way of getting into the partner's domain is by asking questions.

3. The Force Dynamics of Questions

While tracing how image schemata provide the basis for meaning relations and for inferential patterns in our reasoning Johnson (1987) argues for the overwhelming experience of force and balance to be reflected in the realm of speech acts, as some metaphorical extensions of coherent basic level bodily experiences of systemic processes and states:

> "...there are patterns of force at work in the structure of the speech act itself. So, besides physiscal force, social force, and epistemic force, there is a level of speech act force (illocutionary force) dynamics. My central claim,...,is that the relevant forces at this last level are also based on force gestalts metaphorically elaborated" (1987:58).

I assume that social interactions such as conversations can also be described in terms of image schemata and metaphorical projection. Besides Lakoff and Johnson's above mentioned CONTAINER schema, the **'Knowledge is Mental Space'** and **'Cognition is a Tour'** metaphors seem to be at work in the process of discourse, which involves several other experiential patterns.

In the following I will use Johnson's (1987) schemata modified to my interpretation.

In his discussion of schematic configurations Johnson (1987:2) emphasizes the overwhelming experience of physical FORCE and BALANCE and sets up a COMPULSION SCHEMA as follows:

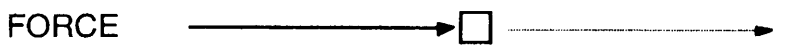

Figure B

In cognitive semantics the concept of force dynamics has played a major role in the interpretation of CAUSATION and TRANSITIVITY as well as in a new explanation of the senses of modal verbs (cf. Radden, 1991).

Sweetser (1990:49-75) suggests that the notions of modality are metaphorical extensions from the force-dynamic image schemas of the folk-physical world. *Must* denotes a compelling force which moves a subject toward an act.

Johnson (1987:51-2) also makes notes about the sociophysical force of *must.*

The compelling force, which is implied by the auxiliary *must*, Johnson argues, is similar to the sense of physical force, illustrated by the compulsion schema in Figure 2 above.

In a similar way, the concept of permission is understood as the removal of the potential barrier to one's action, which is represented by Johnson's (1987: 47) schema of REMOVAL OF RESTRAINT:

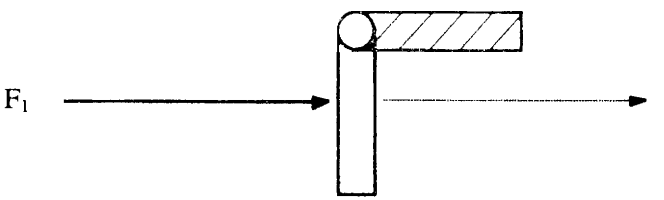

Figure C

My claim is that in discourse an act of demanding, i.e. commanding or asking a question (see Halliday,1985:68) is basically a compellation, and as

such it works as an external force coming from the speaker and operating on the addressee. When asking a question, the speaker, the source of the compellation, is in the domain of 'NOT KNOWING', whereas the addressee is supposed to be in the domain of 'KNOWING'. The speaker's aim is to get into the domain of 'KNOWING', which can be achieved by the removal of a 'blockage', i.e. the lack of knowledge. The removal of the blockage is to be carried out by the addressee. The diagram below stands here to illustrate this process schematically:

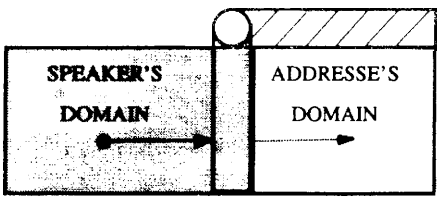

Figure D

The process can be interpreted as a metaphorical tour in which the participants co-operate in getting from one cognitive domain into another; the direction usually being from 'NOT KNOWING' or 'BELIEVING' to 'KNOWING' through the domains of shared experience.

A question is a blockage in the communication, which can be embodied in a linguistic sign, a word (e.g. a question word), or it can be 'a blockage' of a more abstract kind, a general sense expressed via the whole utterance. In the discourse the blockage is supposed to be moved by the addressee so that the participants end up in the same domain, the addressee's domain.

4. Question Function Realized by Declarative Form

Questions - both interrogative or non-interrogative - are of various forms, and the choices made by the speaker in terms of form are determined by various factors. One of these may be the speaker's motivation for politeness.

My observation is, that in radio interviews or in talk shows, i.e., the interviewer or the leader of the programme often uses non-interrogative

utterances to elicit a reply while taking the risk of being misunderstood or getting an unsatisfactory reply. It seems sensible to think that the reason for such a choice on the part of the interviewer may not only be to avoid the monotony of the default question-answer pattern of such encounters, but also to show compromise in terms of how much the addresse is willing to contribute, i.e. to be less intrusive, in other words, to be polite.

The extracts provided below are examples of a variety of the techiques a speaker can use to elicit a reply from his partner. The addressees' responses to the declarative elicitations are here to show that the declaratives of the first speaker are not necessarily interpreted as a hypothetical statement requiring affirmation, but often they are interpreted similarly to interrogatives.

1. A: *So* it's the hours of your time, which is a crutial matter.

B: That's right. We are creatures of the hour, creatures of time. We are a little bit like parking meters, really. The clock continues to click.

The second speaker could have given the simplest reply to the elicitation by saying '*Yes*', but he came up with a longer response instead. His explanation implies that he thought he was expected not only to confirm the first speaker's hypothetical statement, but also to provide the reasons for it.

In extract 2. a simple confirmation - '*No*' - would not have safisfied the interviewer:

2. A: *I don't imagine* that you just write straight on the page.

B: No. The whole art of easy writing , of course, is to make it look as if it were dashed off, as if it were knocked off. But you can write a sentence five times and then it reads as if it's been just knocked off.

The interviewee interpreted the speaker's declarative as " *How does good writing come about?"* or *"So what do you do?"*.

The following sections seek an answer to the question how politeness comes about in the case of non-interrogative questions.

5. Cognitive Semantic Aspects of Politeness

For the past twenty-five years several phenomena in language use have been referred to as a matter of politeness, and to approach it from the other end: politeness has been investigated from many different aspects.

In philosophical linguistics indirect speech acts have been accounted for as acts motiveted by politeness (Searle, 1975:74). Sociolinguists have investigated various aspects of the phenomenon. Goffman puts focus on the ritual character of politeness (see Goffman, 1967, 1971, 1981 e.g.). Gordon D. and Lakoff, G. (1971), or Brown and Levinson, (1978) consider politeness as strategic avoidance of conflicts, of which conventional indirectness in social encounters is a major strategy.

To reach their goals the participants use various tactics in the 'game'. The linguistic forms they choose can be definite and straightforward, as in the case of a question interrogative in form:

3. *What problems did you have yesterday coming back into the country?*

Quite often, however, the initiating utterance is not interrogative, yet it shows the speaker's aim to elicit a response:

4. *As far as I know you had some problems yesterday coming back into the country.*

5. *I gather you've just been made redundant.*

My assumption is that hypothetical statements eliciting a reply – such as 1.,2., 4. and 5. above – are a politeness phenomenon. The question arises: what is it that makes them so tactful, i.e. how does politeness come about in these utterances?

In this section I will make an attempt to explore some cognitive aspects of politeness by using relevant concepts and theories.

To get into the domain of the addressee is a kind of intrusion. Goffman's (1967) notion of 'face' implies this concept of territoriality, which he points out in his 'Replies and Responses' (1981:37) as follows:

> "To ask an improperly personal question can be equivalent to making an unwanted visit; both constitute invasions of territoriality".

Grice's principles of co-operative behaviour (see Grice,1975) can be either observed or floated. However, floating the maxims of MANNER (viz. 1. Avoid obscurity of expression, 2. Avoid ambiguity, 3. Be brief, 4. Be orderly), is often to do with another principle: "Be polite". Conversationalists sometimes follow this principle at the cost of the maxims "Be brief", and "Avoid ambiguity".

Brown and Levinson (1987) offer a detailed discussion of the politeness principles, which are realized in various strategies of social encounters. Using Goffman's (1967) term 'face' they classify their linguistic forms into 'face saving' and 'face threatening' acts, and then cross-classify them into 'bald on record' and 'off record' types. Their notion of 'face' also ties up with notions of being embarrassed or humiliated, or 'losing face'. As they put it:

> "Thus face is something that is emotionally invested, and that can be lost, maintained, or enhanced, and must be constantly attended to in interaction. In general, people cooperate (and assume each other's cooperation) in maintaining face in interaction, such cooperation being based on the mutual vulnerability of face" (1987:61).

Requests are considered face threatening acts in linguistic literature. Using an imperative form is a "bald-on-record strategy" in Brown and Levinson's framework, and as such it is a face-threatening act (FTA) (cf. ibid.:95).

My view is that questions are also FTA's in the broad sense. A question represents a problem, and a problem is a compulsion of a psychological kind, consequently, any elicitation for a reply is a face threatening act. To maintain and enhance their partners' face speakers can opt out for less

'threatening' linguistic realizations by choosing the declarative form instead of the interrogative.

For an explanation why questions can be considered FTA's let us turn to a cognition theory again. Johnson's (1987) proposal about the force dynamics of speech acts, viz. the "illocutionary force", which determines whether the hearer will interpret the utterance as a question, assertion, command, or some other type of illocutionary act provides a sensible starting point:

> "...statements are typically presented by speakers to force the hearers to add some belief to their belief system. Questions force the hearer to supply a certain relevant content to fill a gap in some informational structure. Directives exert force to compel the hearer to realize some state of affairs. And performatives (Searle's "declaratives") constitute forceful changes of the state of the world" (1987:59).

Although all utterances act upon the hearer with a particular force some force is stonger than another. Demanding acts, i.e. commands and questions, obviously, represent a stronger force than giving acts, i.e. assertions/statements. To be less forceful and intrusive, i.e. to save the addressee's face the speaker has the option of avoiding linguistic items that represent a 'problem' explicitly, and as such, demand immediate solution - "removal of the blockage" - by using less straightforward language. Johson (1987:59) refers to "the force that acts on the sentence container", which determines the shape of the utterance, i.e. " of the speech-act container".

I assume that in conversation the **utterance form**, i.e. the "sentence-container" carries the **force of the utterance in inverse ratio to straightforwardness**.

The realizations of demanding acts can be arranged along a scale of straightforwardness as follows:

REALIZATIONS

STRAIGHTFORWARDNESS

Tell me if you are a decisive person.
Are you a decisive person?
You are a decisive person, aren't you?
So you are a decisive person.
I think you are a decisive person.
I'm sure you are a decisive person.

UNSTRAIGHTFORWARDNESS

You are a decisive person.

Figure E

What is the reason for the principle: the less straightforward the form the more polite the utterance? Why are utterances at the the bottom of the realization list considered much less intrusive than the interrogative at the top?

For the politeness feature of the interpersonal meaning of declarative elicitations I propose the following explanation:

The 'default' function of a declarative is that of a statement. In conversation comments on statements are usually optional. When the speaker asks the addressee in a form which is less straightforward than an interrogative, he also offers a choice, which can be regarded a face saving act. The utterance

6. *I think you are a decisive person*

when used as an initiation leaves it to the addresse whether or not he wants to reply. The force of the compellation here is rather weak, as there is no "blockage" realized in a lexico-grammatical sign, the only barrier being the signal of the hypothesis: *I think.*

Straightforward questions, i.e. interrogatives, on the other hand, offer no choice, they have a very strong compelling force, therefore they clearly are FTA's. The interrogatives

7. *Are you a decisive person?*

or 8. *What are you like?*

definitely demand an answer.

Another approach to cognition and politeness can be another 'physical' explanation, which implies the concept:

MORE IS MORE.

The larger the physical distance between two persons the less likely a "physical invasion" into their territories.

The longer an utterance the more time it takes and the more abstract distance it implies.

The longer the PATH the further away the PHYSICAL GOAL. If the goal is the addressee's mind, and the speaker's intention is to make the addressee react, the longer the time available for the addressee to prepare for the response the less the psychological compellation. By deliberately making the distance larger the speaker emphasizes his unwillingness to intrude on the addressee.

The concept MORE IS MORE seems compatible with Johnson and Lakoff's conceptual metaphor: CLOSENESS IS STRENGTH OF EFFECT (1980:128-132), and this allows us to make a step further and the following plausible inference.

DISTANCE IS LACK OF STRENGTH. This metaphor seems to underly not only to politeness, but also to common abstract concepts. It is probably such conceptual metaphors that provide basis for the meaning of several words and phrases used to describe human behaviour and relationships, too.

A person who *keeps the distance* does not want to get involved or have power. Someone who is called *distant* is cold, emotionally detached and unfriendly. A *stand-offish* person is rather unfriendly and behaves in a formal or distant way to other people, whereas a *close friend* usually has a strong effect on us.

Summary

The aim of this paper was to make a tentative suggestion of how politeness arises in those cases when the speaker uses non-interrogative forms to ask questions, and how this phenomenon is related to some cognitive semantic aspects of interpersonal communication.

It was suggested that politeness is related to the basic concept of DISTANCE as a physical experience, and that the more unstraightforward an utterance the longer distance it implies. The longer the distance the less the FORCE.

When being unstraightforward the speaker ventures his intentions not to be grasped exactly by the listener, yet he often takes the risk in order to prevent the addressee from the feeling of being stressed and forced to collaborate. It is very likely that it is the respect for the partner's face that motivates the speaker to use a declarative utterance to ask a question instead of a more forceful interrogative one.

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EDIT GAÁL

DICTIONARIES AND METAPHORS: A CONSIDERATION OF THE PRESENTATION OF METAPHORIC USAGES IN A SELECTION OF DICTIONARIES

Abstract: This article is based on an element of an ongoing research project concerning the part played by metaphor in the study of meaning. It considers the metaphorical application of a selection of commonly used lexical items as presented in a number of dictionaries purporting to fulfill differing semantic functions. It points to the tendency in dictionaries to rely on institutionalised metaphoric usages and questions the necessity to go beyond such coverage.

1. Dictionaries, metaphors and non-native speakers

Dictionaries fulfill a specific function for speakers and learners of languages. They are a reliable resource when a problem crops up, and when a fast and effective linguistic "first aid" is needed, and provide adequate, i.e. syntactic, semantic and pragmatic information about lexical units. However, there is a domain of language where they prove to be more or less inappropriate, and that is figurative language, such as metaphor, metonymy, synecdoche, idiom, etc., which are widespread phenomena in natural languages. As Jean Aitchison (1994) says we are not consciously aware of the large amount of figurative language we use in everyday conversations. She quotes one survey that estimated on average over five examples of figurative language per 100 words spoken (H. R. Pollio, 1977). This high frequency of the usage well symbolizes the linguistic creativity of language users and also human thinking in which man sorts, classifies, and compares contexts. Metaphoric and idiomatic usage of words is often problematic for non-native speakers and it leads them to turn to a dictionary. Consequently, the topic of this article is inspired by a common and practical problem; namely whether users can expect dictionaries to provide metaphors, or metaphoric usages of words. I also wanted to explore how the different dictionaries label metaphorical meanings.

In order to look into the problem and find an answer I have selected a number of words as the subject of my analysis. The words selected are limited in number but two groups of them belong to lexical domains of the human body and animals which are often referred to in relevant literature (see Aitchison, 1994; Lipka, 1992; Lakoff&Johnson, 1980 etc.) as the main resources of metaphors in languages. The choice of the third lexical field, flowers, is more random, but is based on the fact that its members belong to a basic area of human knowledge about the world and are commonly used lexical items in English. The latter was a decisive consideration in the selection of the lexical items in the other two domains as well. My preference fell on the following words: chest, lung, shoulder; donkey, duck, lion; and daisy, lily, rose.

2 General description of the selected dictionaries

The four dictionaries on which I based the analysis are the Longman Dictionary of Contemporary English (LDCE) (Second edition, 1987); The Concise Oxford Dictionary of Current English (COD) (Seventh edition reprinted in 1987); the Cambridge International Dictionary of English (CIDE) (First edition, 1995); and the CD-ROM version of The American Heritage Dictionary (AHD) (Third edition, 1994). My choice fell on the above dictionaries not only because they are among the most frequently used ones, but also because they were compiled for different purposes and consequently present, besides a basic core, different layers of English vocabulary. COD concentrates on Standard English, LDCE puts more emphasis on colloquial English and CIDE focuses on the learner of English and presents the vocabulary from this perspective, while AHD naturally has a preference for American usage.

The general aims of the Concise Oxford Dictionary of Current English (COD) are as J. B. Sykes states in the Introduction "The words, phrases, and meanings given are those current in the English of the present day – either in living use, or familiar through their occurrence in frequently quoted literature of the past, ... the dictionary seeks to record what is found to exist in the educated use of modern English". Undoubtedly, this small, but updated edition contains more quotations and illustrative sentences than the former editions, though it is more conservative in its approach than LDCE, CIDE or AHD. It is relatively small in size, but because it is based on the OED and its Supplements, it is still widely accepted as an authority on the English language.

The Longman Dictionary of Contemporary English (LDCE) uses the findings of modern linguistics to give a more precise description of the

language (Lipka, 1992). As the editorial director claims in the General introduction "The Longman Citation Corpus ... has been expanded and updated by adding a further two million words of randomly gathered computerized text from current British and American newspapers, and another half a million words of citations covering 15,000 neologisms, gathered by human editors, and then computerized.". It is an undeniable fact that besides its other numerous specific features, the LDCE demonstrates the use and meaning of words in extensive contexts.

The Cambridge International Dictionary of English (CIDE) is built around the enormous software resource of the Cambridge Language Survey of 100 million words, both written and spoken. In the Foreword it is clearly stated that their "first concern in writing CIDE has been clarity and simplicity" and that "a specific innovation of CIDE is that each entry is for one core meaning" and "within each entry is a rich range of information...". It is basically aimed at learners and users of English as a Foreign Language using the results of language research and analysis.

The American Heritage Dictionary (AHD), is "an original venture with etymological information and usage notes, based on the deliberations of a panel" (Lipka, 1992.). Having used the software version of this dictionary for a while I have chosen it as a resource in this article because besides its useful features, such as showing syllable structure, listing synonyms and antonyms, and presenting words in context etc., it serves as an interesting diverse resource with its preference for American English.

There are two relevant issues we need to look into prior to the analysis of the metaphorical meanings of the words selected. The first one is what linguists assume to be the main requirements of dictionaries and the second is what is meant by metaphor in the linguistic sense of the word.

3 The main requirements of dictionaries

Linguists generally agree that dictionaries store valuable lexical, semantic, phonetic and syntactic information about the wordstock of a language (Leech 1981, Lyons 1977). But they also emphasize their limits. Dictionaries record a language, especially its vocabulary, in the state of a given time that will neccessarily be out-of-date by the time of the publication. Another restriction is the size that will define the principles of selection and the lexicographic conventions the team follows and the corpus they use. Some linguists (Aitchison 1994, Lyons 1977, Campbell 1975) conclude that it would be impossible to expect more from dictionaries than they can actually provide. However, there have been attempts to develop new concepts for dictionaries. I wish to mention one of them, which Katz

and Fodor (1964) suggest in "The Structure of a Semantic Theory". It is of special interest as they claim that one of the two components of a semantic theory of a natural language is a dictionary and that a dictionary entry besides the "grammatical portion" has "a semantic portion which presents each of the distinct senses the lexical item has in its occurrences as a given part of speech". With the help of semantic markers and distinguishers they branch the possible senses of a word and state that in this way all the senses of a word can be encompassed. The method which they presented looks convincing, but leaves one issue out of consideration and that is the metaphoric usages of words which constantly add new senses to the core meanings of words. As Campbell (1975) argues metaphors have no specifiable maximum meanings and it follows "that dictionary entries, of either the Katz-Fodor or the traditional variety, will come nowhere near the goal of listing every sense a lexical item can bear in any sentence".

4 Linguistic concepts of metaphors

Here the question naturally arises what are metaphors, and although they are very frequently used in discourse, why are they so special and difficult to be encompassed linguistically? Metaphors have always excited linguists and many agree that metaphor is as ultimate as speech itself, and speech as ultimate as thought. Richards (1965) claims no less than that "metaphor is the omnipresent principle of language". There have been several attempts to define what a metaphor is. According to Max Black (1979) a metaphor formula is "to say something and mean another". Leech (1974), following I. A. Richards' terms, postulates that "every metaphor has the following form: X is like Y in respect of Z where X=tenor, Y=vehicle and Z= ground". As Richards (1965) states "the co-presence of the vehicle and tenor results in a new meaning ... which is not attainable without their interaction. The vehicle and tenor in co-operation give a meaning of more varied power than is ascribed to either." In other words, metaphors are based on the notion of similarity that is expressed implicitly; i.e. a metaphor only includes two elements, the tenor and vehicle, and does not state explicitly what the ground of the comparison is.

