STUDIA

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UNIVERSITATIS BABEŞ–BOLYAI

PHILOLOGIA

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EDITORS' NOTE

The present issue of **Studia Universitatis „Babeş-Bolyai"**, series **Philologia**, is the second thematic issue devoted to the field of Japanese Studies, following nr. 4 / 1998. Its publication marks a decade of teaching and research related to the Japanese language, literature and culture at the Faculty of Letters of Babeş-Bolyai University.

The Editorial Board would like to thank Dr. Emma Tămâianu-Morita, associate professor at the Department of Theoretical Linguistics and Semiotics, for the idea and conception of the issue, as well as for her unfaltering efforts to bring it to completion.

We are pleased to have once again among the contributors several professors from Japanese universities who have supported, in many ways, the Program of Japanese Studies since its creation in 1996.

バベシュ・ボヨイ大学が発行するジャーナル、**ストゥディア**の今回の号は、1998 年 4 号に続き、第 2 回めの日本研究領域を取り扱った特集号となっています。今年は文学部の一般言語学・記号論学科に日本語プログラムが開設されてから、ちょうど 10 年となる記念すべき節目の年であります。

このような経緯で本特集号は、プログラムの開設者である Emma Tămâianu-Morita 准教授の主導のもとに編集されています。当文学部における日本語、日本文学および文化に関係する過去 10 年間の研究成果に、ひとつの足跡を残すものであり、編集委員会としましては、Tămâianu-Morita 准教授に感謝の意を評する次第であります。

また、1996 年より日本語プログラム発展のために、有形無形の協力を頂きました日本の大学の関係者各位に、この場をお借りして改めて御礼を申し上げます。

<div align="right">編集委員会</div>

FOREWORD

In October 1996, upon returning from a period of training and research in Japan, I was encouraged to introduce in the curriculum at the Faculty of Letters a selective course in the Japanese language, open to any student of Babeş-Bolyai University. Over 100 participants registered that year, among them not only students, but also members of the teaching staff – colleagues from several different departments. Important steps were subsequently taken, at a steady pace. In 1997, selective courses in Korean language and culture were initiated. The Japanese Library, comprising over 4000 titles, was set up the following year. In 1998, selective courses in Chinese language and culture were added to the academic offer. In 2000, a Korean Library was officially opened. In 1999, a specialisation in Japanese language and literature was introduced, in the double specialisation system of the Faculty of Letters, producing its first graduates in 2003. These three lines of study (Japanese, Korean and Chinese) form the present *Program of Oriental Languages*, organized within the Department of Theoretical Linguistics and Semiotics. It is only appropriate that a new thematic issue of **Studia Universitatis „Babeş-Bolyai”** should mark the 10 years that have passed since the initiation of the Program, with Japanese as its core component. Several features of the issue bear witness to our intention.

First, the contributors have all been directly involved, in one form or another, in the development, support and consolidation of the Program of Japanese Studies.

Second, the long-standing cooperation relationship with Kobe University is duly expressed through the presence of the Japanese authors. It is their help and encouragement that made it all possible. Universities are not abstract entities linked in and by themselves: behind any institutional agreement that actually works there are real people, their personal efforts, tenacity and commitment.

Last but not least, to the generation of established academics, the names of authors belonging to a new generation have now been added, young researchers at the beginning of an academic career – some of whom have also studied at Kobe University in exchange programs or are currently pursuing their professional training abroad. To see them confirm expectations and start building a path of their own in the realm of higher education makes all our efforts worthwhile.

The overall structure of the issue reflects the current research interests of the contributors, covering the areas of Japanese linguistics, literary studies and cultural studies. In the linguistic domain, the reader will notice a shift in focus from the approach to the system of language as such towards the 'grammar of language use' (in Eugenio Coseriu's terms, "die Grammatik der Sprachverwendung", i.e. "eine Grammatik des einzelsprachlichen Sprechens"). Text linguistics is also given its due place as a necessary complement in constructing an accurate and comprehensive image of the object under investigation – *language* as a creative activity. Comparative perspectives proposed in the literary and cultural studies highlight both the specificity of Japanese artistic creations, and their broader relevance that emerges at the interface with Western culture. Besides traditional culture and thought, phenomena of contemporary culture are also acknowledged and explored.

We can only hope that what has been undertaken at the Faculty of Letters with the creation of the Japanese Studies Program will prove to be a construction *for the future* and a construction *with a future* – one whose range will not be measured in decades, but rather in centuries, like so many other academic fields of established tradition within our University.

Note. The coordinator of this volume wishes to thank Magdalena Ciubăncan, Veronica Buchman-Costea, Tomo Morita, and especially Maria Măţel-Boatcă, Ph.D. student at the Department of French Language and Literature, for their help in proofreading some of the manuscripts.

Assoc. Prof. Emma Tămâianu-Morita, Ph.D.
Director of the Oriental Languages Program

"ANTA" ET "CHOTTO": DEUX CAS DE L'EXTENSION DE SENS —ÉTUDE SÉMANTIQUE ET PRAGMATIQUE —

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ABSTRACT. "Anta" and "Chotto": Two Cases of Extension of Meaning —A Semantic and Pragmatic Study —. This article has two main objectives. One is to make a detailed description of the two Japanese words "anta" and "chotto", and the other is to explain the mechanism that causes the semantic extension of the two words.

"Anta" has four meanings other than the basic one, ie. the pronoun of the second person singular. Each meaning corresponds to the position that "anta" occupies in the semantic structure. In Type-A it is included in the proposition. In Type-B it ocupies a position outside the proposition, but as a possessor of an argument of the predicate of the proposition it is integrated into it indirectly. In Type-C it is no longer a pronoun but a kind of sentence adverb that emphasizes the content of the proposition. It occupies the position of modality outside the proposition. But as an element of modality it modifies the proposition, that is it keeps some relation with the proposition. And in Type-D its position is completely outside the sentence and has no relation with the proposition: it is a pure vocative. These meanings of "anta" constitute a semantic network on the basis of their relation with the proposition (the "dictum" part of the sentence.

In the case of "chotto" too, we can differentiate four meanings —they are rather pragmatic than semantic —other than the basic meaning: the adverb of small quantity or low degree. In Type-A "chotto" is still adverb of quantity or degree but it has lost the meaning "small" or "low": its meaning is "the quantity or degree is over the "Standard". It this case "chotto" is integrated in the proposition. In Type-B it is rather a sentence adverb and, as such, it modifies the proposition. But the meaning is the same as the basic one: small quantity or low degree. The important difference is that, by saying that the degree of the content is low, it weakens the tone of the sentence and gives the effect of politeness. In Type-C, always keeping the meaning "small quantity or low degree", it mentions a low degree of hearer's burden and asks him/her to accept the speaker's request. In these types "chotto" occupies the position of modality and modifies the proposition. In Type-D it no longer modifies the proposition: it is a pure vocative, like the Type-D of "anta" , and its position is completely outside the sentence.

In both cases, the distance from the proposition corresponds to the meaning of the word.

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1. Introduction

Dans presque toutes les langues il n'est pas rare qu'un mot ait plusieurs sens différents, parmi lesquels on peut trouver quelque relation. Dans le cas de "Grammaticalisation" ces différences proviennent du changement diachronique et la direction de changement est du sens lexical au sens grammatical. Souvent le sens originel disparaît ou ne s'emploie guère. Et il existe aussi un cas où les sens différents se lient plutôt synchroniquement que diachroniquement, c'est-à-dire un sens est lié à un autre par extension sémantique où le changement diachronique n'est pas important. Le sens basique —dans la plupart des cas il est spatial et concret—continue à exister et constitue une sorte de réseau sémantique avec d'autres sens liés à lui.

Un exemple de cet état des choses est "anta" (tu/toi) en japonais. "Anta" est une expression familière du pronom de la deuxième personne singulier "anata" (vous) et fonctionne comme tel dans la phrase.

(1) <u>Anta</u>-wa kokode nani-o siteiru[1] no.
    tu-TOP ici quoi-ACC faire Q
    (Qu'est-ce que tu fais ici?)

Ici "anta" est nominatif, ce qu'on constate en le mettant dans une proposition subordonnée.

(2) <u>Anta</u>-ga kokode nani-o siteiru noka siri tai.
    tu-NOM ici quoi-ACC faire COMP savoir vouloir
    (Je veux savoir ce que tu fais ici.)

Dans la proposition subordonnée le marqueur de nominatif "ga" apparaît au lieu de celui de topique/thème "wa". Mais dans la phrase (3), "anta" n'est mis à aucun cas et il ne joue aucun rôle sémantique—dans (1) et (2) il est [Agent].

(3) USJ[2]-wa, <u>anta</u>, mou saikoo nandakara[3].
    USJ-TOP toi super
    (Comme USJ est super!)

Ici "anta" n'est pas un argument de la phrase, mais une sorte d'adverbe qui qualifie la phrase toute entière —dans le cas de (3) "anta" met en valeur le contenu de la phrase, i.e. "l'excellence" d'USJ.

Un autre exemple de l'extension sémantique est "chotto" ((un)peu). "Chotto" est, comme "anta", une expression familière de l'adverbe "sukoshi" qui signifie une petite quantité ou un degré léger.

(4) Taroo-wa itsumo <u>chotto</u> shika tabe-nai. (quantité)
    Taroo-TOP toujours peu que manger-NEG
    (Taro ne mange que très peu d'habitude.)

(5) Kono mondai-wa kare-niwa <u>chotto</u> mutsukasii youda. (degré)
    ce problème-TOP lui-POUR un peu difficile il semble
    (Ce problème me semble un peu difficile pour lui.)

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[1] Plus exactement, [[si]teiru]. "Si" signifie "faire" et "teiru" signifie "être en train de".
[2] Universal Studio Japan.
[3] "mou ～nandakara" est une expression discontinue qui représente l'exclamation.

Dans (4) “chotto” représente la quantité de ce que Taroo mange et dans (5) le degré de difficulté du problème. Mais dans l'exemple suivant, il n'y a pas d'élément dont la quantité ou le degré doive être mentionné.

(6) Kare-ga kootsuujiko-o   okosu nante <u>chotto</u> kangae-rare-nai.
il-NOM accident de voiture-ACC causer COMP   croire-pouvoir-NEG
(Je n'arrive pas à croire qu'il puisse être la cause d'un accident de voiture.)

Alors quelle est la signification de “chotto”? Qu'est-ce qu'il qualifie comme adverbe? Je pense que c'est, comme dans le cas de “anta”, la phrase entière: “chotto” affaiblit la force de négation. On le comprend en comparant (6) avec la phrase sans “chotto”.

7) Kare-ga kootsuujiko-o okosu-nante kangae-rare-nai.
(Je ne peux pas croire qu'il puisse être la cause d'un accident de voiture.)

Le locuteur pense que la responsabilité de “lui” d'un accident est plus grande dans (6) que dans (7), i.e. la négation de sa responsabilité est moins forte dans (6) que dans (7) à cause de l'existence de “chotto” dans (6).

Dans les deux cas —“anta” et “chotto” — il s'agit de la modalité: l'attitude du locuteur envers le contenu de la proposition. Par l'extension sémantique “anta” et “chotto” arrivent à avoir le sens de modalité en plus du sens basique: celui du pronom dans le cas de “anta” et celui de l'adverbe dans le cas de “chotto”.

Cet article a pour objet de faire une description détaillée des deux mots “anta” et “chotto” et de mettre au clair le mécanisme de l'extension sémantique qui lie les sens de chaque mot.

2. “Anta”
2.1. Les variantes sémantiques de “anta”
Comme nous l’avons vu dans la section 1, “anta” est la forme familière du pronom de la deuxième personne singulier “anata”.

(8) <u>Anta</u>-wa tadashii.
tu-TOP avoir raison
(Tu as raison.)

(9) Kono hon-o   <u>anta</u>-ni   ageru.
ce   livre-ACC toi-DAT   donner
(Je te donne ce livre.)

Dans (8) et (9) “anta” est le pronom de la deuxième personne singulier et il a son propre cas et rôle sémantique: dans (8) le cas nominatif et le rôle de [thème][4] et dans (9) le cas datif et le rôle de [destination]. Ici “anta” est un argument du prédicat (dans (8) un prédicat adjectif et dans (9) un prédicat verbal).

La différence entre l'exemple suivant et les exemples (8) et (9) est le manque de “wa” de celui-là.

(10) <u>Anta</u>, ninjin   kiraida   monnee.
toi   carotte   détester   n'est-ce pas
(Toi, tu n'aime pas la carotte, n'est-ce pas?)

Ici “anta” est, comme (8) et (9), un argument du prédicat “kirai”(détester), son rôle sémantique est de [thème], et l'on peut y ajouter “wa” sans aucun changement sémantique de la proposition.

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[4] Il faut faire la distinction entre le rôle sémantique [thème] et le marqueur de la fonction de discours “thème/topique”.

(10') <u>Anta</u>-wa ninjin kiraida monnee.
    toi-TOP carotte détester n'est-ce pas

Mais, à la différence du "anta" de (10'), celui de (10) ne peut pas avoir de cas, même s'il s'intègre sémantiquement dans la proposition. Mais, en revanche, le manque de "wa" lui donne la caractéristique de vocatif, ce qui le distingue de celui de l'usage pronominal comme dans (8). Nous mettons le "anta" de (10) dans une catégorie Type-A.

Dans l'exemple suivant, il semble que "anta" est différent de celui du Type-A: l'addition de "wa" cause une différence sémantique même si elle est subtile.

(11) <u>Anta</u>, naiten none[5].
    toi pleurer n'est-ce pas
  (Ah! Toi, tu pleures, n'est-ce pas?)

Si l'on ajoute "wa" comme (11') cette phrase donne l'impression de déclaration logique du fait que "tu pleures" et perd le sentiment du locuteur (sympathie, par exemple).

(11') <u>Anta</u>-wa naiten none
    toi-TOP pleurer n'est-ce pas
    (Tu pleures, n'est-ce pas?)

Ici nous devons tenir compte du fait que cette différence est très subtile et ne concerne que la modalité ("modus"): le contenu de la proposition ("dictum") ne change pas. "Anta" de (11) a les mêmes caractéristiques que celui du Type-A: ① il est un argument du prédicat, ② il a son propre rôle sémantique, ③ il n'a pas de cas et ④ l'on peut ajouter "wa" sans changement sémantique de la proposition. On peut donc considérer ce "anta" comme Type-A.

Dans l'exemple (12) "anta" n'a pas de cas comme les exemples du Type-A, mais il n'est plus un argument du prédicat.

(12) <u>Anta</u> atama ii nee[6].
    toi tête bon SEN
  (Toi, ta tête est bonne! ⇒Toi, tu est intelligent!)

"Anta" n'est pas un argument de "ii" (être bon). Ce qui est bon, c'est la tête, et "anta" en est le possesseur. "Anta" ne s'intègre pas dans la proposition directement mais il s'intègre indirectement comme possesseur de l'argument, et c'est ce qui le distingue de "anta" du Type-A.

Nous mettons ce "anta" dans la catégorie Type-B. Le manque de "wa" met "anta" en dehors de la proposition et lui donne la caractéristique de vocatif: dans le cas du Type-B la "force" de vocatif est d'autant plus grande que l'intégration de "anta" est indirecte. Voici les caractéristiques du "anta" du Type-B: ① il est un argument indirect du prédicat, ② son rôle sémantique est toujours [possesseur], qui ne dépend pas du sens du prédicat, ③ il n'a pas de cas et ④ l'on peut y ajouter "wa" sans changement sémantique de la proposition.

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[5] La forme de langue parlée de "naiteiru-none".
[6] Ici "nee" est une expression de "sentiment". Cette expression peut représenter, avec les éléments suprasegmentaux, plusieurs sentiments comme surprise, insistance etc. selon les contextes.

      Dans les exemples suivants, "anta" n'est pas du tout un argument du prédicat et l'on ne peut pas y ajouter "wa".

(13) USJ-wa, <u>anta,</u> mou saikoo nandakara. (=(3))
(13')*USJ-wa, <u>anta</u>-wa, mou saikoo nandakara[7].
(14) Watashi onchi   yade[8], <u>anta</u>.
      moi   ne pas avoir l'oreille musical COP   toi
      (Et moi, comme tu vois, je n'ai pas l'oreille musical.)
(14') *Watashi onchi yade, <u>anta</u>-wa.

      Puisque "anta" n'est pas un argument (il n'est même pas un argument indirect), "anta" ne peut pas s'intégrer sémantiquement dans la proposition, et l'impossibilité d'y ajouter "wa" le met complètement en dehors de la proposition. Dans le cas des Type-A et Type-B, certes, le manque de "wa" met "anta" en dehors de la proposition, mais la possibilité d'y ajouter "wa" montre que l'exclusion de "anta" de la proposition est incomplète. Je pense que cet état des choses est lié au degré de l'intégration sémantique de "anta" dans la proposition: dans le Type-A il y est intégré directement et dans le Type-B il y est intégré indirectement, mais dans les cas de (13) et (14) l'intégration est strictement impossible. Voilà une différence importante. Nous pensons que ce "anta" appartient au Type-C. Les caractéristiques du "anta" de Type-C sont: ① il n'est pas un argument du prédicat, ② il n'a pas de rôle sémantique, ③ il n'a pas de cas et ④ il est impossible d'y ajouter "wa".

      Si le "anta" du Type-C ne joue aucun rôle sémantique dans une phrase, quelle est donc sa fonction? C'est la qualification de la proposition: dans les cas de (13) et (14), "anta", se trouvant en dehors de la proposition, insiste sur l'excellence d'USJ et sur le fait que le locuteur n'a pas l'oreille musicale, respectivement. Ici, "anta" est une sorte d'adverbe de phrase — un adverbe qui qualifie une proposition entière. Comme adverbe de phrase, "anta" peut faire d'autres qualifications que l'insistance. Dans (15), par exemple, qui est une conversation entre une étudiante qui vient de rentrer au Japon de son voyage en Chine et son amie, "anta" exprime une surprise provenant de la différence entre son attente et la réalité.

(15) A: garasu-no haitta keesu-ni   kagayaitennen TIMOTE[9] –ga
        caisse en verre-LOC   briller   TIMOTE-NOM
        (il brille dans une caisse en verre, le TIMOTE)
     B: hee
       ah bon
       (ah bon?)
    A: de, gai, gaika   yanaito   kae-nai
        et mo monnaie étrangère   sinon   acheter-NEG
        (et on ne peut l'acheter qu'avec la monnaie étrangère)

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[7] L'occurence double de "wa" n'est pas la cause de la non acceptabilité de la phrase. L'on peut utiliser "wa" deux fois dans une phrase sans aucun problème, comme l'exemple suivant le montre.
   USJ-wa   boku-wa daisukida.
   USJ-TOP   moi-TOP aimer beaucoup
   (Moi, j'aime beaucoup l'USJ.)
[8] "〜yade" est une forme du dialecte de Kansaï de "〜desu".
[9] Le nom d'un produit de beauté.

B: hu, hu, hu

A: uwaa, sugoino   tsukoutonna   omotte   honde
   ce qui est très cher utiliser   j'ai pensé   et
   (j'ai pensé que c'était extraordinairement cher, et)

B: un
   oui

A: nihon kaettara,   <u>anta,</u> sannomiya-no   jibeta-ni   utteru yanka
   Japon   je suis rentrée   Sannomiya-LOC   terre-LOC   vendre j'ai trouvé
  (quand je suis rentrée au Japon, anta, j'ai trouvé qu'on le vendait en le mettant
  par terre!)

Ici "anta" exprime le sentiment de surprise du locuteur A, qui a trouvé , après sa rentrée au Japon, que le TIMOTE, vendu dans une caisse en verre comme objet précieux en Chine, était mis par terre et vendu comme objet sans valeur.
      Il y a encore un usage de "anta" différent de ceux des Type-A, B et C.

(16) A: nengahagaki-no
    carte de nouvel an-GEN
    (de la carte de nouvel an)

   B: un
     oui

   A: yoyaku-no   kami hairi   dashita.
    commande-GEN bon   mettre dans la boîte aux lettres avoir commencé
  (on a commencé à en mettre dans la boîte aux lettres le bon de commande)

   B: un

   A: dakara, mou <u>anta</u> juugatsu da   monne.
    donc déjà   octobre COP n'est-ce pas
    (donc, déjà anta on est en octobre, n'est-ce pas?)

   B: un

   A: mou sankagetu-ya   kotoshi   mo
    déjà   trois mois-COP   cette année aussi
    (on n'a déjà que trois mois cette année.)

Ici comme dans (13), (14) et (15) "anta" ne joue aucun rôle sémantique et ne participe pas à la construction du contenu sémantique de la proposition ("on est déjà en octobre"). Mais, à la différence du Type-C, il ne qualifie pas la proposition comme "l'adverbe de phrase". Ce qu'il fait, c'est de faire tourner l'attention de l'interlocuteur à la proposition. Mettons ce "anta" dans la catégorie Type-D. Les caractérisitiques du "anta" du Type-D sont presque les mêmes: ① il n'est pas un argument du prédicat, ② il n'a pas de rôle sémantique, ③ il n'a pas de cas et ④ il est impossible d'y ajouter "wa", comme le montre (17).

(17) *dakara, mou anta-wa juugatu da monne.

Il semble que la seule différence est la fonction: "anta" du Type-D ne qualifie pas la proposition et fait tourner l'attention de l'interlocuteur vers elle, alors que celui du Type-C la qualifie comme s'il était un adverbe de phrase. Mais il y a une autre différence entre eux. C'est la position de "anta" dans une phrase. Comme le "anta" du Type-C qualifie la proposition, il garde encore quelque relation avec elle, bien que cette

relation soit très mince, et il reste encore dans la phrase. C'est le "anta" du Type-D qui se trouve "complètement" en dehors de la phrase: il n'a aucune relation sémantique avec la proposition. Donc nous pouvons poser un "continuum" de l'indépendance de "anta" comme suit, le "anta" comme pronom étant à l'extrémité gauche (il est inclu complètement dans la proposition) et celui de Type-D étant à l'extrémité droite (il se trouve complètement en dehors de la phrase).

(18) Le continuum de l'indépendance de "anta"
Pronom < Type-A < Type-B < type-C < Type-D
([X < Y] signifie que Y est plus indépendant que X)

Nous pouvons aussi représenter cet état des choses schématiquement.

(19) Représentation schématique
<Pronom>
[$_S$ M [$_P$ TOP ・・・X・・・]]
<Type-A>
[$_S$ M [$_P$ [$_{TOP}$ X] ・・・・・・]]
<Type-B>
[$_S$ M [$_{P'}$ Xi [$_P$ TOP ・・・Yi・・・]]]
<Type-C>
[$_S$ [$_M$ X] P]
<Type-D>
[$_{S'}$ X [$_S$ M P]]

(S: phrase, M: modalité, P: proposition, TOP: topique, i: marqueur de possession (X possède Y), X: la position de "anta", Y: élément possédé par X)

Résumons les caractéristiques du "anta" de chaque catégorie en forme de tableau.

	pronom	Type-A	Type-B	Type-C	Type-D
argument	+	+	±	—	—
rôle sémantique	+	+	±	—	—
cas	+	—	—	—	—
addition de "wa"	+	+	+	—	—

("±" signifie que "anta" est un argument indirect et que le rôle sémantique [possesseur] n'est pas donné par le prédicat.)

2.2. "Anta" et le vocatif

À la différence du "anta" comme pronom, le "anta" de chaque catégorie a plus ou moins une caractéristique de vocatif. On peut le constater en mettant une phrase avec "anta" dans une proposition subordonnée. Utilisons (8), (10), (12), (14) et (16) comme représentant du pronom, de Type-A, de Type-B, de Type-C et de Type-D respectivement.

(19) Anta-ga tadashii kadouka shiri-tai. (⇔(8))
si savoir-vouloir
(Je voudrais savoir si tu as raison.)

(20) *Anta, ninjin kiraida-monnne kadouka shiri-tai. (⇔(10))
    (*Je voudrais savoir si toi, tu n'aime pas la carotte, n'est-ce pas?)
(21) *Anta atama ii nee kadouka shiri-tai. (⇔(12))
    (traduction impossible)
(22) *Watashi onchi yade anta kadouka shiri-tai. (⇔(14))
    (traduction impossible)
(23) *Mou anta juugatsu da monne kadouka shiri-tai. (⇔(16))
    (traduction impossible)

Sauf le cas du pronom, il est impossible de mettre les phrases comprenant le "anta" de chaque catégorie dans une proposition subordonnée ayant le cadre "〜kadouka shiritai" (je voudrais savoir si 〜). Ce fait montre que les phrases (10), (12), (14) et (16) ne sont utilisées qu'en tant que proposition principale. Pourquoi? Je pense que c'est à cause de la modalité qui vise l'interlocuteur[10]. Si l'on omet les formes qui correspondent à cette modalité dans chacune des phrases (10), (12), (14) et (16), elles deviennent mal formées, ce qui montre que le "anta" est étroitement lié à cette modalité.

(24) ??Anta, ninjin kirai. (⇔(10))
(25) ?Anta, atama ii. (⇔(12))
(26) *Watashi onchi, anta. (⇔(14))
(27) ??/*mou anta, juugatsu. (⇔(16))

Cette liaison étroite du "anta" à la modalité qui vise l'interlocuteur provient de la caractéristique de vocatif du "anta". Cette caractéristique de vocatif est la plus remarquable dans le cas du Type-D: la fonction du "anta" de cette catégorie est, comme nous venons de le voir, de tourner l'attention de l'interlocuteur vers ce que le locuteur va dire — c'est bien l'essence du vocatif.

2.3. L'extension du sens de "anta"

Le "anta", un pronom à l'origine, a maintenant le sens de la modalité et celui du vocatif. Et ces sens sont liés par la différence de la "distance" entre le "anta" et la proposition. Le "anta" comme pronom se trouve dans la proposition et s'y intègre sémantiquement. Le "anta" du Type-C se trouve en dehors de la proposition et occupe la position de la modalité, mais reste encore dans la phrase comme le montre le schéma (19), et il qualifie le contenu de la proposition comme le fait un adverbe de phrase. Le "anta" du Type-D se trouve complètement en dehors de la phrase et il n'a aucune relation sémantique avec la proposition: il est vocatif pur. Ici nous voyons l'un des mécanismes de l'extension de sens: l'écartement d'un élément de la proposition dont il est un constituant entraîne un changement de sa portée ("SCOPE") et le degré de ce changement correspond à chaque sens de cet élément.

Notons également le fait que le "anta" du Type-B et Type-C ont des expressions correspondantes en français (et en roumain aussi). Le datif étendu

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[10] Nitta (1991, 1997) distingue deux sortes de modalité : la modalité pour le contenu de ce qui est dit et celle pour la manière de la transmission de ce qui est dit. Notre modalité qui vise l'interlocuteur appartient à cette dernière.

correspond au "anta" du Type-B et le datif éthique[11] à celui du Type-C, comme le montre les exemples ci-dessous.

(28) On t'a coupé les cheveux!

(29) <u>Anta</u>, kaminoke kit-ta   ne.
     toi   cheveux   couper-PAST n'est-ce pas

(30) Paul <u>te</u> bois dix pastis en trois minutes!

(31) Pooru-wa <u>anta</u> 3 pun   de 10 pai-no   pasutisu-o nomunda-yo!
     Paul-TOP   3 minutes en   verre-GEN pastis-ACC boire

Pour une discussion détaillée, voir Hayashi, Mizuguchi et Ogawa (2005).

3. "Chotto"
3.1. Les variantes sémantiques de "chotto"

Comme nous l'avons vu dans la section 1, "chotto" est, à l'origine, un adverbe qui signifie une petite quantité ou un degré léger, comme le montrent les exemples (4) et (5). D'autre part, nous avons aussi vu un cas où "chotto" n'exprime ni la quantité ni le degré d'un élément quelconque de la proposition, mais il exprime un sens de modalité (l'exemple (6)). Comme dans le cas de "anta", nous pouvons poser un continuum qui s'étend entre l'usage comme adverbe et l'usage comme modalité et vocatif.

À côté de l'usage comme adverbe de petite quantité ou degré léger, l'on trouve un exemple comme suit.

(32) ―Konshuu-wa   <u>chotto</u>   isogashii ne.
     cette semaine-TOP   occupé
    (Je suis pas mal occupé cette semaine.)
    ―Raishuu   nara   doodesuka
     semaine prochaine si   je vous propose
(Alors est-ce que cela te conviendrait la semaine prochaine?)

Certes, "chotto" exprime le degré de l'état occupé du locuteur, mais ce degré n'est pas léger mais assez haut. On peut substituer "kanari" (degré assez haut) à ce "chotto" sans aucun changement sémantique de la proposition.

(33) Konshuu-wa   <u>kanari</u> isogashii ne.
    cette semaine-TOP   assez occupé
    (Je suis assez occupé cette semaine.)

Ce "chotto", en gardant la fonction adverbiale et une position dans la proposition, perd le sens de petite quantité ou degré léger et maintenant exprime le dépassement du "Standard"[12] de quantité ou de degré. Nous faisons appartenir le "chotto" de cet usage à la catégorie Type-A.

Passons à l'exemple (34).

(34) Ano hito-no   na-wa   nantoitta noka   <u>chotto</u>   omoida-se-nai.
    cet homme-GEN   nom-TOP comment s'appeler C̄O̅M̅P̅   se rappeler-
    pouvoir-NEG
    (Je n'arrive pas vraiment à me rappeler son nom.)

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[11] Quant aux datif étendu et au datif éthique, voir Leclère (1976) et Hayashi (1998a, 1998b, 2002).
[12] Le terme est utilisé dans l'acception proposée par Shooji (1992).

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Dans (34), comme dans (6), il n'y a pas d'élément dont la quantité ou le degré doive être mentionné. Ici "chotto" qualifie, comme le "anta" du Type-C, la proposition, surtout la négation de la capacité du locuteur de se rappeler le nom de quelqu'un: il signifie que le degré de la négation de la capacité du locuteur est léger. Il a un sens de la modalité et se trouve sémantiquement en dehors de la proposition. Mais sa fonction est pragmatique plutôt que sémantique. Il s'agit de l'intention du locuteur de dire quelque chose: en affirmant le légèreté de l'incapacité, le locuteur exprime son intention d'éviter la déclaration, d'affaiblir la force de l'assertion de la proposition. On peut le constater en omettant "chotto" dans la phrase (34).

(35) Ano hito-no na-wa nantoitta-noka omoida-se-nai.
(Je ne peux pas me rappeler son nom.)

Le contenu sémantique de la proposition étant le même, la force d'assertion est plus forte et l'on sent un ton plus sec et plus sévère. La raison pour affaiblir la force de l'assertion en utilisant "chotto" est la politesse qui est un facteur très important pour maintenir la communication avec les autres dans la société japonaise. La négation, à laquelle vise le "chotto" comme modalité, n'a pas besoin d'être grammaticale: elle peut être lexicale.

(36) ―Mou   sukoshi   tsumete itadakemasenka.
encore un peu   se serrer voudriez-vous
(Voudriez-vous vous serrez un peu?)
―Chotto muri-nandesukedo.
impossible-être(POL)
(Ça serait impossible.)

On pourrait penser que ce "chotto" exprime le degré léger de l'impossibilité comme adverbe de degré. Mais l'on peut aussi penser qu'il qualifie la proposition "il n'est pas possible de se serrer". Dans ce cas-là, il affaiblit la force de négation et donc affaiblit le ton de l'assertion de la proposition entière, d'où se produit l'effet de politesse. Sans "chotto" la réponse de (36) serait un refus net. Mettons les "chotto" de (34) et (36) dans la catégorie Type-B.

Dans l'exemple suivant, "chotto" est utilisé comme élément de modalité visant à la proposition entière.

(37) Kare-ga kiteiru   kadouka wakarimasen. chotto mite-kimasu.
il-NOM être ici si   ne pas savoir   voir-venir
(Je ne sais pas s'il est ici; je vais jeter un coup d'œil.)

"Chotto" exprime la légèreté et donc non importance du contenu de la proposition. Il a donc le même sens que celui du Type-B. Mais Shooji (1992) prétend qu'il y a deux raisons de le distinguer du "chotto" du Type-B (mettons-le provisoirement dans une nouvelle catégorie: Type-C). En premier lieu, dans la phrase où apparaît le "chotto" du Type-C, l'agent ou le thème du prédicat est limité à la première personne comme l'exemple (38) le montre.

(38) Kare-ga kiteiru kadouka wakarimasen. ?Chotto Hanako-ga   mite-kimasu.
Hanako-NOM
(Je ne sais pas s'il est ici; Hanako va jeter un coup d'œil.)

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L'agent du verbe principal "mite-kuru" ne peut être que "moi" ou "nous" (dans ce cas-là la forme du verbe est "mite-kimashoo"). Dans la phrase où apparaît le "chotto" du Type-B, il n'a pas de telle limitation: dans (6) par exemple l'agent (ou plutôt l'expérienceur) de "kangae-rare-nai" ("ne pas pouvoir penser") est soit le locuteur, soit n'importe quelle personne, Hanako par exemple.

(39) Kare-ga kootsuujiko-o okosu nante chotto <u>Hanako-ni-wa</u>   kangae-rare-nai.
                                                                Hanako-DAT-TOP
    (Hanako n'arrive pas à croire qu'il puisse être la cause d'un accident de voiture.)

Mais le jugement d'acceptabilité est très subtil. Pour moi, au moins (41) et (43) sont des phrases bien formées.

(40) Kimi-ni <u>chotto</u> hanashi-ga   arunda keredo.
      toi-DAT   histoire-NOM j'ai   mais
      (J'ai quelque chose à te dire.)
(41) (?) <u>Hanako-ga</u>   kimi-ni chotto hanashi-ga arunda keredo.
        Hanako-NOM   elle a
        (Hanako a quelque chose à te dire.)
(42) Watashi-wa kare-ra-ni   <u>chotto</u> denwa   site   miyoo.
       moi-TOP lui-PL-DAT   téléphone faire j'essaie
      (Je vais essayer de leur donner un coup de téléphone.)
(43) (?) <u>Hanako-wa</u> kare-ra-ni chotto denwa site mimasu.
                                           elle essaie
        (Hanako va essayer de leur donner un coup de téléphone.)

Je pense que la différence de jugement n'est pas une preuve évidente pour faire la distinction entre les deux types.

Deuxièmement, dans la phrase où apparaît le "chotto" du Type-C le prédicat doit être affirmatif, alors que dans la phrase où apparaît celui du Type-B le prédicat doit être négatif.

(44) Watashi-ni-wa   ruumaniago-ga <u>chotto</u> wakaru.
       moi-DAT-TOP roumain-NOM   pouvoir comprendre
      (Je peux un peu comprendre la langue roumaine.)
(45) Watashi-ni-wa   ruumaniago-ga <u>chotto</u> wakara-nai.
                                              pouvoir comprendre-NEG
      (Je ne comprends pas bien la langue roumaine.)

Dans (44), pour qu'il ne donne pas une impression orgueilleuse à l'interlocuteur, le locuteur dit en ajoutant "chotto" que sa capacité de comprendre le roumain est petite. Ce "chotto" appartient au Type-C. Dans (45), en disant que son incapacité n'est pas grande, le locuteur essaie d'affaiblir le ton sévère et sec de sa parole —une réponse à une demande d'être interprète du roumain, par exemple (dans ce cas il évite de donner un refus catégorique). Mais cette contrainte provient de la différence de la portée du même sens (un degré léger): le "chotto" du Type-B affaiblit la force de négation et celui du Type-C exprime la légèreté ou la non importance du contenu de la proposition. Dans les deux cas, "chotto" se trouve à la position de modalité et sa fonction est de qualifier la proposition. Je prétends donc que l'on n'a pas besoin de distinguer le Type-B et le Type-C.

Dans les exemples suivants, "chotto", se situant toujours à la position de modalité, exprime une petite quantité de la charge de l'interlocuteur.

(46) <u>Chotto</u> haiteyo, heya-ga   amarini kitana sugiru[13] kara.
         balaie   chambre-NOM trop   sale   trop   parce que
         (Donne un coup de balai, la chambre est trop sale.)

(47) Kimi-no jisho-o   <u>chotto</u> kashite kure-nai   ka.
     toi-GEN dictionnaire-ACC   prêter donner-NEG Q
     (Peux-tu me prêter ton dictionnaire pour quelques minutes?)

Dans ces deux cas le locuteur demande à son interlocuteur de faire quelque chose en disant que son interlocuteur n'a besoin de faire qu'une petite quantité de choses: un coup de balai dans (46) et quelques minutes dans (47). Ce que le locuteur fait ici est de faire sentir à l'interlocuteur que le fardeau n'est pas lourd et qu'il n'est pas difficile d'accepter la demande ou l'ordre du locuteur. Nous posons cette fois une nouvelle catégorie―Type-C―pour ce "chotto". Les caractéristiques de ce type sont, ① dans la plupart des cas il est utilisé dans une phrase de demande ou d'ordre et ② par conséquent, l'agent du verbe principal est à la deuxième personne (au cas d'invitation l'agent peut être à la première personne plurielle, mais ce "nous" doit être inclusif comme le montre (48)).

(48) Kare-ni <u>chotto</u> denwa   site   miyooyo.
     lui-DAT   téléphone faire essayons
     (Essayons de lui donner un coup de téléphone.)

Dans (48) "chotto" vise la quantité du fardeau de l'interlocuteur et le locuteur prétend que le fardeau de l'interlocuteur est moins lourd que le sien.
Mais la distinction entre les deux types n'est pas toujours claire. Il existe des exemples où l'on éprouve de la difficulté à décider le type de "chotto".

(49) Taroo-ni <u>chotto</u> kao-o   dashite   hoshii   noda   ga.
     Taroo-DAT   face-ACC faire sortir j'espère c'est le cas mais
     (J'espère que Taroo fera acte de présence.)

Ici "chotto" vise le contenu propositionnel de la subordonnée et le locuteur essaie de donner une impression de modestie en disant que le contenu de son désir n'est pas important. Dans ce cas-là le "chotto" est de Type-B. Mais nous pouvons aussi penser qu'il est de Type-C: le locuteur demande à l'interlocuteur de demander à "Hanako" de faire acte de présence en disant que le fardeau de "Hanako", l'agent de l'action, est léger. L'exemple (49) se trouve sur la ligne de démarcation entre les deux types.
Dans l'exemple suivant "chotto" ne qualifie rien.

(50) <u>Chotto</u>, denwa   natteiru   yo.
     hé   téléphone sonner   SEN
     (Hé! le téléphone sonne.)

"Chotto" ne qualifie pas la proposition, i.e. il ne signifie de petite quantité du son du téléphone ni de "degré léger" de ce que le téléphone sonne. Ce qu'il fait est de tourner l'attention de l'interlocuteur vers ce que le locuteur va dire. Il n'occupe plus la position de modalité, mais se trouve complètement en dehors de la phrase. Dans les exemples suivants, non seulement "chotto" tourne l'attention de l'interlocuteur mais il exprime le sentiment de reproche.

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[13] "amarini ～ sugiru" est une expression discontinue qui signifie "trop".

(51) (à un homme qui essaie de monter dans un autobus comblé)
    Chotto!
(52) (à un homme qui dit une plaisanterie grossière)
    Chotto!

Ces "chotto" ont l'effet d'interdiction: l'interdiction de monter dans l'autobus dans (51) et celle de continuer à dire une plaisanterie grossière dans (52). Dans les deux cas l'on peut ajouter des expressions de l'interdiction comme "Yameteyo!" ("Ne fait pas ça!" ou "Arrête!"). De ce fait nous avons deux interprétations. L'une est que la fonction de tourner l'attention de l'interlocuteur, que nous appelons "la fonction vocative", reste la même que celle de (50) et que le locuteur omet ce qu'il va dire puisque ce sont toujours des expressions de l'interdiction, donc récupérables. L'autre, c'est que sa fonction est la qualification de l'acte de parole ("speech act") de l'interdiction sans qu'il signifie un degré léger. Dans l'état actuel je n'ai pas assez de temps pour faire des analyses et des examinations suffisantes pour choisir entre les deux; mettons donc les "chotto" de (51) et (52) provisoirement dans la même catégorie que celui de (50): Type-D.

3.2. L'extension du sens de "chotto"

À la différence de "anta", l'extension de "sens" de "chotto" n'est pas sémantique mais plutôt pragmatique, sauf le cas du Type-A où "chotto" a le sens de "dépassement de Standard" au lieu de "petite quantité" ou "degré léger". Dans le Type-B et C, il maintient le sens "degré léger" et il vise à la proposition entière: il qualifie son contenu. Le "chotto" du Type-B, en exprimant la légèreté du contenu de la proposition, a le sens pragmatique ou plutôt la fonction d'affaiblir le ton de la phrase ou d'éviter de donner à l'interlocuteur l'impression orgueilleuse. Il a l'effet de politesse. L'usage de celui du Type-C est plus limité: il n'est utilisé que dans les phrases de demande ou d'ordre dans la plupart des cas. En exprimant la légèreté du fardeau de l'interlocuteur, le locuteur lui demande d'accepter sa demande ou d'obéir à son ordre sans lui donner l'impression de contrainte. Il a l'effet de politesse, lui aussi: le locuteur demande ou ordonne poliment en tenant compte du fardeau de l'interlocuteur. Le "chotto" du Type-D, en perdant le sens "legèreté", a la fonction de tourner l'attention de l'interlocuteur et donc l'effet de vocatif.

Mais, malgré ces différences, le mécanisme de l'extension est le même: elle correspond à la position des deux mots dans la structure sémantique. Pour "chotto" l'on peut poser le même sorte de continuum que (18).

(53) Le continuum de l'indépendance de "chotto"
    adverbe de petite quantité ou degré léger < Type-B < Type-D
     Type-A   Type-C
       ↑   ↑   ↑
     dans la proposition   modalité   hors de phrase

Chaque usage de "chotto" ainsi que celui de "anta" constitue un réseau sémantique ou pragmatique en se fondant sur la relation avec la proposition.

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4. Conclusion

En citant deux exemples "anta" et "chotto", j'ai montré un des mécanismes qui expliquent l'extension de sens d'un mot.

"Anta", dont le sens originel, ou plutôt le sens basique – puisque ce sens existe parmi des autres sens et constitue un réseau sémantique avec eux – , est pronom personnel, a au moins quatre sens (Type-A, B, C et D) comme résultat de l'extension. Le sens de chaque type correspond à la position qu'occupe "anta" dans la structure sémantique. Dans le cas de "chotto" aussi, j'ai distingué quatre types et j'ai proposé le même mécanisme pour expliquer l'extension de sens, malgré quelques différences entre les deux mots, la différence la plus importante étant le caractère de l'extension: dans le cas de "anta" il est sémantique, et il est plutôt pragmatique dans le cas de "chotto".

À la fin de cet article je dois avouer que dans le cas de "chotto" je n'ai tracé que les grandes lignes de la description et donc son classement n'est pas suffisant. Je vais renvoyer ce problème, ainsi que les autres que j'ai laissé de côté dans cet article, pour une autre occasion.

LA LISTE D'ABRÉVIATIONS

ACC: accusatif   PAST: passé
COMP: "complementizer" POL: forme polie
COP: copule   Q: question (interrogatif)
LOC: locatif   SEN: sentiment
NEG: négation   TOP: topique
NOM: nominatif

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AIR-SUPPING IN JAPANESE COMMUNICATION

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RÉSUMÉ. La soupe d'air dans la communication japonaise. Cet article décrit les caractéristiques fondamentales du souffle ingressif utilisé en japonais et nommé «soupe d'air». Grâce à l'observation d'un corpus audio-visuel enregistré parallèlement à l'introspection, les trois points suivants ont été établis: premièrement, la soupe d'air peut être observée beaucoup plus fréquemment que ce que les Japonais natifs croient produire. Deuxièmement, la soupe d'air n'est pas une simple inspiration brute, elle est plutôt la traduction d'une action communicative. La fréquence de la soupe d'air dépend très fortement de la situation contextuelle dans laquelle elle est pratiquée. Plus concrètement, la soupe d'air aime le discours formel intentionné, déteste la conversation rituelle et n'est pratiquée que par les participants prêts à intervenir dans la communication. Troisièmement, la soupe d'air joue le rôle d'un « recul » mental privé, pour soi, lors de toute communication avec autrui. Emettre une soupe d'air est, pour un Japonais, le moyen de se détacher de la conversation et de revenir sur sa pensée personnelle. La soupe d'air se caractérise différemment selon la motivation du recul de la part du locuteur; (i) la soupe d'air agit comme un temps de remplissage (i.e. filler) lorsque le locuteur tente de se concentrer sur le propre acheminement mental de sa pensée; (ii) la soupe d'air est une marque de politesse émise par le locuteur appel à des sentiments profonds afin d'accompagner la valeur de *kyooshuku* (la honte et l'embarras); (iii) la soupe d'air marque une barrière lorsque le locuteur prend du recul afin de se détacher un instant du contenu communicatif émis par lui même.

1. Introduction

In the tradition of communication study, it has been claimed that "meaningless noises" at first sight actually play important communicative roles as discourse markers in everyday communication (e.g. Schiffrin (1987), Shriberg (1995), Lerner (2004)). This idea has been well attested in the study of Japanese communication, and various Japanese "disfluent grunts" such as fillers, emotives, and stutterings have been proved to reveal the speaker's attitudes and feelings like prosody and phonation. (cf. Campbell and Mokhtari (2003), Kushida (2002), Sadanobu and Takubo (1995), Sadanobu and Nakagawa (2005), Sadanobu (2002; 2004; 2005), Togashi (2002)).

The aim of this paper is to demonstrate that we should apply this idea further to the area of breathing. To be concrete, I shall show that at least one type of ingressive hiss which I tentatively call air-supping (*kuuki-susuri*, in Japanese)

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bears communicative meanings in Japanese daily life.

       There is virtually no previous research on Japanese air-supping. I shall describe its basic characteristics and discuss its communicative meaning, by using audio-visual recordings of conversation as well as my introspection.

2. What is air-supping?

       By air-supping, I mean here an inhaling action with a fricative sound caused by air going through a narrow slit in the mouth. The most common place of friction is the front of oral cavity (especially a space surrounded by upper teeth, alveolar gums, and tongue tip), but in some cases it happens more backwardly. Figure 1 below shows a magnetic resonance imaging of a subject's air-supping.[1]

Figure 1. A sample of magnetic resonance imaging of midsagittal slice with thickness of 4mm of a subject's (male, about 40 yrs old) air-supping, by using MAGNEX ECLIPSE 1.5T Power Drive 250, Shimazu-Marconi.

       Similar fricative sounds can be made by exhaling, which may tempt us to treat inhaling and exhaling together. Surely, there are such cases where we should treat them together. In the middle of the freezing night, for example, when someone

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[1] See Masaki *et al.* (1999) for more details about MRI-based speech production study.

is roughly breathing air through his/her clenching teeth outdoors, there may be little difference between inhaling fricatives and exhaling fricatives. But in most cases there is a need to distinguish inhaling and exhaling fricatives, as will be shown in Section 5. This is why I define air-supping not as a sound but as an inhaling action with fricative sound.

3. Who sups air?

Although air-supping is common in actual Japanese communication, native speakers tend to be reluctant to admit it. Not a few informants give negative comments that it is only old (especially male) Kansai speakers who sup air, and that they themselves never do it.

This idea of air-supping is not correct. Air-supping can be observed much more widely than it is said to be. For example, when you watch a news program (in standard Japanese, of course) on TV, you will find a young cool anchorwoman with a nice suit sups air like the following example (1):

(1) maa amerika-no   busshu daitooryo-ga   "aku-no suujiku"-to-iufuuni
     well America-GEN President Bush-NOM   axis of evil-QUOT-like

   nazashishita   kuni-no   dokusaisha-o-desu-ne,
   accuse specifically country-GEN   autocrat-ACC-COPULA-you know

   kooitta hyoogen-de   arawasu-toiu-no,
   such expression-INSTR   refer-QUOT-NOMINALIZER

   [sssss]   iwakan-o   oboeru-ndesu-ga,
   air-supping (henceforce "AS") incompatibility-ACC feel-I tell you-CONJ

   abe-san ikaga-desu-ka?
  Abe Mr. how-COPULA-Q

> "While President Bush specifically accuses North Korea, the Prime Minister Koizumi gave its dictator such a high evaluation. [sssss] I cannot help feeling his evaluation inappropriate. Mr. Abe, what do you think of this?"
> [from TV program *Houdou 2001*, Kansai TV, 2004.5.30th]

In this excerpt, an anchorwoman named Ayaka Shimada sups air in her accusation of the Prime Minister Jun'ichiro Koizumi.

4. Where do people sup air?

The frequency of air-supping depends heavily on the speech situation, and its close investigations reveal that air-supping is not just a rough breathing but a communicative action. I shall show this in the following three ways.

4.1. Air-supping likes formal deliberate speech.

If air-supping were no more than a rough breathing, it would be expected that air-supping is more likely to occur in casual speech rather than in formal deliberate speech uttered phrase by phrase. But this expectation turns out to be false.

Of course people sometimes sup air in casual speech. See (2) for example.

(2) Female: a, demo kyoomu it-te   "yon maru kyuu-no kagi"-tte i-ttara
          oh but office go-and   409 - GEN   key-QUOT say-COND
        "Oh, but, if we go to the office and ask them for the Room 409's key,"
    Male: un
        uh
        "Uh."
    Female: mi-ren-no   futsuuni?
          watch-possible-Q with no problem
          "we can watch it with no problem?"
    Male: [sssss] to   omou-kedo-na.
        [AS] QUOT think-CONJ-emotive
        "[sssss] I think so."

The excerpt (2) is elicited from recordings of Japanese natural conversation.[2] In this excerpt the male speaker of (2) sups air while examining whether they can watch TV in the room 409 with no problem only if they borrow the key from the office, which was asked to him by the female speaker. This type of air-supping looks like fillers such as "let me see" and "um".

However, air-supping occurs much more frequently in formal deliberate speech. Many people who seldom sup air in private conversations suddenly become a heavy user of air-supping at official meetings, as is exemplified in (3):

(3) deetoo-no   kooji kikan-nitsukimashite-wa [sssss]
  building D-GEN construction period-about-TOP [AS]

  soo'on-ga   deru- to   [sssss], jugyoo-ni   shishoo-ga
  noise-NOM occur-if   [AS]   lesson-LOC trouble-NOM

  aru-toiukoto-desukara [sssss] , natsuyasumi-ni-desunee, ..
  exist-HEARSAY-since [AS]   summervacation-LOC-emotive

  "As for the construction period of the Building D [sssss], they say if big noises occur accompanied with the construction [sssss] it will make trouble to lessons [sssss], so in summer vacation, ..."

Similar examples can be found in public comments by politicians, like (4).

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[2] Both of the speakers were university students and about 20 years old at the time of recording (i.e. Autumn, 2004). They were paid as native informants of Japanese communication for collecting natural conversation. The same thing can be said for the examples(6) and (7).

(4) Katsuya Okada: mattaku sono   kanoosei-wa   naimonoda-toiufuuni
                      at all   that   possibility-TOP not exist-QUOT
                    rikaishi-teorimashi-ta-ga   [sssss] itsunomanika,
                    understand-PROGRESSIVE-PAST-but [AS]   somehow

                    kouiukotoni   narimashi-ta. [sssss]
                    this way   become-has en [AS]

                    "I never dreamt of that possibility but, [sssss], it has
                      somehow been realized [sssss]."[from TV program
                                          Houdou 2001, Kansai TV, 2004.5.30th]

Here Katsuya Okada, new leader of the Democratic Party of Japan at that time, sups air twice in his short comment at the press conference.

This tendency of occurrence requires us to regard air-supping as a communicative behavior, rather than as a mere rough breathing.

4.2. Air-supping hates ritual speech.

The observation on the frequency of air-supping we have just made needs some slight modifications. That is to say, we should admit two provisos, one of which is as follows: air-supping is unlikely to occur in ritual speech however formal and deliberate it might be. By "ritual speech", I mean here a speech which is not communicative, not directed toward the other attendance to the ceremony.

For example, let us think of Shinto priest's words of praying (*norito*, in Japanese). We can say it is ritual, since it is words dedicated to God, not directed toward attendant people. And what is important is that the priest cannot sup air while praying, even if he forgets what to utter next. Thus the following example (5a) is natural as a reporting utterance to God of Ichiro's making a child with Hanako, while (5b) is unnatural, even if the priest forgets the name of Ichiro's wife (i.e. "Hanako").

(5) a.   ichiroo-waaa, hanako-tooo isshi-ooo   nashiiii,...
          Ichiro-TOP   Hanako-COM one child-ACC make
        "Ichiro made a child with Hanako, and..."

 b.?? ichiroo-waaa, [sssss] hanako-tooo isshi-ooo   nashiiii,...
      Ichiro-TOP   [AS]   Hanako-COM one child-ACC make

This reminds us of fillers, which dislike ritual speech, as is exemplified in (5c) below.

(5) c.?? ichiroo-waaa, eee, hanako-tooo isshi-ooo   nashiiii,...
          Ichiro-TOP   eee Hanako-COM one child-ACC make

The unnaturalness of (5c) can be understood in the following way: Fillers are not just meaningless noises but are inherently communicative actions, which requires them to occur only in communicative speech, not in ritual speech (cf. Sadanobu (2005)). The non-occurence of air-supping shown in (5b) tells us that we should take air-supping in the same way as fillers.