If we take an example, the metaphor 'the mind is an ocean', we can see that 'mind' is the tenor and 'ocean' is the vehicle. The ground of comparison is all the meanings of the two words that can be related to each other and combined into a new expressive, meaningful image, such as the human mind is as deep and vast, almost boundless or infinite to human beings as the ocean is, or the mind is the cradle of human creativity as the ocean is that of life, etc. The possible interpretations of a metaphor are not defineable in

number as a metaphor does often not involve a single semantic feature or 'tertium comparationis', but rather a complete situation, i.e. a prototypical scene.

A similar opinion is given by Campbell (1975) when he writes "... I have preceded the various meanings of metaphors with "something like" or "meanings such as".". He also argues that there is no specifiable maximum number of meanings to a metaphor and bases this view on the Freudian concepts of "condensation", "displacement", and "over-determination". "Condensation" means that a symbolic form and its content can be abbreviated, that there can be a fusion of forms themselves by intersection, contraction, elision, suppression, and many other devices. "Displacement" means the substitution of one form or meaning or symbolic value for another, and "over-determination" means that the same form may have more than one import, that references that could be traditionally taken only as alternatives are simply co-present as the import.

Wheeless (1971) argues that metaphor may be classified as "symbolization of complex-like thought for the individual or for a number of individuals participating in a particular culture and it contributes to concept development and eventual conceptualization". In metaphor two terms with accompanying images and/or attitudes are associated in such a way that a new meaning is elicited.

Jean Aitchison (1994) claims that metaphors are an intrinsic part of a human's lexical ability, and postulates a prototypical metaphor in which "the items compared are likely to be dissimilar, in that they come from different semantic fields, and similar in that they share obvious, minor characteristics". One of her examples is 'His boss is a dinosaur', where boss and dinosaur are very dissimilar, one being a human, the other an animal, but the comparison mobilizes our additional knowledge of dinosaurs, namely that they are extinct and enormous. Lyons (1977) also states that metaphors are very frequent in language usage and creation and are not restricted to the formation of compound lexemes. In fact quite to the contrary many simple lexemes can be used metaphorically. Quite often, if particular extended usages have become conventional, they are classified as 'dead' metaphors. Lipka refers to the same phenomenon when he speaks about institutionalization, stating that it is "the integration of a lexical item, with a particular form and meaning, into the existing stock of words as a generally acceptable and current lexeme".

5 Dictionary definitions of metaphors

After looking briefly at a few models of metaphor given by linguists, it might be interesting to see if the definitions of the word 'metaphor' given in the four selected dictionaries tie in with the linguistic theory. COD gives a rather vague and generalized definition, which seems to imply that metaphors are mostly transitional units of the language presented in the dictionary and not very important aspects of the meaning of a lexeme. It says that a metaphor is "Application of name or descriptive term or phrase to an object or action to which it is imaginatively but not literally applicable." (p 636). CIDE defines it as "An expression which describes a person or object in a literary way by referring to something that is considered to possess similar characteristics to the person or object you are trying to describe." (p 890). The meaning provided by LDCE shows a significant similarity with the definition in CIDE when it says that a metaphor is "An expression which means or describes one thing or idea using words usually used of something else with very similar qualities without using the words 'as' or 'like'."(p 654). The most obviously linguistic approach to the definition of metaphor is given in AHD when it writes that a metaphor is "A figure of speech in which a word or phrase that ordinarily designates one thing is used to designate another, thus making an implicit comparison". In spite of the differences all four definitions succeed in grasping some essential features of metaphors, i.e.: they compare two things in an implicit way, the image created is novel and they have enormous expressive power, but fail to mention that they are common in everyday communication and are used deliberately for picturesqueness or unconventionality and they are one powerful tool of the extension of vocabulary.

6 The analysis of the words selected

As I have mentioned earlier, the choice of words within each lexical field for this study was random. I did not base the selection on any previous expectation of mine of the possible number of metaphorical meanings I would come across in the selected dictionaries. I consider these words to be very common, among the first ones that a speaker of English would recall in the lexical fields of animals, body parts and flowers.

After studying the given meanings in all four dictionaries, as a first general impression, I was surprised to find that all of them had metaphorical meanings listed in one or more, even if not all, dictionaries. This can be traced back to the fact that they all belong to the basic vocabulary of the language and their meanings are likely to have undergone certain

modifications or extensions in the course of time. In the analysis I consistently use the term 'metaphorical meaning or usage' by which I understand all those senses or meanings of the words listed in the dictionaries which can be used in the typical model of a metaphor; 'something is (like)/(as) something else'.

Based on the data gained, there seem to be two basic lines of thought for analysis. One is how the different dictionaries deal with metaphorical meanings: what do they include and under what labels; the other is the connection between the number of metaphorical meanings enlisted in the given resources and the prototypical elements of the basic meanings of the words.

Taking the first line of thought, one difference we can see is in the treatment of metaphorical meaning between the Cambridge International Dictionary of English (CIDE) and the American Heritage Dictionary (AHD) and the other two dictionaries.

CIDE does not absolutely neglect figurative usages, but, consistent with its main aim, focuses more on the clear definition of the basic meaning of the words than on their other senses. It selects metaphoric usages according to one main criterion whether the meaning has undergone full institutionalisation as a lexical unit, or not. Under the entry 'duck' CIDE gives only one metaphorical meaning: '*Br dated infml someone you like Come and sit beside me, duck. (as form of address) ·Be a duck and (=Please) get me a glass of water*', the one that all the other dictionaries notify in a way as well. On the other hand, CIDE occasionally gives metaphorical usages of words that other dictionaries do not record, like with 'duck': · ' *(infml) if you take to something like a duck to water, you discover that you have a natural ability to do it and like it very much: He took to fatherhood like a duck to water.* ' and with 'lily': ' *(Am slang disapproving) lily-white can also mean CAUCASIAN'*.

AHD lists less metaphorical usages than any of the other dictionaries. There are two words in the examined stock: 'lily' and 'lung', which have no metaphorical meanings given at all, and under the entry 'donkey' only the commonly recorded meanings: '*Slang. An obstinate person*' and '*Slang. A stupid person*' are listed. All the others list donkey jacket, donkey's years and donkey-work. While the number of metaphorical meanings is few, AHD records meanings that are unique compared to those in the other resources. 'Duck' has meanings like '*An amphibious military truck used during World War II.* ' and '*An amphibious truck used in emergencies, as to evacuate flood victims*', and under the entry 'rose' meaning 9 is '***roses.*** *That which is marked by favor, success, or ease of execution: Directing this play has been all roses since the new producer took over.* '

The Concise Oxford Dictionary of Current English (COD) and the Longman Dictionary of Contemporary English (LDCE) treat the metaphorical usages of the examined words in a similar way to each other concerning the number and content of meanings. Taking one example, the word 'duck', the meanings in COD: '*3. ducks (colloq.) darling, attractive thing, 4. duck's egg (cricket) – batsman's score of 0* 'and in LDCE: '*3. (infml) a person one likes, 4. (cricket) the failure of a batsman to make any runs at all*' are practically the same.

The other difference in the treatment of metaphorical usages by the dictionaries is if they label them or not, and if so, what labels are used. In many cases COD, LDCE, AHD and CIDE do not use any labels for metaphorical usages, they seem to consider them to belong to the common core of words that Randolph Quirk (1973) defines as the "neutral or unmarked variety of English, bearing no obvious colouring that has been induced by attitude". Such examples are 'lily' in COD: '*2. person or thing of special whiteness or purity*', or 'chest' in LDCE: '*(the amount contained in) a large strong box in which valuable objects are kept, goods packed, etc.: a chest of tea*', or 'shoulder' in AHD: '*6.a The angle between the face and flank of a bastion in a fortification*', or 'lion' in CIDE: '*A lion is someone who is important or successful and is very enthusiastic and energetic about what they are doing: He is one of the young jazz lions (=people who are starting to become important and successful) on the New York music scene*'.

The labels commonly used in all four dictionaries are 'slang', 'colloquial', 'ironical', 'literary', 'humorous', 'informal', 'figurative' or the name of a register, e.g.: in COD 'cricket' in *'duck's egg (cricket) – batsman's score of 0*'. Some labels overlap each other in meaning, like colloquial and informal, or are very close, like ironical and humorous. Obviously the use of terms is arbitrary in the sense that it reflects the preferences of different teams of lexicographers but does not reveal basic theoretical distinctions. It is also a natural consequence of the fact that English vocabulary is extremely rich in synomyms. But all the labels have one common feature: they refer to the different varieties of the language providing guidance on the pragmatic aspects of language use, i.e., the situations in which the given usages are appropriate, or are likely to be found and the kind of stylistic colouring they will add to the speaker's message. The approach is linguistic, though pragmatic rather than semantic, and that is why no labelling as metaphor can be found, but actually a lot of metaphorical usages are recorded in the dictionaries examined.

The other line of thought for analysis is the question as to whether there is a connection between the number of metaphorical meanings enlisted in the given resources and the meanings of the words. What follows here is my

own discussion of the scrutiny of the treatment of selected words in four dictionaries.

The lists of words with the metaphorical meanings show a striking difference in their number even at the first look. If we calculate the mathematical average of the occurrences of metaphorical usages, we find that the lexical field of flowers has the lowest rate: 1.16. Here the range of recorded meanings is between 0 and 2. The words 'lily' and 'daisy' had entries with no recorded metaphorical meanings in two dictionaries, CIDE and AHD. The averages are higher with the two other lexical fields, but even between them the difference is significant: body parts – 2.25 and animals – 4.16. The range of occurrences is 2–10 with animals and 2–6 with body parts.

These figures of the averages and ranges of occurrences are quite revealing, but evidently cannot give a basis for drawing any general conclusions as the examined number of words is not large enough to be statistically significant. However, the results merit a question as to what might cause these relatively significant differences in the case of the selected twelve words.

It seems to be quite obvious that the lexical field a word belongs to will indicate the tendency of more or less metaphoric usages. But there are differences within the lexical fields themselves, so there must be some other factor that influences the word's aptitude for metaphoric usages. In a metaphor the items compared, i.e.: the tenor and vehicle have some minor characteristics that serve as the ground of comparison. Consequently the metaphorical usages I found listed in the dictionaries must reveal the elements of meanings that are taken as the ground. To find out if these minor characteristics, or any additional knowledge about these words have any connection with the number of recorded usages, I have decided to analyse the words which have minimum or maximum number of records and compare them in pairs within each lexical field. They are the following: rose and daisy, shoulder and lung, and duck and lion.

In the lexical field of flowers the word 'rose' scored high, had two recorded metaphorical usages, while 'daisy' had only one. COD writes that 'rose' also means ' *gather life's roses – seek pleasure*', and ' *path strewn with roses – life of delights*'; LDCE records ' *be not all roses – (infml) to include some unpleasant things*' and in AHD under the headword there is '*roses That which is marked by favor, success, or ease of execution*'. The conclusion from the above usages is that 'rose' is seen as something representing beauty, causing delight, enjoyment and all the possible associations with beauty (that in fact can be numerous) might be exploited in the metaphors where the vehicle is the word 'rose'. The only metaphoric usage of 'daisy' is as it is

defined in COD: *(sl) first rate specimen of anything* or in AHD: *Slang. One that is deemed excellent or notable.* We have the additional knowledge about this flower that it grows in short grass, and as such, it is below our eyesight. (Very interestingly this piece of knowledge is recorded in a metaphorical way in the etymology of the word form: AHD: Middle English *daisie*, from Old English *d?ges ƒage*: *d?ges*, genitive of *d?g*, day; see **agh-** below + *ƒage*, eye; see **ok^{w}-** below.) But in spite of its position, this small flower strikes the eye as something outstanding with its yellow disc and white rays against the green background of the grass.

Among the selected body parts the word 'shoulder' has the most, three metaphorical usages recorded. In COD it is defined as ' *(fig.) body regarded as bearing burden, blame*' and '*part of mountain, bottle, tool, etc., projecting like human shoulder*'. LDCE records a usage as a verb: '*accept (a heavy responsibility, duty, etc.,)* '. In the case of the usage referring to the body regarded as bearing burden, it is extremely difficult to distinguish the metaphoric and metonymic usages. But obviously one characteristic taken into consideration with these usages is based on the common knowledge that the size of the shoulders directly refers to the physical capacity, and consequently to the psychical capacity of a person. The other is the shape of the given part of the human body that is visually significant and memorable. 'Lung' has two metaphoric usages: '*Good lungs – ability to use exhaled air to produce strong voice*' and '*Lungs of London etc. – parks and open spaces in or close to great city*' (COD). Both refer to a large amount of air for different purposes.

In the semantic field of animals 'duck' has the following usages recorded in COD: '*ducks (colloq.) darling, attractive thing; duck's egg (cricket) – batsman's score of 0*' and LDCE focuses on the verbal metaphorical usages: 'to push under water' and 'to try to avoid difficulty or unpleasant duty'. A duck, wild or domestic, is a bird we have extensive knowledge about; we know about its habits, habitat and value.

The definitions of usages of 'lion is summarised well in AHD: '***a.*** *A very brave person.* ***b.*** *A person regarded as fierce or ferocious.* ***c.*** *An eminent person*'. They also clearly explain the minor characteristics we take as the ground in a metaphor.

7 Conclusion

From all this it can be concluded that the extent of the meaning of a word plays a decisive role in the number of metaphorical usages recorded. What minor charateristics are selected, or what additional knowledge is considered, to function as the ground of a metaphor mostly depends on the

extent and way of the word's integration into culture. In the case of words with a higher number of metaphorical usages the meanings seem to be more deeply rooted in culture, there are more associations built with them than in the case of words with fewer usages.

Finally, I should like to summarise the findings of this essay. Firstly, the dictionaries examined do note metaphoric usages of the selected words, but under labels, other than metaphors, which relate them to the different varieties of the language. I assume that this treatment originates traditionally from the basic aim of dictionaries, i.e., to give practical (pragmatic) guidance for users and learners of a language. The dictionaries record only fully institutionalised metaphoric usages, which is understandable if we consider that it is impossible to encompass "the varying meanings of words when metaphor can so easily ring changes both semantic and syntactic" (Campbell, 1975). Secondly, I also try to argue that the number of metaphorical usages is dependant on the extent of the meaning of the actual word, and also on the extent of its cultural integration. The work of lexicographers is not all roses but obviously they shoulder the task and do what is possible within the limits of a dictionary. I also tend to believe that dictionaries should not be expected to attempt to specify metaphoric meanings. As we all share the same linguistic ability concerning a natural language, we do not need more information than dictionaries can traditionally provide in order to produce and understand metaphors.

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IDENTIFICATION OF PHRASAL VERBS IN THE LITERATURE

Abstract: My paper concerns the identification of phrasal verbs in recent grammar books, dictionaries and in the literature. Their importance lies in the fact that they form such a key part of everyday English, whereas they represent a feature of English much dreaded by learners. Some authors interpret phrasal verbs in a broader, others in a narrower sense, i.e. they include and exclude prepositional verbs respectively. After discussing their different interpretations, I suggest that cognitive grammar is the theoretical framework in which they can be analysed best as it seems to solve the problem arising from their being interpreted in a different way.

1 Introduction

Phrasal verbs are a common feature of the English Language and one which learners encounter at a very early stage. *Get up, take off, give up* etc. would certainly appear in the vocabulary list of any course book for beginners. Learners, however, perceive them as a difficult aspect of the language. The productivity and the importance of phrasal verbs is also shown by the fact that a number of dictionaries of phrasal verbs have been published recently. E.g.: Collins Cobuild Dictionary of Phrasal Verbs (1989, 1995), Longman Dictionary of Phrasal Verbs (1983), Oxford Dictionary of Phrasal Verbs (1993), Cambridge International Dictionary of Phrasal Verbs (1997). There are also some new workbooks on phrasal verbs available. E.g. English Idioms: Exercises on phrasal verbs by Seidl (1990), Collins Cobuild Phrasal Verbs Workbook by Goodale (1993), Test your Phrasal Verbs by Workman (1990), Phrasal Verbs and Idioms (Intermediate, Advanced) by Allshop.

In this paper I would like to present how phrasal verbs are identified in recent grammar books and dictionaries and in the literature with special regard to cognitive grammar.

2 Phrasal verbs in recent grammar books and dictionaries

At the outset, I will be concerned with identifying the phrasal verb and I will compare their interpretations in recent grammar books and dictionaries. I will concentrate on the two dictionaries I use as the main source of my corpus in my analysis (Oxford Dictionary of Phrasal Verbs and Collins Cobuild Dictionary of Phrasal Verbs), The Comprehensive Grammar of the English Language written by Quirk et al. and The English Verb by Palmer, which are generally used at colleges and universities as the main bibliographic sources of a verb phrase course.

The Collins Cobuild Dictionary (1995) regards combinations of verbs with adverbial and prepositional particles as phrasal verbs. They point to four main types of combination of verbs with particles:

1. Combinations where the meaning of the whole cannot be understood by knowing the meanings of the individual verbs and particles. E.g.: *put off* = postpone, *turn down* = reject

2. Combinations where the verb is always used with a particular preposition or adverb, and is not normally found without it. E.g.: *refer to, rely on*

3. Combinations where the particle does not change the meaning of the verb, but is used to suggest that the action described by the verb is performed thoroughly, completely, or continuously. E.g: in *spread out*, the verb *spread* has its basic meaning, and the adverb *out* adds ideas of direction and thoroughness. In *link up,* the particle *up* adds an idea of completeness to the idea of connection. These combinations are sometimes called 'completive-intensives'.

4. Combinations where the verb and particle both have the meanings which may be found in other combinations and uses, but where there is overwhelming evidence that they occur together. E.g.: in the combination *fight back*, the verb *fight* has the same meaning that it normally does in isolation, and *back* is used in a similar way in other combinations such as *phone back* and *strike back.* Such combinations are sometimes called 'literal phrasal verbs'.

The Oxford Dictionary of Current Idiomatic English Volume 1: Verbs with Prepositions & Particles (1976: xxxv–lvii), the earlier edition of The Oxford Dictionary of Phrasal Verbs (1993) gives the following basic patterns:

[A1] intransitive pattern with a particle E.g.
The electricity supply *went off.*
The pilot *took off* smoothly.

[A2] intransitive pattern with a preposition E.g.

He *ran through* the main points.
He has *provided for* his family well.

[A3] intransitive pattern with a particle and preposition E.g.:
The coaster *went aground on* a sandbank.
He *scraped along on* a low salary.

[B1i] transitive pattern with a particle E.g.
These entertainers *make* their stories (them) *up.*
These entertainers *make up* their stories.

[B1ii] transitive pattern with a particle E.g.
The comedian doesn't *get* his jokes (them) *across.*
The police *moved* spectators (them) *along.*

[B1iii] transitive pattern with a particle E.g.
The search party has *given up* all hope of finding the missing aircraft.
The hedgerows *put forth* new buds.

[B2] transitive pattern with a preposition E.g.
I have *taken* careful note *of* your remark.
I don't *hold* his past feelings *against* him.

[B3] transitive pattern with a particle and preposition E.g.
We *brought* them *around to* a different way of thinking.
They *filled* me *in on* the latest developments.

The 1993 new edition of the dictionary entitled Oxford Dictionary of Phrasal verbs, however, defines phrasal verbs as follows:

> "When a verb + particle or a verb + preposition or a verb + particle + preposition is a unit of meaning like in *Cholera* ***broke out*** *in the north of the country.* ('start suddenly or violently'); *He* ***glanced through*** *the article quickly.* ('scan (sth) quickly or casually') or *He just wasn't going to* ***put up with*** *all the caterwauling.* ('tolerate') it is a phrasal verb."

As it is clear from the above discussion, dictionaries of phrasal verbs use the term phrasal verbs in a broader sense. On their cover page we can read phrasal verbs, but they, E.g.: The Collins Cobuild Dictionary of Phrasal Verbs, make a distinction between prepositional, phrasal and phrasal prepositional verbs, which is apparent in their notation given in the Extra Column : V + ADV, V + PREP, V + ADV + PREP.

Quirk et al. (1985:1150–1161) use a most appropriate term, 'multi-word verbs', which they divide into: phrasal verbs, prepositional verbs and phrasal -prepositional verbs. They have the following types:

Type I (intransitive) phrasal verbs consisting of a verb plus an adverb particle, as exemplified in :

She *turned up* unexpectedly.

When will they *give in?*

Type II (transitive) phrasal verbs, which take a direct object. Examples are:

They have *called off* the strike.

Someone *turned on* the light.

Type I prepositional verbs consisting of a lexical verb followed by a preposition with which it is semantically associated. E.g.:

Look at these pictures.

I *approve of* their action.

Type II prepositional verbs, which are followed by two noun phrases, normally separated by the preposition: the former is the direct object, the latter the prepositional object. E.g.:

He *deprived* the peasants *of* their land.

May I *remind* you *of* our agreement?

Phrasal-prepositional verbs, which contain, in addition to the lexical verb, both an adverb and a preposition as particles.