4.3. Only participants who are likely to speak can sup air.

Another proviso to the general tendency of air-supping's preferring formal and deliberate speech is deeply concerned with the dynamic aspect of conversation. Even in a formal, deliberate and non-ritual conversation, all participants are not equally allowed to sup air. Only participants who are likely to speak can sup air. Note here that the notion of "participants who are likely to speak something" is not so simple. It includes not only (i) "incumbent speakers" who are in the midst of speech, but also (ii) "applicants" who intend and are about to speak from now on, and even (iii) "evaders" who are expected to be "applicants" but actually have no intention to speak. Below I shall introduce them respectively with examples.

The first example is of air-supping by an incumbent speaker. See (6) below.

(6) nanka,   eigo-gurai-yattara   ma   ikeru-kanaa-toiu
    FILLER English-sort of-if EMOTIVE ok-INTERROGATIVE-QUOT

    ki-wa   shinakumonai-desu-kedooo,   nakanaka koo,
    feeling-TOP feel kind of -COPULA-CONJ   FILLER FILLER

    [inhaling] nnnn   hontooni hatashite ikeru-kana-to[laughter] iu
               FILLER   really   really   ok-INTERROGATIVE-QUOT

    nanka [inhaling] huan-gane   dooshitemo, [sssss] arutoiuka ...
    FILLER   anxiety-NOM-EMOTIVE somewhere [AS]   exist-sort of

    "If it is an English-speaking country, I have some confidence that I can go there
    and study with no problem, but at the same time I have anxiety that [ssss] I really
    can do it."

In a conversation with a senior student who has studied in Germany, the speaker reveals his swinging mind from confidence to anxiety, during which happens an air-supping. Since it is located in the midst of a single continuous speech and there seem no indication of speakers-shift, we can say that they are instances of air-supping by incumbent speaker.

Now let us see the next example (7).

(7) A: yappa   shindai-ni   kuru-no-ga   oosaka-no
       after all   Kobe Univ.-LOC come-NOMINALIZER-NOM   Osaka-GEN

       hito-ga   ooi-kara-kana?
       people-NOM   many-CONJ-INTERROGATIVE

    B: [sssss] soo-nan-kanaa.   demo nanka oosaka-ben-to
       [AS] so-COPULA-INTERROGATIVE but FILLER Osaka-dialect and
         koobe-ben-no   chi,   nee   nanka   hanashiteruno
         Kobe-dialect-GEN differ EMOTIVE FILLER speaking

       kiitetemo   yoku   wakannnai…
       listening to well   don't understand

A: "This is because most students of Kobe University are from Osaka, isn't it?"
B: "Oh, I am not sure about that. But I don't know the difference between Osaka dialect and Kobe dialect quite well."

This is a conversation between two students of Kobe University. The male speaker A is from Okayama prefecture, and what he is talking about is his recent experience of being mistaken as someone from Osaka by the children he was teaching. He guesses that this happened because most students of Kobe University are from Osaka and confirms this idea to the female speaker B. In replying to A, the speaker B leans her body apart from A and responds negatively that she is not sure of it. At the beginning of her speech, air-supping happens. During A's narrative, B speaks nothing except some back-channels, and she keeps completely silent for the last five seconds immediately before air-supping. These facts indicate that (7) is an example of air-supping conducted by applicants who intend and are about to speak from now on.

For air-supping by evaders who are expected to be applicants but have no intention to speak, I shall raise one example ((8), henceforth) from my own experience, which I think might be shared among many Japanese teachers.

The example (8) often happens when I ask students (male students, especially) "Did you do your homework?" in the classroom and they did not. Since they are asked by their teacher, they are expected to be applicants. But they say nothing, because they have no intention to speak. Instead, they just touch their head with their hand with faint smile on their face, and sup air. By doing so, they apologize that they forgot to do their homework. And note here that air-supping differs crucially from fillers in this case. If students uttered fillers such as "eeto" and "anoo", it would mean that they have something to speak, so I would keep waiting until they replied to my question. This is not what they want me to do at all. They want me to forget this question and shift topic to another one quickly.

Air-supping by evaders can be found also in Beijing Chinese, whereas it does not exist in English. This difference between languages looks troublesome in the classroom of English by a teacher from English-speaking country. S/he often drives his/her students into a corner without noticing it, by waiting for words after air-supping.

4.4. Summary

As is shown above, air-supping likes formal deliberate speech (4.1), hates ritual speech (4.2), and is deeply concerned with conversation dynamics in that it is conducted only by participants who are likely to speak (4.3). These all indicate that air-supping is not just a rough breathing but a communicative action. In the course of observation, we also see that air-supping is not identical with fillers (4.3). So, what is the communicative meaning of air-supping?

5. What does air-supping mean?

As described in 4.1, air-supping appears in casual situations like (2), (6), and (7). In these examples, air-supping seems to be conducted to reveal that the speaker is temporally retreating from conversation to think. This observation is

6. Concluding remarks

This paper described the basic characteristics of one type of ingressive hiss (tentatively called air-supping) in Japanese daily life. Throughout observation by using audio-visual recordings as well as introspection, I discussed the following three points: Firstly, air-supping can be observed much more widely than native speakers tend to declare. Secondly, air-supping is not just a rough breathing but a communicative action. This is because the frequency of air-supping depends heavily on the speech situation. To be concrete, air-supping likes formal deliberate speech, hates ritual speech, and is conducted only by participants who are likely to speak. Thirdly, the meaning of air-supping can be thought as a "withdrawal" from a public conversation space. When a Japanese speaker sups air in communication, s/he withdraws himself/herself from a public conversation space to a private space. Air-supping behaves differently in accordance with the speaker's motivation of withdrawal: (i) Air-supping behaves like fillers when the speaker withdraws to concentrate on the mental process within his/her own mind; (ii) Air-supping makes the speaker's action more polite when the withdrawal is caused by the feeling of *kyooshuku* (ashamedness and embarrassment); (iii) Air-supping looks like hedges when the speaker withdraws in order to separate himself/herself from the content s/he has just said.

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METEOROLOGICAL AND CHRONOLOGICAL EXPRESSIONS IN JAPANESE AND SOME OTHER LANGUAGES

AKIO OGAWA[*]

ZUSAMMENFASSUNG. *Meteorologische und choronologische Ausdrücke im Japanischen und einigen anderen Sprachen***.** In diesem Aufsatz werden meteorologische und chronologische Ausdrücke aus sprachtypologischer Perspektive behandelt. Zunächst wird sprachenübergreifend gezeigt, dass sie sich durch ihre Idiosynkrasie gegenüber "normalen" Subjekt-Prädikat-Sätzen auszeichnen. Im Mittelpunkt der Diskussion steht das Japanische. Ein anschließender Vergleich mit einigen europäischen Sprachen wie dem Englischen, dem Deutschen und dem Russischen bestätigt einerseits sprachenuniversale Eigenschaften von Meteo- sowie Chrono-Sätze. Andererseits macht er sprachspezifische Züge deutlich, die jedoch auf einer gemeinsamen Skala parametrisierbar beschaffen sind und damit einen Fall der "implicational universals" exemplifizieren.

1. Preliminary remarks

It is well known that meteorological and chronological expressions behave idiosyncratically in a number of languages. Some European languages employ so-called expletive subjects[1] such as *it* in English, *es* in German, *il* in French and so on. Other languages in Europe make no use of such expletive subject overtly, because they are "pro-drop" languages to which most of the Romance languages, i.e. Italian, Spanish, Romanian etc. belong.

These languages, however, can all be roughly generalized as "subject prominent languages" (Li 1976). The postulate on to subject is inevitable in the strong sense here. In English and in French for example we cannot find any sentence that would have no subject.[2] Even if the subject postulate (in non pro-drop languages) is avoided, verbal congruence remains. German for instance marginally shows subjectless constructions

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[1] "Expletivum" originally means "completion", in the sense of "to make the sentence formally whole".

[2] Except imperative and exclamative sentences.

such as "impersonal passive" (*Heute wird getanzt*: literally "today is danced")[3] and some physiological predicates (*Mir ist kalt*: "me-DAT is cold"), but the verb agreement occurs with the form of third person singular. Pro-drop languages amply use their congruence system to be able to identify what "person" as subject is in charge. For meteorological and chronological expressions the third person singular (and additionally neutral gender in some languages) is the case.

Japanese, on the other hand, is a "topic prominent language". As for meteorological, but to less extent chronological predicates the topic tends to be omitted or unrealized. As far as the topic is one of the essential components in a "situation-focused" (Hinds 1985) language, it becomes plausible that meteorological and chronological events take place in "situations" that speaker and hearer can presuppose even without any context previously uttered .

In the present investigation[4] I will first show and analyze data of meteorological and chronological predicates in Japanese. Secondly, some characteristics of meteorological and chronological sentences that are relevant from a typological point of view will be discussed. Besides Japanese, English, German and Russian will be mainly exemplified. Through the analysis, it will become apparent that a kind of universal hierarchy in meteo- and chrono-predicates can be assumed, because they share plenty of features cross-linguistically: these are precisely the features which differ from those of "normal" subject-predicate constructions, therefore making the meteo- and chrono-expressions appear correspondingly idiosyncratic.[5]

2. Meteorological and chronological expressions in Japanese

In Japanese, both full-subject sentences and subjectless ones are possible for denoting meteorological or chronological events or states.

2.1 Full-subject sentence

Japanese does not make use of expletive elements. Meteo-predicates do not have a dummy subject, but can employ a semantically full one, such as:

(1) a. Ame-ga furu.
   rain-NOM fall
   "It rains."
 b. Yuki-ga furu.
   snow-NOM fall
   "It snows."

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[3] For impersonal constructions with special reference to German and Japanese see Ogawa (2002) and (2005a).
[4] This article partly overlaps with my previous work "Meteo-Prädikate im Sprachenvergleich: Eine typologische Studie" (*Neue Beiträge zur Germanistik* 4/2 München: iudicium 2005).
[5] Bolinger (1977) argues that meteorological events imply an "ambience" encoded by *it* in English. This claim would lead to the assumption that *it* does not actually denote nothing, i.e. this is one of "normal" subject-predicate constructions, albeit not typical. According to the strict definition of "impersonal" constructions, the subject has merely a semantically dummy function, with no regard to its overt or covert realization (Bußmann 1990). Although the dummy character and that of ambience contradict each other, it can be argued that a zero or zero-like element plays a role in meteorological or chronological expressions.

 c. Kaminari-ga naru.
  thunder-NOM sound
  "It thunders."
 d. Inabikari-ga hikaru.
  lightning-NOM flash
  „It lightens"

The same is the case for predicates that express seasonal transitions :

(2) a. Haru-ga ki-ta/(sugi)sa-tta/owa-tta.
  spring-NOM come-PAST/go away-PAST/end-PAST
  "Spring has come/gone away/ended."
 b. Natsu-ga ki-ta/(sugi)sa-tta/owa-tta.
  summer-NOM come-PAST/go away-PAST/end-PAST
  "Summer has come/gone away/ended."
 c. Aki-ga ki-ta/(sugi)sa-tta/owa-tta.
  autumn-NOM come-PAST/go away-PAST/end-PAST
  "Autumn has come/gone away/ended."
 d. Fuyu-ga ki-ta/(sugi)sa-tta/owa-tta.
  winter-NOM come-PAST/go away-PAST/end-PAST
  "Winter has come/gone away/ended."

Chronological events too can use the same sentence pattern:

(3) a. Oshoogatsu-ga ki-ta / owa-tta.
  New Year-NOM come-PAST/end-PAST
  "New Year has come / ended."
 b. Obon-ga ki-ta / owa-tta.
  ceremonial holidays for ancestors-NOM come-PAST/end-PAST
  "Ancestor Holidays have come / ended."

        Comparing the examples cited above to each other, it turns out that some subjects allow all the three verbs *kuru* (come), *sugisaru* (go away) and *owaru* (end), while others, however, optimally allow either only two of them – *kuru* and *owaru* –, or only the verb *owaru*.[6] *Natsu* (summer) or *fuyu* (winter) for instance can "come" and "go away", while *aki* (autumn) cannot be so adequately predicated by the same verbs. The verb *owaru* (end) is well-formed with all the four seasons. The reason why autumn shows these selectional restrictions seems to be its lower degree of "salience". The other three seasons are more clearly traced because of their distinctive characters: spring with its warming or blossoming, summer with its hotness and long days, and winter with its coldness, darkness and eventual snowing[7]. Located between summer and winter, autumn is considered as least salient.[8]

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[6] The counterpart to *owaru*, i.e. *hajimaru* (begin), is also available, but does not result in perfectly natural sentences. The reason seems to lie in that *owaru* can be related more to a gradually advancing change. *Hajimaru* rather expresses an abruptly occurring event and consequently does not fit for a seasonal or chronological transition.

[7] Each can be determined only cumulatively through a set of various features. This is, however, more or less the case with all nouns, i.e. even with typical entity nouns such as "desk", "dog" etc.

Salience is tightly connected with the degree or extent to which the noun in question can be conceptualized as an entity. Meteorological and chronological nouns are apparently not of high degree in this respect. Among them, differences can nevertheless be attested. We will analyze more data in terms of this framework.

2.2 Subjectles sentence

Topic prominent languages such as Japanese tend to prefer subjectless sentences, as far as the topic in charge is contextually reconstructable. In this respect, a large number of meteorological or chronological predicates can or must be subjectless. This is because the "ambience" (Bolinger 1977) might easily be presupposed in general. Let us begin with meteorological sentences such as:

(4) a. Ame-ni naru.
  rain-to become
  "It gets raining."
 b. Yuki-ni naru.
  snow-to become
  "It gets snowing."

Naru expresses a change of state. The example (4a) implies a transition from rainless weather to rainy one, and the example (4b) transition from snowless, especially rainy weather to snowy one. Because thunder or lightning do not have such an implication, i.e. that of a pre-existing state, this sentence pattern is not applicable :

(5) a. *Kaminari-ni naru.[9]
  thunder-to become
  "It gets thundering."
 b. *Inabikari-ni naru.
   Lightning-to become
   "It gets lightning."

For seasonal predicates the construction with -*meku* as suffix is possible, albeit a little bit archaic, as in:

(6) a. Haru-meku.
  spring-be getting
  "It is getting spring."
 b. Aki-meku.
  autumn-be getting
  "It is getting autumn."

This type of predicate, however, can be employed for summer and winter to a considerably lesser degree. In this case too it seems that an important role is played by the extent to which each season is considered as a unit distinctively traceable in itself. To

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[8] It is plausible that the most salient season can be used for counting the years, as we find "summer" also for the meaning of "year" in Russian.

[9] This *naru* and the *naru* in example (1c) are entirely different verbs. They also differ in their prosodic features.

be salient or to have an entity character results negatively here: The more a season is salient and represents an entity character, the less it can be predicated by means of –m*eku*, which encodes unsegmented, opaque atmospheres, felt as changing gradually.

Not a change of state, but the state itself can be expressed by means of –*da* (equalized to "be" in some sense) which functions as an assertion. For that there is no restriction to either meteorological or chronological expressions:

(7) a. Ame-da / Yuki-da / Kaminari-da / Inabikari-da.
  rain-be / snow-be / thunder-be / lightening-be
  "It rains. / It snows. / It thunders. / It lightens."
 b. Haru-da / Natsu-da / Aki-da/Fuyu-da.
  spring-be / summer-be / autumn-be / winter-be
  "It is spring / summer / autumn / winter."

It must again be noted that these sentences are subjectless. The nouns to which –*da* is attached are not subjects, but are each integrated into their predicate. The presupposed topic is considered to be a situation or ambience, as mentioned above, so that we can paraphrase, for instance: "The situation is rain, snow or spring, summer" etc., though such paraphrasing is unusual, just because the topic in charge is obvious. In case of mentioning a topic as subject, -*da* is suffixed to the predicate noun, as in "Taroo-wa byooki-da" (Taroo-TOP sickness-be: "Taroo is sick"), which shows, albeit indirectly, that the nouns in the expressions (7) are not subjects.[10]

Compared to meteorological expressions, chronological ones display a more pronounced tendency to require a subject or topic overtly realized, as exemplified here:

(8) a. ??Kugatsu-juuichinichi-da-tta.
   September-eleventh day-be-PAST
   "It was the eleventh of September."
 b. Sore-wa kugatsu-juuichinichi-datta.
   it-TOP September-eleventh day-be-PAST
   "It was the eleventh of September."

(9) a. ??Musuko-no tanjoobi-da.
  My son-GEN birthday-be
  "It is my son's birthday."
 b. Kyoo-wa musuko-no tanjoobi-da.
   today my son-GEN birthday-be
   "Today is my son's birthday."

Chronological statements with the copula-like -*da* more strongly make a "reference point" neccesary, which is represented as X in the sentence type "X is Y". Meteorological statements can lack X, as we have seen in (7). I will further discuss this difference in the context of language typology in section 3.

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[10] The subject can function not only as topic, but also as comment, if –*ga* is attached instead of –*wa*. The sentence "Taroo-ga byouki-da" ("It is Taro who is sick") is therefore a typical answer for the question "Who is sick?".

3.   Typological comparison of meteorological and chronological expressions

In this section I will first examine meteorological sentences, focusing on their typological comparison. Some universal features which Japanese shares with other languages will be discussed.

Typologically, the variations of meteorological expressions consist of:

i) semantically full subject + formal or zero-like verb or predicate:
   Dozhdji idjot ("rain goes": Russian), *Xià yu* ("falls rain": Chinese), *Yuki-ga furu* ("snow falls": Japanese) etc.

ii) zero or zero-like subject + semantically full verb or predicate:
   It rains (English with expletive subject), *Es schneit.* ("it snows": German with expletive subject), *Piove.* ("rains": Italian as pro-drop language), *Plouă* ("rains": Romanian as pro-drop language), *Ame-da* ("be-rain": Japanese) etc.

iii) semantically full subject + semantically full verb or predicate:
   Grom gremit ("thunder thunders": Russian), *Sniegs snieg* ("snow snows":Latvian), *Kaminari-ga naru* ("God's sound sounds, thunder thunders": Japanese) etc.

The semantics of a meteorological event is expressed through either the subject alone, or the verb alone, or both – pleonastically, so to speak. We can call type i) "nouny construction", ii) "verby construction" and iii) "cognate construction".[11]

These idiosyncratic characters of meteorological expressions are reflected in a number of claims, for example, that the noun-verb-opposition is neutralized (Martinet 1950). Already Egger (1856) speaks of a kind of "conjugated nouns". For Miklosch (1870) the notion of subject and that of action are one and the same. Siebs (1910) regards meteorological expressions as "verbal substantives", and so on.

As long as meteorological predicates express a unitary, inseparable event as itself, an event for which no referential participant would come into question, it is plausible that they allow various kinds of emphasis strategies. Let us examine some data in this respect.

We find data in German, for instance, in which an expletive subject can alternate with another subject, although it is generally claimed that the expletive subject of a meteorological sentence could not commute with another (Engel/Schumacher: 1978, Helbig/Schenkel 1969). Here are some counter-examples to this claim:

(10) a. Das hat vielleicht geregnet!
   that has amazingly rained
   "How rained it has!"
 b. War das aber kalt an dem Tag!
   was that however cold on the day
   "How cold it was on the day!"

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[11] "Cognate construction" – in imitation of 'cognate object' in predicates such as "dance a dance" or "sing a song".

The commutation, however, occurs only with *das* (that). This demonstrative pronoun can be considered as a strengthening form for *es* (it). *Es* itself cannot be stressed, partly because of its prosodic restrictions. If we use *das* in meteorological sentences, the emphasis of *es* leads to the emphasis of the event expressed by the sentence as a whole, and not the emphasis of any entity or anything referred to.

As assumed, meteo-predicates represent an event self-completed, not to be divided. We can thus expect that, for the emphasis of such an event, not only one, but a number of prosodic strategies are available. This actually is the case:

(11) a. Dás hat vielleicht geregnet!
  that has amazingly rained
  "It has rained so amazingly!"
  b. Es hat vielleicht gerégnet!
  it has amazingly rained
  "It has rained amazingly."
  c. Es hát vielleicht geregnet!
   it has amazing rained
   "It really has rained so much."

Besides the example (11a) already mentioned, there are two more. In (11b) the accent lies on the semantically full verb *regnen* (rain) itself, which is applicable not only for meteorological verbs but also verbs in general. Example (11c) shows a so-called "verum-focus", that is, truth- or fact-focused (Höhle 1991/1992, Rosengren 1992). Without going into details here, this means that a sentence verum-focused has the (almost) same pragmatic effect as a sentence rhema-focused. The example (11b) can be regarded as rhema-focused, although no thema, i.e. no topic, is presupposed. The sentence (11c), once again, does not emphasize the perfect tense but the "fact" that it rained so much.

Japanese can also employ various possibilities for emphasizing meteorological events. Here are some examples:

(12) a. Ame-ga sugoku fu-tta.
  rain-NOM tremendously fall-PAST
  "It rained tremendously."
  b. Ame-ga fu-tta, fu-tta!
   rain-NOM fall-PAST fall-PAST
   "It rained and rained."
  c. Sugoi ame-da-tta!
   tremendous rain-be-PAST
   "It rained tremendously."
  d. Mou, ame mo ame!
   oh, rain and rain
   "It rained and rained."

Types (12a) and (12b) are available, in principle, for all kinds of sentences, i.e. they are not restricted to meteorological expressions. Patterns (12c) and (12d), however, show characteristics of meteorological events: emphasizing the noun leads to emphasizing the event in whole.

Next, we should address the question whether the three main sentence types i), ii) and iii) mentioned above are related to each other, and, if so, in what manner. I tentatively propose the following scale:

(13) verby construction – cognate construction – nouny construction

This scale is based on the principle: The more a meteorological event represents a salient, substantial, entity-like element, the more its expression is nouny; the less a meteorological event represents a salient, substantial, entity-like element, the more the expression is verby[12]. Cognate constructions are located between them on the scale.

The scale (13) is of a relative and continuous nature. That is, not all languages use these three construction types, some might employ two of them, some even only one. But there would be no language in which a more entity-containing meteo-event would be encoded as a verby construction and a less entity-holding event, on the contrary, as a nouny construction. Let us see some data substantiating this claim in the tabular forms below.

We shall turn to English first, so as to clarify what expressions should be compared with one another, including for the other languages subsequently presented.

(14) <u>verby construction</u> <u>cognate construction</u> <u>nouny construction</u>
    It gets dark
    It thunders
    It lightens
    It rains
    It snows

In English all the expressions here selected are verby constructions with dummy subject. Nevertheless we find some nouny counterparts such as "Rain falls" or "There will be rain tomorrow". And that is restricted to entity-like, substantial events, rain or snow namely, but not darkness.[13]

Let us see corresponding data in Japanese:

(15) <u>verby construction</u> <u>cognate construction</u> <u>nouny construction</u>
    Kuraku-naru
                Kaminari-ga naru
                Inabikari-ga hikaru
                              Ame-ga furu
                              Yuki-ga furu

In section 2 we treated constructions with –*da* such as "Ame-da", "Yuki-da" and argued for a predicate noun in each. Although such constructions lack their

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[12] For a typological overview about scales between being nouny and verby see Sasse (2001).
[13] Expressions strongly marked from a stylistic point of view, such as "Darkness comes", are not impossible, as is the case in other languages too. We can disregard them for our argumentation.

subject, contrary to "Ame-ga furu" or "Yuki-ga furu", they are nouny. For "Kuraku-naru", an expression verby par excellence, there is no option with –da.

We further find German and Russian in the same constellation:

(16) <u>verby construction</u> <u>cognate construction</u> <u>nouny construction</u>
      Es wird dunkel
      Es donnert
      Es blitzt
      Es regnet   (Der Regen fällt)
      Es schneit   (Der Schnee fällt)

(17) <u>verby construction</u> <u>cognate construction</u> <u>nouny construction</u>
      Stemmel-o
                        Grom gremit
                                              Molnija blesnula
                                              Dozhdj idjot
                                              Sneg idjot

        German generally makes use of dummy-subject constructions for meteorological events, that is, verby constructions. Also possible, however, are nouny constructions which can apply only for substance-salient phenomena such as "Rain falls" or "Snow falls", not for "it becomes dark", parallel to English. For "lightning" one can say "Der Blitz schlägt ein" (literally "lightning hits in"). This sentence, however, is not equal to "Es blitzt", but means the striking of lightning, i.e. more than the single phenomenon of lightning. In German we do not find cognate constructions per se, but the sentence "Der Wind weht" (the wind blows) is diachronically a relic of them, whereas its verby counterpart "Es weht" (it blows) is also available. The wind is more substantial than darkness, and less so than rain. This fits for a cognate construction.
        In Russian as well the hierarchy assumed above is adhered to. The verby construction "Stemmel-o" (it becomes dark) is a subjecless one with neutral-gender conjugation. Russian in addition can use the general strategy: Uttering only a noun, i.e. without any predicate, leads to existential expressions such as "Dozhdj" (rain) or "Sneg" (snow). This strategy can be considered as nouny construction similar to the Japanese –da construction.[14]
        In closing this section, we shall turn to some contrast among chronological expressions. As we have seen in section 2, the topic can hardly lack in sentences such as:

 (18) a. ??Kugatsu-juuichinichi-da-tta. (=8a)
      September-eleventh day-be-PAST
      "It was the eleventh of September."
      b. Sore-wa kugatsu-juuichinich-datta. (=8b)
      it-TOP September-eleventh day-be-PAST
      "It was the eleventh of September."

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[14] Japanese can also use this utterance pattern consisting of a noun alone, although grammatically the pattern is not so established as compared to existential expressions in Russian.

(19) a. ??Nichiyoobi-da.
      Sunday-be
      "It is Sunday."
      b. Kyoo-wa nichiyoobi-da.
      today-TOP Sunday-be
      "Today is Sunday."

They represent the sentence pattern "X is Y". X is a reference point on the axis of the time coordinate, and the sentence represents an assertion. By contrast, in sentences such as the ones below the topic can lack altogether:

(20) a. Ii tenki-da
     beautiful weather-be
     "It is a beautiful weather."
     b. Kyuukei-da.
     break-be
     "It is a break."

These are existential rather than assertive, being based on the sentence type "Y is (there)". In this respect even a subject prominent language, German for example, shows the difference in exact parallelism to Japanese:

(21) a. weil ?(es) der 11. September war.
     because it the 11. September was
     "because it was the 11. September."
     b. weil ?(es) Sonntag ist (Heidolph et al. 1981:330)
     because it Sunday is
     "because it is Sunday."

(22) a. weil (?es) schönes Wetter ist
     because it beautiful weather is
     "because it is a beautiful weather"
     b. weil (?es) Pause ist
     because it break is
     "because it is a break"

In German the expletive subject *es* (it) is sensitive in its occurrence or non-occurrence, if the sentence in question places this subject not in sentence-initial position, for instance if subordinated such as (21) and (22).[15] In (21) its occurrence makes the sentence more well-formed; in (22), on the contrary, it is the non-occurrence that favours well-formedness. The examples in (21) belong to the sentence pattern "X is Y"; the ones in (22) to "Y is (there)".