Type I phrasal – prepositional verbs require a prepositional object. E.g.:

He had to *put up with* a lot of teasing at school.

We are all *looking forward to* your party on Saturday.

Type II phrasal – prepositional require a direct object and a prepositional object. E.g.:

We *put* our success *down to* hard work.

I'll *let* you *in on* a secret.

Quirk et al. draw a distinction between phrasal verbs like 'give in' (surrender), 'blow up' (explode) and free combinations in which the verb and the adverb have distinct meanings, the verb acting as a normal intransitive verb, and the adverb having its own meaning. E.g.: ***He walked past. I waded across.*** *Past* and *across* are considered to be adverbs, but their function is equivalent to that of a prepositional phrase of direction, i.e. *past the object/ place* and *across the river/ water etc.* Thus the term 'phrasal verb' is used only for idiomatic combinations.

We can observe that Quirk et al.'s Type II. covers patterns [B1i], [B1ii] and [B1iii] in the Oxford Dictionary.

Palmer (1988:214–238) defines phrasal verbs as verbs which consist of a verb plus a particle that is clearly to be treated as an adverb. There are two types, transitive and intransitive. E.g. *The plane **flew in**.* vs. *The pilot **flew** the plane **in**.* In contrast to Quirk et al., Palmer uses the term 'phrasal verb' for both idiomatic and non-idiomatic combinations. E.g. *The enemy **gave in***

vs. *The guests* ***came in.*** or *He* ***made up*** *the whole story.* vs. *He* ***brought up*** *a book (to a child in bed).*

As far as prepositional verbs are concerned, Palmer distinguishes them from simple sequences of verb and prepositional phrase. E.g: *The passenger* ***flew in*** *the plane.* vs. *The sparrow* ***flew*** *in the plane.* He also makes a distinction between intransitive and transitive prepositional verbs, the former being semantically transparent and fairly free syntactically, the latter being semantically and syntactically more restricted. E.g.: *He* ***came across*** *the road. He* ***came across*** *the missing papers.* vs. *He* ***took me for*** *a man he knew. They* ***deprived*** *the children* ***of*** *their rights.* This distinction corresponds to Quirk et al.'s Prepositional Verbs Type I and Type II.

Palmer also remarks that it has been argued that sometimes prepositions may follow rather than precede the noun phrase and so are 'postpositions.' Examples are: *He has* ***travelled*** *the world* ***over.*** *I* ***pass*** *their arguments* ***by.*** *They* ***ran*** *him* ***over.*** The reason for thinking that these are prepositions rather than adverbs is the fact that they may, with little or no change of meaning, precede the noun phrase in sentences where they are much more plausibly to be regarded as prepositions.: E.g.: *He has* ***travelled over*** *the world.* ***I pass by*** *their arguments. They* ***ran over*** *him.* Palmer argues, however, that these are merely the adverbial particles of 'marginal' phrasal verbs and not postpositions.

3 Phrasal verbs in the special literature

So far I have merely suggested by examples the kinds of combinations that are regarded as phrasal verbs in recent grammar books and dictionaries. At this point it might be useful to compare the terms or labels used in the literature with the term phrasal verb, since these labels are quite similar, but the ranges of complex verbs they designate are not the same. To illustrate the complexity of terms and labels, let us just mention The Oxford Companion to the English Language (1992), which, besides the term 'phrasal verb', refers to terms like 'verb phrase', 'compound verb', 'verb-adverb combination', 'verb-particle construction' (VPC) and AmE 'two-part word/verb' and 'three-part verb' (depending on number of particles). We can see, however, that some authors use phrasal verbs in a narrower, others in a broader sense.

3.1 Phrasal verbs in a narrower sense

Some authors exclude prepositional verbs and include both literal and figurative, transitive and intransitive combinations. E.g.: the 'phrasal verb' in

Mitchell (1958), Fairclough (1965), and Bolinger (1971); Quirk et al. (1985); Rot (1988); Graver (1990); Palmer (1988); to the 'verb-particle construction' in Lipka (1972); to the '(separable) verbal compound' in Curme (1931), Kruisinga (1932); to the 'verb-adverb combination' in Wood (1955); to the 'compound verb' in Gratten and Gurrey (1925); to the 'discontinuous verb' of Live (1965); to the verb-particle combination in Fraser (1976) and to the 'verb-particle construction' in Lindner (1981).

Henry Sweet (1898/1920:36) divides parts of speech into declinable (nouns, adjectives, verbs) and indeclinable (particles: adverbs, prepositions, conjunctions, interjections) and draws a clear dividing line between combinations 'verb plus adverb' and 'verb plus preposition'. Sweet (1898/1920:31–33) also recognises that most prepositions are also used as adverbs; thus *by* is a preposition in *'he **passed by** the house'*, and an adverb in *'he **passed by**'* He also says that some prepositions such as *of, to, for* are not used as adverbs. According to Sweet, grammatically the preposition is associated with the noun-word it governs, but in meaning it is associated quite as closely or even more so with the word modified by the preposition-group. This association in meaning consists in the fact that the collocation of verb and particle in the construction 'verb plus particle plus noun-word' is, in a given case, equivalent to a single transitive verb. This type of collocation is called by Sweet a 'group-verb'. Such collocations as *look at, think of, attend to* are also considered group verbs because they have counterparts in single transitive verbs.

Gratten and Gurrey (1925:79–85) make a distinction between prepositions, adverbs, verbal particles and postpositions. They state that while adverbs merely add to the meaning of the verb, verbal particles may be said to fuse with the verb, and with it they express one unit of thought. This union of simple Verb with Particle forms what is known as a 'Compound Verb'. They admit, however, that the distinction is sometimes impossible. "Where the verb preserves its literal meaning, it is practically impossible to make a distinction between Particle and ordinary Adverb, and so to determine whether we have before us a Compound Verb or not, for example: ***Come back., Go Away.,*** He ***threw*** the parcel ***down.***

In Curme's (1931:568) classification, particles seem to constitute two major classes, viz. adverbs and prepositions, but within each class special subclasses are distinguished, namely prepositional adverbs within adverbs, and inflectional prepositions within prepositions. About prepositional adverbs Curme says that they often "stand at the end of a proposition because of the suppression of a governed noun or pronoun, which is omitted since it is suggested by a preceding noun or by a situation: E.g. *I threw the ball at the wall*, but *I threw it too high and it **went over.***

Prepositional adverbs now usually have the same form as the prepositions that stand before a noun, but in older English, they often had a different form and except in relative clauses, are sometimes still distinguished in the case of *out, in,* and *on* in connection with verbs denoting motion from or toward: *'He **came out of*** (preposition) *the house.'* and *'He is now in the house but will soon **come out.**'* (prepositional adverb).

Inflectional prepositions, according to Curme (1931:91) are prepositions which "have often lost a good deal of their original concrete meaning and are no longer felt as prepositions, for they have developed into inflectional particles which indicate definite grammatical relations. E.g.: They *depend upon* him. That the preposition and the verb have fused into one word, a real compound, can be seen in passive form, where the preposition remains with the verb: He can be *depended upon.*"

E. Kruisinga (1932:11) distinguishes 'semicompound' as *laugh at* from what he calls 'separable verbal compound' like *put on, take off*: "These groups (i.e. such as *laugh at)* differ, from the separable verbal compound like *to put on, to take off* in that the object can never separate the two elements of the group (He *put* it *on.,* but He *laughed at* it.)"

As pointed out by Live (1965:429), there exists in English a considerable group of basic verbs, each of which is, in certain of its occurrences, closely linked with a particle – adverbial or prepositional – in such a manner as to justify considering the two elements as constituting one discontinuous verb (e.g. *look up, – into, – for; make up, – out; carry on, – out, – through; pass off, – in, – over, – up*).

Mitchell (1958:103) makes a clear distinction, based on the distribution features of particles, between the 'colligation' phrasal verb – noun e.g. *He **turned off** the light.* with its positional variant *He **turned** the light **off**.* and the 'colligation' non-phrasal verb-prepositional phrase e.g. *He **turned off** the road.*, where the positional variation is not possible.

Dietrich (1960:9) also makes a clear distinction between adverbs and prepositions and particles which can be used both as an adverb and a preposition. "Den Kategorien der "reinen" Adverbien wie *aside, away, back, forth, together* usw. und der ausschießlich präpositional gebrauchten Formwörter wie *at, for, from, of, till, with* usw. steht im Neuenglischen eine Gruppe von Partikeln wie *about, above, across, after, along, around, before, behind, below, between, beyond, by, down, in, inside, near, off, on, out, outside, over, past, round, through, throughout, to, under, up* usw. gegenüber, die sowohl in adverbialer wie in präpositionaler Verwendung auftreten." Furthermore Dietrich notes "Auch dem Neuhochdeutschen ist diese grammatische Gruppe nicht fremd; man vergleiche z. B. *"Ich **sah** das Bild **an**"*, wo *an* ein Adverb ist (vgl. *"Ich wollte das Bild **ansehen**"),* mit

"*Ich* ***sah an*** *die Uhr*", wo *an* eine reine Präposition ist (vgl. "*Ich wollte* ***an*** *die Uhr* ***sehen***")."

Bolinger (1971:23) uses the term adprep for particles that function now as adverbs, now as prepositions and he states that these form the most typical phrasal verbs. One can frequently add a prepositional function by simply repeating a noun already in the context:

He came to the end of the water and *jumped off* (the bridge).

More often, the unmentioned context supplies the missing prepositional object:

She *pulled* the tablecloth *off* (the table).

3.2 Phrasal verbs in a broader sense

Other linguists deviate – implicitly or according to explicit criteria – from the above categorisation. The following terms designate basically the same range of verbs as phrasal verbs, but include certain prepositional verbs as well: the 'group verb' in Poutsma (1926), the 'two word verb with adverbial use of the adprep' in Taha (1960), and the 'combinations of verb and adverb' in Jespersen (1924/1968). Other terms in the literature include the full range of combinations, subsuming phrasal and prepositional verbs by admitting combinations of a verb with either a preposition or an adverb. These terms include the 'verb adverb combination' of Kennedy (1920) and Konishi (1958), Roberts' (1936) 'verb-adverb locution' and Mechner's (1956) 'collocations of verb and particle'.

Poutsma (1926: Part II,ii, 88) makes a distinction between 'group verb' and 'verb plus preposition', but he is not sure about their distinctive features. "There is some hesitation whether in the following quotations we have to understand *to see through* (viz. his intentions, his manoeuvres) as a kind of group verb governing an object, or to apprehend *to see* as an intransitive and *through* as a preposition. Considered in the light of the Dutch translation, which would have 'dozen' as the equivalent of *to see through*, the first view would seem to be more plausible than the second."

Roberts (1936:466) defines verb-adverb locution as "the association of a verb with an adverb which determines the spatial range of the predication". The definition is obviously inadequate if it is intended to cover not only such combinations as *come in*, or *go out*, in their 'physical' meaning, but also such as those in ***break up*** *a meeting*, or ***break off*** *negotiations*.

Kennedy (1920:9)'s verb-adverb combinations include also particles which are never used as adverbs i.e. *at, for, with*. These are "only combinations formed with the sixteen prepositional adverbs: *about, across, around, at, by, down, for, in, off, on, out, over, through, to, up, with.*"

Jespersen's (1924/1968:273–77) attitude towards the problem of adverbs and prepositions is subjective, based on intuitive grounds. According to him, *by* in *pass by* is a preposition, if the meaning is local, as in *'The river **passes by** a small village'*, but an adverb in the figurative meaning 'pass without taking notice, overlook, disregard'. These meanings, however, cannot always be kept apart. As regards the collocation *see through* Jespersen says that *through* is a preposition in *'We **saw through** the secret'* (discovered what was behind it), but an adverb in *'I'll **see** him **through**'* (help him to get through); according to him, in this case, too, the distinction is not always observed.

L.P. Smith (1923:172) introduces the very term 'phrasal verb' into the linguistic literature. It is worth noting that the work in which he speaks of this category of verbs is entitled "Words and Idioms" and states that the OED Editor Henry Bradley suggested the term to him. The 'phrasal verbs' are introduced as follows:

> "Even more numerous are the idiomatic collocations of verbs followed by prepositions, or by prepositions used as adverbs. Collocations of this kind, 'phrasal verbs' we may call them, like *'keep down'*, *'set up'*, *'put through'*, and thousand others, are not only one of the most striking idiosyncrasies of our language, but as we shall have occasion to note later on, they enter as well into a vast number of idiomatic anomalies – phrases with meanings not implied by the meaning of the words which compose them. These phrasal verbs correspond to the compound verbs in synthetic languages. Thus *'fall out'* has the meaning of the Latin *'excidere'*, the German *'ausfallen'*. As a matter of fact we have in English both compound and phrasal verbs, often composed of the same elements – *'upgather'* and *'gather up'*, *'uproot'* and *'root up'*, *underlie'* and *'lie under'*. In these instances the meaning is the same in each, but in other cases the meaning is changed by the grouping of the different elements: *'undergo'* and *'go under'*, *'overtake'* and *'take over'* have not the same signification; and *'upset'* and *'set up'* are almost exactly opposite in meaning."

We see from Smith's statement that the problem of whether the particle of the verb-particle collocation is an adverb or a preposition is quite irrelevant for Smith's definition of 'phrasal verbs'. The defining characteristic of Smith's 'phrasal verbs' is that the verb and the particle constitute a semantic unit.

W. P. Jowett (1950/51:152) also defines phrasal verbs as "semantic units consisting of verb plus particle." Among his examples we find Adverbs, e.g. *If you let the side down we shall **fall out*** (If you don't do your share we shall

quarrel), Prepositions, e.g. *Who are you **getting at**?* (At whom are your remarks covertly aimed?) and Advpreps, e.g. *It didn't quite **come off*** (It failed to produce the hoped-for effect.)

Mechner (1965:43) concentrates on the problem of patterns of verb-particle collocations. His examples contain one of the following verbs: *come, go, give, get, put, take, make, keep*, and one of the following particles: *about, across, after, again, against, among, at, before, between, by, down, far, for, forward, from, here, in, off, on, over, out, there, through, to, under, up, with*." The author distinguishes six patterns of verb-particle collocation. They are the following:

Group I

Pattern 1: Subject Verb Particle
Pattern 2: Subject Verb Particle Object
Pattern 2 a: Subject Verb Object Particle

Group II

Pattern 1: Subject Verb (Particle Object)
Pattern 2: Subject Verb Object (Particle Object)
Pattern 2 a: Subject Verb (Particle Object) Object

In fact the particles in the three patterns of Group I are adverbs, and those in the three patterns of Group II are prepositions.

Sroka (1965:85) employs the term 'phrasal verb' to include (1) verb + adverb collocations, e.g. *fall out*, (2) verb + preposition collocations, e.g. *go for*, (3) verb – AP collocations with the Adverbial Function of the A–P word, e.g. *take in*, and (4) verb – AP collocations with the Prepositional Function of the A–P word, e.g. *run across.*

Dixon (1982:38) uses the term 'phrasal verb' for any combination of verb and preposition(s) where the meaning of the combination cannot be fully inferred from the meanings of the component words. He states that there is no strict cut-off point, but rather a continuum – ranging from fully literal combinations like *stand on /X/, take /X/ under /Y/,* through *go out (of /X/), put /X/ on /Y/,* to semi-literal *wash /X/ down, pick /X/ up*, and finally strongly phrasal verbs like *have /X/ on* and *put up with /X/.* Dixon (1982:14) distinguishes six sub-types of phrasal verbs:

(He uses 'N' for a noun phrase and 'p' for a preposition; each phrasal verb begins with a verbal element and it is not included in the formula.)

(I) p e.g. *set in, come to, fall through, pass out*
(II) pN e.g. take after /X/, come by /X/, set about /X/, pick on /X/
(III) Np e.g. *put /X/ off, take /X/ on, put /X/ up, bring /X/ down*
(IV) NpN e.g. *see /X/ through /X/, hold /X/ against /Y/, take /X/ for /Y/*

(V) ppN e.g. *take up with /X/, go in for /X/, get on to /X/, scrape by on /X/*

(VI) NppN e.g. *put /X/ down to /Y/, let /X/ in for /Y/, tie /X/ in with /Y/, take /X/ up on /Y/*

As we could see above, phrasal verbs are rather problematic for linguists and they have different views on them. Some identify phrasal verbs as a combination of a lexical verb and an adverbial particle, others interpret them in a broader sense and also include verb + preposition constructions. It may seem to be contradictory that the above mentioned up-to-date dictionaries of phrasal verbs (see Oxford, Cobuild, Cambridge Dictionary of Phrasal Verbs) use the term 'phrasal verb' not only for verb + adverbial particle combinations, but also for verb + preposition and verb + adverbial particle + preposition combinations, whereas the latest 1985 edition of Quirk et al.'s Comprehensive Grammar of the English Language regards phrasal verbs only as verb + adverbial particle combinations excluding prepositional verbs. What makes things even more complicated is that some particles, e.g. OVER, OUT, or UP can function as a preposition, an adverbial particle or even as a prefix. It was Dixon (1982) who was the first to realize that we cannot draw a strict borderline between prepositional (verb + preposition combinations) and phrasal verbs (verb + adverbial particle combinations), but there is a fuzzy area between them.

My interpretation corresponds to the term of phrasal verbs used in a broader sense, i.e verb + particle combinations, where the particle can be an adverbial particle or a preposition. Whenever I refer to the term phrasal verb in the narrower sense, I always indicate in brackets that the term 'phrasal verb' covers verb + adverbial particle combination only.

This is the point where we can raise the question of how we could interpret and analyse them best. My efforts to find the theoretical framework in which phrasal verbs can be interpreted best have led me to cognitive grammar.

3.3 Phrasal verbs in cognitive grammar

Cognitive grammarians e.g.: Langacker (1987) and Lakoff (1987) argue that like other conceptual categories, linguistic categories, (in our case prepositions, particles, adverbs and prefixes) are meaningful, and are prototypically structured. Besides, grammatical categories are often grounded on our everyday experience and make use of imaginative processes such as metaphorical mapping. Thus, linguistic categories are complex, and as Langacker (1987:369) notes, "it is not always possible to find a description valid without qualification for all class members and inapplicable to all non-members. Hence it cannot in general be presumed

that membership is a predictable, all-or-nothing affair. Membership is commonly a matter of degree, resistant to strict delimination".Thus, we cannot draw a borderline between prepositions and adverbial particles in a prepositional and phrasal verb, respectively. Cognitive grammarians do not even use the terms 'phrasal verb' or 'prepositional verb', but they analyse how the categories (e.g.: prepositions and particles) are structured, i.e. how the different senses are related to one another.

Radden (1991:57) also notes that as far as the structure of linguistic categories is concerned, cognitive grammar seems to show a "strong preference for structuring dissimilar members of a natural category in terms of priviliged prototypical members and less representative peripheral members. The linguistic categories which most conspicuously display prototypical structure are polysemous lexical items the various senses of which are radially linked to a central, or prototypical sense. Studies of prepositions and their bewildering multitude of senses have provided particularly revealing insights into the nature of radial structures."

Brugman's (1981), Taylor's (1989), Lakoff's (1987), Radden's (1991) analysis of OVER as a preposition, particle, adverb and prefix and Lindner's (1981) analysis of the particles UP and OUT(1981) and Johnson's (1987) analysis of OUT are the most important studies to investigate the intricate semantic network of such highly polysemous words and show the principles upon which these networks of senses are based. As Radden (1991:57) points out, such networks consist of chains of senses which are linked in a natural and motivated fashion by minimal changes in their schematic configuration. In their analysis of OVER, Brugman (1981), Taylor (1987), Lakoff (1987) and Radden (1991) have shown that OVER has a network of radially structured spatial senses, which also serves as the source domain for metaphorical extensions.

Susan Lindner (1981:xii) investigates the particles OUT and UP, and she also observes that these particles have a range of both concrete and abstract meanings, which are related so that OUT and UP comprise unified concepts. Analysing the meanings of OUT and UP, Lindner (1981:49) states that VPCs (Verb-particle constructions), while often considered unanalysable and idiomatic, are in fact componential and their meanings are interrelated. They have a central, prototypical meaning, which are the concrete, literal meanings and the most fully analysable; whereas other meanings i.e the non-literal, figurative meanings depart from the prototypical in various ways and to various degrees, typically via metaphorical extension.

4 Conclusion

The fact that phrasal verbs have been investigated by so many authors and that special dictionariesof phrasal verbs and workbooks have been published recently shows that phrasal verbs are aquiring more and more importance in teaching and learning English. As the discussion above has, however, shown, phrasal verbs seem to be rather problematic for linguists as some interpret them in a broader, others in a narrower sense. Furthermore, I argue that cognitive grammar is the theoretical framework in which phrasal verbs can be best analysed. Following the interpretation given to phrasal verbs by the above mentioned cognitive grammarians, by phrasal verbs I mean combinations of a verb + adverbial particle/ preposition with special emphasis on the complex network of senses of the adverbial particle/preposition. Thus I suggest that adverbial particles/pepositions have a central, prototypical meaning, which is their literal, spatial meaning, and the other, figurative meanings are the metaphorical extensions of the prototypical meaning.

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KÁROLY SZOKOLAY

THE PROBLEMS OF TRANSLATING POETRY

Abstract: Translating poetry from one language into others has always been a complicated task for translators because of several reasons. One of them is the different characters of the different languages from a poetic point of view, another is the different possibilities of expressing the same feelings, ideas, music in different languages. I have tried to collect the views of poets in various countries with different languages concerning the translation of poetry. At the same time I would like to demonstrate the high quality of poetry translation by the greatest Hungarian poets.

Most translators, poets, linguist and theorists of literary translation agree in stating that poetry cannot be translated perfectly or even adequately from one language into another. This does not mean that they are against verse translation. Let me quote some authors to illustrate this. Paul Engle and Hualing Nieh Engle (USA) say that "No translation of a poem is the same as the original, but half of the sense of a great poem is better than none at all."[1] David Daiches (Great Britain) says, "I do not believe that most poetry can be adequately translated. But I believe that we should keep on trying, as the attempt, however imperfect, keeps us aware of the living reality of other literatures and of the insights achieved by writers who operate in an unknown language."[2] Edwin Morgan, the well-known Scottish poet and translator of Hungarian poetry is more pessimistic about the successful translation of poetry. He acknowledges that "poetry is the most difficult kind of utterance to translate" and adds at the same time that "not everyone would go as far as the American poet Robert Frost who said that poetry is what gets lost in translation."[3]

Sceptically, other specialists give different explanations. Merwin Jones (Great Britain) says, for example, that his disbelief may be based upon an old prejudice. But as a novelist he does believe that prose can be translated.[4] Michael Hamburger (Great Britain), however, does not make a distinction between translating poetry on the one hand and prose and drama on the other. He says, „I believe that some poetry is at least as translatable as any kind of literature, such as novels and plays."[5]

Jascha Kessler (USA) believes in adequate translations of poetry, but only on condition it is done by poets. He stands by his own experience as a

poet, saying "because I have done so, from Persian and from Hungarian, and I have been assured that my work has been excellent, that is faithful, and honest, and close and direct, and good in English too, so that it is readable and can afford a reader the feel and sense of the original, in a contemporary American language."[6]

What do Hungarian specialists say about the possibility of translating poetry well? The essence of Miklós Vajda's ideas is that a verse-translation is always a compromise, because, as he says, "a poem will necessarily suffer certain losses in the process of translation, even very good translation, and even when, as sometimes happens, the translation is actually a finer poem than its original."[7]

Vajda developed an elaborated and logically very well constructed theory before coming to that conclusion. His starting point is the comparison of poetry and music from the point of view of interpretation. He says, "poetry, like music, appears to be totally at the mercy of its interpreters."[8] But while music is always composed in a so-called "international language", where internationally accepted standards exist and help the listeners to determine whether the particular piece of music is valuable and represents great art or not, poetry through translation is vulnerable because of the multiple barriers of the target language. It is, therefore, always bound to suffer. "Poetry is not written for the purpose of translation", says Vajda, and he is perfectly right.

We can only agree with his next statement as well, which says, "It will suffer even more in the case of poetry from minor languages, like Hungarian, being translated into major ones, because such work has no significant traditions."[9]

The theory of literary translation is a young discipline. We Hungarians are lucky to have not only excellent verse translators but theorists as well. Most of the practising translators and the theorists are the same persons, which is a good thing.

Árpád Göncz, as an excellent contemporary translator and theorist, describes an interesting phenomenon which most of our good verse translators have been influenced by in the past, even if they did not express it. Göncz says, "For what has turned dry for the speaker of the native language is still colour, picture for the translator and because he is following it to its roots, its origins, he digs out its equivalent from a deeper layer of his mother tongue, making his translation a bit more colourful spontaneously."[10]

György Somlyó says that "our verse translation made by our best poets, always rises to the level of the original"[11], but he is sceptical at the same time, asking himself whether we do not imprint the special world of forms and poetic imagination of Hungarian poetry on the foreign poems.

What are the criteria of any good verse translation? I think it must be faithful, honest, good in the target language, and afford the reader the feel and sense of the original.

The best verse translations have always been faithful in Hungarian even when they seem, at first sight, to be unfaithful to some extent. This reminds me of the title of a book by György Rába on verse translations by Babits, Kosztolányi and Árpád Tóth which says, "The Pretty Unfaithful Ones" (A szép hűtlenek).

The question arises: how can even the best poet-translator reflect the feel and sense of the original in another language without falsifying it a bit? It is easy to accept Jascha Kessler's idea of adequate translation of poetry but most translators confess (either to their readers or only to themselves) that they make compromises. Of course much depends on the extent of that compromise. There is somewhere a border between faithfulness of that kind and falsification. The translator falsifies of course, when he passes that particular limit.

It is a well-known fact in the Hungarian literature that our great poets from Vörösmarty, Petőfi and Arany in the 19th century (think of their Shakespeare-translations!) throughout Babits, Kosztolányi and Árpád Tóth in the first part of the 20th century, up to our contemporary poets like Weöres, György Somlyó, László Nagy, Zsuzsa Rab, István Kormos as well as a number of other excellent poet translators, have created many masterpieces of verse translations in our literature. The required standard in this field has been very high since the second half of the last century. That standard was set by János Arany both with his own translations (first and foremost by his Hamlet and A Midsummer Night's Dream) and his theoretical works on the principles of translation. And in spite of such high principles and practical results, our critics and theorists are not satisfied. The higher our standards are, the more the critics require from the translators. And they see the limits, or rather, the barriers of verse translation, at the same time. Of course, any nation will necessarily discover such barriers, depending on traditions of their own verse translation. Poetry suffers more in the case of poetry from minor languages, or, as James Kirkup calls them "minority languages"[12], like Hungarian, being translated into major ones, because such work has no significant traditions. The lack of such traditions in major languages, like English, French, German or Russian is caused by the fact that they did not need such a high level of translation as minor nations. They had good translations from Greek and Latin, and from one another, but in most cases they were not made by great poets and did not serve such purposes as translations for minor nations. Nations such as the Hungarians, Czechs, Poles, Serbs, Croats and the like had to create their

modern national literary language in the first part of the 19th century, and to fulfil that task they needed translations of great English, French and German masters. They had to enrich their poetry with translations, but the first reason was to create a suitable language for literature in general, and for the theatre and national drama in particular. It was not by chance that under the influence of A.W. Schlegel a Shakespeare cult started in Hungary, for example.

The difference in interests in verse translation between minor and major nations is disappearing in our time. Edwin Morgan saw it in 1967 when writing, "I see the translation of poetry as a gradually developing art which still has a long way to go."[13]

In that development the theory of literary translation has an important role, as both Edwin Morgan and Anton Popovic emphasise.[14] Though the disadvantages of small nations are diminishing, there is still much to be done. That is why Iván Boldizsár says, "translation has been largely a one-way-street: the small nations hasten to translate all that is worthwhile of the great nations' literature into their own language, but not vice versa."[15]

At the same time, there are more and more men of letters in the Western countries who recognise the needs of small nations' poetry. David Daiches (Great Britain) says, for example, "I fully appreciate the problem of small nations... and I realise how unfair it is that they translate into their languages from the major languages of Europe while excellent work of their own is not translated out of the languages of small nations into those of the larger, and as a consequence mush fine literary work remains largely unknown."[16]

At the same time more and more Hungarian poems have been translated into Russian, German, French and English. As for the English translations, the editors of the New Hungarian Quarterly, with the help of English poets like Edwin Morgan, William Jay Smith, Daniel Hoffman, Donald Davie and others, do much in spreading Hungarian poetry in English abroad and, in addition, at a rather high level. The collaboration of British and American poets, and Hungarian makers of good rough translations, has proved useful, though we have to admit that it is a forced solution. As Miklós Vajda states, "A good rough translation is a close, literal, prose version of a poem in another language – another, additional necessary evil in a complex transaction that is itself a necessary evil, arising out of our linguistic diversity."[17]

Calling to our mind Vajda's essay entitled The Price of VerseTranslation we will remember "the first necessary evil" in his theory, which is translation from the original. But we cannot demand that poets of major nations learn our language, therefore the use of rough translations is the only solution.

However, it is very important that **poets** translate poetry, even though with the help of rough translations.

Lev Ozerov asks in the title of one of his essays, "Are translators born?" It reminds us of the Roman saying: "Poeta nascitur non fit." (Poets are born, not made). Ozerov raises here a very logical series of questions: "Are translators born? Where does a translator begin? When he falls in love with the original? How does love for the original begin? With a sense of discovery? And what breeds with a sense of discovery?"[18]

I think these questions are very important. But who can answer them?

As for the training of translators, which is Ozerov's main topic in his essays, I am sceptical about it. Perhaps translators of prose and drama can be trained, but translators of poetry? I cannot believe it. The general result of creating verse translations by non-poets is that the poems are flat, dead and uninteresting. It does not matter whether the non-poet translator is English, Hungarian, Russian or whatever. Only a poet can feel the colour that words receive from their neighbours, the slightly new meaning, the range of sound effects, the music of poetry, and the tone and feeling of the poem, which is the most important thing, even if it is almost undefinable.

As for the traditions of translation in the major nations, perhaps the Germans have achieved the most. They had already started translating French and English drama (first of all Shakespeare and, in addition, in blank verse) at the end of the 18th century.

Not only the older tradition of the art of translation into German succeeds, but the attitude of the German language to follow several different foreign metrical forms. While in English poetry the iambic forms rule, in German literature we can find several different metrical forms. Most classical metres are quite natural in German, just as in Hungarian. Here is one example from Friedrich Hölderlin:

> Aber wir, zufrieden gesellt, wie die liebenden Schwäne,
> Wenn sie ruhen am See, oder auf Wellen gewiegt,
> Niedersehn in die Wasser, wo silberne Wolken sich spiegeln,
> Und ätherisches Blau unter dem Schiffenden wallt.

The same lines in Hungarian:

> Úgy éltünk, akár a szerelmes hattyúk a fényben,
> csöndesen úszkálnak, ringnak a fodrokon át,
> s nézik a tó tükörében az ezüst felhők vonulását,
> míg hűvös éteri kék fodroz a testük alatt.
>
> (Translated by Miklós Radnóti)

Greek and Latin metres did not become implanted in Great Britain, as they did in Germany and Hungary. The character of a language determines what poetic forms it is able to use. Poems written in distichs are easy to translate from Hungarian into German and vice versa, because both languages can use that metrical form. Friedrich Schiller writes,

In Hexameter steigt des Springquells flüssigs Säule,
Im Pentameter drauf fällt sie melodisch hersb.

In Hungarian:

Hexameterben tör fel az égnek a karcsu szökőkút,
S pentameterben hull dallamos íve alá.

(Translated by István Tóthfalusi)

As Erika Szepes and István Szerdahelyi define in their book Prosody (Verstan), the English system of versification is "accent-changing", which shifted towards metrical versification under the influence of classical forms. But because the English language has plenty of monosyllabic words, mainly the iamb and trocheus have spread and become most popular in English poetry. No wonder that blank verse became the permanent metrical form of English poetry in every respect: it is enough to think of such great poets as Shakespeare, Shelley, Keats, Robert Browning, T.S. Eliot, etc. The poetry of every nation can be great by its own laws. There are several forms in the world which cannot be used properly in Hungarian, for example the so-called Chinese syllable-counting verse can be translated into most foreign languages only by using a similar verse-form, not the same.

Here is an example for that in Hungarian:

Síkon szép fák,
lombjuk tömött,
Látod, uram -
úgy örülök!

Síkon szép fák,
lombjuk ragyog.
Soha, milyen
boldog vagyok!

(Translated by László Lator)

There are sometimes exceptions among great poets who use unusual metrical forms in their native language. Here is Charles Algernon Swinburne, for example:

(Sapphics)

All the night sleep came not upon my eyelids,
Shed not dew, nor shook nor unclosed a feather,
Yet with lips shut close and with eyes of iron
Stood and beheld me.

As for using different metrical forms, my conclusion must be the following: the more metrical forms a language is able to use, the more metrical forms can be translated into it. From this point of view the Hungarian language can be regarded as a unique one. Hungarian poets have used a great many forms of verse. But this means at the same time, of course, that a part of our poems cannot be translated properly into several major languages. That may be the reason why the French often translate poetry into prose. As for modern translators of Hungarian poetry into English, they try to follow the original metrical forms.

Finally I must emphasise the role of the poet in verse-translation. In his essay Edwin Morgan is tempted to say, "if the translator gives us a good poem it can't be a close translation, and if it is a close translation it can't be a good poem. The man who knows the foreign text best is quite likely to be a scholar and not a poet."[19]

I perfectly agree with Edwin Morgan when he says that "somehow the translator must produce the emotional »lift« of poetry, and to get this he has to throw out ballast of various kinds, and the first thing to go, the least indispensable thing, will be literal accuracy."[20]

I think most of our Hungarian poets who are translators as well know this very well and do what Edwin Morgan did, even when György Rába says,

"Verse-translation is like making a circle into a quadrangle."

NOTES

[1] Paul Engle and Hualing Nieh Engle in: Small countries, great literatures? Published by the Hungarian Publishers' and Booksellers' Association, An international inquiry of the Hungarian Book Review, p.22

[2] the same p.19

[3] Edwin Morgan: Poetry and Translation, The New Hungarian Quarterly, Vol. VIII. Spring 1967, p.28

[4] Merwin Jones in: Small countries, great literatures? p.40

[5] Michael Hamburger in: Small countries, great literatures? p.34

[6] Jascha Kessler in: Small countries, great literatures? p.44

[7] Miklós Vajda: The Price of Verse Translation, The New Hungarian Quarterly, Vol. XXI. Summer 1980, p.110

[8] the same, p.107

[9] the same, p.107

[10] Árpád Göncz: A fordítás helye és feladata a magyar irodalomban, in: A műfordítás ma, Tanulmányok, Gondolat, Budapest, 1981, p.54

[11] György Somlyó: Két szó között, in: A műfordítás ma, Tanulmányok, Gondolat, Budapest, 1981, p.108

[12] James Kirkup in: Small countries, great literatures? p.45

[13] Edwin Morgan: Poetry and Translation, The New Hungarian Quarterly, Vol. VIII, Spring 1967, p.27

[14] Anton Popovic: The Contemporary State of the Theory of Literaty Translation, in BABEL, Vol. XXV, N° 3-4/ 1978. p.111

[15] Iván Boldizsár: in: Small Countries, Great Literatures? p. 11

[16] David Daiches in: Small Countries, Great Literatures? p. 18

[17] Miklós Vajda: The Price of Verse Translation, The New Hungarian Quarterly, Vol. XXI. Summer 1980, p.112

[18] Lev Ozerov: Are Translators Born? BABEL, Vol. XXV, N° 1/1979, p.11

[19] Edwin Morgan: Poetry and Translation, The New Hungarian Quarterly, Vol. VIII, Spring 1967, p.29

[20] the same, p.29

LAJOS SZŐKE

ANGLICA VETERA IN THE ARCHDIOCESAN LIBRARY OF EGER

Abstract: The Archdiocesan Library of Eger is the second public library in Hungary. It was founded by Count Eszterházy in the XVIIIth century with the aim to establish a university with four faculties. This is the reason why almost all sciences are represented in the collection of the Library. Although Eszterházy did not succeed in carrying out his plan, the collection of books went on even in the following centuries. In the XVII–XVIIIth century English stock of the Library, understandably, theology and philosophy take a prominent place with special interest in contemporary protestantism. The collection of books in English on natural sciences and astronomy can be explained by the observatory equipped with precious instruments and books from Greenwich. The Library has also a great variety of course books, grammar books and dictionaries of the English language offering a good opportunity to students of English to study language teaching methodology in the XVII–XVIIIth century. The study is followed by a biblography of English books divided into major scientific groups.

Count Eszterházy and his collection

Several studies – shorter and longer – have already dealt with the history of the over 200 year old Archdiocesan Library of Eger but none of them have discussed the English part of the Eszterházy-collection. The author of the most competent study about the Library, L. Antalóczy has rightly pointed out that the research of the French, German, Latin and English books in the second public library of Hungary would bring useful data and precious information into the cultural history of XVIIIth century Central-Europe (Antalóczy 1993. 32–33). As the majority of the books are in Latin, German and French, shorter studies could concern only minor languages and cultures represented in the Library. Understandably, most of the attention has been paid to the Slavonic books, as many believers of the Eger diocese were Slavs (Pallagi–Zbiskó 1962, 1963, 1964, 1966; Földvári–Ojtozy 1992). In spite of this it still needs a full bibliography. I. Bitskey in a short but excellent study examined the influence of the Italian spirituality on the Hungarian cleric-

patrons and discussed the Italian books in the Library which more than ten times outnumber the English ones of the same period.

Indeed, at first sight it may appear absurd that a Roman Catholic Church-Library in XVIIIth century Hungary should have had any interest in the intellectual life of a non-Catholic England or a remote America. No doubt, the founder and the great patron of the Library, Count Károly Eszterházy had in mind Italian models while creating and completing the fonds in Eger. All leading Catholic pontiffs graduated in Rome, or were somehow in close connection with Rome, so the impact this Catholic centre had made could be felt everywhere in the cultural shape of the country (Bitskey 1993. 83–91). The keen interest to all philosophical and theological currents of the time was all the more important as at the very outset the formation of the Library was influenced by the endeavour of Count Eszterházy to establish a university in Eger with four faculties.

Many prominent Hungarian intellectuals at the end of the XVIIIth century were convinced, that Nagyszombat university, the only one in Hungary, was not sufficient for the development of the country. The idea of founding a university was put forward also by the bishop of Pécs, György Klimó, also a graduate of Rome (Bitskey 1993. 86). However, neither Eszterházy, nor Klimó succeeded in carrying out the plan. In spite of the energy, money spent on the future university and the seemingly favourable enlightened policy of Austria, Hungary was not to have a new university. The collection of books, none the less, went on but with a small modification. As the observatory tower was ready, equipped with precious instruments, there seemed to be no sense in stopping buying books on astronomy even if books on other natural sciences had to be discontinued.

The analysis of the books done by Ferenc Albert in 1868 and referring to the stock collected in the XVIIIth century, puts the English books with 50 titles in 52 volumes in sixth place after the Latin, German, French Italian and Hungarian ones (Albert 1868. 124). A somewhat exceptional place is taken by the Church Slavonic books. Their presence can be explained not by the cultural influence of the Greek Catholic or Orthodox Churches but by the necessity of the task Eger took in the preparation of Greek Catholic priests for North-Eastern Hungary in the second half of the XVIIIth century. The prominent role of Latin can be understood in the European linguistic background of the century. As the language of culture, the Church and in many places of administration, it proved to be a convenient means of communication and information-transmission. The status of Latin, however, was somewhat different in England than in most European countries. Although still the language of learning, the special authority of the Anglican Church, its separation from Rome and the introduction of English into the

liturgy forced Latin to give up the position it had held for centuries and still held in many other countries. The gradual progress of English can be traced also in the way books were printed in the XVI–XVIIth century in England. Both in the humanities and the natural sciences there were scientists preferring Latin to English in their major works. They held to the view that Latin should have its status of a supernational language of scholarship in Europe preserved. This, of course, did not mean the cessation of English in printing but would have restricted the use of it to a limited area of literature.

The dominant place taken by German, French and Italian books in the Library shows the cultural and economic position of the countries in Europe. The Eszterházy collection of the Archdiocesan Library of Eger is not a haphazard accumulation of printed material but the result of a very careful selective acquisition of all leading works in several scientific fields. Eszterházy and his supporter in Vienna, Giuseppe Garampi, the papal nuncio, had, of course, a decisive influence on the formation of the list of books to be bought in the educational and cultural centres of Europe (Antalóczy 1989. 26–27). Although both of them were representatives of Roman Catholic learning and educational tradition they could not be characterized as one-sided, rigid dogmatists. The books they procured exemplify people who wished to ensure contemporary knowledge for the students of the new university. This is especially revealing of the spirituality they took from Rome, which, though opposed to the materialism of the latest intellectual tendencies, was looking for new ways and means inside catholicism (Bitskey 1993. 89). That is the reason why almost all the important works referring to the Reformation and also to the Catholic polemics, reflecting various, sometimes very thorny questions for the Church, can be found in the Library.

Theology – Philosophy

The orientation described above can account for the fact that the majority of the English books in the collection represent the ideology of the Anglican Church, in Bible translations as well as in theological and pastoral works. On the other hand no less interest is paid to the works of English Catholics, Puritans, Presbyterians and Independents.

The XVIth century witnessed the appearance of several Bible translations in England, but only some of them established themselves in later centuries. Although Coverdale's and Matthew's Bible-translations were granted royal licence and the Great Bible even authorization in 1539, all of them were superseded by the Geneva Bible (1560) and the Bishops' Bible (1568).