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[15] For detailed discussions about *es* in German see Pütz 1986, Seefranz-Montag 1983.

4. Concluding remarks

In this article I attempted to show what characteristics meteorological and chronological expressions possess, with special reference to Japanese. They differ from "normal" subject – predicate sentences in various points. The most relevant is that they denote an event or state in which no individual participates, be it "agent", "patient" or even "theme". The event or state is construed as an inseparable unit. This in turn appears in "verby", "nouny" and "cognate" constructions that have a dummy or dummy-like element respectively: verby ones have dummy or dummy-like nouns; nouny ones dummy or dummy-like verbs; cognate ones are pleonastic in meaning, i.e. either the noun or the verb functions merely as dummy or dummy-like.

Furthermore, the hierarchy "verby construction – cognate construction – nouny construction" points to one of the "implicational universals"[16], which can be formulated in the following way: If a language constructs the phenomenon "rain fall" for example as verby, then the phenomenon "becoming dark" will also also be constructed as verby, not as nouny (English and German show this case). This also implies that "rain fall" can (or must) be expressed as a nouny construction, as we have seen in Japanese and Russian.

Besides the three construction types treated above we find some other noun variations to encode meteorological and chronological events. Latin used the god "Jupiter" as subject for thundering; Arabic employs "world" as subject for some meteorological events, and in Eskimo languages the subject "nature" is in account.[17] We can, however, argue that these too function as dummy or dummy-like, because they are assumed to have become strongly idiomatic and do not commute with any other subject.

Chronological expressions apparently overlap with meteorological ones. On the one hand, expletive subjects, overt or covert, play a role in subject prominent languages, to which type many European languages belong. On the other hand, in topic prominent languages like Japanese, subjectless constructions come into consideration, though chronological sentences display this pattern less than meteorological ones. Chronological expressions more strongly require a reference point overtly realized. They do not have an existential meaning, while a part of meteorological sentences do.

Within and between meteorological and chronological expressions lie boundaries as well as continuums in a complex organization. This issue needs to be clarified in the course of further typological investigations.

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[16] Implicational universals can be summarized as: "If X, then Y". Representative ones are "Number Distinction" (Corbett 2000) and Noun Phrase Accessibility" (Keenan/Comrie 1977).

[17] Lambert (1998) amply offers and precisely discusses such data.

ABBREVIATIONS

NOM: nominative
ACC: accusative
DAT: dative
GEN: genitive
TOP: topic marker
PAST: past tense

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FUNCTIONS OF MODALITY IN KAZUO ISHIGURO'S
THE REMAINS OF THE DAY

ECATERINA POPA[*]

RÉSUMÉ. Fonctions de la modalité dans *The Remains of the Day* par Kazuo Ishiguro. Dans le cadre de la relation modalité et narration à la première personne – nous avons pris en compte les fonctions de la modalité dans le roman de Kazuo Ishiguro, *The Remains of the Day* tout en suivant du point de vue grammatical, le modèle proposé par Halliday. L'interprétation des types de modalité en nous appuyant sur l'analyse textuelle nous a révélé leur rôle dans la construction de l'identité sociale du personnage narrateur, la mise en évidence de la loyauté à l'égard de celui qu'il "sert", et le dévoilement de la capacité/incapacité émotionelle du personnage.

In 1990 the Japanese born and British educated novelist, Kazuo Ishiguro, won the Booker Prize Award for his third novel, *The Remains of the Day*. His two previous novels: *A Pale View of Hills* and *An Artist of the Floating World* had been translated into many languages and had also been shortlisted for other literary awards.

What was it that made *The Remains of the Day* be the winner of the prestigious Booker Prize Award? First of all, it is a genuinely British novel in locale, métier and characters. Secondly, it is a story narrated by a character who has long vanished from the scenery of the British society, a butler of an aristocratic household. Thirdly, it presents, via the memories of the narrator, an important and still prosperous period in the history of Britain, that between the two World Wars, more precisely the twenties and thirties of the 20th century. From this perspective the novel can be read as a novel of nostalgia for the history of a 'great' period and a 'great' history of a nation.

The Remains of the Day opens with a 'Prologue' dated July 1956, when Stevens, the butler at Darlington Hall, is offered the opportunity of taking a journey, while his master, Mr Farraday, will be away in the United States. The expedition in Mr Farraday's Ford takes Stevens to the West Country for 'professional reasons', that of trying to persuade the former housekeeper, Miss Kenton, the now Mrs Benn, to return to Darlington Hall as member of the staff.

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The six-day trip covers a space of more than twenty years, as Stevens indulges in past memories, thus re-creating the events and his own life when the master of Darlington Hall was his lordship, Lord Darlington.

A first person narrative, concentrated on the past, distances both the narrator and the reader from the events Stevens participated in, the crucial events he was witness of and last but not least from his perception of his own life.

This past-oriented narrative, the rendering of memories that dominate and seem to haunt Stevens in explaining himself, in constructing his own identity, in judging Lord Darlington's actions as well as in evaluating his relations with Miss Kenton raise questions with reference to the truthfulness of his statements and his commitment to their truthfulness.

The questions are justified on the one hand by Stevens' insistence on professional perfection and duty, and on erasing any feelings or emotion from his own personal life, and on the other by his manner of telling his story, a manner of speech which is highly tentative, expressed in a "modality-choked language" (Toolan, 1998: 54).

The transfer of modality from the field of linguistics and grammar to the field of literature and the analysis of literary discourse has brought to light linguistic evidence in terms of narrator's reliability, author/narrator and reader co-operation as well as means of illuminating social and power relations.

The range of studies in the field has increased in the last decades of the 20th century involving linguists, discourse analysts and literary critics. From this vantage point we consider it worthwhile to look into the functions of modality in Kazuo Ishiguro's novel.

Modality: Theoretical background

As defined by grammarians, modality refers to the attitude of the speaker towards the propositions he expresses. A traditional classification of modality points to two types: *deontic modality* and *epistemic modality* expressed basically by the modal auxiliaries and modal expressions covering a wide range of concepts, from permission, obligation to possibility and certainty.

But the concept of modality has been enlarged and re-evaluated, and contributions by Lyons (1977), Halliday (1985/1994) in the field of linguistics have been extended to the role of modality in literary discourse, in studies by Fowler (1977), Fairclough (1989), Simpson (1998), Toolan (1998).

Thus Fowler (1977) asserts that there are a range of linguistic constructions which signal the speaker's degree of commitment to the truth of the proposition he utters, and even if it is not marked syntactically by a modal auxiliary or construction, but by a finite form it is still marked by modality in the sense that "the speaker takes upon himself the responsibility of vouchsafing the factuality of what he reports", and subsequently all language is modalised (Fowler, 1977: 44). Within the same frame of thought Lyons (1977) pointed out that categorical assertions express the speaker's strongest possible degree of commitment and in this respect they are not non-modal, they are only epistemically non-modal.

Halliday (1994) links modality to polarity and suggests that between the positive and negative expressed by finite forms, there are choices of degrees of 'indeterminacy' which are expressed by *modality*. Thus modality covers that area of meaning that lies between positive and negative polarity. These degrees of 'indeterminacy' are expressed by modal auxiliaries as well as modal adjuncts, but Halliday (1994: 354-355) adds to these grammatical markers of modality the so-called *metaphors of modality* expressed by verbs of thinking, believing, etc. which with the *I* subject are explicitly *subjective*, while the verbs of seeming as well as modal adjectives (*apparent*, *obvious*, *clear*, etc.) in an *it* + be construction are explicitly *objective*.

Following Halliday's model, Toolan (1998) asserts that a speaker's utterance can be qualified according to four parameters: qualifications of *probability*, *obligation*, *willingness* and *usuality*, which in their turn can be stronger or weaker. By discussing the means of expressing modality, Toolan adds the *evaluative devices* (verbs like *to deplore*, *to welcome*; evaluative adjectives) by which attitude and feelings towards the propositional content of the utterance are expressed.

To further the role of modality in the narrative discourse, Simpson (1993) distinguishes between the two types of modality – deontic and epistemic, but adds to each a subcategory, *boulomaic* to the deontic one, and *perception modality* to the epistemic one. Simpson also distinguishes between commitment to the factuality of propositions explicitly dependent on the speaker's knowledge, expressed by epistemic modal auxiliaries and adjuncts, and commitment dependent or based on some reference to human perception, mostly visual (*it's clear*, *it's obvious*). In his modal approach to the first person narrative, Simpson follows Fowler's model by asserting that this type of narrative is characterized by a foreground modality which makes it highly "subjective" (Simpson, 1993: 39).

Hodge and Kress and Norman Fairclough extend the values of modality to ideology and power.

The modals perform their function, deontic or epistemic, but "they contain a systematic ambiguity about the nature of authority – whether it is based primarily on knowledge or on power" (Hodge & Kress, 1996: 122). They assert that a speaker makes use of modality to protect himself and a modal-loaded speech indicates fear or vulnerability on the part of the speaker.

In keeping with the basic classification of deontic and epistemic modality, Fairclough distinguishes between *relational modality* and *expressive modality*. Fairclough considers that *relational modality* refers more to the way in which the authority of one participant is expressed in relation to the others, while *expressive modality* refers to the "speaker's authority with respect to the truth or probability of a representation of reality" (Fairclough, 1989: 126)

Overview

In analysing the means of expressing modality in *The Remains of the Day* and the functions of modality we will take into consideration the following variables:

a). the grammatical means for conveying modal commitment:
modal auxiliaries, modal adverbs, modal disjuncts, evaluative adverbs and adjectives, modal lexical verbs of asserting, evaluating, thinking, feeling and of perception and finite-form and generic sentences.

b). the basic classification of deontic and epistemic modality will be taken into account with relational and expressive modality.

c). even though modality presupposes some subjectivity in any narrative, we will make the distinction between *subjective modality* combined with the *I* subject and *objective modality* with the impersonal *it* subject.

Hypothesis

At one point in the novel, Miss Kenton asks Stevens: "Why, why do you *always* have to *pretend*?" Does that mean that Miss Kenton perceives Stevens as a man who protects himself from criticism and vulnerability, pretending that he plays one single role and never allows himself to be a human being, and subsequently does not allow himself any error?

We assume that Stevens' modal-loaded language will illuminate our perception of how he constructs himself, how he perceives and evaluates the past reality he refers to and within this, his evaluation of Lord Darlington and last but not least how he acknowledges or not his failure as an emotional human being.

Textual Analysis

Texts A center upon Stevens constructing himself as a butler and the importance of belonging to this profession, epitomized in his question: "What is a great butler?"

In the opening chapter of the novel, as a butler towards the end of his career, Stevens acknowledges having been responsible "for a series of small errors" but eventually he blames them on his faulty design of the staff plan, which triggers his expedition to the West Country to meet Mrs Benn after receiving her letter.

> a). *It seems increasingly likely* that I really will undertake the expedition that has been preoccupying my imagination now for some days. An expedition, I should say, which I *will* undertake alone, in the comfort of Mr Farraday's Ford; an expedition which, as I foresee it, will take me through much of the finest countryside of England to the West Country, and *may* keep me away from Darlington Hall for as much as five or six days. (p.3)

The paragraph opens with a cumulative modal expression, *it seems + likely*, expressing a higher degree of possibility in an explicitly objective modal form. The use of *will* may be interpreted in two ways, as expressing futurity but as well as predicting. It is interesting to note the use of may with the subject *it*, the trip, instead of the subject *I*, which again lends objectivity to the expression. The objective modality may be a clue in interpreting Stevens' position. He does not

have the power nor the authority to decide on his own actions so the degree of uncertainty with reference to what he relates is best expressed by objective modality.

> b). What is a great butler – does he belong to the class?
> The great butlers are great by virtue of their ability to inhabit their professional role and inhabit it to the utmost; they *will not* be shaken out by external events, however surprising, alarming or vexing. They wear their professionalism as a decent gentleman will wear his suit: he *will not* let ruffians or circumstance tear it off him in the public gaze; he *will* discard it when, and only when, he *wills* to do so, and this *will* invariably be when he is entirely alone. It is, as I say, a matter of 'dignity'. (p. 42)

Stevens seems to have been constantly concerned with his profession and perfection in this profession.

The opening sentence, a generic one, is a categorical modal – complete commitment to the truthfulness of the utterance. Stevens feels that as a butler he has the authority to make such value judgments. The interplay between the affirmative and negative *will* emphasizes both lack of willingness to do certain things and volition and determination to achieve dignity.

> c). A 'great' butler *can only be, surely*, one who *can* point to his years of service and say that he has applied his talents to serving a great gentleman – and through the latter, to serving humanity. (p. 117)

The value of ability combined with possibility attributed to the modal auxiliary *can* in association with the modal adverb *surely* in the context of a statement, again, with a generic value, reiterates Stevens' allegiance to his profession.

> d). […] we butlers *should* aspire to serve those great gentlemen who further the cause of humanity (p. 138)
> […] a butler's duty is to provide good service. It is not to meddle in the great affairs of the nation (p. 199)

The two paragraphs have one point in common. The modal *should* in the first paragraph designates obligation, which is translated in the other paragraph in the noun *duty* combined with *to be to* – modal expression in the negative, which indicates interdiction but expressed in an objective modal form.

> e). Let me make clear that when I say the conference of 1923, and that night in particular, constituted a turning point in my professional development, I am speaking very much in terms of my own more humble standards. Even so, if you consider the pressures contingent on me that night, you may not think I delude myself unduly if I go so far as to suggest that I did *perhaps* display, in the face of everything, at least in some modest degree a 'dignity' worthy of someone like Mr Marshall – or come to that, my father. Indeed, why *should I* deny it? For all its sad associations, whenever I recall that evening today, I *find* I do so with a large sense of triumph. (p. 110)

As a conclusive paragraph to what a great butler is and how Stevens associates himself with the great butlers of the time, one may easily notice the finite form sentence: "that night in particular constituted a turning point in my professional development", which suggests his complete commitment to the truthfulness of his statement, but on the other hand the modal adverb *perhaps* weakens the assertion so that some kind of modesty or humility is suggested, though the modality involved in "I find", a mental process verb indicating subjective modality, reiterates Stevens' attitude towards the statement he made about his performance.

The association of generic sentences and objective modal forms with focus on deontic modality points to a voice that impersonates an authority in the profession that has, as its main claim, duty and responsibility in providing good service. The conclusive paragraph helps the reader locate Stevens in Darlington Hall as a great butler of a great household where important events take place.

Texts B.

In his position as a butler Stevens participates in or is witness of the events that take place at Darlington Hall. The pride he takes in being there when the great men of Europe held meetings in Darlington Hall will soon be associated with nostalgia for those great days, although those meetings caused Lord Darlington's disgrace as an English gentleman, but Stevens' loyalty towards Lord Darlington never failed to be proved even if "white lies" were used to protect his lordship.

> a) And there across the hall, behind the very doors upon which my gaze was then resting, within the very room where I had just executed my duties, the most powerful gentlemen of Europe were conferring over the fate of our continent. Who *would doubt* at that moment that I had indeed come as close to the great hub of things as any butler could wish? I *would suppose*, then, that as I stood there pondering the events of the evening – those that had unfolded and those still in the process of doing so – they *appeared to me* a sort of summary of all that I had come to achieve thus far in my life. I *can see* few other explanations for that sense of triumph I came to be uplifted by that night. (p. 227-228)

The modal lexical verb *suppose* associated with the verb *appear* with reference to the events increase the distance between certainty and uncertainty so that Stevens leaves room for the reader to judge the truthfulness of his view on the events. The reliability of his report of the events can be questioned, but one cannot question the amount of dignity Stevens displays in serving his lordship.

> b). Whatever may be said about his lordship these days – and the great majority of it is, as I say, utter nonsense – *I can declare* that he was a truly good man at heart, a gentleman through and through, and one I am today proud to have given my best years of service to. (p. 61)
>
> Whatever complications arose in his lordship's course over subsequent years, I for one *will never doubt* a desire to see "justice in this world" lay at the heart of all his actions. (p. 73)

The centrality of the two paragraphs lies in the two *I* subject modals – *can declare* and *will never doubt* – followed by finite verb clauses which confirm Stevens' commitment to the truthfulness of his loyalty to Lord Darlington.

> c). Indeed, *it seems* to me that my odd conduct *can be* very plausibly explained in terms of my wish to avoid any possibility of hearing any further such nonsense concerning his lordship; that is to say I have chosen to tell white lies in both instances as the simplest means of avoiding unpleasantness. This *does seem* a very plausible explanation the more I think about it; for it is true, nothing vexes me more these days than to hear this sort of nonsense being repeated. Let me say that Lord Darlington was a gentleman of great moral stature – a stature to dwarf most of these persons you will find talking this sort of nonsense about him – and I *will readily vouch* that he remained the same to the last. (p. 126)

In judging those people who "have a lot of foolish things to say about Lord Darlington" Stevens also explains his own conduct in the instances when he denied having worked for Lord Darlington.

The possibility of explaining his own conduct is associated with the objective modal *it seems* and *this seems*, which is definitely expressive and suggests Stevens' lack of control over his statements, but he expresses his unflinching trust in Lord Darlington being a great gentleman to the last in a cumulative expressive modal: *I will readily vouch*…

> d). It is hardly my fault if his lordship's life and work have turned today to look, at best, a sad waste – and it is quite illogical that I *should* feel any regret or shame on my own account. (p. 201)

As if becoming aware of the fact that the past cannot be relived and of the fact that he only "served" and did his best to provide good service, without being a participant in the events, Stevens feels that it is not his obligation to feel guilty or ashamed on his own. The modal reading of the sentence with the putative *should* can be interpreted as Stevens discharging himself of personal obligations.

The dominance of the *I* subject in association with modal verbs and lexical modals over the objective modal expressions point to Stevens' readiness to take upon himself the responsibility for the truthfulness of his statements about Lord Darlington, but not necessarily about the past which is linked to Lord Darlington. It may be argued that by means of modality Stevens dissociates Lord Darlington the man, from Lord Darlington the politician.

Texts C render Stevens' memories of his relationship to Miss Kenton. In establishing personal relations, Stevens seems to be emotionally paralysed by his sense of duty and discipline which has to be the asset of a great and responsible butler.

> a). Our reason for instituting such meetings was simple: we had found that our respective lives were often so busy, several days could go by without our having the opportunity to exchange even the most basic information […]. I *must* reiterate, these meetings were predominantly professional in character […] (p. 147)

The meetings Stevens is talking about are actually evening informal talks over a cup of cocoa between he and Miss Kenton. Stevens' attempt to justify the existence of such meetings is emphasised by the modal *must*, where he takes upon himself the obligation of expressing the nature of these events, which were 'entirely professional'.

b). In thinking about this recently, *it seems possible* that that odd incident the evening Miss Kenton came to my pantry uninvited *may have marked* a crucial turning point. Why it was she came to my pantry *I cannot remember with certainty*. I have a feeling she *may have come bearing* a vase of flowers, […] but then, I *may be getting confused* with the time she attempted the same thing years earlier at the beginning of our acquaintanceship. […] I *might emphasize*, in any case, that notwithstanding our years of good working relations, I had never allowed the situation to slip to one in which a housekeeper was coming and going from my pantry all the day. (p. 164-165)

c). Naturally – and why should I not admit this – I have occasionally wondered to myself how things *might have turned out* in the long run had I not been so determined over the issue of our evening meetings.[…] I only *speculate* over this now because in the light of subsequent events, *it could well be argued* that in making my decision to end those meetings once and for all, I was *perhaps* not entirely aware of the full implications of what I was doing. Indeed, *it might be said* that this small decision of mine constituted something of a key turning point […]. (p. 175)

The two texts, although perhaps too long, bring to light an abundance of modal expressions and devices which all lead to an extremely strong sense of uncertainty concerning the accuracy of his memories and implicitly the truthfulness of his statements. Stevens states his inability to remember things with certainty and subsequently wavers between subjective and objective modality expressions of possibility: *I may be getting confused*; *I was perhaps not entirely aware*; *she may have come*; *it could well be argued; it seems possible*; *it might be said*, etc.

The cumulative force of the modal auxiliaries with modal adverbs and adjectives and lexical modal verbs and the past reference of the predicate conveys not only a stronger degree of vagueness of his language, but also some kind of negative attitude towards his own recollections and opinions.

d). […] it will be my responsibility to determine whether or not Miss Kenton has any interest, now that her marriage, sadly, *appears* to have broken down and she is without a home, in returning to her old post at Darlington Hall. *I may as well say*, here, that having reread her letter again tonight, I *am inclined* to *believe* I *may well have read* more into certain of her lines than perhaps was wise. (p. 180)

As Stevens reports even his meeting with Mrs Benn from a past perspective, the above paragraph suggests that he begins to realise that he/Stevens can or could have been wrong in judging the forthcoming event and its outcome.

The lexical modal *to appear* used as an objective type is counterweighed by the highly subjective epistemic *I* subject + *may* predication combined with two modalised lexical verbs: *to be inclined* and *to believe*, which highlight his measure of uncertainty.

> e). But I could not escape the feeling that what I *was really seeing* was awareness of life: the spark which had once made her such a lively, and at times volatile person, *seemed* now to have gone […]. I *thought* I *glimpsed* something like sadness in her expression. But again, *I may well have been mistaken*. (p. 233)

Remembering the meeting Stevens relies on verbs of perception as *to see* or *to glimpse* which, associated with *to seem* an *to think*, raise questions about his representation of reality. As he cannot assume responsibility or authority to claim truthfulness, Stevens ends by conceding subjectively that there was a possibility of his being mistaken.

Conclusions

The highly modalised language which imbues Stevens' narration displays certain features depending on the experience that he recounts. It is interesting to note how two different types of modality dominate his language, one in relation to Lord Darlington and the other in relation to Miss Kenton. The attitude he takes towards his master is of deference and loyalty up to the very end rendered by categorical statements in which he expresses his belief in what he asserts about Lord Darlington. As a butler, his mission was to 'serve' and dedicate his life to his master, which he consciously and willingly did.

In his relation to Miss Kenton, Stevens seems to have lapses of memory which are expressed in various degrees of possibility, his language being in this respect dominated by expressive and subjective modality. Does he hide his emotional self behind possibilities and probabilities, or is he incapable of emotions and feeling? We will argue that Stevens stifles his emotional life to the benefit of his professional loyalty and that his failure lies in the realisation that at the dusk of his life 'serving' someone else remains for him the only thing to do.

In discussing the multiple facets of modality in the novel, we can also speculate about another question: is the highly modalised language of the narrator a matter of narrative technique or the influence of the Japanese language on the English used by Ishiguro?

According to Simpson (1994), a first person narrative from the point of view of a participating character can display two opposed types of modality. One based on generic sentences, deontic expressions and another one based on epistemic and perception modality. Shifting between these two types of modality, Stevens actually shifts between his professional life and his self, as his professional life is dominated by obligation and his personal life by appearances and 'may-have-beens'.

As to the influence of Japanese, it is a fact that modalised language is an important feature of the language, mostly in expressing ranges between reality and appearance and certainty – possibility. It may well be the case that Kazuo Ishiguro

resorted to a highly modalised language in creating a narrator whose stance between reality and appearance is difficult to fathom and subsequently it remains to the reader to measure the distance between what actually the case was and what it might have been and judge whether Stevens is a reliable or non-reliable narrator.

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IS POETIC TEXT 'HOMOLOGOUS' TO 'LANGUAGE'?
A ROMANIAN – JAPANESE CASE STUDY

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RÉSUMÉ. Le texte poétique est-il «homologue» à la langue? Une étude de cas roumain – japonais. Le but de cette investigation est de débattre l'hypothèse de l'existence d'une homologie sémiotique entre langue, texte et culture, avancée par Yoshihiko Ikegami et amplement illustrée, dans son œuvre, par rapport à l'espace culturel japonais. Son usage de la notion d'homologie pour le couple «langue» – «texte (poétique)» est examinée du point de vue de ses implications théoriques, ainsi que dans la perspective de ses conséquences au niveau de l'analyse textuelle, à partir d'une illustration: un poème roumain qui évoque des éléments appartenant au contexte culturel japonais (*Caligrafie* par Mircea Muthu). Les aspects problématiques identifiés à travers cette analyse trouvent des solutions possibles dans le cadre conceptuel de la *linguistique intégrale* d'Eugenio Coseriu - solutions fondées sur la distinction entre «texte» en tant que couche structurale de la langue fonctionnelle et «texte» en tant que plan autonome de l'activité linguistique. L'argumentation se concentre sur le fait que la question posée dans le titre ne représente pas *une seule* question, mais un ensemble de questions différentes, dont les réponses théoriquement fondées ne peuvent être cherchées qu'après avoir redéfini l'«homologie» même. La redéfinition de cette notion sera effectuée selon les types de mécanismes formatifs spécifiques (i) à chaque domaine de structuration où se situent les créations culturelles «homologues» et (ii) à chaque niveau épistémique de l'approche sur ces créations.

0. Preliminary considerations.

The present paper explores some of the implications of Yoshihiko Ikegami's view on the issue of a possible 'semiotic homology' between the structure of a language, the organization of texts constructed in that language and the in-forming principles at work in other cultural manifestations associated with the linguistic tradition in question. More specifically, what we intend to address in this context is the problem of 'vagueness' in language and text, a notion used by Ikegami to illustrate one pole on the

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axis of "contrasting semiotic orientations", namely the pole prototypically instantiated in Japanese language and discourse[1].

This analysis is part of a wider on-going investigation on the impact of Eugenio Coseriu's «integral linguistics» in Japan[2]. Within this project, points of convergence are sought between integral linguistics and other conceptions on language functioning, elaborated independently, starting either from (partially) similar sources or from different theoretical bases. The relevance of Yoshihiko Ikegami's outlook on language and culture from this perspective was anticipated in Tămâianu 2001a (44, 48-49, 112-113) and 2001b, and outlined in Tămâianu-Morita 2002 (Chapter 5). Although Ikegami seems to place his own linguistic conception broadly under the sign of cognitivism, the actual reinterpretation of certain cognitivist stances through the lens of cultural semiotics, undertaken in his work, provides the axis of epistemological compatibility with integral linguistics[3].

Put briefly, the most significant similarities are to be found in **the view on textuality and sense-construction**, notably in relation to the status of poetic texts and, more widely, to the understanding of cultural creativity by the two linguists. In this area, a fertile conjunction can be effected: on the one hand, integralist tenets can be substantiated through Ikegami's elaborations on Japanese language, texts and culture; on the other hand, Ikegami's theoretical view can be clarified with the aid of fundamental integralist conceptual distinctions.