It was the Geneva Bible which had the greatest influence in the formation of the Anglican and especially the Puritan spirituality of the XVIth century, not only because it had seventy issues from 1560 to 1643 (Bruce 1979. 86–95). For more than a century readers and believers in England and Scotland were instructed by the famous anti-Roman notes attached to the text of the translations. This technique of Protestant propaganda was introduced into Bible-translations by William Tyndale in his first English New Testament (1526). However, the idea of expressing opinions in the course of the biblical text had already been used by Erasmus in 1516. Not all the believers and Church leaders shared, of course, these outspoken and for them irritating Calvinistic views. This could be the reason why – in spite of the excellent translation – it was never granted royal authorization. The Library has the 1594 edition of the Geneva Bible (R – VIII – 10).

The Bishops' Bible, although lacking the insulting annotations, did not supersede the Geneva Bible. As none of them could fulfill the expectations, a new translation was proposed. Under the leadership of King James I several leading biblical scholars took part in the work (First published in 1611). The main advantage of this variant was, that by being neutral and avoiding using hostile notes for either side, it did not divide people and its language, based on scholarly translation, was more understandable. The only places to reflect the translators' views were the chapter headings, but these were not numerous and long enough to divide the public. Later this version won overall popularity in England and was given royal authorization. The church' use of the King James Version was also prescribed by the Book of Common Prayer in 1662. In the collection of the Library there are three Bible editions (1626, 1631, 1646) based on the King James version of 1611. The copy of the 1631 edition held in the Library, however, is not the "Wicked Bible" as the misprint in this Bible had already been corrected and the seventh Commandment has the omitted "not" in Ex. 20.2. 17 and Dta. 5.6–21 The fact that the Archdiocesan Library of Eger has various Anglican Bible editions but no Catholic version seems to support the theory that Eszterházy and his supporters were interested just in the Anglican and not in the Catholic translations. The copies kept in the Library reflect all these stages in the development of the Anglican Bible-translations even if some of them have definite anti-Catholic content. They must have been aware of the fact that these translations through their notes and annotations were at the same time theological treatises the refutation of which was possible only on the basis of thorough knowledge of the texts. Differences in the biblical exegesis could arise also from the different protografs. From Tyndale on, Anglican translators relied not on the Latin Vulgata but used the Hebrew Old Testament and the Greek New Testament. The Archdiocesan Library of Eger

has the Polyglot Bible (Biblia polyglotta, London, 1657. Zz – I – 38–43), which had served for centuries as a basis for the later translations into English.

Together with the "English" Bible, the Book of Common Prayer had a prominent role in the Anglican Church. From 1549 it had undergone several modifications. It comprised not only prescriptions for the celebration of holidays in the ecclesiastical year and rules for the church services, but there were also regulations concerning casuistry. As the final version of the Book of Common Prayer was only completed in 1662, the copies held by the Library contain both the earlier and the new versions (1606, 1642, 1712).

Beyond the biblical texts and liturgical books the Library has a rich collection of Anglican theological and dogmatic treatises as well. The English collection in this way completes the whole spectrum of Protestant theology represented mostly by German and Latin works. The only English advocates of a Catholic view from this period are the works of Thomas More: *Opera Omnia . Praecedit de Vita et Morte eius.*(Francofurti, 1689) *Paradise and the Peri.* and a more complete collection of Stapleton's works. These books, philisophical as well as literary do not stand separated from the social and historical events of the time. How important was the understanding of this crucial period in the history of England and the Church of England for Catholic theologists can even be seen by the incomplete list of books in the Library referring to this time: *Historie du divorce de Henry VIII. et de Catherine d' Aragon* (Paris, 1688), *Rerum Anglicarum. Henrico VIII.* ... (1616).

In considering the Anglican Church of the XVI–XVIIth c. a distinction must be drawn between the tenets of the official Church itself and the various sectarian movements such as the puritanism, presbyterianism and independentism. Some of these tendencies were so hostile to anglicanism that they were forced out of Britain. Hungarian Protestant students of theology studying in Holland and England came, undoubtedly, under the influence of these doctrines, although the strict calvinism of Transylvania cannot be directly connected with them (Zoványi 1911. 24, Pálffy 1984. 172). As Catholic theologians in Hungary did not have personal contacts with the representatives of these movements, but understood well enough the importance of the ideas for the development of Hungarian protestantism, they collected all the major works in this field. The Archdiocesan Library in Eger did not obtain the Hungarian translation of the most influental works /János Kecskeméti:*Catholicus Reformatus [Perkins],* Pál Medgyesi: *Praxis Pietatis, ...[Bayly, L.:Practice of Piety]/,* but it has the Latin and English editions of the originals. English Puritanism is represented by the work of the most outstanding theologian of the early XVIth century, William

Perkins: *Opera omnia theologica* (Genevae, 1624). The treatises of his disciple, the Puritan-Pietist William Amesius give a detailed analysis of the Puritan spirituality but discuss also all the important matters of Protestant theology, liturgy and dogma of the time (10 volumes in the collection of the Library).

Out of the 75 editions of Lewis Bayly's *Practice of Piety* the Library has four (1635, 1670, 1680, [?]). Although the author was a "sober Calvinist", as Fl. Higham calls Bayly, his popular devotional manual could fit into the Catholic patterns of piety (Higham 1962. 140). In a similar way there could be room for the guidance of *The Whole Duty of Man* (1674), a popular devotional treatise of XVIth century (published anonymously).

The English philosophical works start with Roger Bacons's *Analyse de Philosophie* (1755) followed by Francis Bacon's popular philosophical book *...de continente de Dignitate et Augmentis Scientiarum* (1623). In this work he unfolds the theory of "double truth", later so much attacked from all sides. The nine volumes of Fr. Bacon's works in the Library contain all his major philosophical and historical treatises.

Also in Latin original is J. Owen's *Epigrammata*, published in Leipzig in 1617 with a definite anti-Catholic content. Sometimes the works of English authors were bought in German, in the most well-known language in Hungary after Latin. William Barclaius' treatise about the right of the Pope is in a late German translation: *Abhandlung von der Macht der Paptes in zeitlichen Dingen* (1788). His son, John Barclaius, a well-known satirist of the XVIIth century, however, is represented by a Latin work: *Icon Animarium* (1733). Thomas Hobbes' political ideas are in a French publication: *Les Fondamens de la Politique* (Amsterdam, 1649).

History

The books on Britain's and America's history in the XVIth century are mostly in Latin, in the XVII–XVIIIth century parallel with Latin works we can find German and French publications:

Jovious, Paul: *Descriptio Britanniae, Scotiae, Hiberniae, ...* (Basel, 1578)
Buchanan, Georg: *Historia rerum Scotiarum ...* (Edinburgi, 1583)
Horn, Georg: *Rerum Britannicarum ...* (Lugduni Bat. 1648)
Chamberlagne: *L' Etat present d' Anglaterre* (Amsterdam, 1688)
Millot: *Elemens de l' histoire d' Anglaterre* (Hage, 1778)
Robertson, William: *Histoire de l' Amerique* (Paris, 1778)
Geschichte von America (Leipzig, 1798–1801)
Remer, Julius: *Anglo-Amerikanisches Archiv* (Braunschweig, 1770)

The most important period for the collectors was, undoubtedly, the reign of Henry VIII, which at the same time represented the birth of the Anglican Church and a special situation for catholicism in England. History, Church, theology and literature are sometimes inseparable inside one work, therefore Thomas More's works might as well be listed in all these chapters.

Belles–lettres

Belles lettres do not belong to the domains collected by pontificial libraries in the XVIIIth century. The most outstanding works of English literature, however, were purchased by the Library even if much later and many times not in the original language. The only exception in this situation is Shakespeare, whose works in 20 volumes represent English literature. Into this select collection belong the two translations of Alexander Pope's *Essay on Man* (1733–34): *Az embernek próbája* (1772, translated by Bessenyei György), and its German version: *Versuch über den Menchen* (1783). The popularity of this work among Catholic theologians must be explained by the philosophical thoughts Pope develops in his essay and which takes its source from St. Thomas of Aquinas. It should also be noted that Pope represented the exceptional and difficult fortune of Catholics in England. Fest in his substantial study of the the influence of English literature in Hungary, complains that John Milton is well known as a defender of the Anglican religion (*Pro populo anglicano Defensio contra Salmasii Defensionem regiam*, London, 1651.– in Eger) but hardly anyone knows his *Paradise Lost* (Fest 1917. 11). For the general Hungarian reader this might have been true but the collection of the Eger Library with four editions of it in French, German and English shows a different attitude to it among Catholic intellectuals.

Natural sciences

The pontificial libraries in XVIIIth century Hungary preferred, understandably, humanities to natural sciences. In the hierarchy of sciences after theology came history, law and philosophy and books on natural sciences occupied only the last places. Eger, due to the well equipped observatory (1776) and the planned medical faculty of the university, was an exception . Medical books in the collection of the Library are in Latin (*Browne, Joan. Myographia seu Musculorum Corporis humani descriptio,... Londini, 1684.)*, on astronomy, however, we can find books in English too. As the completion of the astronomical instruments and books were done by

two astronomers, M. Hell from Vienna and N. Maskelyne from Greenwich, the observatory had all the necessary conditions for quality work, research and teaching (Kelényi 1930. 16). Later, at the beginning of the XIXth century the director of the Eger observatory Pál Tittel studied in the English observatories and personally procured some books from England. Unfortunately, the Eger observatory was unable to keep pace with the development of astronomy. The book collection dating from the XVIIIth century, however, reflects the contemporary level of astronomy, mathematics and other related sciences.

Linguistics

The language of the English books discussed in our paper changes according to the development of the language from the last centuries of Early Modern English to the first century of Late Modern English.

Though all major changes had already taken place in the previous centuries, there were plenty of minor innovations that brought about later developments in this period. The greatest changes concerned not so much the language itself, but its written form, the orthography. Well after the first printed books, it was still without authorized codification in the XVIth century. The break with the earlier tradition of the phonetical principle led to a continually widening discrepancy between letter and sound. Early Modern English was not fixed and alterations of the orthography reflected the individual tastes of writers and publishers as well (Rot 1992. 317). The lack of a fixed standard was complicated by the fact that standardizing only started in the XVIth century. It was the language of the Bible and other liturgical books (see the theological collection of the Library) which influenced the formation of the literary standard. In later centuries the language of the Church, however, stayed behind the development of the English language. The archaic grammatical forms and spelling system, so much characteristic of language use in church, seemed to be maintained intentionally. Being a part of the religious symbolic system, the liturgical language could not alter without affecting the meaning of the whole. For a long time it was the symbolic system as a whole which preserved the language in its XVIIth century form. Although attempts at phonetic spelling were rejected in all printed material, the English liturgical language differed significantly from the standards of literature. The retained archaic features in all levels of the language indicated the functionally different use of English. In this way two contradictory principles coexisted in it, the desire to be simple and easy to understand and the tendency to preserve the archaic features of the language. Albeit the Library collected the various English

Bibles from theological considerations up to our times, it gives a good opportunity to the student of historical linguistics to follow the changing language and the alteration of translation principles and techniques.

The majority of course books and grammar books of the English language in the Archdiocesan Library were published in the XVIIIth century. Accordingly, the language described in them reflected the state of the contemporary English language. Some of these books, however, were based on earlier Latin grammars and used Latin grammatical categories and terminology to describe the English language which sometimes led to confusion.

The dictionaries of the XVIIth century, judged by modern standards, did not really embrace the whole functional vocabulary of the language. Those of the late XVIIIth century, were more detailed, satisfying even the needs of natural sciences.

A serious drawback both of the dictionaries and the grammar books was that they, in accordance with the methodological principles of the time, concentrated not on the speech but on the written language. Students using these dictionaries and course books could hardly acquire good pronunciation as usually neither stress, nor pronunciation were marked in them. The main purpose of studying English, at that time, was not to become proficient in the language but competent enough to read books in English. (The only exception was the director of the observatory, Paul Tittel, who had personal contacts with the Greenwich observatory). The dictionaries and grammar books, in spite of their deficiencies, rendered sufficient help for reading theological literature (rarely other material).

The XVI–XVIIIth c. English stock of the Archdiocesan Library of Eger formed the basis for the developments of the XIXth century when the proportions changed to the advantage of English literature. Acquisitions of English books in this time outnumbered many times those of the previous period and made up for the neglect of literature. Decline in the enrichment of the English stock can be observed only in the XXth century, after the World Wars, as the result of the deteriorating general economic and social conditions.

The number of English books given by Ferenc Albert in 1867 by and large corresponds to the result of our investigations. The differences may come from the different approach as F. Albert did not discuss the linguistic material. On the other hand, the number of volumes given by the 1867 study differs considerably. It well may be that Ferenc Albert overlooked or did not take into consideration Shakespeare's twenty volumes. It is highly improbable that English books of the period under discussion could have got into the Library after 1867 as part of the bequests. The comparison of the

catalogue made at the end of the XVIIIth or the beginning of the XIXth century by József Büky with that of the Albert-Michalek (XIXth c.) would reveal much data about the acquisition of books at the time. This work is now going on, the results of which will be published later .

According to the Nyizsnyai-catalogue the Library of the Roman Catholic Theological College of Eger also has grammar books and Latin or Hungarian works by English authors but no works in English (Nyizsnyai 1901).

This short outline does not pretend to go into details in any of the fields but rather it wants to call attention to how English culture was valued in the past and what impact it made on contemporary Hungarian intellectuals in the XVIIIth century.

The Holy Bible, the Old and New Testament

Bibliography of English books in the Archdiocesan Library of Eger (XVI–XVIIIth centuries)

Theology

X – XI – 25
Alleine, [Joseph.]
An Alarm to Unconverted Sinners in a serious treatise...
Divers practical cases of conscience satisfactorily resolved.
London, 1678. 8° Nevil Simmons,
BLGC: 4410. i. 44

Y – XIII – 38
Bayly, Lewes
The practice of piety
[?] , 1635. 12° 33 ed. for Robert Allot pp 701
BLGC: 4409. a.a. 5

R – XV –2
The practice of piety
Glasgow, 1670. 12° R. Sanders pp 10, 390 –14 cm

T – XIII – 37
[Bayly, Lewes]
The practice of piety
[Amstedam], 1680. 16° pp 8, 468, 4 for Mercy Browninge
BLGC: 4406. a.a. 49

Aa – VII –0 61
Bayly, Lewes
The practice of piety
[?], 16°

Y – XIII – 55
The practice of piety
[sine loco] , 1635.12° M. Allot 18, 701 ill. –16cm
BLGC: 4409. aa. 49.

R – VIII – 10
The Bible, that is the Holy Scripture contained the Olde and Newe Testament
London, 1594. 4° B.L. pp 554 The deputies of Christopher Baker
BLGC: 1411. e. 1.(2)

Y – XIII – 27

The Holy Bible, the Old and New Testament
London, 1626. 12° B. Norton and J. Bill
BLGC: C. 65 k. 3. (1)

Y – XIII – 36

The Holy Bible, the Old and New Testament
London, 1631. 12° Robert Barker and the Assignes of John Bill
BLGC: C. 109 r. 4 (1)

Z – XIII – 73

The Holy Bible containing the Old Testament
London, 1646. 16° The Assignes of R. Barker
BLGC: 3005. a.a. 20(1)

Y – XII – 39/2

The Holy Bible containing the Old Testament and the New
London, 1647. 8° R. Baker and the Assignes. Printed by the Company of Stationers
BLGC: C. 108 c. 36 (2)

R – XIV – 3/1

The Book of Common Prayer and administration of the Sacraments
London, 1606. 8° R. Barker pp [192] –11cm
BLGC: 1411. 1. 2. (1)

R – XIV – 3/2

The New Testament
London 1606. 8° R. Barker pp [276] –11cm Englished by L. Tomson

Y – XII – 39/1

The Book of Common Prayer and administration of the Sacraments
London, 1642. 8° Robert Baker – John Bill 52 sheets without pag. –17 cm

Gg – VII – 1

The Book of Common Prayer and administration of the Sacraments
London, 1712. 16° John Baskett, and the Assignes of .
BLGC: 3048. a.a.a. 13 (1)

Aa – VII – 2

The burning bush not consumed
[?], 16°

V – XIII – 1
The confession of faith
(no place), 1679. 16°

H – IX – 29
Dickson, [A.]
A short explanation of the epistle of Paul to the Hebrews
Aberdene, 1635. 16° Edw. Raban pp 12,333 –16 cm

H – IX – 31
[Garthwait, Heinrich]
The whole Duty of Man ...
Edinburgh, 1674. 16° The Brown pp 24,316,6: 2, 80, 1 –16 cm

Y – XIII – 54/4
[Sackvile, Robert]
The triumph over death or a consolatory epistle, for affected minds ...
London, [1630]. 12° Haviland 33 sheets without pag. –16 cm

Cc – VII – 53
Gerard, [Thompson]
Meditations. Translated by Ralf Winterton Yellow
Edinburgh, 1637. 16°

T – XVI – 25
Glanville, [Joseph]
An earnest invitation to the Sacrament of the Lords supper
London, 1684. 16° sixth ed. printed for J. Baker pp 8,135 –15 cm
BLGC: 1488. m. 29.

R – XIV – 25
Sutton, Christopher
Godly meditation upon the most Holy Sacrament ...
London, 1631. 16° R. Rodger for Nicholas Bourne 38, 430 –14 cm

T – XVI – 24/1
[Goodwin, Thomas]
Aggraviation of Sinne
London, 1638. 16° for Rothwell pp 6,55 –15 cm

T – XVI – 24/2
[Goodwin, Thomas]
Aggraviation of Sinning against Knowledge
London, 1638. 16° for Rothwell pp 59–207

T – XVI – 24/3
[Goodwin, Thomas]
Aggraviation of Sinning against Mercy by Thomas Goodwin
London, 1638. 16° R. Dawlman pp 90 –15 cm
BLGC: 1019. h. 40

Y – X – 63
Hayward, [Sir Iohn]
The sanctuary of a troubled soule
London, 1620. 12° George Purslow 60, 342, 4: 14, 413, 4 –16 cm
BLGC: C. 128. e. 3

Aa – VII – 60
The hive of devotion
London, 1647. 16°

Y – XIII – 54/3
[Sackvile, Robert]
Marie Magdalenes funeral tears [Poems by R. S.]
London, 1630. 12° J. Haviland 82 sheets without pag. –16 cm

R – XIV – 2
The New Testament of our Lord and Saviour Jesus Christ
Edinburgh, 1614. 32° Andro Hart pp 665 –10 cm

Cc – VII – 1
The New Testament
Aberdene, 1632. 16°

Y – XIV – 28
Wall, John
None but Christ or a plain and familiar treatise of the knowledge of Christ
London, [1648], 12° printed R. W. for E. Dod pp 36, 456 –15 cm

R – XIV – 1
[Baxter]
Now or never
The holy, serious, diligens believer, justified, encouraged, excited
London, 1663. 12° F. Tyton – Nevil Simmons 184,4 p.

Y – XIV – 26
Norden, John
A path-way to patience in all manner of crosses, ...
London, 1626. printed by E. A. for T. Harper 46, 428 –15 cm

R – XIV – 8

The plain mans path-way to heaven
London,1616.16° 15 cm. printed by Iohn Legatt for Edward Bishop pp 8,359,31–16cm.

Y – XII – 39/3

Sternhold, Thomas–Hopkins, John
The whole book of Psalms: collected into English Meeter by –.
London, 1647. 8° printed by A. M. for the companie of Stationers pp 10, 91, 3 – 17 cm

Y – XIV – 25

The psalmes of David in metre
Aberdene, 1632. 12° pp 252 –15 cm

V – XIII – 1

The psalmes of David in metre
[?], 1679. 16°

Y – XIII – 54/5

[Sackvile, Robert]
Short rules of good life
London, 1630. 12° I. Haviland 65 sheets without pag. –16 cm

Y – XV – 23

Smith, [Jam]
The great assize or day of jubilee
Edinburgh, 1674. 16° Andrew Anderson pp 2, 282, 1 –13 cm

R – XIV – 22

The soules conflict with it selfe and the victory over it selfe by faith
London, 1636. 16° 3 ed. R. Dawlman pp 20, 572,14 –17 cm

Ff – I** – 45

Taylor, [Jeremy]
The rule and excercises of holy living
London, 1656. 8° 5 ed. for R. Royston
BLGC: 4410. e. 41.1

Y – XIV 29

The testament of the twelve Patriarches, the sonnes of Iacob
Edinburgh, 1634. 12° I. Wreittoun, 151 sheets without pag. –16 cm

R – XV – 3

Walker, [Ralph]
A learned and profitable treatise of Gods providence
London, 1608. 12° F. Kyngston for Thomas Man 18,354 p. –15 cm

Natural sciences

Cs. 0. 001

Astronomical observations made at the Royal Observatory at Greenwich
London, 1776. print. W. Richardson – J, Nourse, ed. by Navil Maskeline – 40 cm.

Cs. 4.121/3

Bird, John
The method of dividing astronomical instruments
London, 1767.

Bird, John
The method of constructing mural qadrants
London, 1768.

C – V – 25

Dillon, [John, Talbot]
Travels through Spain with a view to illustrate the natural history and physical geography of that kingdom
London, 1780. fol.

Dd – I – 75

Gardener, William
Practical surveying improved, or landmeasuring ...
London 1737, Sisson etc. 14, [2], 125 p. 2 t. –21cm.

Cs. 4.121/4

Hershel, [Wilh.]
Of the parallax of the fixed stars. Catalogue of double stars. Description of a lamp micrometer and investigation of magnifying powers
London, 1782. Nichols 97 p. 2 t. –28 cm.

018.080–082

Saint-Pierre [Jacques Henri] James Henri Bernardien de
Studies of nature. Translated by Henri Hunter. Ed. 2. Vol. 1–3
London, 1799. Dilly 3 cop. 7 t. –23 cm.

History

H – IX – 30
The key of historie: Babylon, Persia, Greece and Rome
London, 1635. 16°.

M – I* – 34–37
Robertson, William
The history of the reign of the Emperor Charles V.
Vienna, 1787. 8°

Linguistics

H – VII – 28
Arnold, Theod.
Englische grammatik
Leipzig, 1768. 8°

L – IX – 44
Boyer, [A]
A new Frech grammar
Rotterdam, 1728. 8°

SK 41. 007/1
Calepinus, Ambrosius
Dictionarium undecim linguarum ...
Basileae, 1616. 1582 p. –34cm. Henripetri

Ww – IV – 146
Deutsche, italänische, englische, französische Benennungen aller Hauptdinge
Nürnberg, 1786. 8°

Y – XIV – 26
An English expositour, or compleat dictionary
Cambridge, 1671. 12°

H – VII – 29–31
Klausing, [Ant. Ern.]
Vollständiges english–deutsches Wörterbuch
Leipzig, 1778. 3 Bde. 8°

P – IX – 84
Peyton
Les Elemens de la Langue Angloise
Londres, 1776. 8°

L – VIII – 91
Prager, [Joh. Christ.]
Englisches Wörterbuch
Coburg, 1757. 8°

Uu – IX – 34
Sammer, Rud.
Englishe Sprachlehre
Wien, 1783. 8°

U – VIII – 23
Weitenauer, Ign.
Hexaglottem docens linguas gallicam, ... anglicam , ...
Augustae V. 1762. 4°

Literature

Y – XIII – 54/1
(Barret, W[illiam])
S[aint] Peters complaint [Poems]
London, 1630. 12° I. Haviland 78 sheets without pag. – 16 cm

Tt – IV – 36
Blackwell
An enquiry into the life and writings of Homers
London, 1735.

F2 – I – 29
More, [Thomas]
Paradise and the Peri (Editio splendissima)
(?), 4°

Y – XIII – 54/2
Sackvile, Robert
Moeoniae: or certaine excellent poems and spiritual hymnes. Composed by R. S.
London, 1630. 12° I. Haviland 26 sheets without pag. – 16 cm

A – I* – 28–47
Shakespeare, [William]
Works (20 tomes)
London, 1788. 12°

Bibliography of English literature and literary scholarship in the Archdiocesan Library of Eger (XVIth–VIIIth century)

T – X – 61
Barclaius, Joannes
Icon Animarium. Dresdae,1733. 8°

H – IX – 87
Barclaius, Joannes
Euphormionis Lusinini Satyricon. Leyda, 1623. 16°

N – IX – 51

Barclaius, Joannes
Euphormionis Lusinini Satyricon. Amstelodami, 1664. 16°

A – IV – 63
Barclaius, Joannes
Euphormionis Lusinini Satyricon. Accesit Conspiratio anglicana. Lugd. Bat. 1674. 8°

K – VII – 47, Z – XII – 1, X –V – 21
Barclaius, Joannes
Euphormionis Lusinini Satyricon. Accesit Conspiratio anglicana. Vindobonae, 1772. 8°

C2 – IX – 101
Barclaius, Joannes
Argenis. Romae, 1631. 16°

H – IX – 84
Barclaius, Joannes
Argenis. Norimbergae, 1673. 16°

Z – XIV – 13
Barclaius, Joannes
Argenis. Lipsiae, 1659. 8°

R – XIII – 16
Barclaius, Joannes
Argenis. Norimbergae, 1769. 8°

H2 – VII – 105
Barclaius, Joannes
Argenis. Norimbergae, 1776. 8°

K – VII – 48
Argenis, Eger, 1792. 8° (translated by Antal Fejér)

Y – XIII – 54/1
(Barret, W[illiam])
S[aint] Peters complaint [Poems]
London, 1630. 12° I. Haviland 78 sheets without pag. – 16 cm

H – V – 68–69
Blair, Hugo
Blair Rhetorikai és Aesthetikai Leczkéi 1–2 vol. (translation by János Kiss). Buda, 1838. 8°

A2 – VII – 60, F2 – VII – 47
Blair, Hugo
Blair Rhetorikai és Aesthetikai Leczkéi (translation by János Kiss). Buda, 1838. 8°

Tt – IV – 36
Blackwell
An enquiry into the life and writings of Homers
London, 1735.

K – I* – 59
Hervay, James
(Meditations among the tombs)
Hervei siralmai és Elmélkedései (Translation from French by József Pétzeli). Pozsony, 1790. 8°

A – II – 36
Hervei, James
(Meditations among the tombs)
Hervei siralmai és Elmélkedései (Translation from French by József Pétzeli). Buda, 1821. 8°

I – XVI – 16–17
Home, Henry
Grundsätse der Kritik. Frankfurt, 1775. 8°

Zz – XVI – 64
Gray, Thomas
(An elegy written in a country–churchyard)
Elégia egy falusi temetőre (Translation by Zsigmond Deáky). Romae, 1827.8°

Pp – I** – 3–5
Milton, John
Le paradis perdu. Haye 1730. 8°

X – XII – 27–29
Milton, John
Le paradis perdu. Paris, 1757. 8°

Zz – VIII – 60
Milton, John
Verlorenes Paradies. Zürich, 1769. 8°

K – VII – 80–81
Milton, John
Elveszett paradicsom. Kassa, 1796. 8° (translated from French by Bessenyei Gy.)

P – I* – 100–102
Milton, John
Paradise lost. Viennae, 1803. 3 vol. 8°

F2 – I – 29
More, [Thomas]
Paradise and the Peri (Editio splendissima)
(?), 4°
Opera Omnia, Preacedit de Vita et Morte eius. Francofurti, 1689.

Pope, Alexander
(Essay on Man)
Az embernek próbája (translated by György Bessenyei). Kassa, 1772.

Ww – IV – 54
Pope, Alexander
Versuch über den Menchen. Bamberg, 1783. 8°

O – II – 58
Pope, Alexander
Versuch über den menchen. Essay on Man. Grätz, 1833. 12°

Y – XIII – 54/2
Sackvile, Robert
Moeoniae: or certaine excellent poems and spiritual hymnes. Composed by R. S.
London, 1630. 12° I. Haviland 26 sheets without pag. – 16 cm

A – I* – 28–47
Shakespeare, [William]
Works (20 tomes)
London, 1788. 12°

M – VIII – 79–80
Sterne, Lawrence
Voyage Sentimental. Amsterdam, 1769. 12°

Dd – I** – 16
Swift, Johnatan
Memoires du Chevalier Guillanme Temple. Haye, 1729. 8°

Q – VIII – 86
Swift, Johnatan
Taschenbuch für Kosmopoliten und Denker. Halle, 1789. 8°

C2 – VIII – 129
Thomson, James
Thomsons Jahreszeiten, aus d. englishen von W. Bruckbräu. München, (sine anno) 12°

A – II – 89–90
Young, Eduard
Éjtszaktáji és egyéb munkáji. (translated by József Pétzeli) Pozsony, 1813. 8°

B2 – IX – 69
Young, Eduard
Éjszaktáji és egyéb munkái. (translated by József Pétzeli) Pozsony, 1815. 8°

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Albert Ferenc (1868) – Az Egri Érsekmegyei Könyvtár leirása. In: *Heves és Külső Szolnok törvényesen egyesült vármegyéknek leírása, Eger*

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Bitskey István (1993) – Római hatások a barokk kori magyarországi főpapi könyvgyűjtésben. Különnyomat az *Egri Főegyházmegye Sematizmusa VI.*-ból (Eger,1993. Főegyházmegyei Könyvtár) 83–91

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Fest Sándor (1917) – *Angol irodalmi hatások hazánkban Széchenyi István fellépéséig.* Budapest

Bruce, F.F. (1979) – *History of the Bible in English.* Guiford and London, Lutterworth

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Higham, Florence (1962) – *Catholic and Reformed /A study of the Anglican Church, 1559–1662/.* London, S.P.C.K

Kelényi B. Ottó (1930) – A history of the observatory of the Archiepiscopal college in Eger. Budapest, Stephaneum

Michalek Manó (1893) – *Az egri érsekmegyei könyvtár szakszerû címjegyzéke.* Eger

Nyizsnyai Iván (1901) – *Az Egri Érseki Papnevelő Intézet könyvtárának szakok szerint való jegyzéke.* Eger

Pallagi Béláné–Zbiskó Ernőné (1962, 1963, 1964, 1966) – Az egri Főegyházmegyei Könyvtár szláv anyagából. 1.Az Egri Pedagógiai Főiskola Évkönyve VIII (1962) 608–616, 2. Acta Academiae Paedagogicae Agriensis (1963), 431–441, 3. ibid (1964), 664–681, 4. ibid. (1966), 559–578

Pálffy István (1984) – Hazai angol fordításirodalmunk kezdetei. *Anglisztikai napok '83. Tanulmányok az anglisztika tárgyköréből III.* Debrecen, 169–178

Rot Sándor (1992) – *From Middle English to the macrosystem of Modern English.* Budapest, Tankönyvkiadó

Zoványi Jenő (1911) – *Puritán mozgalmak a magyar református egyházban.* Budapest

VERMES ALBERT

PROPER NAMES IN TRANSLATION: A CASE STUDY

Abstract: This study is an attempt at explaining the treatment of proper names in the Hungarian translation of Kurt Vonnegut's Slaughterhouse Five. The analysis is carried out in a relevance-theoretic framework, based on the assumption that translation is a special form of communication, aimed at establishing interpretive resemblance between the source text and the target text (cf. Sperber and Wilson 1986, and Gutt 1991). The findings seem to confirm the view that proper names behave in a predictable way in translation: the particular operations chosen to deal with them are, to a great extent, a function of the semantic contents they are loaded with in the given context.

1 Introduction

In an earlier paper (Vermes 1996) I found that the translation of proper names is not a simple process of *transference*, as some authors, for instance Vendler (1975) suggested on the assumption that proper names lack meaning. The fallacy of this view lies in the faulty nature of the background assumption: not *all* proper names are mere identifying labels – in fact, most of them turn out to carry meaning of one sort or another. Then, of course, we need to carefully consider the contextual implications of these meanings before we can decide how best to render the name in the target language (TL).

I offered three operations for this purpose: *transference*, *translation* and *modification*. Here, for reasons that I will explain in a moment, I want to refine this a little by distinguishing one further operation which was left implicit earlier as a subcase, partly, of translation and, partly, of modification: *substitution*. By this term I will refer to those cases when the source language (SL) name has a conventional correspondent in the TL, which replaces the SL item in the translation. As we will see, this is true of a large number of geographical names, for example. In this case the translator (in an ordinary translation situation) is more or less obliged to use this correspondent in the translation (Hungarian *Anglia* for English *England*).

This refinement of classification is made necessary, first of all, by an intuitive recognition of the fact that when there is a conventional correspondent available in the TL, this would seem to be the translator's first and natural choice: the one that comes to mind almost subconsciously. This does not mean that no other solution is ever possible, but any digression from the most obvious solution would need to be supported by serious reasons. In a relevance-theoretic framework we would say that a translation using a conventional correspondent is the one that requires the least processing effort and any digression, increasing the amount of processing effort, would need to be justified by a substantial gain in contextual effects.

Now which of these four operations the translator employs in a particular situation depends primarily on what meanings the proper name has in the given context and which of these meanings she thinks important to retain in the TL. (From now on, for the sake of simplicity, I will refer to the translator/communicator as *she* and to the audience as *he*.) One question we will have to examine, then, is what sort of meanings a proper name may have and how these meanings can be rendered in the translation.

Before we can do this, however, we will have to clarify what a proper name is. So far we have been content with an implicit understanding of the concept but a detailed characterisation of the problem will require that the definition is made more or less explicit.

One basic assumption that we shall draw on in this paper is that communication is an ostensive-inferential process, as explicated in Sperber and Wilson (1986). A brief outline of their *relevance theory* is presented in the next section and in the subsequent sections we shall carry out our analysis of the problem in this relevance-theoretic framework.

2 Relevance theory and translation

2.1 Relevance

The principal assumption of this study is that translation is a special form of communication and, as such, is not essentially different from any other communicative process. The theory of communication, *relevance theory* (see Sperber and Wilson 1986), that we are going to build on views communication as an *ostensive-inferential* process. Ostensive because in every act of communication the communicator makes it manifest to the audience that she wants to communicate something; and inferential because comprehension involves the audience in constructing a hypothesis about the communicator's intentions via spontaneous non-demonstrative inference.

The result of this non-demonstrative inferential process, the hypothesis, cannot be logically proved but can be confirmed.

When the communicator utters something, her utterance will be interpretable in a number of different ways; however, not all of these possible interpretations are equally accessible to the audience. In evaluating the various interpretations, the audience is aided by one general criterion which can eliminate all but a single possible interpretation: the criterion of *optimal relevance*. The audience can reasonably expect that the communicator's message will be relevant to him on the given occasion and, moreover, that it is formulated in such a way that will make it easy for him to come to the intended interpretation.

Wilson (1992) gives the following definition of optimal relevance: "An utterance, on a given interpretation, is optimally relevant if and only if: (a) it achieves enough effects to be worth the hearer's attention; (b) it puts the hearer to no unjustifiable effort in achieving those effects" (175).

This definition of relevance is built on the notions of *contextual effect* and *processing effort*. A contextual effect arises when, in the given context, the new information strengthens or replaces an existing assumption or when, combining with an assumption in the context, it results in a contextual implication. The effort needed to process the utterance is a function of the linguistic complexity of the utterance, the accessibility of the context and the inferential effort made in computing the contextual effects of the utterance in the given context (Wilson 1992: 174). In brief: the more contextual effects and the less processing effort, the more relevant the utterance is to the audience on the given occasion.

It follows, then, that a reasonable communicator will formulate her message in such a manner as to enable the audience to come to the desired interpretation in the most cost-effective way: that is, she will make sure that the first acceptable interpretation that occurs to the audience will be the one that she intended to communicate. What this means at the audience's end is that as soon as he has found the first interpretation that satisfies his expectations of relevance, he has found the one that a rational communicator can be reasonably believed to have intended. Eventually, the principle of optimal relevance entails that "all the hearer is entitled to impute as part of the intended interpretation is the *minimal* context and set of contextual effects that would be enough to make the utterance worth his attention" (Wilson 1992: 176).

According to Sperber and Wilson (1986), an utterance, or indeed any representation which has a propositional form, "can represent some state of affairs in virtue of its propositional form being true of that state of affairs," that is, *descriptively*; or "it can represent some other representation which

also has a propositional form – a thought, for instance – in virtue of a resemblance between the two propositional forms," that is, *interpretively* (228–9). Interpretive resemblance between propositional forms means that the two propositions share at least a subset of their analytic and contextual implications (their *explicatures* and *implicatures*) in the given context (Wilson and Sperber 1988: 138).

2.2 Translation as interpretive language use

If we want to take account of the fact that utterance meaning is not wholly propositional (see, for instance, Lyons 1995), this definition needs to be amended. Gutt (1991) extends the notion of interpretive resemblance to linguistic utterances. Since explicatures and implicatures are assumptions and the function of utterances is to convey assumptions that the communicator intends to convey, the definition can be generalised in the following way. Two utterances (or any two ostensive stimuli) "interpretively resemble one another to the extent that they share their explicatures and/or implicatures" (Gutt 1991: 44).

He then goes on to define translation as interpretive language use across languages. In interpretive language use in general, and in translation in particular, the principle of relevance entails a presumption of *optimal resemblance*: what is rendered by the communicator (translator) is (a) presumed to interpretively resemble the original and (b) the resemblance has to be consistent with the presumption of optimal relevance. Here we have a new notion of faithfulness in translation (or equivalence – although Gutt himself abstains from using this term), which will constrain the *what* and the *how* in translation: the translation should resemble the original in that it offers adequate contextual effects to the audience (comparable to those offered by the original); and it should be formulated in such a way that it yields the intended interpretation at a minimum processing cost (Gutt 1991: 101–2).

Since the notion of interpretive resemblance rests on the notion of optimal relevance, its fulfilment is heavily dependent on the similarity of the contexts available for the source and target language readers. The same (or, at least, similar) effects can be achieved in the translation with minimum processing effort only if the two contexts are not essentially different.

3 What is a proper name?

3.1 Definitions of proper name

Let us begin our search for a suitable elucidation of the term by quoting some definitions from various English and Hungarian grammar reference books.

"Proper nouns are basically *names*, by which we understand the designation of specific people, places and institutions [...]. Moreover, the concept of name extends to some markers of time and to seasons that are also festivals (Monday, March, Easter, Passover, Ramadan)" (Greenbaum and Quirk 1990: 86–7).

"A proper noun (sometimes called a 'proper name') is used for a particular person, place, thing or idea which is, or is imagined to be, unique" (Alexander 1988: 38).

"Nouns that are really names are called *proper nouns*. Proper nouns usually refer to a particular, named person or thing" (Hardie 1992: 122).

"[A tulajdonnevek] a sok hasonló közül csak egyet neveznek meg, és ezt az egyet megkülönböztetik a többi hasonlótól" ([Proper names] name one from among many of a similar kind and distinguish this from all the other similar ones) (Rácz and Takács 1987: 122). Later on they give the following types of proper names: personal names, animal names, geographical names, names of institutions and organisations, titles of pieces of art, periodicals and newspapers, and brand names. This list is probably not meant to be exhaustive – it is still interesting to note that while in the English-speaking tradition the concept is generally supposed to include the names of days, months, and seasons, it is not so in the Hungarian linguistic tradition.

There seem to be some inconsistencies between these definitions. First, they do not make clear the difference between a *proper noun* and a *proper name*. Proper nouns like *Michael* or *Exeter* are a subclass of the grammatical class of nouns, whereas proper names are simple or composite expressions formed with words from any of the traditional word classes. For instance, an adjective like *Fluffy* would make a good name for a dog, or a noun phrase like *The Green Dragon* might well be used for a pub.

Another question arises concerning the specificity, or uniqueness, of the entity that bears the name. What do we do with stock names like *Emma*? There may be thousands of people with this name at any particular time in history. For a solution, we have to clarify what it means that a name *refers* to an entity. The term *reference* is commonly taken to characterise the relationship between a variable in a propositional representation and the

value which is assigned to it on a particular occasion of use. Thus the referents of the name *Emma* on two different occasions of utterance may well be two different persons. Words, as such, "do not have reference, but may be used as referring expressions or, more commonly, as components of referring expressions in particular contexts of utterance" (Lyons 1995: 79). Reference as a variable, context-dependent relationship is to be differentiated from *denotation*, which is not utterance-dependent but invariant within the language system. Thus we find that while the denotation of an expression is part of the semantics of a language, reference belongs to the realm of pragmatics. A name, on a particular occasion, may refer to an entity without denoting it.

This is in correspondence with what Donellan (1975) writes about the attributive and referential *uses* of definite descriptions: "In the attributive use, the attributive of being the so-and-so is all important, while it is not in the referential use" (102). In effect, here he is making a distinction between describing something as such-and-such and referring to something by using a certain description, in the act of which "the speaker may say something true even though the description correctly applies to nothing" (Donellan 1975: 110). For example, we may successfully refer to somebody at a party as 'the man drinking Martini', even if the person in question is in fact drinking something else. The interesting thing, then, is that proper names and definite descriptions are not essentially different with respect to reference: both can be used to refer successfully without providing a truthful description (Donellan 1975: 113).

Probably the only difference between these two kinds of expression is that proper names are used primarily (though by no means necessarily) to refer, while other definite descriptions may just as often be used attributively, in Donellan's terms. However, a name can also be used attributively, perhaps less often but entirely legitimately. Consider the following example. 'That boy is a real Pele.' Here the name 'Pele' is used to *attribute* certain qualities to the referent of 'that boy', concerning his skills in football.