1. The relationship between 'text' and 'language' in Yoshihiko Ikegami's view.

In Ikegami's work, we have identified two angles under which this relationship is construed.

1.1. One perspective regards **'text' as a functional level of the individual language and poetic text as a maximal manifestation** ("epitomization" or "sublimation") **of the characteristics of that language**. This position results with clarity from Ikegami's view on language typology – both from theoretical stances related to the matter, and from illustrations in the search for typological characteristics of Japanese.

With Ikegami, finding the *type* of a language implies discovering wide-embracing organization principles which justify facts of diverse natures from diverse areas of the language system[4]. For instance, the principle that *Japanese is* "*relatively*

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[1] The inverted commas marking the term 'language' in the title signal the fact that, in *this* formulation, it is used in the rather loose manner characteristic of the (Anglo-)American tradition, without the clear-cut Coserian distinctions between the levels and layers of speech (*Ebenen des Sprachlichen*), which actually constitute the frame of our thought and will be used explicitly in the latter sections.

[2] For the overall coordinates and sub-themes of this project, see Tămâianu-Morita 2002: 22-30.

[3] The specific points of convergence at the level of the foundations are indicated in Tămâianu-Morita 2002: 106-107 and 114-115.

[4] This goal is entirely compatible with the basic idea of the "real" and "integral" typology of languages advocated by Coseriu and illustrated with typological principles for Romance languages, German and Japanese (see especially Coseriu 1968b/1977, 1973/1981, Chapter XII, 1979, 1983, 1987b, 1987/1991). A 'possible' compatibility is put forward by Ikegami himself (1997: 30), albeit in a critical note to Coseriu's view on typology, which Ikegami believes to be anchored exclusively at the level of the structural

underdetermined in its referential function", but "relatively specific in its interpersonal function" (Ikegami 1998: 1901, 1996a) is apt to explain certain aspects of the honorific system, the modalities of reference to the speaker and hearer, the functioning of sentence-final particles[5]. One of the aspects which characterizes Ikegami's approach in contrast to other typological attempts is his constant plea for extending typological analysis up to the level of texts constructed in each language:

> "[...] a language typology based on the characteristic ways in which the text is structured and functions in the language. As one bred in a different cultural tradition from the West, on the one hand, and educated largely in Western academic tradition, on the other, I intuitively feel that languages differ tendentially as to the structural and functional potentialities of the text they produce. [...] *typologically characterizing a language at the textual level* [...]." (Ikegami 1990: 49; italics mine-E.T.)[6]

Along this path of reasoning, Ikegami argues that focus should lie on poetic text in the given language, because it is here that all potentialities of the language are revealed more distinctly than in informative-pragmatic texts ("daily language")[7]:

> "In typologically characterizing a language at the textual level, 'poetic text' deserves to be paid much more attention than it usually receives. [...] I suggest that the poetic use of language epitomizes the textual potentialities of the language and that by examining the language in poetic function we can infer, more unmistakably than if we are just looking at daily language, what are the most essential of the textual potentialities of the language [...]." (Ikegami 1990: 49-50)
>
> "One can in fact think of the haiku poem as the artistic culmination of the potentialities inherent in the Japanese language. […] In fact, it even seems to me quite possible to identify the characteristic features of a language by checking the literary form characteristically developed by the language." (Ikegami 1989b: 394)

Or, even more strongly:

> "In fact, a poetic form like the haiku could not have developed without the kind of general semiotic orientation in the Japanese language and culture that we have been talking about[8]." (Ikegami 1988-1989: 39)

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characteristics of a language, without reaching their underlying "cognitive tendencies" (*ninchitekina keikō*). In reality, however, integralist typology advocates the same search for global explanatory principles, principles that are of a *semantic* nature, and should not be confused with configurations of a neuro-physiological or psychological nature pertaining to man's experience with the empirical world as such. For a detailed discussion, see Tămâianu 2001a: 49-55 and Tămâianu-Morita 2002: 44-50.

[5] See many other examples brought in evidence of the same idea in Ikegami 1996a: 62 and 1998: 1909.

[6] The same position is stated in Ikegami 1980: 92.

[7] It is also important to note that, for Ikegami, the privileged status of poetic text derives not only from the fact that it expresses exponentially the possibilities of an individual language, but also, under a general angle, from the fact that it manifests maximally the very specificity of language as a semiotic system, which the Japanese linguist identifies through the concept of "'rule-changing', or better '*rule-creating*'" semiotic activity (1989b: 393; italics mine-E.T.).

[8] The "blurred" semiotic articulation (see *infra*, **2.2.**).

Thus, *text* is understood as a privileged space of manifestation for the Gestaltung principles of the individual language. In the realm of texts, *poetic texts* are privileged as the space of most poignant manifestation for these principles.

1.2. The second perspective implies **a functional split between (poetic) text/ discourse on the one hand, and language on the other hand, bridged with the aid of the notion of 'homology'.**

In an early study dealing with the possibilities and limitations of the linguistic method in the study of literary texts (Ikegami 1974), we find the explicit statement that a "work of literature" is a "higher order structure", with higer-order signifiants and signifiés, "a structure constituted by something which is itself a structure" [i.e. language] (p. 87). The existence of a higher-order structure is conceded, however, exclusively to artistic texts (p. 98, 104), with the implication that the sense of non-fictional texts can be fully derived from the 'first-order' organization, namely that of the given language. For explaining the relation between language and literary text, the notion of homology is already put forward, *as a working hypothesis*. The roots of homology are to be sought for at the level of conceptual processes[9].

> "[…] both language and a work of literature are structures created by *human brains* and […] therefore some common structural principles will probably be at work in their creation. […] the «structuralist method», whose assumption is that there exists a relation of 'homology' among structural objects of different kinds." (Ikegami 1974: 98; italics mine-E.T.)

These are the exact terms in which the relation between language and culture will be formulated in subsequent studies. To give one example:

> "[…] to admit the essential unity of man is to posit a common anthroposemiotic root that has produced an integrated semiotic whole called culture. This anthroposemiotic root is just another name for the *human mind* […]" (Ikegami 1991b: 9; italics mine-E.T.[10])

It must be stressed that Ikegami himself does not identify such tenets as belonging to a different perspective than those invoked in section **1.1.**. There are instances where an almost imperceptible transition from one view to the other occurs. Such is the following particularized formulation, applied to the issue of 'vagueness' in language and text, with the relation between the two expressed in terms of unmandatory 'tendencies':

> "[…] discourse tends to be vague […] to the extent that the linguistic code (or grammar of the language) in terms of which it is encoded is relatively unspecified (i.e. it does not obligate the speaker of the language to choose between different grammatical forms where the grammars of other languages do […]" (Ikegami 1995: 10)

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[9] An illustration is found in Ikegami 1996b: 97.
[10] This position is already asserted in Ikegami 1985, esp. pp. 218-221.

Although modulated tendentially, we are still within the range of the first view (presented under **1.1.**). The author continues by stressing the non-deterministic nature of the relationship: apart from pragmatic factors such as politeness, "there is nothing which prevents the speakers of a 'vague' language from trying to speak in an unvague way" (Ikegami 1995: 12)[11]. This statement takes us into the range of the second view.

1.3. If we try to unravel the epistemological assumptions underlying these two views, we will find that, *in the terms in which they are stated*, these two understandings are not fully compatible with each other[12].

The first type of relationship, that of *manifestation*, implies situating language, text and poetic text in a continuum of semantic realization. On the other hand, the idea of the higher-order organization of poetic text, at least in the early formulation, implies a split on two distinct levels of semantic realization, with perhaps only non-poetic text kept on the same level with – or in the extension of – language.

Which of the two views does Ikegami favor? The evolution that is apparent from an examinaton of his work in a chronological perspective may create the impression that the former position has been steadily gaining ground – or, at least, gaining in prominence. A closer look, however, is bound to reveal a sort of **blending** of the two views. On the one hand, *text* (including poetic text), fades into *language* and the two terms are often used interchangeably. On the other hand, *at the same time*, poetic species of texts (such as the haiku) are placed in range with other cultural creations which are held to evince a 'homologous' relation to the language in question.

> "[…] this is exactly what one finds *in the Japanese language*. With its highly context-dependent mode of functioning, correlated with greater freedom in suppressing explicit linguistic expression, *the functioning of the Japanese text* in general relies on implicatures to a much greater degree than is usually the case with the Western text." (Ikegami 1989b: 20-21; italics mine-E.T.)
> "The comparatively heavy dependence of a *text* upon context – a marked feature in the *Japanese language* – seems to have a homologous counterpart…" (Ikegami 1988-1989: 35; italics mine-E.T.)

Or, reversely:

> "The Japanese language lends itself as a particularly interesting object for study for *text linguistics*. The reason for this is that it is a highly *context-dependent language*." (Ikegami 1989a: 263; italics mine-E.T.)

'Homology' between language and poetic text, put forward as a working hypothesis in 1974, is now asserted explicitly:

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[11] We cannot help noting here the ambivalent ring that characterizes many of Ikegami's statements: there is nothing to prevent speakers of a 'vague' language from *trying* to speak in an unvague way, but does this mean that they also *succeed* in doing so?

[12] As will be argued further on, several Coserian distinctions seem to be apt to clarify the matter and restore the internal consistency of Ikegami's outlook.

> "On the basis of the thesis of the homologous structure of a specific culture, one can expect a certain homologous relationship between ordinary language and poetic language, and this homologous relationship is quite apparent in Japanese." (Ikegami 1988-1989: 39)

Strictly speaking, what is stated here is a homology between "ordinary language" and "poetic language". The second term is rather unambiguous, as "poetic language" can safely be equated to 'poetic (artistic) *discourse / texts*'. To our mind, however, the first term retains a measure of ambiguity. In Coserian concepts, we would have have to ask ourselves: does "ordinary language" mean *ordinary* (= non-poetic) *texts*, or *individual language* (*Einzelsprache*)? However, we have already seen that Ikegami views the semantics of non-poetic texts as derivable entirely from the Gestaltung of the language. This leads us to the identity of both options[13] and to the conclusion that what is asserted here is the homology between individual language and poetic text constructed in that language.

2. The two «contrasting orientations in language and culture» and the issue of 'vagueness'.

2.1. Taking as an object of analysis texts constructed in Japanese, Ikegami finds one of their most striking characteristics in the fact that:

> "[…] the judgement of recoverability[14] can be very much stretched – going far beyond what is normally the case with the Western languages – since the active participation of the text-receiver is taken for granted." (Ikegami 1989a: 266)[15].

This characteristic is valid both for ordinary speech and for poetic discourse:

> "By Western standards, the Japanese text tends to be underdetermined in its signifying function. [...] One may wonder how the Japanese text can function with such unspecified grammatical features. It is able to function because of the active participation of the text's receiver in the interpretive act. [...] Notice the similarity between the way in which the Japanese text functions (as described above) and the way in which a poetic text functions. In either case, the proper functioning of the text depends on *the maximal willing involvement on the part of the text's receiver*. In fact, *haiku poetry [...] represents an artistically elevated epitomization of what happens with Japanese text on a daily basis*." (Ikegami 1998: 1900-1901; italics mine-E.T.)

It is this feature that Ikegami takes up in order to avoid the vagueness of the notion of 'vagueness' itself, and to narrow it down to a more readily manageable concept, namely the degree of context-dependency of a discourse.

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[13] The paragraphs following this excerpt in the cited study also make it clear that the author is referring to the individual language (specifically, the Japanese language).
[14] i.e. 'recovering' from the "context" what is not expressed linguistically in the text.
[15] See, in the same sense, Ikegami 1995: 10, 1998: 1900-1901, 1909.

> "[…] Japanese discourse does generally seem to function in a relatively high degree of dependence on the context – more so than may seem to be expected in terms of Western standards." (Ikegami 1995: 10)

This entails the need for the interlocutor's active participation in the construction of speech; the speaker designs his speech with the full knowledge that this is what the interlocutor will do.

2.2. Similar or related characteristics are identified in other manifestations of traditional Japanese culture. In order to explain the significant rapport of discursive activity to the wider cultural context in which it unfolds, Ikegami introduces the concept of '**semiotic homology**' between the diverse spheres of culture (1989b, 1996a: 62, 1998: 1899 etc.), where a central role is played by the "**homologization**"[16] between a language and its associated culture:

> "One can find certain features recurring across different areas of Japanese culture[17]. Such features are the focus on complementarity (rather than a focus on contrast), subject-object fusion (rather than subject-object opposition) and the metonymic orientation either in terms of focus on the concrete (rather than focus on the abstract) or in terms of focus on the small (rather than focus on the large). *One has the impression that all these features in culture are prototypically found in the way in which the Japanese language functions.* Think, for example, of the relatively high dependence of the text on the context (with the result that the boundary between the two is blurred) and the active involvement of the text's receiver in the process of making sense of the text (so that the text's receiver duplicates the role of the text producer." (Ikegami 1998: 1909; italics mine-E.T.)

Homological principles therefore appear as "cross-categorial manifestations of something integral at the core of culture" (Ikegami 1989b: 400), "an integrating force of culture" (1988-1989: 38), having its roots, as already mentioned, in the unity of the human mind. Ikegami also points to the need to investigate whether "there are some cultures which are characterized by language-culture homology to a greater degree than others, and if so, what exactly it is that this difference in degree implies" (Ikegami 1989b: 401).

2.3. Drawing on systematic differences identified between Japanese and English on the one hand, and Japanese culture and "Western" culture on the other hand, Ikegami advances the hypothesis of an axis with two poles of contrasting orientations in culture,

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[16] We believe that the dynamic valency of this term is deeply relevant. As far as we know, Ikegami has not yet pursued the dynamic implications announced by this term from a theoretical standpoint (i.e. has not yet fully undertaken a dynamic redefinition of 'homology' itself). The next best thing to such a theoretical proposal is the view that can be retrieved hidden between the lines of the remarkable study on Kurt Singer (Ikegami 2002).

[17] These are illustrated here with various Japanese traditional literary species (of poetry, prose and drama), traditional dance, music, painting. In Ikegami 1989b, principles of homology are attested with regard to: the functioning of Japanese texts, several other forms of artistic creation, the relationship between the individual and the group, the relationship between man and divinity, the relationship between humans and animals, several areas of material culture – Japanese cuisine, house and clothing.

homologous with an axis with two poles of contrasting typological orientations in language, or "ways of linguistic representation". These are detailed and variously illustrated throughout his work[18]:

Maximally clear semiotic articulation ≡ DO-language (ex. English)	Minimally clear (blurred) semiotic articulation ≡ BECOME-language (ex. Japanese)
▪ Orientation towards discreetness (focus on an individuum – *mono*, 'thing')	▪ Orientation towards non-discreetnes (focus on the continuum, on the event as a whole, with individuals submerged in the whole – *koto*, 'fact')
▪ Focus on contrast	▪ Focus on complementarity
▪ Representation of movement as a change in locus Motion: goal-oriented	▪ Representation of movement as a change in state, or transition Transition: process-oriented
▪ Agent highlighted in the scene (higher agentivity)	▪ Agent assimilated in the scene (lower agentivity, de-agentivization of the agent, total effacement of the agent)
▪ Subject – object opposition	▪ Subject – object fusion

For any Westerner acquainted with the Japanese language, with texts written in it and with diverse manifestations of (traditional) Japanese culture, this hypothesis presents a great deal of intuitive appeal.

But then, what does 'homology' *really* entail? Does 'text' *really* parallel language and does culture *really* parallel texts and language according to 'homological' principles? Is a quantitative formulation and a quantitative answer to questions of 'homology', in terms of "degree" or positioning languages / cultures along the axis delineated by these two poles, *really **the** answer*?

In what follows, we will focus exclusively on the issue of the homology between language and (poetic) text, because it is here that the homological correlation should, logically, be at its strongest. As a starting point in this examination, we will turn, first of all, to an example.

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[18] One synthetic presentation will be found in Ikegami 1988-1989. For the two orientations in the domain of linguistic representation, see especially Ikegami 1981, 1991c, 1996a. A schematic comparison is also offered by Ohori (1992: 86). For the cultural manifestation of this axis with two poles, see, among others, 1989b, 1996a: 62, 1998: 1899, 1909.

3. Discussion: the "semiotic orientation" of a Romanian poem.

3.1. We chose for this demonstration a poem by Mircea Muthu entitled *Caligrafie* (*Calligraphy*)[19]. While a number of other Romanian texts may have served the purpose of illustrating the different aspects under which the relationship between language and text needs to be addressed, this particular text is remarkably suitable for the topic under discussion here. It is a text that makes use of diverse strategies for eliciting 'vagueness', playing perhaps upon the evocation[20] of how Japanese discourse functions, and, moreover, a text that refers to recognizable elements of the Japanese cultural context. In the light of the hypothetical homology between text and language, it should, therefore, be relatively easy to re-construct the poem in the substance of the Japanese language. Or perhaps, if we may rephrase in a speculative register and take the hypothesis to its ultimate logical consequences, *it should have been significantly easier for Mircea Muthu to write this poem in Japanese than in Romanian.*

The poem reads:

(1)   *A plecat,   Basho,   de mult*
            Had left,   Basho,   long ago

(2)   *de-a lungul   coastei*:   *o virgulă   în tuş*
            along   the shore: a comma   in ink

(3)   *stingheră   în pătratul   alb   al zilei*;
            lonely   in the square   white   of the day;

(4)   *cărţi   necitite   intră-n   zid*
            books   unread   enter   the wall

(5)   *şi   broasca   sare-n   lacul   fără apă;*
            and the frog   jumps-in   the lake   without water;

(6)   *se scurg legiuni   de   moarte   felinare*
            flow   legions   of   dead   lanterns

(7)   *şi-un   fir   de muşchi,   crescut pe piatră*
            and-a blade of   moss,   grown   on stone

(8)   *se face   pin   ori   spic   de-o zi.*
            becomes   pine tree   or   ear of grain   of-a day.

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[19] The poem is included in the volume *Grafii* (Muthu 2004: 15).

[20] The concept of *evocation* is used here in its Coserian acceptation (see mainly Coseriu 1971/1977: 202, 1981: 68-101, 1987a: 25-29).

 (Long ago, Basho, had left
 along the shore: a comma in [black] ink
 lost in the white frame of the day;
 unread books fade away into the wall
 and the frog jumps into the waterless pond;
 [away] flow legions of dead lanterns
 and a blade of moss, grown on a rock
 turns into pine or one day's ear of grain.)

Several years ago, at the request of the poem's author, we tackled the task of proposing a Japanese translation[21], in cooperation with Tomo Morita. One version of the several we pondered upon is given here for purposes of demonstration, and variants will be discussed for each point raised in the next sections.

 tōi mukashi, Bashō wa kaigansen ni sotte tabi wo shita
 ichinichi no shiroi canvas no naka de no
 kodokuna hitofude.
 yomareteinai shomotsu wa kabe no naka ni tokekomi
 kawazu wa mizu no nai ike ni tobikomu.
 inochi no nai tōrō no tsuwamono-domo wa nagarete-iku
 soshite ishi no ue no koke wa
 matsu no ki to naru ka, ichinichi dake no ho to naru.

The analysis of this text with a view to translation reveals numerous types of textual phenomena relevant to the present discussion, and apt to help us identify the "semiotic orientation" of the poem, or what, in integralist terms, we would call the *orientation of sense-construction processes*[22].

3.2. Discreetness and agentivity.

3.2.1. Our attention is first drawn by the opening sentence of the poem, verses (1) – (3), with two entities in the foreground, designated by the only two nouns which are not placed in subordinate positions: *Basho* and *o virgulă*. Who did the leaving, or, in syntactic terms, which noun is the subject of *a plecat*, and what role can then be assigned to the other entity involved in the scene of the leaving?

Let us begin by showing that the Romanian language can be characterized, in Ikegami's polar model, by "maximal articulation" as regards the syntactic structuring of the subject – predicate relation, which is signified by the procedure of agreement in all shared categories (number and person), clearly visible in the morphology of both words. As a result, however, word order is free, and the subject can systemically precede or follow the predicate, without necessarily entailing any change in discourse

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[21] We are indebted to Mircea Muthu for the details he offered us related to the poem's creation process, in the course of a dicussion occasioned by the translation.
[22] Textual form of the 2nd and 3rd degree as defined in Tămâianu 2001a: 99-111.

emphasis. Therefore, what we have in our text is two morpho-syntactically valid candidates for the subject position, both postposed to the predicate *a plecat*: the proper noun *Basho*, and the common noun *o virgulă*.

If the name *Basho* were not framed by commas, the only possible interpretation would be that Bashō is the one who did the leaving. Then the sequence *o virgulă în tuş / stingheră în pătratul alb al zilei*, syntactically an apposition, would appear to be equated, as a metaphorical description:

(a) to Bashō (Bashō's silhouette [IS] *a comma in black ink...*), or

(b) to the shoreline (the curve of the shoreline [IS] *a comma in black ink...*), or, most probably,

(c) to the whole scene of Bashō's leaving along the shore (Bashō moving along the shore [IS] *a comma in black ink...*). The suppressed instrument of the metaphorical identity relation is graphically marked by the colon.

The proper name, however, *is* framed by commas. This punctuation does not invalidate the syntactic configuration indicated above. On the contrary, the subject is introduced in the sentence through what appears to be, grammatically, an incident (parenthetical) construction, but one which has in fact the role of foregrounding the word *Basho*, precisely by virtue of the pauses in the flow of speech that the commas stand for. This device is rather similar in its effect, I daresay, to the functioning of the Japanese discourse topic. We could approximate the dictum of the sentence as: «a plecat, mă refer la Bashō, de mult de-a lungul coastei», «long ago [he] had left along the shore, and I refer here to Bashō». The role of the segment "o virgulă …" is not affected and allows for the same threefold interpretation as pointed out above.

The orthography of this sequence opens, however, one more avenue of interpretation, radically different from the first. *Basho* can function as a noun in the vocative case (or the exclamatory nominative, identical in its syntactic behaviour with the vocative). The whole text must then be construed as a 'poetic story' addressed directly to Bashō, with Bashō in the role of silent interlocutor to the poetic ego. In this configuration, the subject of *a plecat* is the common noun *o virgulă*, also introduced through an incident construction. Needless to say that this syntactic configuration entails a totally different direction of sense-construction: we are no longer witnessing, from the point of view of a poetic ego–spectator to the scene, a human being (Bashō) moving along a path that equates him to a brush stroke in the frame of the universe, but we are witnessing a poetic ego involved in the story, informing or perhaps warning Bashō that the brush stroke, severed from its creator a long time ago, is pursuing its existence with an independent will of its own, as indeed all true works of arts do.

The crucial point here is that the two fundamentally different overall syntactic configurations *coexist* in the same constitutional segment of the text (materially, the first three lines). There are no overt or covert signs whatsoever to overrule either. Pragmatic and empirical-world constraints do not apply, since we are dealing with a poetic text. This is a phenomenon we have defined elsewhere as a '**synergy**' of configurational schemes (Tămâianu 1990/1992). Syntactic equivocation becomes, at the level of sense

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construction, raw material for the textual strategy of configurational synergy. The fact that the grammatical system of the language in question is, to use Ikegami's term, rather "clearly articulated" is precisely what makes possible **the strategy of ambiguation** in the text[23], because different (even conflicting) idiomatic configurations can be placed in irreducible coexistence at one and the same text-constitutional point, and the dynamics of their clash generates poeticity. Also important is the fact that, in the text under analysis, this is achieved without any spectacular syntactic deviations from the system, without artifice or contorsion of any kind.

3.2.2. How can we maintain the synergy in Japanese translation?

The first problem we face is the fact that typologically Japanese is, in Coseriu's terms, a "*Sprech-Sprache*"[24]. This typological principle means that Japanese takes up "as such" and structures idiomatically the "general determinations of individual speech", in particular the "pragmatic context". Let us stress the significance of this principle. On the one side, concordantly with Ikegami's view, numerous "logical and objective" distinctions that can be established from the context will not be verbalized. On the other hand, however, numerous features that in speech constructed in other languages are left to elocutional and textual components of linguistic knowledge, especially those pertaining to the persons involved in discourse, receive linguistic expression and a peculiar organization at the level of idiomatic knowledge. Under this second aspect, the idiomatic Gestaltung of Japanese is much more finely differentiated and complex than, say, some Western languages (Romanian among them). When speaking Japanese, we find ourselves compelled to operate 'pragmatic' distinctions by choosing between different functional units in semantic domains where Romanian would offer unitary means of expression[25], to be differentiated, when necessary, only by virtue of elocutional and textual knowledge.

One manifestation of this principle is the fact that the discourse topic represents a distinct function in the grammatical system[26]. Consequently, in the translation we have to decide for one or the other of the two synergic syntactic configurations. For the first, a possible version is:

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[23] In a language with 'loose' grammatical structuring, the conflict of configurational schemes would be neutralized or absent from the very beginning.

[24] Functional explanations of various aspects of the Gestaltung of Japanese are given in Coseriu 1979, 1987d, 1989, 1994, 1996. They are finally systematized in Coseriu 2002, from the angle of a global typological characterization of Japanese, relevant for establishing the place of Japanese "among the languages of the world".

[25] E.g. sentence-final particles show the relationship to the interlocutor but also, primarily, the speaker's cognitive evaluation of his own speech, much more diversified than in European languages (what Coseriu terms *signifié ontique* – 1976/1978: 208-209, 1984: 15-21, 23-25, 1989: 43-45). Also, in the domain of cognitive modalization, the system of expressions of 'supposition' and 'appearance' is more complex than in European languages. To be sure, Ikegami does not fail to mention such facts, with examples (e.g. Ikegami 1989a: 269). He does not, however, seem to consider that this is actually the other side of the coin of idiomatic Gestaltung, and that, in view of such phenomena, the characterization of Japanese as a "prototypical" example of language with "blurred" semiotic articulation is called into question.

[26] "[…] the Japanese language thoroughly distinguishes the «topic of the discourse» from the «subject» of the sentence (if the two do not coincide), even down to the size of a single proposition." (Coseriu 1989: 13).

> *Tōi mukashi, Bashō wa kaigansen ni sotte tabi wo shita*
> *ichinichi no shiroi canvas no naka de no*
> *kodokuna hitofude.*

For the second configuration, with Bashō as direct addressee, in Japanese the noun would have to receive a different marking, and word order, at least in verse (1), would also differ:

> *Bashō yo! tōi mukashi, kaigansen ni sotte tabi wo shita,*
> *ichinichi no shiroi canvas no naka de no*
> *kodokuna hitofude.*

Still, in order to keep open the possibility that *hitofude* be the subject of (*tabi wo*) *shita*, postposed either as an afterthought or for emphasis – a phenomenon not uncommon in colloquial Japanese speech –, some sort of punctuation would be needed. The only possibility available in Japanese script, short of a full stop, is the comma. Besides resulting in a rather unnatural discourse flow, such an option sacrifices the syntactically and diaphasically unmarked character of the original. Also, the complexity and relative length of the attributive sequence to *hitofude* adds to the improbability of ascribing the role of subject to this noun.

A third possibility, suggested by the function of the colon in the original, would be to suppress all explicit marking of the noun *Bashō*:

> *Tōi mukashi, Bashō, kaigansen ni sotte tabi wo shita*
> *ichinichi no shiroi canvas no naka de no*
> *kodokuna hitofude.*

Although the text's surface *appears* more vague or indeterminate, we believe we are not mistaken in stating that no actual semantic difference is effected: this structure would almost certainly be interpreted simply as a case of suppression of the topic marker, with Bashō as the agent who did the leaving.

3.2.3. Let us review the general problem raised by the opening segment of the text under analysis: by means of a "clearly articulated" area of the Romanian language, the poet constructs a 'vague' text. More precisely, perhaps: the poet constructs a text that is linguistically 'unvague', even linguistically overdetermined, but … textually 'vague' (!). Because what we have here is not simple 'homonymy' or *ambivalence* of syntactic structure, to be solved by the reader via *a choice* between one structure or another. On the contrary, the Romanian poetic text institutes a genuine *fusion* of essentially different syntactic configurations. In other words, the text creates a new configuration that is neither one, nor the other, but both – hence the deeply moving, almost eerie effect of these three lines.

3.3. Singling out individual entities vs. designational indeterminacy.

3.3.1. Romanian is a "clearly articulated" language in the domain of object identification, discrimination and specification, as the noun possesses the grammatical category of articulation (with the values unarticulated /vs/ articulated, the latter subdivided in: definite /vs/ indefinite).

Out of the nouns that occupy the subject position in the coordinated clauses in verses (4) – (5) and (6) – (7) (*cărţi*, *broasca*, *legiuni*, *un fir*), three are unarticulated or articulated indefinitely, as is to be expected for the first mention of designata in a discourse, but one, *broasca*, is articulated with definite article. Incidentally, let us point out that indefinite articulation would have been perfectly possible without any change in the verse's rhythm: "şi-o broască sare-n lacul fără apă".

The definite articulation of *broasca* (*the frog*), a device of individualization at the level of linguistic (idiomatic) structure, actually disrupts the text's verbal surface, instituting designational indeterminacy. The reader must pause and ask him/herself: "Which frog? There was no mention of any frog in the text up to this moment". No such sense of designational indeterminacy can be induced by a Japanese version, where the lack of the category of articulation implies that *kawazu* can designate *a frog* (an unspecified frog, or frogs) or *the frog* (the particular frog that is already known to the reader). Therefore, the reader of a Japanese version can easily remain in a sequential interpretation (addition of a new designatum to the world of the text, as would be proposed by the Romanian alternative "şi-o broască sare-n lacul fără apă", or the English "and a frog jumps into the waterless lake"). The Romanian original phrasing, however, compels the reader to interrupt the sequential interpretation, to acknowledge the textual 'vagueness', and to seek for disambiguation outside of what is actually said in the text: in the network of evocative relations, here instantiated in the evocation of another text (Bashō's famous "frog" haiku). Even if the concrete individual reader does not know Bashō's haiku, indeed even if he does not know **of** Bashō's haiku, he/she will unfailingly grasp the textual strategy itself. He/she will realize that, at this very point in the textual constitution, there is something more involved than meets the eye. This effect is amplified by the contrasting form of the other nouns in this enummeration, either not articulated (*cărţi*, *legiuni*), or articulated with the indefinite article (*un fir*).

3.3.2. The closest approximation of this distinction, in Japanese, would probably be a discriminating use of postpositions *ga* and *wa*, with *ga*-marking to parallel the Romanian indefinite articulation (*un fir*) and non-articulation (*cărţi*, *legiuni*), and *wa*-marking to parallel the definite articulation (*broasca*). Thus, instead of the version indicated under **3.1.**, we would have:

> *yomareteinai shomotsu <u>ga</u> kabe no naka ni tokekomi*
> *kawazu <u>wa</u> mizu no nai ike ni tobikomu.*
> *inochi no nai tōrō no tsuwamono-domo <u>ga</u> nagarete-iku*
> *soshite ishi no ue no koke <u>ga</u>*
> *matsu no ki to naru ka, ichinichi dake no ho to naru.*

However, this alternation would not necessarily convey the semantic-designational disruption that the Romanian original effects. Rather, in the case of verses 4 – 5, the appearance of *wa* would probably be interpreted as a systemic occurrence for loose discursive contrast, approx. "while some unread books fade away into the wall, a certain frog jumps into the waterless pond". The syntactic assymmetry felt in this pattern, with the two clauses no longer on the same level of importance, would override a hypothetical interpretation in the sense of definite /vs/ indefinite specification.

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3.3.3. The general problem raised by this textual segment is the following: designational indeterminacy (in the text) is created through the device of the systemically unexpected occurrence of a term which is member of a "clear" categorial distinction in the given language. This indeterminacy cannot be easily recreated in Japanese, a language that is in itself, in its systemic structuring, 'vague' in this domain[27].

3.4. Description or narrative? Simultaneity (of a whole) or succession (of parts)?

3.4.1. The predicates of the coordinated sentences in verses (4) – (8) raise another question with utmost relevance for a typological characterization of the text: is the whole poem **a narrative** (i.e. a sequence of individual events occurring in succession) or **a description** (instantaneous construal of a unitary scene)?

The Romanian verb lacks the category of aspect[28]. Therefore, for example, in Romanian, a sentence like "broasca sare-n lacul fără apă" is completely undetermined as to whether the frog is jumping right now, jumps repeatedly or regularly, or jumps 'generally speaking', in an eternal / atemporal present.

Consequently, the second segment of the poem defies categorization through this grid: it is a narrative suspended in a timeless moment, contrasting with the scene of the leaving, which occurred "de mult" (*long ago*), and it is a dynamic description, with four frames changing in simultaneity – a multidimensional landscape, with the last frame warped into the realm of alternative realities.

3.4.2. In principle, in Japanese, as in English, we would have to choose between progressive and non-progressive aspect of the verbs. In order to come as close as possible to the indeterminacy of the Romanian original, we advocate choosing the neutral term in the pair of values, which is the non-progressive. The downside, of course, is that the sense of *immediacy* of the frames, the sense that they are unfolding 'before the eyes' of the poetic ego and the reader, without separation from the act of narration/description, is, then, etiolated, the Japanese (like the English) version conveying rather the impression of a 'general event'.

3.4.3. The point of general relevance raised here is that categories are different in each language, and if one domain of idiomatic structuring is more 'vague' (less determined), then other domains will most probably be more determined. This amounts to stating the obvious: every language will be undetermined as to the categories / functions it lacks and determined as to the categories / functions it possesses. Which categories / functions are to tell us whether that language is closer to the pole of the "clear" articulation or closer to the pole of "blurred" articulation? Quantitative factors will do nothing else but deepen what is, in fact, an aporetic question.

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[27] A thought, here: In our opinion, a conceptual area where internal distinctions are not operated is not 'ambiguous' or 'vague': it is just unitary. If we use the term 'indeterminacy' to describe this situation, then we must be aware that we define 'indeterminacy' not in a negative register, as a 'lack' (of distinctions), but in a positive register, as a 'plus' (of semantic unity).

[28] Instead, the systems of mood and tense display comparatively higher complexity.

3.4.4. A variant of the same type of phenomenon is instantiated in verse (6), in the syntagm adjective – noun "moarte felinare".

Romanian is a "clearly articulated" language as far as the separation of lexico-morphological classes is concerned, inheriting much of the grammar of Latin in this respect. Thus, the adjective is unequivocally identified morpho-syntactically, in that it is the part of speech that possesses the categories of gender, number and case, all in their 'second hypostasis', i.e. assigned by agreement with a noun (or nominal). Syntactically, word order is free, with the anteposition of the qualificative adjective being perceived, in contemporary usage, as marked: 'emphatic' of the property which the adjective designates, in the sense that it highlights that property as one essential to or defining for the entity designated by the noun.

In "legiuni de moarte felinare" (*legions of dead lanterns*), the determiner "moarte" is a qualificative adjective proper[29]. As such, it has no specification of tense, i.e. it is undetermined with respect to temporality. "Moarte" expresses the inherent property of "felinare", with the procedure of agreement in gender, number and case potentiating the relational signification of 'inherence'. The Romanian syntagm "moarte felinare" has no indication whatsoever of when the lanterns "died" (metaphorically). In fact, put more accurately, it has no implication that the lanterns ever "died", in the sense of performing the action of dying. Especially in the emphatic word order, the combination highlights merely *the essential* characteristic of the lanterns, that of being "moarte", and not "vii" (not alive), as if, perhaps, they have always been so.

3.4.5. When we turn to alternatives available in Japanese translation, we realize, first of all, that Japanese offers no adjective with a corresponding lexematic content. If we want to maintain the evocative relation of this textual unit to the verb of 'dying', we have to use the verb itself, *shinu*, and choose between the forms *shindeiru* and *shinda*. Usage of the verb automatically brings into the text the grammatical content of tense (and aspect), and the choice between the two forms is in fact a choice between how the property of "being dead" is conceived under a temporal and aspectual angle. No matter what the choice is, with arguments of nuance to favor one version or the other, the point here is that *any* Japanese translation inserts in the constitution of the text something that is not there in the original. The "clear" lexico-morphological articulation in respect to some categories (e.g. gender, number, case) implicitly involves an equally … "clear" absence of other categories (e.g. tense and aspect) in the same linguistic unit. By virtue of its "clear" properties, this unit is then used in the poetic text in order to institute indeterminacy as to the absent categories. As we are dealing here with grammatical significata, these have a direct bearing on the *relational configuration* of the textual world. The absence of any temporal specification in "moarte felinare" is in harmony with the temporal and aspectual vagueness of the present tense verbs "intră", "sare", "se scurg", "se face" discussed above.

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[29] While belonging to the same lexical family as the verb "a muri", this adjective is diferent from the verb's participle ("murit"), and the participle "murit" cannot function attributively. Cf. the participle "crescut" from "a creşte" (to grow), attribute to "fir (de muşchi)".

In order to parallel the temporal constitution of the textual world, we decided to sacrifice the lexematic relatedness of "moarte" to "a muri", and propose the less temporally marked *inochi no nai*. Again, this solution is not without its downsides. First, and most importantly, it expresses in an *analytical* way what the Romanian original posits as an inherence relation: the noun *inochi* conceptualizes 'life' as a state separate from the entity in which it resides or from which it is absent. Secondly, a syntactic parallelism is created where the original puts forward none (*mizu no nai ike*, *inochi no nai tōrō*). As a result, the Japanese version appears to have a more distinct or discriminating syntactic configuration than the Romanian original.

3.5. Movement and equivocal point of view.

3.5.1. Next, let us turn our attention to the nature of the movements represented in the text and to the point of view from which they are represented.

Take the verb *a plecat* from verse (1). *A pleca* can be predicated about both animate and inanimate entities, but always with the implication that the entity moves by virtue of its own inner / driving force. In the active voice, it can be interpreted designationally as (i) to depart from somewhere, (ii) to leave towards a destination, or (iii) to be in motion between the two points. It is also one of those intransitive verbs which allow for a formal passive with resultative-stative interpretation (*e plecat*, approx. *he is out*). In a strict analysis, therefore, we should say that the signifié of this verb, the unitary idiomatic content which underlies all possible variants in the norm and in discourse, is undetermined as regards the spatial pattern or directionality of the movement.[30]. The semantic area conceptualized by the Romanian word is approximately a unitary «to leave and go». In the poem, of course, what is highlighted is not a punctual act of leaving, but a continuous process of 'leaving': *a plecat de-a lungul coastei* – as if gliding smoothly along the coastline, in evocation of the continuous movement of the brush on paper.

The Japanese version proposed by us (*tabi wo shita*) overdetermines, lexically, the original, in an attempt to convey the continuity of movement. Other variants to consider are: *tabi ni deru*, *tabi ni tatsu*, *tabidatsu*, *tatsu* – but they all focus on the punctual nature of the action, and cannot readily be combined with something like "kaigansen ni sotte", "de-a lungul coastei".

3.5.2. One further question raised by the use of "a plecat" is the position of the poetic ego relative to the scene. Another verb which functions within the same sense unit is "se scurg" from verse (6). We opted, in the Japanese translation, for a more natural *nagarete-iku* instead of just *nagareru*, to emphasize, again, the dynamics of the movement, which is the dominant lexical feature of *se scurg*. The problem, however, is that *nagarete-iku* establishes the movement of the lanterns as one of going away from the vantage point of the poetic ego, whereas "se scurg" is totally indeterminate in this respect.

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[30] A Romanian dictionary gives the explicitation: "a părăsi locul unde se află, a se deplasa dintr-un loc în altul; a porni" ("to leave the place where one is, to move from one place to another; to start [on a journey]") (MDE, s.v. *pleca*).

3.5.3. Conjoined with the vagueness resulting from the configurational synergy presented under **3.2.**, the equivocal point of view generates a textual world where the poetic ego is, to use a famous phrase from Walt Whitman's "Song of Myself" (4:79), "both in and out of the game", drawing the reader's mind into this indeterminacy of perspective that is in total disjunction with anything conceivable in ordinary speech in Romanian, and is yet achieved *without any deviation at all* from the system of the language.

3.6. Nature of the entities involved in the textual world: identity and transmutation.

3.6.1. Our final example regards the status of lexical significata in language and text, and the role they play in defining the 'objects' or entities in the textual world.

A comma is in itself a sign with dual nature: one that marks a pause, a separation, and, simultaneously, a connection. The comma in *this* textual world, "o virgulă" from verse (2), however, is "stingheră", lone and seemingly out of place, a connection of terms that do not exist. Also, "o virgulă" focuses an equivocation of systems of writing, from the figurative (ideografic) system evoked by the title, *Caligrafie*, to the conventional, non-figurative alphabetic writing that the comma actually belongs to. This mutation is potentiated by the geometric evocation of "pătratul alb al zilei".

3.6.2. We could find no satisfactory way to preserve this semantic configuration of the entity "o virgulă" in translation. The denomination of the roughly corresponding sign in Japanese script, *ten*, risks being interpreted literally as "a point", thus losing the very idea of connectedness, while other specifications, like *tōten* or the neologic *komma* / *kamma*, take us into the realm of terminology, in stylistic contradiction to the whole. We therefore opted for a Japanese version restricted to just one (sense-) interpretation of the original, namely «a single brushstroke on white canvas», with full consciousness that the semantic scope of the original was drastically narrowed down and transferred to the domain of the specific.

What was sacrificed here was more than just "a word". The sequence "o virgulă în tuş / stingheră în pătratul alb al zilei" uses 'vague'[31] lexical significata as signifiers for a sense-unit that encompasses the transformations undergone by all textual entities. *Basho*, *o virgulă*, *cărţi*, *broasca*, *felinare*, *un fir de muşchi* all become, imperceptibly, something else in the course of a transition out of the ordinary. Macroscopically they remain the same, what their name names, but a wholistic transformation affects them, so to speak, at sub-atomic level. Words which, in the lexical system of Romanian, are verbs of motion (*a pleca*, *a intra*, *a sări*, *a se scurge*), all come to designate, in the text, *a transmutation* instead of spatial motion.

4. Review of the theoretical questions raised on the basis of the text analysis.

The points of general or theoretical pertinence raised in the course of our text analysis cluster in the following three areas.

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[31] 'Abstract' significata, which conceptualize domains with minimal designational determinations, and, consequently, retain maximal applicability to numerous heterogeneous areas of experience and the empirical world.

(1) The grid of the "contrasting orientations" cannot accurately and fully reflect the overall Gestaltung principles of a language, the global orientation of sense-construction in a text, or, for that matter, the underlying unity of a culture. Thus, for instance, one language does not evince "blurred" or "clear articulation", even along the dimensions displayed in section **2.3.**, *in all of its components and layers of Gestaltung*. Taken at face value, this model engenders the same aporetic implications as the morpho-syntactic typologies[32]. Furthermore, when we come to the organization of lexical contents, clear-cut 'orientations' in the proposed terms can no longer be established.

(2) Some (parts of) texts do indeed make use of the full potentialities of the language in which they are created, in order to construct sense. Conversely, we can also (easily) find cases, like the one chosen for this demonstration, where, in terms of the polar model of the "semiotic orientations", one type of language structuring is used in order to create the opposite type of textual structuring.

Does it suffice to look for a motivation in the register of empirical accident? Is it simply the case that for the given language (e.g. Romanian) there is a low degree of homology between language and poetic text (and/or culture)? How do we then account for the fact that in the same language we have types of artistic texts of the first kind, those that construct sense in continuity with the language type?

(3) Extreme caution must be exerted in using concepts like 'vagueness' or 'semantic indeterminacy'. The impression of 'vagueness' always arises when looking at the facts *from outside* that language / text / culture, through the grid of another idiomatic or cultural Gestaltung[33]. It is in this sense that we interpret Ikegami's recurrent modulation of his characterization of Japanese language or text through the insistence that it derives from the standpoint of a comparison ("by Western standards" etc.). This acknowledgement, however, has an important implication, which may have seemed too bold for the Japanese linguist to spell out: the comparison and any findings that may ensue do not belong to the *technical knowledge* of the speaker himself[34]. It is a comparison from outside the speaking mind, and does not, therefore, constitute an *explanation* for the speaking.

5. Some answers formulated within the framework of integral linguistics.

The conceptual framework of integral linguistics offers significant clarifications in the problematic areas indicated above.

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[32] A detailed discussion is undertaken in Tămâianu 2001a: 49-55.

[33] To make matters worse, some mainstream trends in contemporary linguistics entertain a crudely positivistic version of this stance, holding that there exists a 'universal set' of linguistic features, units, devices, concepts etc., and the larger the attestable inventory of such features etc. in a language, the more tightly articulated (or 'precise') that language is.

[34] For the concept of the knowledge of language as a *technical knowledge* (*cognitio clara distincta inadaequata)*, see esp. Coseriu 1968a/1977: 137 and Coseriu 1988, sections **3.2.** (*Die Sprachkompetenz als intuitives Wissen*) and **3.3.** (*Das sprachliche Wissen als technisches Wissen*).

5.1. Phenomena placed under the broad heading of 'text' must be dissociated under two distinct concepts: 'text' as a layer of the *Einzelsprache* and 'text' as an autonomous *Ebene des Sprachlichen*.

As a structural layer of an *Einzelsprache*[35], like all other layers of idiomatic Gestaltung, 'text' forms the object of idiomatic linguistics (more specifically, of the study of the 'functional language') and bears witness to the semantic specificity of that language[36]. Attesting the existence of a textual layer in the structuring of a given language resides in identifying units, devices and rules specialised for the purpose of text-constitution[37]. Idiomatic knowledge on structuring texts "gehört jeweils zur einzelsprachlichen Grammatik und zur einzelsprachlichen Lexikologie" (Coseriu 1988: 168) and is manifested in two categories of phenomena:

(1) prevailing orientation of certain grammatical or lexical significata towards the realization of certain textual functions[38];

(2) restriction of certain text-constitutional norms through the possibilities of a language[39].

Many of the instances invoked and analysed, for example, in Ikegami 1984, 1989a: 266-270 or 1996a: 65-67 testify, in fact, to these categories of phenomena. They are 'specifically' Japanese in a strong sense: they are part of the idiomatic Gestaltung of this individual language, and although segmental parallelisms or similarities may be found in other languages, their *essence* – i.e. their functional value – is by definition unique to Japanese.

It can consequently be stated that Ikegami's commitment to following the manifestation of typological principles and norms up to the structural layer of the 'text' brings an important contribution to a subdomain of functional linguistics (esp. functional grammar and the 'grammar of *Sprachverwendung*') that is highly deficient even in the present day[40]. It must be stressed, however, that this undertaking does not belong to *text linguistics* proper, but to *idiomatic linguistics*. In it texts are not investigated *as texts*, but *as instances (instantiations) of the given language*.

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[35] The issue is amply discussed and exemplified in Coseriu 1981: 154-176.

[36] In Coseriu 1989, this tenet is in fact is illustrated with an example from Japanese (p. 37).

[37] "grammatische Regeln einer bestimmtern Sprache zum Zweck der Textkonstitution" (Coseriu 1981: 22; for examples, see pp. 12-22)

[38] Coseriu 1981: 17-22, 31-33; 1984: 7-8, 1988: 168-169; 1976/1978: 210-211.

[39] Coseriu 1988: 171-172. As an example of such restrictions, we can bring the case of the textual species haiku. Textual species, as historical traditions, can have no "definitions"; they have only exemplary models. Let us assume that the following pertinent observation summarizes this model for the species haiku: "Grammatically, a 'haiku' piece very often contains only two noun phrases in juxtaposition and thus leaves the semantic relationship between them to be inferred by the reader" (Ikegami 1989a: 265). It is not difficult to see that the only imaginable rational limitation on the haiku species through the characteristics of a language would be imposed by the complete absence of the categorial signifié of 'noun' in that language. Only such a language, which, to our knowledge, has not been discovered yet, would preclude the appearance and evolution of the species 'haiku'.

[40] This observation is reiterated by Coseriu over the span of more than two decades (1973/1981:155-156, 1989: 65-66, Kabatek/Murguía 1997: 158).

The object of text linguistics proper[41] (*Textlinguistik als Linguistik des Sinns*) is 'text' as an autonomous level of speech, the third in Coseriu's famous – yet not always understood – triad of *Ebenen des Sprachlichen*[42]. Text *as text* is defined by its specific content – *sense* – different in nature from significata (idiomatic contents) and designata (elocutional contents) and not determined by them. **The orientation of sense-construction, i.e. text type is, in and by itself, autonomous from the typological principles of the individual language.** Texts can use features of the *Einzelsprache* as raw material, but this is not a relation of extension: it would be a conceptual confusion to state that text 'goes beyond' the *Einzelsprache*. In the text, the structuring of the individiual language is merely used *as a signifier* for the sense, i.e. as one component of textual constitution (*Textkonstitution*). *What is meant* is not merely an extension, enhancement or even "culmination" of *what is said in the given language*; it is also not mere development or explicitation of the implicit. **The two are not situated on the same semantic level.** *What is said* in the given language – including what is implied[43], plus the whole range of elocutional and idiomatic knowledge put to work in order to interpret *what is said* – is nothing more than a *signifiant* for a signifié raised to the power two: textual sense[44].

The oscillation in Ikegami's theoretical positions indicated in section **1.** derives from an intermingling of these two acceptations of 'text' or, in other words, a compression of the two levels – the historical (idiomatic) and the individual (textual) – into a single one. Conversely, both of Ikegami's positions can be ratified, provided they are interpreted in reference to different acceptations of 'text' – which should be distinguished terminologically as well. The integralist proposal, as already anticipated, is: (i) for the first, 'idiomatic procedures for text-constitution'; (ii) for the second, 'text'/'discourse' *tout court*.

5.2. Poetic texts are indeed a maximal manifestation of 'language', but not of 'language' in the sense of *Einzelsprache*: rather, of 'language' in the sense of *lenguaje*, *das Sprachliche*, the linguistic as such.

5.2.1. If we examine only how texts relate to the individual language(s) they employ for sense-construction, we will see that texts – especially poetic texts – bring to life not the reality of a language, but the virtualities of a language: not necessarily what that language really is (in a given historical moment)[45], but all that a language may be or become[46]. Also, poetic texts can bring to life *all that a language will never be*. Texts can construct sense precisely by going against the Gestaltung of the individual language they predominantly employ. Texts constructed in one language

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[41] This field was first delineated in Coseriu 1955-56: 289 and developed in numerous studies. A synthesis can be found in Coseriu 1981: 51-153.

[42] For full bibliographical references, see Tămâianu 2001a: 25-31.

[43] We use the expression "what is implied" in the very precise sense of the signifying gaps in the texts constitution, the "Ausdruckslücke als Ausdrucksverfahren" as defined in Coseriu 1987c.

[44] In technical terms, the principle of the double semiotic articulation in texts (Coseriu 1981: 48-51, 1988: 79).

[45] In Coserian terms, *the norm* of that language.

[46] In Coserian terms, *the system* and *the type* of that language.

can "imitate" the functions, strategies and rules of another language, creating sense precisely by virtue of the evocation of this other language. Not all that we find in texts – poetic texts above all – can be attributed to the *Einzelsprache*.

5.2.2. Integral linguistics also understands poetic texts as representing "la plena funcionalidad del lenguaje", a place of actualization for all the possibilities and virtualities of language "as such", i.e. as *logos semantikos*, whereas other discourse modes present themselves as a functional reduction or de-actualization of those possibilities[47].

Nevertheless, a crucial difference must be noted. For Ikegami, poetic texts are the most revealing objects of study for what we call idiomatic linguistics (the linguistics of the *Einzelsprache*). For integral linguistics, poetic texts are the privileged object of *text linguistics*, not of *idiomatic linguistics*.

Incidentally, let us point out that even text linguistics does not claim to explain poetic texts in their true specificity, that of "absolute creation", i.e. speech with the dimension of alterity suspended or, more precisely, assumed by the speaking subject himself, entirely recoiled inside the subject. In Cornel Vîlcu's poignant summary of the problem:

> "[…] distincţia pe care Coşeriu o face între creaţia în limbaj şi cea în poezie – i.e. în artă ca domeniu antemergător al culturii: prima aparţine unui subiect 'dotat cu alteritate', mereu atent la gradul de imediat 'împărtăşibil' al creaţiei sale (cf. Coseriu, 1977, p. 31[48]). Cealaltă provine de la un 'subiect absolut' (Coseriu, 1977, p. 205-206[49]), care şi-a asumat alteritatea şi produce un act artistic sau o operă ce-şi vor păstra (şi tocmai în aceasta constă valoarea lor perenă) întotdeauna un 'rest' interpretabil, dar imposibil de exprimat exhaustiv în discursul verbal – operînd în consecinţă şi o seducţie infinită."[50] (Vîlcu 2002-2003: 143)

In light of this essential difference, we must point out that the "active involvement" of the interlocutor in interpreting a piece of 'vague' ordinary discourse in Japanese and the "active involvement" or the reader interpreting a haiku are radically different acts – different in motivation, means and finality.

5.3. Without going into details here, we believe we are in keeping with the spirit, if not the letter, of Ikegami's view when we hold that **the issue of the semiotic homology between 'language' and culture must be redefined as an issue of the semiotic homology between *texts* and other cultural acts**, where *text* is understood

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[47] Coseriu 1987d: 24-25, 1971/1977: 203-204, 1981: 109-111.

[48] *El hombre y su lenguaje* (Coseriu 1968a/1977).

[49] *Tesis sobre el tema "lenguaje y poesía"* (Coseriu 1971/1977).