3.2 The meaning of a proper name

Now if a name can be used attributively, it certainly carries some meaning. The question is, what sort of meaning, or meanings, can it have? Lyons's (1995) view is that names have no descriptive content (denotation) but may have shared associations (connotations) (295). My position is that this view is too simplistic. It may be true with stock names but it is certainly insufficient, for instance, with names which are based on descriptions. This

seems to be supported by the fact that a descriptive name might be changed when the underlying description is no longer appropriate. Along these lines Lehrer (1992) argues that it is difficult to draw a dividing line between descriptive names and pure descriptions and, further, that most names provide some sort of information about the referent, that is, they may serve as the basis for making reasonable inferences about it (127).

In relevance theory, the meaning of a lexical item consists in a logical entry and an encyclopaedic entry. The three different types of information (lexical, logical and encyclopaedic) are stored in different places in memory. The logical entry contains a set of deductive rules making up, in Lyons's terms, the *intension* (logical properties) of the lexical item, while the encyclopaedic entry contains information about the *extension* of the item (the group of entities it stands for) in the form of assumptions about it (Sperber and Wilson 1986: 86). I take it that the encyclopaedic entry also contains information about shared associations.

The major difference between the logical and the encyclopaedic entries is that the former is finite and holds computational information, whereas the latter is open-ended and holds representational information. Sperber and Wilson suggest that when we process an assumption, the content is determined by the logical entries of the concepts it contains and the context in which it is processed is, at least partly, determined by the encyclopaedic entries of these concepts (Sperber and Wilson 1986: 91).

In this model, prototypical proper names (that is names without a descriptive content) are handled by associating with them empty logical entries. In other (less prototypical) cases a name may also have a logical entry (or, in the case of a composite name, it may include several logical entries which combine to make up the logical content of the name) which is partly or fully definitional (Sperber and Wilson 1986: 91–2). Thus names seem to be not essentially unlike any other kinds of expression in terms of the structure of their meaning. Rather, what we find here is a continuum of various sorts of proper names, ranging from the prototypical (with a primary referential function) to the non-prototypical (with a stressed attributive function), which are practically indistinguishable from other non-referring definite descriptions. The fact that I use the terms prototypical and non-prototypical, however, is not meant to imply that the so-called prototypical names are more frequent than non-prototypical ones.

3.3 Types of proper names

One further question that remains unclear from our initial definitions is what sort of entities may be referred to by a proper name. Here I see no

reason to exclude any possible class of referents, living or inanimate, concrete or abstract, real or imaginary. The point is that a name, in a given utterance and context, singles out one unique entity or one unique class of entities which is to bind the variable represented by the name in the propositional representation of the utterance. In theory, we may distinguish as many types of proper names as many classes of entities we can discern in the world. For instance, at first glance it may seem weird that computers should have names but in actual fact they do, since the dawn of computer networks. Thus, if we find it necessary for some reason, why not set up a separate category for the names of computers?

4 The hypothesis

It is expected that names with an empty logical entry (stock names like John, for instance) are normally simply transferred, unless the encyclopaedic entry contains some assumptions that may be needed as part of the context, in which case the name is likely to be modified, depending on the context and the available options.

Names with a filled-in logical entry would normally undergo translation, unless the encyclopaedic entry again contains some assumptions that may be needed as part of the context, which would make necessary the modification of the name in the TL.

The presence of an established conventional TL correspondent would seem to generally pre-empt any other option, requiring the substitution of this correspondent for the SL name but may be overriden by the other processes if the translator considers it inadequate in the given context.

5 Materials and method

In this study I used a recent British edition of Kurt Vonnegut's Slaughter-house Five and a Hungarian translation by László Nemes (see *Primary sources*). First all the different proper names were looked up in the original text and matched with the corresponding expressions in the translation. For each name, only the first occurrence in the text was recorded.

The original names were then sorted out into four groups according to the operation the translator used in dealing with them. Four operations are distinguished: transference, substitution, translation and modification. By *transference* we shall mean the process of rendering the name in the TL in the original form. *Substitution* is replacing the SL name by a conventional TL correspondent. *Translation* means rendering the SL name, or at least part

of it, by a TL expression which gives rise to the same, or approximately the same analytic implications (explicatures) in the target text; *modification* consists in replacing the original name with a TL one which involves a substantial alteration in the translation of either the analytic or the contextual implications (implicatures) that the name effects. For further clarification the reader is referred to Vermes (1996).

Subsequently, the names in each group were assigned to various types. The types used are the following: names of persons; geographical names; names of institutions and organisations; titles of paintings, books, periodicals, newspapers, etc.; brand names; names of nationalities; names of events; names of periods of time; names of abstract ideas; names of animals; names of species; and the remaining few were collapsed under the heading other names. A full list is given in the Appendix, with the names presumably having an at least partially filled-in logical entry italicised.

The validity of the hypothesis was checked by examining under each operation the occurrences of names with or without a filled-in logical entry (Table 1).

Under each operation, the number of occurrences in each type was weighed against the total number of occurrences in the given type. This was done to find out whether there are characteristic differences in the treatment of the various types of proper names (Table 2).

Then the data were rearranged under each operation in descending order of the percentages within each type to check the extent to which the different operations apply to the various types (Table 3).

Finally, individual cases which seem in some sense exceptional were considered with respect to a relevance-theoretic model.

6 Results and discussion

6.1 Implications of the numerical results

The numerical findings are summed up in Table 1. The results seem to confirm the validity of our hypothesis: names with an empty logical entry are mainly transferred, while those with at least some logical content are to a great extent translated. The large number of substituted items in both groups should come as no surprise; it is simply due to the fact that several SL names have their established correspondents in the TL, any departure from which would result in an increase in the effort required to process the given utterance. According to the requirement of optimal relevance, this could only be done in special cases when the gains on the effects side would be greater than the losses on the efforts side.

LOGICAL ENTRY	TRANSFER	SUBST.	TRANSL.	MOD.	TOTAL
EMPTY	**108**	**54**	**0**	**12**	174
FILLED-IN	**22**	**65**	**56**	**11**	154

Table 1: Primary numerical findings

What needs some further consideration is, on the one hand, the relatively high number of transferred items in the group with filled-in logical entries and, on the other hand, the causes for the modification of 12 and 11 items in the two groups, respectively, since modification apparently does not depend solely on the presence or absence of a filled-in logical entry.

Among the 22 transferred cases in the second group we find 10 personal names. Of these, some (like Stephen *Crane*) belong to real persons and would not therefore be normally translated in the target culture (Hungarian). Among the others, belonging to fictitious persons, we can distinguish between those, like Resi *North*, that have no obvious connotations in the context of the story and those, like Billy *Pilgrim*, with rather obvious connotations evoked in the given context from the encyclopaedic entry of the expression. What seems surprising, then, is that the names in this latter subgroup are transferred and not translated (or modified), since these are telling names in the most apparent manner: Billy Pilgrim really *is* making a pilgrimage in the story through time and space, Montana *Wildhack is* a porno star, and Roland *Weary* really *is* a nuisance to everybody around him. The translator's decision not to translate these names can be explained in the following way. Vonnegut creates his unique artistic world by mixing real and imaginary events and persons. In the context of the story (in this particular fictitious world), however, all the persons are thought of as real. Therefore, translating a name like Billy Pilgrim as *Zarándok* Billy, for instance, would be inconsistent with the practice of transferring the great majority of the other personal names and would probably cause an unwarranted increase of processing effort that would not be justified by the achieved contextual effect, which is rendering more perspicuous by the name the role of the character in the story. We could argue in a similar way in the case of Eliot *Rosewater* and Kilgore *Trout*, adding that the possibility of a desired measure of contextual effects is lessened further by the fact that these characters play no significant role in the book. Moreover, they also appear in other novels by Kurt Vonnegut, in the Hungarian translations of which their names are transferred and thus translating them here would be inconsistent with the general translation practice in this extended fictitious

world, resulting in an additional increase of processing effort with readers who are familiar with it.

Thus the translator's decision seems to be justified here on two grounds. He avoids putting the TL reader to extra processing effort by being consistent both within the world of the given text and within a wider universe of discourse including this and related texts. This then goes to show that calculations of contextual effect and processing effort involve, apart from considerations of prevailing translation practices in the TL, not only textual but intertextual factors as well.

The other names in the second subgroup include some geographical, institutional and brand names, which are again normally either transferred or substituted in the general Hungarian practice. The two animal names, *Princess* and *Spot*, are probably not translated in order to avoid incongruity with a world predominantly containing English names in the Hungarian translation, which is all the more logical since the two dogs do not have any significant role to play in the story.

6.2 Discussion of modified items

Now let us turn our attention toward the modified items. 12 of them have an empty logical entry, 11 an at least partly filled-in one, which suggests that the translator's decision to modify the expressions could not be based on the presence or absence of some logical content alone. We find four personal names here. *Mutt* and *Jeff* are rendered in the TT as *Zoro* and *Huru*. The reason is obvious: in the SL Mutt and Jeff have in the encyclopaedic entry associated with them the assumption that they form a comic couple and since it is not present in the TL, the names had to be changed for ones that will carry a comparable assumption. A similar explanation would go for *Joe College*, rendered as *Tudósjános* (Scholarly John) and possibly for *Wild Bob*, rendered as *Félelmetes Bob* (Frightful Bob).

Of the two geographical names, *Stamboul* occurs in a small poem and is turned into *Törökhon* (Turkey) simply to make two lines rhyme. A similar example is the nationality expression *Polack*, which is explicated in the TL as *lengyel nő* (a Polish woman). It appears in the last line of a ditty, cited in the book, and is probably used instead of the literal translation *lengyel* purely because of reasons of rhyme and rhythm. The other geographical term, *Russia*, becomes *az orosz front* (the Russian front) in the translation, explicating in the logical entry what was part of the encyclopaedic entry of the original. Why this change had to take place is not entirely clear. On the one hand, the TL expression makes it explicit what was implicit as part of the context in the SL, thereby reducing the inferential effort required;

however, it does this at the cost of increasing the effort needed to process the linguistically more complex phrasal expression in the TL. Thus it would appear that what is gained at the one end is lost at the other. The only obvious justification for this move would be if it was difficult for a Hungarian reader to evoke from encyclopaedic memory, as part of the context, that Russia was one of the major scenes in the Second World War, which it is not. Eventually, we could resort for a possible explanation to the idea that translation is also to a large extent a matter of personal taste: when two alternatives seem to be identical in efficiency the translator will make the decision on the basis of her personal preferences.

Among the institutional names we see two different cases. In the one an acronym is turned into the full expression: *AP* becomes *Associated Press* in the TL, *UP* is changed into *United Press*, and the *Ilium Y.M.C.A.* into *iliumi Keresztény Ifjak Egyesülete*. The reason in all the three instances is the same: the acronym has no meaning whatsoever in the TL and would consequently make the processing unbearably costly if left unchanged. The explication in the third example is rather self-evident but how could the first two cases be justified? Probably the translator thought the full name is more likely to "ring the bell" in the TL reader than the acronym, that is, it would put the reader to less processing effort. However, there seems to be a better solution to this problem, which is applied in the following three examples: *Holiday Inn* is rendered as *Holiday Inn-szálló*, *Harvard* as *Harvard egyetem*, and *Holt, Reinhart and Wilson* as *Holt, Reinhart és Wilson kiadó*. Here, for reasons of cultural differences, the SL expression does not give rise to the same encyclopaedic assumptions in the TL as in the SL and therefore this part of the context needs to be explicated in the logical entry of the TL name. The procedure is similar to what happened to *Russia*, explained in the previous paragraph, the difference being that here the explications seem to be better motivated than in the Russia-example.

Exactly the same takes place in the case of the three brand names, the temporal expression *Gay Nineties*, in the case of *Georgian* and *Ferris wheel* in the other names group, and one of the titles, the *Ilium News Leader*. The other title, *Gideon Bible* is similar in that it contains encyclopaedic information not available in the TL, but here the explication of this content would have been very costly since it should have included an explanation of what the Gideon Society was and therefore the translator decided to cancel this part. This results in the loss of some encyclopaedic assumptions but, since these are not essential for processing the utterance in which the name occurs, this loss is not fatal and is completely justifiable.

We still have one nationality name to discuss and one in the other names group. *The British* is rendered in the translation as *angolok* (the English),

instead of the logically closer *britek*. Why? The reason is very simple: the word *brit* does not have wide currency in Hungarian, except in a historico-political context. By using this term the translator would have deviated from standard Hungarian usage, thereby increasing the processing cost of the utterance, which he wisely avoided, applying the admittedly less precise but more commonly used term *angol*. *The Febs* is the name of an amateur vocal quartet of men in the book and is turned into *a NŐK* (The WOMEN). It is difficult to see what encyclopaedic assumptions the translator sought to preserve here; the only one that seems apparent is that the name was meant to be jocular in some way.

In summary, the modification of an item is generally made necessary by the absence of some encyclopaedic assumptions in the TL which the name carries with it in the SL and the absence of which from the target text would result in the loss of some relevant contextual implications in the given context. We have also seen two exceptional cases where the modification takes place for prosodic reasons.

6.3 Frequency of use of the four operations with the various types of name

Finally we shall check out whether there are any characteristic differences in the frequencies of use of the four techniques with the various name types. The relevant numbers and percentages are given in Table 2.

TYPE NUMBER	TRANSFER NUMBER : %	SUBSTITUT. NUMBER : %	TRANSLAT. NUMBER : %	MODIFICAT. NUMBER : %
PERSONAL 97	**71 : 73.2**	**19 : 19.6**	**3 : 3.1**	**4 : 4.1**
GEOGR. 93	**39 : 41.9**	**50 : 53.8**	**2 : 2.15**	**2 : 2.15**
INSTITUTE 48	**9 : 18.8**	**12 : 25**	**21 : 43.7**	**6 : 12.5**
TITLE 31	**2 : 6.45**	**8 : 25.8**	**19 : 61.3**	**2 : 6.45**
BRAND 18	**7 : 38.9**	**2 : 11.1**	**6 : 33.3**	**3 : 16.7**
NATIONAL. 9	**0 : 0**	**7 : 77.8**	**0 : 0**	**2 : 22.2**
EVENT 8	**0 : 0**	**7 : 87.5**	**1 : 12.5**	**0 : 0**
TEMPORAL 7	**0 : 0**	**6 : 85.7**	**0 : 0**	**1 : 14.3**
OTHER 7	**0 : 0**	**0 : 0**	**4 : 57.1**	**3 : 42.9**
ABSTRACT 6	**0 : 0**	**6 : 100**	**0 : 0**	**0 : 0**
ANIMAL 2	**2 : 100**	**0 : 0**	**0 : 0**	**0 : 0**
SPECIES 2	**0 : 0**	**2 : 100**	**0 : 0**	**0 : 0**
TOTAL 328	**130 : 39.6**	**119 : 36.3**	**56 : 17.1**	**23 : 7**

Table 2. The data are arranged in descending order of the number of occurrences of the different types. This number is taken as 100% in each case; the percentages in each line under the various operations are relative to this.

We find that while, for instance, personal names are mostly transferred and geographical names characteristically substituted or transferred, institutional names are predominantly translated. These findings are easily explicable on the basis of what has been described above. The reason is that personal names in most cases lack any logical content and are therefore transferred, geographical names are either without an identifiable or relevant logical content and are transferred or have established translations in the TL and are thus substituted, whereas institutional names characteristically contain elements with some logical information relating to the function of the institution or organisation and are consequently translated. Titles are mostly translated, obviously, because a title is normally descriptive of its referent and must therefore carry logical information. Brand names are of two major types: either they are fanciful names with no relevant logical content or they are in some way descriptive of the product they stand for; in the former case they would be transferred, in the latter, translated. (We must note here, however, that in 'real life' this picture may be complicated by several other factors like assonance, cultural dominance, etc.) Nationalities have their established names in every culture, so these names are normally substituted. The same is true with major events, temporal units or festivals, abstract ideas and species. The other names group includes names of objects (*the Iron Maiden of Nuremburg*), a style (*Georgian*) and a vocal quartet (*The Febs*). They either contain some descriptive information in the logical entry, in which case they are translated or build on associated assumptions contained in the encyclopaedic entry, not present in the TL, in which case they get modified. The two animal names are transferred in this book because neither the logical nor the encyclopaedic entries contain any relevant information.

Table 3 shows the same data arranged under each operation in descending order of the percentages relating to the frequency of use of the operation with the given type of name. It must be noted that while the statistical data are characteristic of this particular translation, they may be substantially different with others, and our explanations of individual cases above hold only as far as they seem to be systematic and consistent throughout this translation.

TRANSFERENCE TYPE : %	SUBSTITUTION TYPE : %	TRANSLATION TYPE : %	MODIFICATION TYPE : %
ANIMAL : 100	ABSTRACT : 100	TITLE : 61.3	OTHER : 42.9
PERSONAL : 73.2	SPECIES : 100	OTHER : 57.1	NATIONAL. : 22.2
GEOGRAPH. : 41.9	EVENT : 87.5	INSTITUT. : 43.7	BRAND : 16.7
BRAND : 38.9	TEMPORAL : 85.7	BRAND : 33.3	TEMPORAL : 14.3
INSTITUT. : 18.8	NATIONAL. : 77.8	EVENT : 12.5	INSTITUT. : 12.5
TITLE : 6.45	GEOGRAPH. : 53.8	PERSONAL : 3.1	TITLE : 6.45
NATIONAL. : 0	INSTITUTION : 25	GEOGRAPH. : 2.15	GEOGRAPH. : 2.15
EVENT : 0	TITLE : 25.8	ANIMAL : 0	PERSONAL : 4.1
TEMPORAL : 0	PERSONAL : 19.6	NATIONAL. : 0	ANIMAL : 0
OTHER : 0	BRAND : 11.1	TEMPORAL : 0	EVENT : 0
ABSTRACT : 0	ANIMAL : 0	ABSTRACT : 0	ABSTRACT : 0
SPECIES : 0	OTHER : 0	SPECIES : 0	SPECIES : 0
TOTAL : 39.6	TOTAL : 36.3	TOTAL : 17.1	TOTAL : 7

Table 3. The data are presented in descending order of the percentages, taken from Table 2, under each operation.

7 Conclusions

One of the interesting results of this study is the confirmation of the fact that contrary to what Vendler said, namely that proper names do not require translation into another language (Vendler 1975: 117), they often do or, in several cases, they get modified. This is not surprising in view of our assumption that proper names have basically the same semantic structure as any other kinds of expression. Of course, much depends on what we regard as a proper name. In our understanding the category includes a wide range of expressions – in fact, the difficult thing would be to tell where the list of members in the class ends. At the one end of the scale we find the most prototypical names, proper nouns, which supposedly lack any logical content but may carry several assumptions in the encyclopaedic entry. At the other extreme we have composite names made up of words from any of the lexical and grammatical word classes: nouns, adjectives, adverbs, even verbs, prepositions, articles, auxiliaries, and so on. These names, which I call *phrasal names*, are no different in terms of logical content from any ordinary phrasal expression. What makes them names, eventually, is that they are *used* as such in the given context. It seems to me that a name is more of a pragmatic category than a semantic one.

As regards the choice of the appropriate operation in dealing with a particular name, several factors may contribute to the final decision. One, of course, is the semantic contents of the name. Our hypothesis appears to be

confirmed by the statistical results: names with an empty logical entry are mostly transferred, whereas those with an at least partly filled-in logical entry are largely translated – unless a conventional TL correspondent pre-empts these options or the encyclopaedic entry of the name contains some relevant assumptions which necessitate the modification of the name in the TL.

These findings are easily explained on the basis of our initial assumption that translation is a communicative process, governed by the principle of optimal resemblance. On this assumption, the choice of a particular translation operation in a given situation is made in line with the need to preserve, as far as possible, the range of contextual effects that the semantic contents of the name contribute to in the source text. Thus, when the logical entry contains information, it is preserved by applying the operation of translation proper; when the encyclopaedic entry contains relevant information, it can be preserved by modifying the name in the translation. On the other hand, the relatively large number of substituted cases is explicable by evoking the notion of processing effort: the use of a conventional correspondent is clearly the solution that requires the least amount of effort from the audience. Therefore, a reasonable translator will consider a different solution only when the gains in effects would probably outweigh the losses caused by the increase of processing effort.

Another factor in the decision to apply a particular operation, as we have seen in several examples, is the need to maintain consistency in the translation on three different plains: with prevailing practices (standard usage) in the TL, with characteristic solutions across texts and with solutions within the given text. This train of thought, again, leads us straight to considerations of the balance between contextual effects and processing effort.

In summary, we have found that the pragmatic theory we have chosen to couch our examinations in, relevance theory, appears adequate for our purposes: it has enabled us to explain in lucid terms how and, partly, why the particular operations were applied in particular cases.