[50] "[…] the distinction Coseriu makes between creation in language [*lenguaje*] and creation in poetry – i.e. in art as a domain at the forefront of culture: the former belongs to a subject 'endowed with alterity', always concerned with the degree in which his creation can be immediately 'shared' (cf. Coseriu, 1977, p. 31). The latter comes from an 'absolute subject' (Coseriu, 1977, p. 205-206), who has taken alterity upon his own shoulders and produces an artistic act or an œuvre that will always have (and this is precisely where their ever-lasting value resides) a 'remainder' which is interpretable, but impossible to express exhaustively in verbal discourse – and the consequence of which is the infinite seduction they exert."

in its proper acceptation, that of an autonomous *Ebene des Sprachlichen*. When dealing with this issue, investigation will have to be differently designed at least for the following three epistemic angles.

(1) In the individual plane of discourse activity, 'homology' will appear in the shape of the **transsemiotic Œuvre**, i.e. instances where the same principles of sense-articulation can be attested in a unitary creation made up of components that take diverse semiotic systems as their means of expression. The most obvious manifestation should be searched for in the creation of one and the same artist, a situation exemplified by Coseriu with Michelangelo's case:

> "Mann könnte z.B. zeigen, daß es in der Dichtung, in der Malerei, in der Bildhauerei und in der Architektur Michelangelos eine Einheit des Sinns gibt, die sich - natürlich nicht in allen Einzelheiten - in einem Parallelismus der eingesetzten Ausdruckselemente manifestiert, und zwar solcher Ausdruckselemente, die zu unterschiedlichen semiotischen Systemen gehören." (Coseriu 1981: 149)

The creation of one and the same author is, in fact, strictly speaking, the only case where the unity of sense-constitutive strategies can be attributed to "the unity of the human mind".

(2) From a historical angle, instances of 'homology' may well record **trends and schools of thought**, **programmatic philosophical or artistic principles** recoverable in the various arts, as well as in material culture, as this follows suit to the tendencies of the day. Internalized as common beliefs, these will become 'form' in the dynamic sense, formative principles at work in the creation of various artists. For instance, if similar formative principles found in different domains (e.g. certain Japanese literary species, the conception of man's relation to the universe and certain Japanese gardens) can actually be traced back to Zen views entertained by the individual creators of those cultural acts, then the underlying mechanism of this 'homology' lies not in the (*universal*) "unity of the human mind", but in the unity of the cultural choice of beliefs which defines that particular *historical* grouping.

In case (1), what is compared with non-verbal cultural acts is *a type of text*, in the sense defined by us as "third degree textual form". In case (2), we are dealing with text under its historical hypostasis, i.e. with *textual species*. Both text types and text species are autonomous from the type of the individual language, and traditions of texts certainly do not coincide with idiomatic traditions.

(3) If we focus on "homologic" relations at the level of the general possibilities of text construction, then we enter the realm **of nuclear cultural creativity mechanisms**, or *poesis* as elaborated by Mircea Borcilă in contiguity with integral linguistics[51].

"Homology" has to be redefined accordingly for each epistemic angle. Once this process of redefinition is undertaken, it is unlikely that all three types of formative mechanisms can be kept together under the same umbrella-concept. Again, we believe to be true to the spirit of Ikegami's work in asserting that 'homology' is a label that reflects *an initial intuition* of functional relatedness between heterogeneous

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[51] Borcilă 1981, 1987, 1991, 1993, 1994, 1996, 1997a, 1997b, 2002-2003.

creations. Epistemic explicitation and explanation of this intuition can very well discriminate and separate inside the initial approximation. It can also discard facts that do not actually belong to the phenomenon in question, even though they may have seemed so at the initial ("intuitive") stage.

5.4. The **operational value** of semantic features like those proposed by Ikegami in his description of the "contrasting semiotic orientations" (cf. *supra*, **2.3.**) is undeniable. The all-important question, however, remains: **What is the nature of such "semiotic orientations"?** Here are several possibilities that we can suggest at present, each to be validated (or invalidated) by further research.

First, they could be *orientations in the interpretation of experience*, forming the basis and background of speech activity, or, in Coserian terms, elocutional (types of) categories. These are, by definition, universal, but *suspendable* at the level of idiomatic and textual Gestaltung.

Second, they could indeed be *typological principles* of an individual language. As such, they are relevant for the language where they are discovered, but should not be projected onto other languages as 'units of typological measure', as this projection is bound to result in aporetic consequences.

Third, they could be cultural trends or paradigms – historical conglomerates of concepts, tenets, beliefs, even worldviews, possibly expressed in explicit 'manifestoes' and applied in various areas of cultural creation. These are independent of idiomatic traditions, they can replace one another within the same cultural-linguistic space and often arise in opposition to preceding ones. They can also coexist within the same cultural-historical span.

Fourth, they can be *textual orientations*, i.e. modes of sense-construction. More exactly, in the terms of Mircea Borcilă's typological model[52], they can be placed at the level of the third criterion, i.e. the "model of referential construction". These orientations are also functionally autonomous from the peculiarities of the individual language. They are general possibilities of sense-construction, which means that they too can be found, contingently, in the same language/culture at the same time[53], in the same language/culture successively, or across unrelated languages/cultures.

6. Concluding remarks.

The question that constitutes the title of the present inquiry must receive at least two major reformulations.

(A) The historical question is:

> **Are some** (poetic) text**s** 'homologous' to 'language' (*Einzelsprache*)?

In other words, **can** specific creative texts in certain individual languages display features that reflect, epitomize or even enhance the norm, system and typological

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[52] Borcilă 1981, 1987.
[53] For instance, Borcilă's four general types of poetic text are all illustrated with Romanian texts from the first half of the 20th century.

principles at work in that language? The answer is: **Yes, they certainly can.** And yes, many poetic texts do precisely that.

Under this angle, however, 'text', including poetic text, is not viewed in its specificity, as an autonomous *Ebene des Sprachlichen* defined by sense and the values of adequacy. Rather, the positive answer to the historical question reflects the existence of at least three types of situations:

(i) The 'textual facts' referred to are idiomatic means for text-constitution ('text' = the textual layer of idiomatic Gestaltung).

(ii) The 'text' in question is viewed as *an actualisation* of the individual language, given that the *Einzelsprache* has no other empirical existence except in the speaking activity itself. When we examine texts in this hypostasis, it is only logical that we should find in them characteristics and functions of the language in question. Perhaps it is not far-fetched to say that, in this case, *what we find in texts is not something 'homologous' to the Einzelsprache*, but simply *elements of the Einzelsprache*[54].

(iii) The text in question uses *conspicuously* 'specific' features of that language (immediately recognizable as belonging to that language and no other, idiosyncratic, perhaps even culturally stereotyped as 'representatives' of that language) as raw material for sense-construction. In this case, again, it is not the text itself that is 'homologous' to the given language, but some of its units of expression, i.e. some components of the text's constitution.

Some texts will display such elements more readily than others, just as some texts will go against the principles of idiomatic structuring. When investigating texts from this perspective, the most important methodological norm is undoubtedly the following: We can only find the *Einzelsprache* in texts, but not all that we find in texts is the *Einzelsprache*.

(B) The functional question should be:

> **Is** (poetic) text *by nature* 'homologous' to 'language' (*Einzelsprache*)?

In other words, **are all texts** constructed in a language homologous, by their very nature, at the level of sense-construction strategies, to the overall semantic orientation (type) of that language? Here the term 'text' is used in its genuine meaning, that of an *autonomous level of speech*, and therefore the answer to the functional question can only be: **No, it is not / they are not.**

The main point advocated in the present inquiry is the need to define what is meant by 'text' and what is meant by 'homology'. Thus, "the question" of homology is not *one question*, but *several different questions*, and it is only after they have all been formulated in keeping with the nature of their object that we can glimpse the possibility of a justified answer to each.

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[54] Naturally, those elements are elements of a historical language, which is not a 'flat' concatenation of functions. Each element will have its place in the architecture and the structure of the language, and, at the level of the functional language, its own position as a fact of norm, system or type.

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JAPANESE CAUSATIVE CONSTRUCTIONS – WHERE TO FIND THEM?

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ZUSAMMENFASSUNG. Kausative Konstruktionen im Japanischen – wo kann man sie nachschlagen? Die vorliegende Arbeit versteht sich als Versuch den Stellenwert der kausativen Konstruktionen in der japanischen Sprache im Rahmen der integralen und der generativen Linguistik zu analysieren. Des Weiteren wurden die wichtigsten Unterschiede aufgelistet, wie die zwei linguistischen Strömungen die drei Teilbereiche (allgemein, historisch, individuell) verstehen. Es wurde auch gezeigt, wie sich die Perspektive auf das Studium der kausativen Konstruktionen danach ändert, wenn der eine oder andere Teilbereich innerhalb der zwei Strömungen zum Studienobjekt wird.

0. Causative constructions have inspired extensive research in modern linguistics. Their fascinating complexity, both within particular languages and also cross-linguistically, has been the subject of investigations carried out practically all over the world and from a wide variety of perspectives. This paper is an attempt to analyze Japanese causative constructions by resorting to two different linguistic approaches, namely the integralist approach and the generative approach. Although the two linguistic trends start from different points of view and claim to cover different sides of the human language, we believe that a contrastive analysis of the same language aspect from these two different perspectives will at least clarify the place that causative constructions occupy in the two linguistic approaches.

1. Integralist linguistics, closely linked to its founder, Eugenio Coseriu, claims that there is a clear distinction between sciences of nature and sciences of culture and that human language cannot be described and dealt with by using the same apparatus which is used for natural sciences, since the objects of the two types of sciences are governed by different laws: while natural objects belong to the world of "necessity", which is governed by causes that produce certain effects, cultural objects, on the other hand, belong to a world that is specific to humanity, namely that of freedom (Coseriu, 1973/2000).

Language is regarded as "a universal human activity that is carried out individually, but always in accordance with some historically-determined rules […]" (Coseriu, 1973/2000: 233). Linguistics will thus focus on language as a cultural

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object. Generative grammar, on the other hand, studies language starting from the 'opposite direction', regarding language more as a natural object, but we believe that there is an area in which the two perspectives meet, although each of them comes with specific tools and methods of analysis that are different from those of the other.

Integralist linguistics offers a three-level view on language. The first level covers the study of language as a universal human activity; any human being has the ability to speak, regardless of the language in which this activity is carried out. What is fundamental for this first level of language is the common, universal capacity of producing language. In other words, there is an elocutionary competence that human beings possess and use in order to relate to the outside world. The way in which language is evaluated at this level is represented by the concept of congruence: what is said must be congruent with the "general principles of thought" and with "the knowledge of things". The question now is how Japanese causative constructions are integrated into the universal level of language. It would be indeed very difficult to answer such a question if we refer to a linguistic aspect into a specific language. The universal level goes far beyond particular languages and the issue on which we will focus at this level is not that of causative constructions, but that of causativity, understood as a principle which functions regardless of the language in which it materializes. Following Coseriu's distinction between cause, finality and conditioning (Coseriu, 1983/1992), we believe that the concept of causativity can be circumscribed to that of conditioning, defined as "the totality of the circumstances in which a creative activity takes place […]" (Coseriu, 1983/1992: 2). In order to be able to speak about causativity, one must define the conditions in which such a concept gets activated.

Coming from a different perspective, that of transformational grammar, Masayoshi Shibatani offers a clear-cut framework for the so-called causative situation:

"Two events can be said to constitute a causative situation if the following two conditions hold:

a. The relation between the two events is such that the speaker believes that the occurrence of one event, the "caused event", has been realized at t2, which is after t1, the time of the "causing event".

b. The relation between the causing and the caused event is such that the speaker believes that the occurrence of the caused event is wholly dependent on the occurrence of the causing event; the dependency of the two events here must be to the extent that it allows the speaker to entertain a counterfactual inference that the caused event would not have taken place at that particular time if the causing event had not have taken place, providing that all else had remained the same." (Shibatani, 1976: 1-2)

When analyzing the causative construction, we need to take into consideration the following aspects:

- the Causer (referring to the initiator of the causative process[1]):
  Okaasan *wa kodomo wo gakkou ni ikaseta.*

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[1] The causer in a causative situation can be linked to one of the four causes defined by Aristotle, namely the efficient cause, which is the one that does or produces something – the agent (Coseriu, 1983/1992)

- the Causee (the entity which is changed or influenced by the Causer and which carries out the Effect:
  *Okaasan wa **kodomo** wo gakkou ni ikaseta.*
- the Effect (the action performed):
  *Okaasan wa kodomo wo gakkou ni **ikaseta**.*

The three elements are necessary for the idea of causation to exist and the particular language in which this idea is expressed is of no concern at this language level. Generative grammar has also dealt with the 'universals' of language, but, as we will see, it comes with a different meaning of the concept of the 'universal'. What is assumed is that "the rules that govern language structure today are the same that governed language structure yesterday and will be the same that govern language structure tomorrow" (Croft, 1990: 44). The reference is thus to the common structural core of the languages and not to the principles that go beyond the various particular languages, as in the case of Integralist linguistics. Although there are distinctions between various types of universals[2], they all refer to characteristics of historical languages. Here are some examples of implicational universals referring to causatives:

"1. If a language has only affixes which derive causatives form intransitive verbs, it is unlikely that these affixes will have a permissive meaning.
Standardized: If there are only affixes which derive causatives form intransitive verbs, THEN these affixes will not have a permissive meaning.

2. The grammatical encoding of the causee proceeds as follows: the causee occupies the highest (leftmost) position on the hierarchy that is not already filled: subject > direct object > indirect object > oblique object.
Standardized: IF there is no direct object, THEN the embedded subject appears as direct object. IF there is direct object, but no indirect object, THEN the embedded subject appears as indirect object. IF there are both direct and indirect objects, THEN the embedded subject appears as one of the oblique cases (i.e. neither subject nor direct object nor indirect object)" (internet link 1)

2. Implicational universals lead us very easily to the second level of language in the integralist framework, namely that of historical languages. Although the human capacity of producing language is universal, it cannot, however, be carried out unless a particular language is used. We are now in the domain of languages, and not of language in general and it is here that the generative universals apply.

2.1. In the case of causative constructions, there has been extensive research and Japanese offers a very rich and fertile material for this language aspect. We will try to present the main issues related to causatives in Japanese, from a transformational / generative point of view.

Japanese is well known for having two types of causatives: morphological and lexical. While the lexical causative has been treated as a somehow separate phenomenon, something to be dealt with and listed in the lexicon, rather than the syntax, the

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[2] Croft (1990) distinguishes between "unrestricted universals", which characterize "the distribution of languages along a single parameter" and "implicational universals", which "describe a restriction on logically possible language types", thus capturing patterns in language variation.

morphological causative has been traditionally classified into the so-called *ni*-causatives and *wo*-causatives, depending on whether the original/logical subject (the subject of the caused event) is marked with the Accusative case particle *wo* or with the Dative case particle *ni*. In both cases however, a new subject that corresponds to the Causer is added to the sentence and the original subject (the Causee) is marked either with *wo* (Accusative) or with *ni* (Dative). The resulting causative sentence means that the subject (the Causer) causes or allows someone/something (the Causee) to do the action denoted by the main verb. Apart from the different case-marking particle, the rest of the sentence is exactly the same in both *wo*- and *ni*-causatives. However, the meaning associated with each variant is different. Thus, when the main verb is intransitive, the choice between the two particles depends on the following general rule: when *ni* is used, the Causee has taken an action intentionally; *wo*, on the other hand, can be used regardless of the Causee's volition and the "permissive" or "coercive" reading depends on the context and/or the situation. The distinction is obscured when the main verb is transitive, the lower (original) subject being uniformly marked with the Dative case, due to the constraint called Double-*wo* Constraint.[3]

Intransitive verbs:
a. *Chichi ga*   *watashi wo*   *soko e*   *ikaseta.*
  Father-Nom   me-Acc   there-Loc   go-CAUS-PAST
  "Father made me go there"
b. *Chichi ga*   *watashi ni*   *soko e*   *ikaseta.*
  Father-Nom   me-Dat   there-Loc   go-CAUS-PAST
  "Father let/allowed me to go there"
Transitive verbs:
Chichi ga   *watashi ni*   *hon wo*   *yomaseta.*
Father-Nom   me-Dat   book-Acc   read-CAUS-PAST
"Father made/let me read the book"
  Chichi ga   *watashi wo*   *hon wo*   *yomaseta.*
Father-Nom   me-Acc   book-Acc   read-CAUS-PAST

In the case of transitive-based causatives, there are several ways to clarify whether the Causee has taken the action intentionally or not. The use of a particular adjunct or modifier which allows only a particular reading is one of the strategies. Thus, the use of the modifier *shiburu* (hesitate) on the Causee will allow only the coercive reading of the following sentence, although the Causee is marked with –*ni* (which, in the case of intransitive-based causatives, is a marker of the permissive reading):

    John wa   *[shiburu] Mary ni*   *soko ni*   *ikaseta.*
    John-Top   hesitate Mary-Dat   there-Loc   go-CAUS-PAST
    "John made hesitant Mary go there".

Another way of disambiguating a potentially ambiguous sentence is the use of quoted expressions belonging to the Causer, expressions which will allow only one of the

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[3] The Double-*wo* Constraint prevents a clause from having two NPs marked with the Accusative case particle *wo* (see Tsujimura (1996)). It is not, however, a constraint specific to the formation of causative sentences.

readings. For example, in the following sentence only the permissive reading is possible, due to the meaning of the quoted expression:

John wa ["ii daroo!" to itte] Mary ni   soko ni   ikaseta.
John-Top good/OK say   Mary-Dat there-Loc go-CAUS-PAST
"John let Mary go there, saying "It`s OK!"

Such strategies enable speakers to avoid the ambiguity caused by the impossibility of the Accusative-marking of the Causee in the case of transitive-based causatives.

2.2. Morphological causatives in Japanese have been subject to extensive research, due to their structural and semantic complexity. The other category of causatives present in Japanese is the so-called "lexical causatives". Because of their irregularity, these nonproductive forms have been considered more as a part of the lexicon and not of syntax and have not been analysed and debated upon as much as their morphological counterparts. Although in the early research on causative constructions (see Shibatani 1976) a sharp distinction was made between lexical/nonproductive and productive causatives, recent research has come up with the idea that the distinction between these two types is not so easy to make after all, starting from the mere observation that the causative morpheme *–(s)ase* has the allomorph *–(s)as*, which is the same as the one found in transitivizing (causativizing) suffixes. The verbs which fall under the category of lexical causatives have been traditionally included and analyzed as transitive verbs, Japanese being well known for having pairs of transitive/intransitive verbs which belong to the same lexical family:

	Intransitive (noncausative)		Transitive (causative)		gloss
A	Φ	kawak-u ugok-u tob-u	-as-	kawak-as-u ugok-as-u tob-as-u	dry move fly
B	-re-	tsubu-re-ru tao-re-ru kowa-re-ru	-s-	tsubu-s-u tao-s-u kowa-s-u	crush cut-down destroy
C	-ar-	ag-ar-u shim-ar-u mag-ar-u	-e-	ag-e-ru shim-e-ru mag-e-ru	rise/raise close bend
D	Φ	ak-u chijim-u tats-u	-e-	ak-e-ru chijim-e-ru tat-e-ru	open shrink stand
E	-e-	or-e-ru nuk-e-ru kudak-e-ru	Φ	or-u nuk-u kudak-u	fold pull out smash

Consider the following examples:

(a)   *Hanako ga   Taroo wo/ni   kaeraseta.*
        Hanako-Nom   Taroo-Acc/Dat   leave-CAUS-PAST
        "Hanako made/let Taroo leave"

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(b)   *Hanako ga*   *Taroo ni*   *kuruma wo*   *kawaseta.*
           Hanako-Nom   Taroo-Dat   car-Acc   buy-CAUS-PAST
           "Hanako caused Taroo to buy a car"
(c)   *Hanako ga*   *yasai wo*   *kusarashita.*
           Hanako-Nom   vegetables-Acc   perish-CAUS-PAST
           "Hanako caused the vegetables to perish". (internet site 2)

Sentences (a) and (b) are instances of morphological causatives (intransitive-based in (a) and transitive-based causatives in (b)), with the suffix *–(s)ase* attached to the main verb. Sentence (c) is an example of what is generally considered to be a lexical causative. However, it is not completely clear whether the form *kusarasu* is the lexical causative counterpart of the intransitive verb *kusaru*, or the morphological causative form, with the falling of the final /e/ of the causative suffix *–(s)ase*. However, in this paper we will not proceed to a detailed analysis of this issue and will consider such verbs to be lexical causatives, listed in the lexicon and having their intransitive pairs.

3. In early transformational approaches, causatives, regardless of their type, are considered to have the same underlying structure as periphrastic causatives, with two clauses, one subordinated to the other. The model which we consider as representative for the transformational approach is the one belonging to Masayoshi Shibatani (Shibatani, 1976). The ideas found in this influential article have been considered a point of reference for all ulterior research, especially when it comes to the study of Japanese causatives, since Shibatani is the first to point out the main issues in the analysis of causative constructions. He makes the clear distinction between lexical, morphologically irregular, and productive, morphologically regular causatives and deals with the problem of synonymy between the two, also positing the issue of mono/biclausality of causative constructions.

3.1. In an attempt to defend generative semantics from voices which had started to challenge its validity, Shibatani offers solutions for the two main problems that generative semantics had to answer to:

(1) The entailment relation between a causative sentence (*John opened the door*[4]) and the corresponding noncausative sentences (*The door opened* / *The door is open*).

(2) The synonymy/paraphrase relation between a lexical causative sentence (*John opened the door*) and the corresponding productive causative sentence *(John caused the door to open)*.

(1) is accounted for by incorporating the semantic materials of the entailed sentences directly into the underlying structure of the causative sentence, and by defining predicates (such as CAUSE and BECOME) in such a way that the propositions under these predicates are asserted as the sentences containing them are asserted.
(2) is accounted for in terms of the assumption that all of these sentences are derived from the same underlying structure, and that Predicate Raising (which lifts the predicate of a lower sentence and brings two or more predicates under one node) is an optional rule (Shibatani, 1976: 5):

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[4] All the examples in section 3 are taken from Shibatani, 1976.
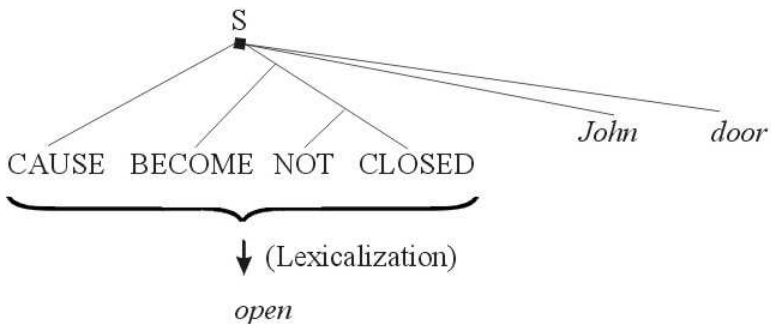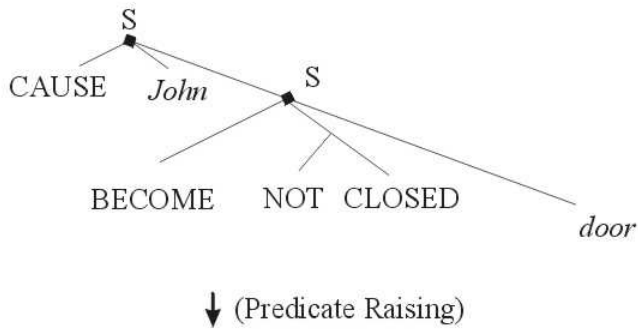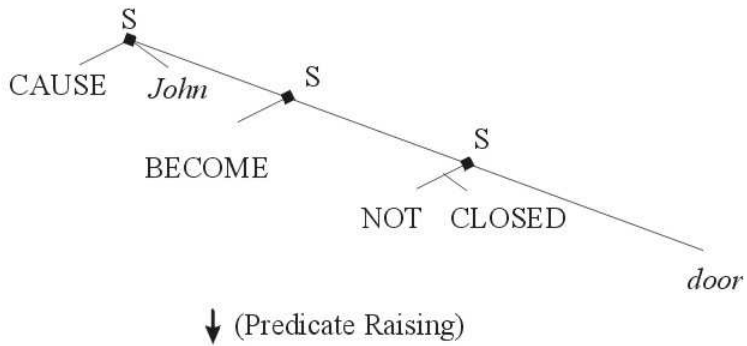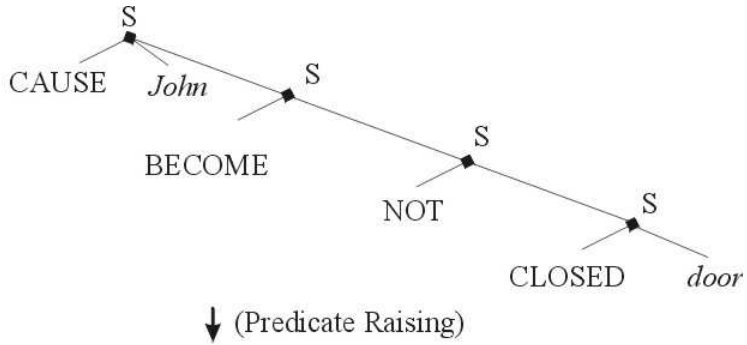
3.2. Shibatani goes further on in describing the synonymy relation between a lexical and a productive construction by pointing out the elements common to "*John killed Harry*" and "*John caused Harry to die*". Thus, both the lexical and the productive causatives entail sentences such as "*Harry died*" or "*Harry is dead*"; then, in order for both sentences to be true, it must be the case that Harry was alive before John did something to him; finally, these sentences are appropriate only when the events of John's doing something to Harry and Harry's dying had been perceived by the speaker as fulfilling the conditions defining the causative situation (Shibatani, 1976: 7). All these similarities could be accounted for if some common predicate was postulated at an abstract level, and that predicate was CAUSE. Shibatani brings various arguments for positing CAUSE as the underlying predicate: the derivation of both intransitive and transitive causative verbs from their adjective counterparts, sentence pronominalization, adverbial modification, the "possible lexical item".