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Appendix

TRANSFERENCE

SUBSTITUTION

ENDRE ABKAROVITS

COLLINS COBUILD GRAMMAR PATTERNS 1 AND 2

Since the late eighties many linguists and ordinary teachers of English have followed the developments of the COBUILD project with great interest. For the first time in the history of lexicography, the COBUILD staff used a computational database when compiling the first edition of the Collins COBUILD English Dictionary, published in 1987. This was followed by the various grammar and usage books, all of which tried to exploit the potentials of the rapidly expanding corpus. By the time of the second edition of the dictionary in 1995 the number of data stored in the Birmingham computer centre was ten times bigger than eight years before: 200 million words from spoken and written, British and American English. (The corpus now comprises 330 million words, with plans to expand it to 400 million during 1999.)

Anyone who has ever had a chance to get access to their corpus once or occasionally must have felt how much it would be necessary for most linguists and teachers of English to have regular access to the data, preferably in an electronic on-line way, or at least to the results of some analysis in a printed form. The latter might be preferred especially by people who have some aversion to new technical devices or those who can't afford to subscribe to the use of the database, but the results of some systematic analysis of the corpus should also be of interest for those who use the database more or less regularly, but do research in some other field of computational linguistics.

The results of computer-assisted linguistic research concerning the typical patterns of English verbs, nouns and adjectives have been summarized by the COBUILD linguists in two volumes in recent years. 'Collins COBUILD Grammar Patterns 1: Verbs' was published in 1996 when their database (The Bank of English) stood at 250 million words. It was followed two years later by 'Collins COBUILD Grammar Patterns 2: Nouns and Adjectives' at the time of the 350 million-strong corpus. The former was complemented by a practice book in 1997. ('Verbs: Patterns and Practice') It offers teachers ideas in what ways the grammar patterns could be exploited.

As there hasn't been sufficient time since the pattern books came out (and they aren't even available in most Hungarian bookshops), the aim of the

present review cannot be some kind of summary of accumulated experience in using them. Instead, I would like to write about the motives and intentions of the editors of these books; why they decided to compile them and how they see the potential in using such books when teaching or learning English.

It cannot be expected that reference books with such a new approach will be immediately used by a great number of language teachers and learners. In my opinion what is more likely is that first people with some academic interest will study the books, and only their gradual introduction to language teaching can be envisaged.

Though the idea of using grammar patterns is not completely new (the older generation of English teachers will remember Hornby's 'A Guide to Patterns and Usage in English' (OUP, 1954)), the present volumes are revolutionary in at least two ways. One is that they are the first comprehensive surveys of English verb, noun and adjective patterns based on the most complete analysis ever undertaken. The other is that the correlation of pattern with meaning is made obvious through computer evidence for the first time. As the mastermind behind the whole COBUILD project, John Sinclair sees it, it is very likely that continuing research will bring meaning and pattern closer and closer together. (CCGP 2: IV)

Since Hornby's book, however, grammar patterns have gone out of fashion and the editors of the new COBUILD books have had to convince the readers again that it makes sense to use patterns. They define 'pattern' in the following way: '...a pattern is a description of the behaviour of a lexical item, or one of the behaviours of that item, as evidenced in a record of large amounts of language use. This evidence is most readily obtained from a large, electronically-stored corpus.' (Hunston and Francis, forthcoming) The patterns described in these books are usually of the complementation type, i.e. in most cases - especially with verbs - they show what follows the word, but with nouns it is often important what comes before the word, so modification can also be part of the pattern.

The authors prefer their approach to be called 'corpus-driven'. It means the observation of a large number of electronically-stored data, which does not mean simply a quantitative change in the raw material, but it consists of data (words, shown in their environment by concordance lines) that have actually been used in the written or spoken language and not invented by some linguist. This fact makes it possible to draw more reliable conclusions than it was the case in the past, and this new approach might lead to questioning old beliefs and inspiring new theories.

The compilers hold the view that lexis and syntax are both important when describing a word, so 'grammar' should give information about both. The phenomenon that *want* is often followed by *to* would be difficult to

define as a fact about lexis or a fact about grammar. In structural linguistics grammar was the most important, while lexis was often seen as a separate entity. Even the most comprehensive grammar books, like those of Quirk et al, tend to downplay the role of the lexical side of grammar, they don't distinguish between what is possible and what is typical, either because they do not find it important or because they did not have access to enough information. (Hunston and Francis, forthcoming)

The change in the method of observing data (the use of the concordance lines of a computational database) can also easily lead to the change in theory. Though at this stage we still cannot expect the authors to come up with some final theoretical conclusions, they have already observed certain tendencies in the correlation of meaning and form (pattern). Some of these are the following:

1. When a word has more than one meaning, the meanings tend to be distinguished by having different patterns, but there is a lack of one-to-one correspondence between pattern and meaning.

2. Words with the same pattern share aspects of meaning. But the lists of words that have the same pattern are divisable in several ways, and different researchers could end up with different groupings. (Hunston and Francis, forthcoming)

So, it is no wonder that looking at the different groups we might find these divisions often arbitrary. And there will always be words that do not fit into any group. Still, we cannot say that attempts at grouping words in this way would be useless.

This problem is similar to the dilemma of lexicographers, who have to separate the various senses of a word when compiling their dictionaries, in which patterning plays an important part, but not the whole.

It is still to be seen whether the use of corpora (records of language use) will lead to a theory based on phraseology and coexist with other theories or some earlier theory will evolve, perhaps using the new evidence.

With the help of their practice book and in some papers the authors of the grammar patterns series also try to give ideas to teachers and learners of English in what ways their books could be used in learning English as a second or foreign language.

They started giving lists of verbs, nouns, adjectives in a given pattern as early as in the 1990 edition of the Collins Cobuild English Grammar, and this has been taken to its logical conclusion in the grammar pattern books. Though the authors claim that a pattern approach can be adapted to any type of syllabus, they also point out that the lexical approach is the most suitable for this purpose.

It is difficult to imagine building a lesson around a pattern and using the traditional Presentation-Practice-Production model. Instead patterns should contribute to grammatical consciousness-raising, vocabulary building or checking accuracy. The authors give examples of these in the 'Advice for teachers' section of their pattern books.

These volumes do not state explicitely what can or cannot be said (which is often impossible to state), they rather concentrate on what is typically, often, or sometimes said. 'The primary use of the Grammar Patterns volumes is to give examples of words that behave in the same way and share an aspect of meaning.' (Hunston and Francis, forthcoming) And while the compilers of such volumes have to try to give as complete lists as possible, the learner or teacher of English can select the most frequent and useful words from the lists.

In some papers the authors have defended their views concerning the importance of patterns against those who think non-native speakers can do without phraseologies native speakers use, and speak some simplified 'International English' instead. They believe patterns are a necessary feature of language. Most words have no meaning in isolation (or only an ambigous one), but have meaning when they occur in a specific phraseology. Pattern is therefore central to the meaning and is essential both to fluency and accuracy.

I think we can agree with the conclusions of the authors that while we must still wait for a definitive theory of language based on corpora, the new findings and methods offered in these books can be recommended with greater confidence to teachers of English.

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TIBOR TÓTH

PATRICIA WAUGH: PRACTISING POSTMODERNISM READING MODERNISM[1]

Patricia Waugh's Practising Postmodernism Reading Modernism is an excellent book in defense of Postmodernism. She suggests that postmodernism could be comprehensively approached through the comparative analysis of the romantic, modern and postmodern aesthetic strategies. The first part tentatively entitled 'Reading Postmodernism, Modernity and its Discontents' defines Postmodernism as an aesthetic and body of thought, as a late-flowering of Romanticism. Her suggestion is that Modernism itself can be loosened from its traditional limitations by viewing it as transition between Romanticism and Postmodernism. Waugh's suggestion is that Postmodernism cannot be comprehensively explored without problematising the construction of Modernism. While emphasizing the inadequacy of radical break theory of the relation of Postmodernism to earlier aesthetic practice and theory, she does not ignore the dangers of naive evolutionism. A central idea is that continuities and discontinuities offer the possibility of perceiving new relationships. She argues that Postmodern theory can be understood as the latest version of a long-standing attempt to address social and political issues through an aestheticised view of the world, though it may be more thoroughly aestheticising than any previous thought. Patricia Waugh approaches the problem of Postmodernism and cultural pessimism through Nietzsche's *The Birth of Tragedy*, refuting the interpretation of modernity as the expression of an existence whose foundations seem to be on the verge of imminent collapse, interpreting it instead as a proliferation of value which offers new forms and contexts for our power of self determination. Acknowledging the dangers of abandonment of Enlightenment thought, Waugh emphasizes that the above strategy may release us from the hidden tyrannies of universalising modes of their invisible exclusionary tactics. Postmodern is interpreted as Apocalyptic against the Judeo-Christian tradition of a Last Judgement in its sense of crisis. She notes that 'post' modernity suggests the idea of a break, but this break is illusory since Nietzsche's idea of temporal consciousness and his

[1] Waugh, Patricia: *Practising Postmodernism Reading Modernism*, London: Edward Arnold, 1992

view of history as a progressive movement towards a redemptive moment out of time and one of epoch as constituted by revolutionary moment in time, still inhabit the notions of temporal crisis articulated within Postmodernism. Through the assessment of Kristeva, Lyotard, Foucault, Deluze and Bataille, Waugh states that the aesthetic remains the prime vehicle for the epiphanic moment of transgression and it explodes its logic of the other into the world of the logic of the Same. Positioning Romantic Irony in Shelley and T. S. Eliot against Postmodernism's parody of the earlier text, Waugh tackles the problems of pre-existing textuality and the matter of decreation. Patricia Waugh contradicts the definition of Postmodern apocalypticism as expressing absolute fragmentariness, stating that it is as much concerned with reconciliation and reintegration as it is with their impossibility.

Starting from the idea that Postmodernism makes explicit a number of paradoxes which are rather more implicit in Romantic thought, she states that the idea of the autonomy of the artist is central to Schiller and Kant, and Postmodernism is often identified exclusively with such an aestheticist position, and in this respect it can be interpreted as late-Romanticism rather than simply a mode of counter-Enlightenment. Tradition and innovation are interpreted through Kant's and Schiller's idea of select autonomy, marking the Romantic shift from definition of freedom through reason to its definition through imagination. She discusses the transfer of autonomy from self entirely to the work of art itself conceived of as an internally coherent, self contained system that culminated in the New Critical construction of Modernism. Waugh concludes that Romanticism and Postmodernism both articulate a critique of Enlightenment faith in the purely rational.

Writing on situatedness in Romanticism to Postmodernism, and radical fictionality, Waugh discusses Heidegger's and Nietzsche's views on the topic. Waugh connects the notion of situatedness with Gadamer's hermeneutics and the notion of tradition developed in the criticism of T. S. Eliot, and argues that the orientation of the Romantic connection should be conceived as Wordsworthian, finally stating that as it moves towards the Postmodern, there is an increased emphasis on situatedness in language. The other tendency discussed is towards a projective, radical fictionality, where the self exists in its ability to work within the fragments available to it and from them to project onto the world new fictions by which to live. Analysing Pynchon, Coleridge, and Nietzsche, Waugh directs our attention onto the postmodern self which for all the proclaimed absence of metaphysical ground is still recognisably Romantic in its form. She states that Heidegger's interpretation leads to an ethics of passivity and acceptance, while Nietzsche's interpretation of the self destroys both self and other in its

imperialistic violence and Postmodernism, in spite of the obvious political and aesthetic dangers posed by both interpretations. In the section entitled 'The Poetics of the Sublime, Presenting the Unpresentable,' Waugh concentrates on Lyotard's essay 'Answering the Question: What is Postmodernism?' and Lyotard's interpretation of Kant's concept of the representational act of imagination. Her suggestion is that Lyotard turns the premises of Kant's concept of the sublime against itself to argue for a postmodern version which recognizes that the sublime is the unrepresentable in presentation itself. The interpretation that the outside space identified by Lyotard has to remain sublime, serves as a starting point for Waugh's parallel analysis of Kant and Lyotard.

In the section entitled 'Enlightenment, Exhausted or Incomplete?' Waugh discusses Habermans's project to reinvent reason in order to complete the 'unfinished' Enlightenment. She argues that though Habermans is anxious to refute postmodern aestheticism, his critique of the dominance of narrow expertise and the fragmentation of human powers, actually borrows from the Romantic critique of industrialisation developed from the writing of Rousseau and Schiller. Waugh concludes the section by discussing Haberman's 1980 talk demanding that the aesthetic should be freed from the grip of the institutionalised, professional critics, and goes on by discussing the art of the unrepresentable in the section entitled 'Terror and Sublime.' Introducing Lyotard's reaction to Habermans's particular call for an integration of the aesthetic into the 'lifeworld', Waugh invokes Kant 's concept of the beautiful. She quotes Kant's view on the beautiful as pleasure formulating our common response of the shared basis of human understanding and the existence of harmonious, intersubjective experiences of value, and the sublime as the experience leading to recognition of the inadequacy of the values produced by the conceptual thought. Waugh concludes that Lyotard sees in the postmodern as in the Romantic, the expression of sublime, a form of resistance to the banal and automating effects of modern life, and the sublime remains a never to be realised beyond. Waugh refuses to accept the idea that Postmodernism has exhausted its usefulness. In the section 'The Concept Versus the Luminous Detail, Against Totality' she states that Lyotard intends the elaboration of a philosophical position which implicitly refuses available paradigms within the tradition of analytical philosophy and this position is easy to turn back on itself. She argues that the postmodern condition envisaged by Lyotard, Rotry, Foucault, Deluze and Fish is itself simply a totalisation, an invention of theory as it denies the possibility of theory in a contemporary version of the ancient Liar Paradox. When postmodernism tries to formulate a critique of Enlightenment, she argues, it can't step out of the thing it examines and

has to 'totalise'. To offer critique can only be to challenge from within through rhetorical or narrative disruption. Examples taken from the works of Salman Rushdie, Nathaniel Howthorne, Eliot, Pound and Joyce lead Waugh to state that postmodernism reminds the reader that any perceived order can only be an arbitrary construction of the human mind.

When trying to periodise the Postmodern, Waugh attempts to construct the dominant elements of the Postmodern. Starting from Roman Jakobson's definition of dominant in a specifically aesthetic context, 'the focusing component of a work of art' which 'rules, determines and transforms the remaining components', dominant comes to be linked with periodisation. Waugh states that Postmodernism shows us that the periods make history manageable, but they inevitably raise questions of genealogy, value and power. Discussing Freud, Kermode, Daniel Bell and the Marxists she comes to refute Eagelton's interpretation of Lyotard stating that the distinction between Modernism and Postmodernism starts to break down as soon as we examine actual works of art. The cultural logic of Jameson's and Eagelton's idea of Postmodernism is introduced through discussion of 'Periodising the Sixties' asserting that we can no longer talk about culture in a 'media society.' She quotes Jameson's argument asserting that if Postmodernism is the cultural logic of Late Capitalism, Late Capitalism is a totality which cannot be thought. Waugh's analysis of Jameson's argument shows that Jameson has overgeneralised from his own sense of the loss of the individual vision of the moderns and the weakening of the grand narratives embedded in his own Hegelian thought. Similarly, she states that Jameson ignores the Bakhtinian insight into the multiaccentual nature of cultural symbols which suggest that no economic mode can in fact ever entirely colonise meaning and value. Next Waugh analyses Charles Jencks' interpretation of Postmodernism in *The Language of Post-Modern Architecture*; she speaks of the opposition between 'universal grammar' and the postmodern 'neo-vernacular.' Waugh demonstrates that Jencks accepts the dominant which Jameson uses to describe Postmodernism but offers an alternative evaluation of it. After discussing Bell's definition of Postmodern as the axial principle of postindustrial society where theoretical knowledge assumes exclusive centrality, Waugh states that periodising is an impossible task, but to work with Postmodernism is to begin to be aware of the way in which our preconceptions about the aesthetic, including concepts like period, shape what we see in individual texts.

The section entitled 'Postmodernism as Aesthetic Technique,' attempts to describe some of the preoccupations and formal characteristics of postmodern literature and re-examines the issue of its cultural value from other perspectives. It analyses parody, irony, self-reflexivity, and playfulness

as characteristic aesthetic forms. Linda Hutcheon and Barthelme are discussed in details. Waugh concludes that fictionality becomes central and goes on to present this playfulness in novels like Salman Rushdie's *Shame*, Donald Barthelme's *Snow White*, Barth's *Lost in the Funhouse*. Waugh believes that instead of defending Postmodernism as an authentic response to the exhaustion of other modes of art or knowledge or attacking it as inauthentic capitulation to commercial culture, we should see it as an attempt to modify the past through reformulation of its modes in the light of present, in which recognition of the pervasiveness of consumer culture is not, necessarily, total capitulation to it.

Reading Alice Walker's *The Color Purple*, Waugh sets out to prove that postmodern books do not necessarily involve an abandonment of traditional forms of thought or aesthetic expression, since although in the novel there are no fundamental disruptions of the physical laws of nature, there is no ludic or self-reflexive authorial voice, the novel is clearly informed by the mood of the postmodern.

In the section tentatively entitled 'Rising the Dead,' Waugh is concerned with bringing back the author refuting the idea of the murder of the Author by Postmodernism. Reviewing Roland Barthes, Jorge Luis Borges, Georges Poulet and Julian Barnes, Waugh concludes that such postmodern texts do not annihilate subjectivity unless one is working with a reduced and restrictive concept of it.

The final chapter of the theoretical section of Waugh's book discusses Postmodern as the 'Critique of Enlightenment'. Starting from Kant's essay 'An Answer to the Question: What is Enlightenment,' the problem of self-determination is interpreted as setting up impossible problems about self-determination, self-grounding and self-legitimation which can be seen to surface acutely in the self-referential obsession of much modern art. Waugh sees the postmodern critique of Enlightenment as an extension of insights provided by a philosopher generally regarded as its fullest embodiment and states that Postmodenism effectively extends the formal self-reflexivity of Kantian idealism to a limit where there can be no position outside the instrument of knowledge with which to offer a critique of them. The postmodernists tend to offer their critique of Enlightenment 'grand narratives' by showing that the concept of transcendent 'metanarrative' is a convenient fiction.

To the question 'Is Deconstruction a Postmodernism,' Waugh's answer is that although the two are often conflated they should not be identified. The analysis of Derrida, Lyotard, Norris and Habermans concludes that both Haberman's reading of Derrida's 'Structure, Sign and Play in the Human Societies' in his *The Philosophical Discourse of Modernity* and Norris's

defense of deconstruction against itself are misleading. Modernity is discussed as the critique of instrumental reason, where technology is interpreted as threatening the world with annihilation. Waugh states that following Foucault postmodernists refer to the 'iron cage' of rationalisation without reason as the violence of the logic of the same, viewing their activity as an attempt to preserve difference, reject universalisation, praise the local, the particular event, the specificity of the contingent. Analysing *The Waste Land*, Waugh reaches the conclusion that all experience and knowledge is absorbed into the process of the habitual capital and what Marx had called alienation is the normal condition of existence, in which the recommendation to 'only connect' is carried out to satisfy biological urges. Waugh states that although Eliot abandoned faith in reason as the instrument of knowledge, Eliot shores his fragments against his ruin, hoping to make them cohere through the discovery of a deep aesthetic logic expressing universal mind in some version of collective unconsciousness. If the lifeworld has become even more thoroughly instrumentally rationalised than the response of the postmodern to Eliot's idea of redemption through art is continued through postmodernist response to it, Waugh argues. Doris Lessing's *Memoirs of a Survivor* is used as an example of the fictional critique of Enlightenment, as the novel asserts our fundamental need for love, shelter, nuturance, our formation out of an interdependence with other human beings based on such needs. The novel's apocalypticism reveals how, in rationalising the lifeworld without due care for the range and complexity of these needs, we may have starved the human race altogether. The projected world of the semi-humans is born out of the failures of over-rationalised logic. The violence of instrumentality of the Enlightenment and Imperialism and the rationalist discourses of modern liberalism are explored by novels belonging to the modernist period, and Patricia Waugh analyses Joseph Conrad's *Heart of Darkness* and Virginia Woolf's *To the Lighthouse* in this context.

In the chapter dedicated to feminism, Patricia Waugh argues that an examination of alternative feminist models of identity can add further dimensions to the debates considered earlier about the construction of Modernism in terms of formal autonomy. She argues that the exclusion of gender from postmodern discussions has left its theorists largely blind to the possibilities of challenging autonomy through a relational concept of identity. Because women's sense of identity is more likely to consist of a more diffuse sense of the boundaries of the self and their notion of identity should be understood in relational and intersubjective terms, they are more representative of a sense of connections to others.

The volume ends with a reading of T. S. Eliot on tradition and James Joyce's *Ulysses*.

Waugh's volume offers its readers a contemporary history of an extremely controversial period. This volume is accompanied by a reader offering genuine critical and philosophical material discussed in her present book.[2]

[2] Waugh, Patricia ed. : *Postmodernism: A Reader*, London: Edward Arnold, 1992

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