The synonymy relation between lexical and productive causative is then analyzed in detail, based on the comparison with the active/passive synonymy. Shibatani suggests that while the active/passive relation checks the conditions for a synonymy relation (the negation test will bring about a contradiction), the same thing cannot be asserted for the lexical/productive causative relation:

> active / passive: * *John loves Mary, but Mary isn't loved by John.*
>   * *John doesn't love Mary, but Mary is loved by John.*
> lexical / productive: * *I didn't cause the child to stand up, but I stood him up.*
>   *I didn't stand the child up, but I caused him to stand up.*

Obviously, the last example is acceptable, so the relation between lexical and productive causatives is not one of total synonymy, but one of **inclusion**, the 'cause' form expressing a general causative situation, while the lexical form expresses a specific situation. The lexical causative is thus considered to be included in the 'cause' causative. However, when we analyze examples from Japanese, we will find out that when applying the negation test, both sentences are acceptable:

> *Kodomo ni fuku wo   kiseta no dewa naku,   kisaseta no da.*
> Child-Dat   clothes-Acc put on (lexical)-PAST NEG put on-CAUS-PAST AFF
> *"It is not the case that I dressed the child, but (it is the case that) I had/made him get dressed."*
> *Kodomo ni fuku wo   kisaseta no dewa naku,   kiseta no da.*
> Child-Dat clothes-Acc put on-CAUS-PAST NEG put on (lexical)-PAST AFF
> *"It is no the case that I had/made the child get dressed, but (it is the case that) I dressed him."*

The relation that can be noticed here is not that of inclusion anymore, but that of **intersection**, in which neither form implies the other. This type of relation is also found in English, with pairs involving a lexical causative and a productive form with verbs other than 'cause':

> *I didn't stand the child up, but I had/made him stand up.*
> *I didn't have/make the child stand up, but I stood him up.*

3.3. The problem of synonymy being thus solved, Shibatani goes on to the aspects of meaning to be found in the non-overlapping domain of the two causative types. This issue has to do with how the Causer effects the caused event:

(1) If the Causee is a nonvolitional entity, then the Causer must physically manipulate the Causee in effecting the caused event. This type of causation is called "manipulative causation" (Shibatani, 1976:31), generally expressed by lexical causatives.

(2) If the Causee is a volitional/agentive entity, then the Causer acts as an agent giving directions to the Causee, and that enables us to speak of the "directive causation" (Shibatani, 1976: 32), generally expressed by productive causatives.

Japanese offers a clear exemplification of the above definitions, since the productive forms do not generally allow inanimate Causees:

* Watashi wa   hon wo   ochisaseta.
  I-Top   book-Acc   fall-CAUS-PAST
"I caused the book to fall down"

However, there are cases in which productive forms can express manipulative causation and lexical forms can express directive causation. The first case occurs when the language does not have the corresponding lexical form or when the lexical causatives permit only a limited type of Causee, as in the case of the Japanese lexical causative verb *tateru* ('stand up') which admits only inanimate Causees, while its noncausative form admits both animate and inanimate subjects:

Watashi wa   boo wo   tateta.
I-Top   stick-Acc   stand up-PAST
"I stood the stick up"
*Watashi wa   kodomo wo   tateta.
  I-Top   child-Acc   stand up-PAST
"I stood the child up".

Lexical causatives, on the other hand, can be used in a directive sense, conveying the idea that the Causer's interest lies in the purpose associated with the causative situation rather than the causative situation itself, while there is no such implication in the case of productive forms:

I stopped the man in the street.
In order to ask for directions, I stopped the man in the street.
* In order to ask for directions, I had/made the man stop in the street.

Lexical causatives can express directive causation if the causative situation has a purpose associated with it, and that purpose must be well-defined and the association must be conventionalized, otherwise the directive sense is not conveyed:

(a) *We brought Chomsky to Oxford.*
(b) *We brought Chomsky to our room.*

While in (a) the purpose of bringing a scholar to an academic institution is quite well-defined, that is not the case in (b), so it does not convey the directive meaning.

Although not comprehensive and leaving many aspects just mentioned and not clearly dealt with, Shibatani's model, besides being one of the first to suggest the complexity of causative constructions, has the merit of laying the foundations for an extensive research on this subject. It points out the major issues in the syntax and semantics of causative constructions: types of causatives, mono vs biclausality, transitivity and causality (with the subsequent positing of the abstract predicate CAUSE), the semantic similarities and differences between lexical and syntactic causatives. Therefore, we consider it fundamental in the understanding and analysis of causative constructions.

4. There are, as yet, no integralist studies focused on such detailed structural analyses of language aspects at this level. In any event, rather than trying to describe the structure of various languages in order to find the common underlying syntactic principles, integralism will focus on the different ways in which various languages structure the same designational domain, in this case – that of causativity. Above all, however, integralist linguistics may provide an interesting framework within which one can study in detail *the use* of such causative constructions in various circumstances. In this way, we move on to the third level of language, namely that of individual speech. Language (as a universal human faculty) is always materialized in a particular language (such as Japanese, English, etc.), but at the same time it is always produced by a certain individual, in a certain discourse situation, and the way in which language is evaluated at this level is represented by the concept of adequacy to the situation of discourse. In the case of causative constructions, such a view could be applied in order to analyze the semantic distinction between *ni-* and *wo-* causatives in the case of intransitive verbs. For example, in a situation in which it is absolutely obvious that the causee has not taken the action intentionally, the use of a *ni-* causative might be inadequate. The same holds true for the use of causative forms together with certain forms of respect language: *-saseteitadakimasu*. Such a form is not to be used in any circumstance, but requires that certain conditions be met (a formal situation, a certain place of the speaker in the social hierarchy, etc.). Generative grammar, on the other hand, will not go into such details in its analyses, since the use of language in particular situations does not constitute its object of study.

In conclusion, an analysis of causative constructions in Japanese can be actually carried out only at the second and third level of language, in the integralist framework. Generative grammar comes with an extensive and well-articulated apparatus for such an analysis at the level of historical languages, trying to find what is common to the syntactic structure of various languages. Integralist linguistics, on the other hand, covers very well the third level of language, where a study of adequacy to the situation of discourse is required.

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DIE ERSCHEINUNGSFORMEN DER FREMDWÖRTER IN DER JAPANISCHEN SPRACHE
- EINE BETRACHTUNG AUS MEHREREN PERSPEKTIVEN -

VERONICA D. CÂMPIAN[*]

ABSTRACT. *Forms of Neologism Manifestation in the Japanese Language: Multi-Perspective Approach*. The article focuses on the various ways neologisms entered the Japanese language, through a detailed analysis of different words of Anglo-Saxon and American origin – the so-called Anglicisms. The article also concentrates on the morphological, syntactic, semantic and phonetic capacity of these words to adapt in the new language (Japanese, in our case). In this respect, we enumerate several possible reasons why this "Anglicism" phenomenon has occurred in several languages over the world in the last decades. In conclusion, we present some fields in which neologisms are dominant.

Einleitung

Die japanische Sprache ist voll von Fremdwörter. Dieses Phänomen erstaunt angesichts der Tatsache, dass die Japaner in der Vergangenheit bestrebt waren, Fremdeinflüsse nur gezielt einzulassen. Wie kommt es, daß gerade sie eine solche Fülle fremder Sprachelemente aufgenommen haben?

Fremdwörter flossen schon früh, im 5. Jahrhundert, in das Japanische ein. Damals, verstärkt ab dem 6. Jahrhundert, bestanden zwischen Japan und China enge kulturelle Beziehungen. Die Japaner übernahmen viele Errungenschaften der chinesischen Kultur; sie bauten Städte nach chinesischem Muster, feierten ihre Feste nach chinesischem Kalender und orientierten ihre Verwaltung an chinesischem Vorbild.

Die Japaner hatten eine eigene Sprache, aber keine eigene Schrift dazu. Etwa im 4. Jahrhundert entschloss sich der Kaiser Schiffe in andere Länder zu schicken, um dort eine geeignete Schrift zu finden. Die Schiffe fuhren, ziellos, in alle Richtungen los. Ein Schiff kam durch Zufall über Korea nach China und brachte die chinesische Schrift mit nach Japan zurück, ohne Rücksicht auf ihre Bedeutungen. Als die Schrift nun übernommen wurde, kam es zu einem Problem.

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Die chinesischen Schriftzeichen waren jeweils nur für einen einsilbigen Laut gedacht, während die japanische Sprache unter anderem auch zweisilbige Laute hatte. 794 - 1185 entstand deshalb die damals *onnade-* Frauenschrift, weil vorwiegend Frauen / Hofdamen damit schrieben, genannt auch Lautsilbenschrift. Heute ist diese Schriftart unter dem Namen *Hiragana* bekannt[1].

Nachdem die japanische Sprache wie ein Schwamm diese Fülle chinesischer Wörter aufgesogen hatte, blieb sie lange Zeit von Fremdeinwirkungen verschont. Erst die Landung der ersten christlichen Missionare im 16. Jahrhundert trug ihr einige weitere Fremdwörter ein. Auf die portugiesischen und spanischen Einflüsse jener Zeit gehen Ausdrücke wie *pan* (< Brot) oder *karuta* (< Spielkarte) zurück.

Als danach, in der Zeit der Abschließung, nur noch die Niederländer in Nagasaki Handel treiben durften, bescherten diese dem Japanischen unter anderem den heute noch für Schulranzen verwandten Ausdruck *randoseru* (< Randsel). Damals kannten die Japaner keine Taschen, erst recht keine Ledertaschen. Sie transportierten ihre Habe eingeknotet in Wickeltücher (*furoshiki*) oder in Beuteln (*fukuro*).

Ab dem Ende des 19. Jahrhunderts, nach der Öffnung des Landes, ergoß sich eine wahre Flut von Fremdwörtern über Japan. Sie strömten aus Deutschland, Frankreich England und Italien. Das Deutsche ist in den Bereichen Sport, Politik und vor allem Medizin stark vetreten. Der Einfluß des Deutschen auf die medizinische Fachsprache rührt daher, daß sich japanische Studenten der westlichen Medizin nach der Wende vom 19. zum 20. Jahrhundert vorzugsweise in Deutschland ausbilden ließen. Begriffe wie *herutsu* (< Herz), *purusu* (< Puls) oder *shumerutsu* (< Schmerz) sind sehr bekannt[2].

Eine bedeutende Anzahl von Fremdwörtern trat nach dem Ende des Zweiten Weltkrieges in die japanische Sprache ein. Schon im letzten Drittel des 19. Jahrhunderts sprach man von der rasche Modernisierung und Verwestlichung Japans.

Am 15 August 1945 sprach der Kaiser dem japanischen Volk. Es war das erste Mal in der Geschichte, dass ein Kaiser sich direkt an seine Untertanern wandte. Er nannte zu keinem Zeitpunkt das Wort „Kapitulation", erklärte aber dem Volk, daß sich der Krieg nicht zum Gunsten von Japan entwickelt hatte.

Der Zweite Weltkrieg hat fürchterliche Schaden in Japan verursacht, sogar die Allierten, als sie das Land nach Kriegsende betraten, waren erstaunt von dem, was sie dort gefunden haben. Sie wollten aber, nichts mehr zerstören, ihr Ziel war die Reform.

Theoretisch war die Besetzung Japans ein Thema für die Alliierten, praktisch aber war es ein Thema nur für die Amerikaner. Eigentlich lag die Macht in den Händen eines einzigen Mannes, und zwar des Generals Douglas MacArthur. Er war für die Reform in Japan zuständig.

In den ersten Jahren nach dem Zweiten Weltkrieg wurden immer mehr englische Wörter verwendet, bis die japanischen Sprachpuristen den Versuch starteten, einheitliche Wörter zu entwickeln um die englischen Lehnwörter zu beseitigen.

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[1] Vgl: H. Hamitzsch: *Japan-Handbuch* , 3 Auflage, Franz Steiner Verlag, 1999

[2] Vgl: Gothild und Kristina Thomas: *Reisegast in Japan – Fremde Kulturen verstehen und erleben*, 2 Auflage, Reisebuchverlag München, 1999, Seite 71-78

Zum Beispiel wurde das Wort *anaunsā* (< announcer) durch *hōsō-in* (< broadcast person) ersetzt, *rekōdo* (< record) durch *onban* (< disk, record), doch man kann von keinem großen Erfolg sprechen. Es waren auch Ausdrücke, die dann nebeneinander bestanden und es wurde dem Sprecher die freie Wahl gelassen, welches Wort er vewenden will[3].

Jedoch haben die Japaner eine ziemlich interessante Weise, die amerikanische Kultur aufzusaugen. Die linguistischen Besonderheiten ihrer Sprache führten zum Gebrauch von falsch buchstabierten amerikanischen Wörtern (orthographische Störungen liegen häufig am Durcheinander zwischen dem Buchstaben „L" und „R").

Japlish bezeichnet eigentlich die Neologismen amerikanischer Herkunft, die in der japanischen Sprache eingedrungen sind. Dieser Begriff wurde aber von den Amerikanern geschaffen, um damit den schlechten Gebrauch des Amerikanischen von den Japanern zu unterstreichen.

Japlish ist in Japan omnipresent. Es wird aktiv durch die Medien verbreitet. Der Gebrauch von amerikanischen Bezeichnungen umhüllt jedwelche Information mit einem modernen Blick. Viele Namen der Geschäfte und der Handelsprodukte, Titel und Refrains der Lieder und unzählig viele Slogans benutzen Formen von Japlish. Sehr oft verwendete Wörter sind z.B.: „*ansā*" vom englischen Wort „answer", „*burūsu*" vom englischen Wort „blues music", oder „*konbini*" von „Convenience store". Ein anderes Beispiel wäre: „Golden Week"-goldene Woche; eine sehr populäre Formel, die eine Aufeinanderfolge von gesetzlichen Feiertagen bezeichnet (Ende April- Anfang Mai). Ein anderes Beispiel: „Walkman": der internationale Erfolg diesesWortes verbunden mit dem kommerziellen Erfolg einer technischen Innovation.

Gründe für das Eindringen von Fremdwörter

Es gibt mehrere Gründe warum eine Sprache Wörter aus einer Fremdsprache aufnimmt. Wichtige Gründe für die Übernahme sind folgende:

- Fremdwörter können in einer Sprache als Konsequenz einer militärischen Besetzung dieses Landes auftauchen
- Eine besondere wirtschaftliche Stärke kann eine sprachliche Sogwirkung eines Landes auf andere Länder ausüben
- Fremdwörter können aus kulturellen Gründen aus einer anderen Sprache übernommen werden
- Ein Land kann technisch und zivilisatorisch anderen Ländern so überlegen sein, oder erscheinen, dass seine gesamte Lebensgestaltung für andere Länder einen Vorbildcharakter bekommt und auch einen entsprechenden Wortschatz zusammen mit den Inovationen exportiert (nach dem 2. Weltkrieg)[4]

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[3] Vgl: Joseph J. Tobin (Hg.): *Re-made in Japan; Everyday Life and Consumer Taste in a Changing Society*, Yale University Press London, 1999, Seite 58-75

[4] Vgl: Georg-Heinz Gärtner: *No future für Deutsch? Amerikanismen in unserer Standardsprache,* in: Der Sprachdienst 4, 5/97, Seite 133-143

Der Begriff Amerikanismus oder Anglizismus bedeutet: „Americanism means a word or expression that originated in the United States." Also, der Terminus bezieht sie auf die genetische Herkunft eines Wortes und darf nicht auf Wörter bezogen werden, von denen man annimmt, sie seien aus den Vereinigten Staaten in den deutschen Lehnwortschatz gekommen[5].

Es wird angenommen, dass aufgrund von vielfältigen politischen, kulturellen und wirtschaftlichen Verflechtungen der größte Anteil der englischen Wörter in andere Sprachen eingedrungen ist. Man kann beweisen, daß besondere Beziehungen zwischen den Vereinigten Staaten und den Ländern, wo die Anglizismen eingedrungen sind, den Sprachkontakt und die Interferenz fördern.

Da das Englische eine analytische Sprache ist, ist der Einstieg für Ausländer bedeutend leichter. Diese Sprache hat auch eine Vielzahl von kurzen, einsilbigen Substantiven, die leicht erlernt werden können.

Das Besondere der Wörter aus dem Englischen bzw. aus dem Amerikanischen ist:

- Dass sie vor allem in den letzten Jahrzenten in den jeweiligen Sprachen eingedrungen sind
- Dass sie, anders als die Fremdwörter in früheren Jahrhunderten, nicht nur die Sprache bestimmter sozialen Schichten, sondern fast der ganzen Bevölkerung beeinflussen
- Dass sie nicht nur eine Sprache, sondern viele Sprachen der Erde verändern[6]

Die wichtigsten Gründe für den allgemeinen Gebrauch der Anglizismen sind folgende:

1. *Die sprachökonomischen Faktoren*: da man in jeder Sprache ein allgemeiner Trend in Richtung Sprachökonomie geht, sind die englischen Einsilber sehr verbreitet und beliebt.

2. *Die Differenzierung*: Anglizismen dienen in vielen Bereichen als fachsprachliche oder wissenschaftliche Verständigungsmittel und bieten auch neue Differenzierungsmöglichkeiten. Durch Anglizismen können Wortfelder erweitert werden.

3. *Die Ausdrucksvariation und Expressivität*: Anglizismen stellen Synonyme dar und sind häufig ein Ersatz für Wörter der eigenen Sprache. Die sind oft mit Konnotationen und Assoziationen beladen und können aus diesem Grund die Ausdrücke verstärken.

4. *Begriffe, die in einer Zielsprache fehlen*: Es gibt Bereiche, wo die neusten Termini in der Sprache nicht existieren. Aus diesem Grund werden die englischen Begriffe verwendet. Z.B: aus dem Bereich der Telekommunikation „acces", „dial", „link", „save", „scan" u.a., oder aus dem Bereich des Sportes: „dive", „dribble", „smash" u.a.

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[5] Vgl: Heike Oeldorf: *Von << Aids>> bis <<Yuppification>>,* in: Muttersprache 1990, Seite 38-49
[6] Vgl: Rudolf Hoberg: *Fremdwörter – Wie soll sich die Gesellschaft für deutsche Sprache dazu verhalten?* in: Der Sprachdienst 5/96, Seite 137-142

Die Anpassung der Anglizismen an die japanische Sprache

1. Morphologische und syntaktische Anpassung

Bevor ich über die Anpassung der Anglizismen spreche, möchte ich einige Worte zu dem Wortschatz der japanischen Sprache sagen. Er besteht aus:

a) *Wago:* einheimischer Wortschatz, der japanische Grundwortschatz
b) *Kango:* sinojapanischer Wortschatz; aus dem Chinesischen übernommenen Entlehnungen
c) *Gairaigo*: Wörter aus fremden Sprachen

Wie schon gesagt, kamen die ersten Fremdwörter aus China, Tatsache, die den großen kulturellen Einfluß dieses Landes auf Japan zeigt. Unter den europäischen Ländern die sprachlich Japan besonders geprägt haben – Frankreich (*ballet*, *cabaret*, *cafe*, *chemise*), Deutschland (*Arbeit*, *Gelände*, *Hütte*, *Seminar*, *Thema*), Rußland (*interi* < intellectual person, *noruma* < work quota), Portugal und Spanien (*botao* < button, *carta* < playing cards, *tabaco*, *sabao* < soap) – hat die englische Sprache die bedeutendste Rolle gespielt. Viele dieser Lehnwörter, die aus dem Englischen übernommen wurden, widerspiegeln eine starke kulturelle und sozio-politische Beziehung zwischen Japan und den zwei Englisch sprechenden Ländern: England und Amerika. Das Eindringen dieser Fremdwörter (besonders aus dem Amerikanischen) wurde noch deutlicher nach dem Ende des Zweiten Weltkriegs.

Der Ausmaß an Lehnwörter aus dem Englischen ist für viele Linguisten schon ein Alarmzeichen.

Die Aufnahme der englischen Wörter in die japanische Sprache geschieht größtenteils nach den gleichen Regeln wie es vor Jahrhunterten mit den Wörtern aus dem Chinesischen passiert ist. Eigentlich werden die englischen Wörter, ohne Rücksicht auf die Wortart, als Substantive aufgenommen. Sie unterliegen dann einigen phonologischen Änderungen und mit Hilfe von unflektierbaren Suffixen kommt es zum grammatischen Wechsel. Einige Beispiele:

englische Subst: „table" => phonetische Anpassung => Subst: „tēburu"
englische Adj: „cheap" => phonetische Anpassung + grammatischer Wechsel =>
      Subst: „chīpu" => grammatischer Wechsel mit Suffix =>
      Adj: „chīpu-na"
englische Verbi: „kiss" => phonetische Anpassung + grammatischer Wechsel =>
      Subst: „kisu" => grammatischer Wechsel mit Suffix =>
      Verb: „kisu-suru"

Es ist aber nicht immer der Fall, daß die Aufnahme auf dieser Art und Weise stattfindet:

englische Präp: „down" => phonetische Anpassung + grammatischer Wechsel
      + sematische Änderungen => Subst: „daun" (im Sinne von
      „collapsing") => grammatischer Wechsel mit Suffix
      => „daun suru" (im Sinne von „to collapse")

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Die Anpassung an das grammatische System stellt keine Schwierigkeiten dar, da die Lehnwörter größtenteils als Nomen oder Nominaladjektive übernommen werden. Die japanischen Nomen verfügen über keine Flexion, so müssen die Lehnwörter an keine Flexionsmuster angepasst werden.

Die Fachliteratur ist der Meinung, dass die substantivischen Lehnbildungen viel einfacher in die japanische Sprache aufgenommen wurden als die verbalen. Die Anpassung der Verben ist ein sehr komplexer Vorgang. Nun, einige Beispiele von Verben, die ins Japanische eingedrungen sind:

> akusesu (< access), anaunsu (< announce), apurōchi (< approach), asisuto (< assist), atakku (< attack), atendo (< attend), burēku (< break), burendo (< blend), daibu (< dive), daiaru (< dial), daunrōdo (< download), disukabā (< discover), doraibu (< drive), doroppu (< drop), doroppu auto (< drop out), esukēpu (< escape), gādo (< guard), getto (< get), hitto (<hit), hōrudo (< hold), furash (< flash), fuitto (< hit), fuorō (< follow), kabā (< cover), katto (< cut), kaunto (< count), kīpu (< keep), kisu (< kiss), komyunikēto (< communicate), konbāto (< convert), kōru (< call), kopī (< copy), korekuto (< collect), kyatchi (< catch), kyanseru (< cancel), insupaiā (< inspire), intabyū (< interview), māku (< mark), manējī (< manage), meiku (< make), mīto (< meet), mikkusu (< mix), nabigēto (< navigate), negurekuto (< neglect), ōbāhīto (< overheat), ōbārūru (< overrule), ōdā (< order), ōkē (< OK), ōpun (< open), pakku (< pack), pasu (< pass), puresu (< press), purinto (< print), pushu (< push), rappu (< wrap), rīdo (< lead), rifureshu (< refresh), rifuōmu (< reform), rinku (< link), ripōto (< report), rirakkusu (< relax), sābu (<serve), sāchi (< search), sain (< sign), sapōto (< support), sēbu (< save), setto (< set), suichi (< swich), sukechi (< sketch), sukuīzu (< squeeze), sukyan (< scan), sumasshu (< smash), sutāto (< start), sutanbai (< stand by), sutoppu (< stop), tān (< turn), taipu (< type), tatchi (< touch), tesuto (< test), chekku (< check), chekku-in (< check-in), uotchi (< watch), janpu (< jump) u.a.[7].

2. Phonetische Anpassung

Eigentlich gibt es einige Regeln nach denen die phonetische Anpassung der englischen Wörter an die japanische Sprache stattfindet:

1. Die englische Endung *er* oder *ar* wird im Japanischen zu einem *ā*:
   - butter => batā
   - waiter => wētā
   - car => kā
   - tower => tawā

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[7] Vgl: Kaoru Horie / Shigeru Sato: *Cognitive – Functional Liguistics in an East Asian Context,* Kurosio Verlag, Tokyo 2001, Seite 13-33

2. Die englische *t*-Endung wird im Japanischen zu einem *tsu* oder *to*:
   - smart => sumāto
   - first => fāsuto
   - fruit => furūtsu
   - cutlet => katsuretsu
3. Die englischen Endungen *d, t* werden im Japanischen zu einem *do, to*:
   - third => sādo
   - red => reddo
   - bird => bādo
   - hot => hotto
4. Alle englischen *l*-Laute werden im Japanischen zu *r*-Laute:
   - ball => bōru
   - golf => gorufu
   - lady => redī
   - leather => rezā
5. Der Konsonant *v* wird zu einem *b* mit Vokal:
   - service => sābisu
   - curve => kābu
   - over => ōbā
   - give => gibu
6. Englische Konsonanten werden durch Vokale getrennt:
   - smog => sumoggu
   - Boston => bosuton
   - negligee => negurije
   - McDonald´s => makudonarudo
7. Das *th*-Laut wird im Japanischen zu einem *su*, *shi*, *sa*, *za*, oder *zu* Laut:
   - youth => yūsu
   - nothing => nasshingu
   - bathe => bēzu
   - the => za
8. Kein japanisches Wort endet auf ein Konsonant (Ausnahme das *n* Laut):
   - beer => bīru
   - rocket => roketto
   - toilet => toire
   - restaurant => resutoran
9. Die englische *l*-Endung wird im Japanischen zu einer *ru*-Endung:
   - pearl => pāru
   - Nobel => nōberu
   - bell => beru
   - volleyball => barēbōru

10. Die englischen Wortendung auf *g* oder *ng* wird im Japanischen zu einer *gu* Endung:
- song => songu
- morning => mōningu
- building => birudingu
- running => ranningu[8]

3. Semantische Anpassung

Man muß sagen, daß einige von den aufgezählten Verben, technische Begriffe ausdrücken, die in der japanischen Sprache nicht präsent waren. So zum Beispiel aus dem Bereich der Telekommunikation: *akusesu* (< acces), *daiyaru-suru* (< dial), *daunrōdo-suru* (< download), *fuairu-suru* (< file), *kopī-suru* (< copy), *rinku-suru* (< link), *sēbu-suru* (< save), *sukyan-suru* (< scan), *taipu-suru* (< type) u.a.

Aus dem Bereich der Sportarten: *asisuto-suru* (< assist), *daibu-suru* (< dive), *doriburu-suru* (< dribble), *kyatchi-suru* (< catch), *sumasshu-suru* (< smash), *shuto-suru* (< shoot), *tachi-suru* (< touch), *janpu-suru* (< jump) u.a.

Aus dem Bereich des Automobilismus sind folgende Beispiele aufzuzeichnen: *doraibu-suru* (< drive), *nabigēto-suru* (< navigate), *supin-suru* (< spin), *sutakku-suru* (< stuck) u.a.

Aus der Ökonomie und Politik sind folgende Beispiele zu nennen: *boykotte-suru* (< boycott), *kasutamaizu-suru* (< customize), *komitto-suru* (< commit), *rikōru-suru* (< recall), *risaikuru-suru* (< recycle), *rishafuru-suru* (< reshuffle), *shifuto-suru* (< shift), *supoiru-suru* (< spoil), *chekkuin-suru* (< check in), *uotchi-suru* (< watch) u.a.

Es ist wichtig zu sagen, daß viele dieser aufgezählten Verben nicht mehr ihre lexikale Bedeutung aus der Ausgangssprache behalten haben. Eigentlich, erlitten sie manche semantische Änderungen beim Transfer in die japanische Sprache. Solche Änderungen sind:

- Verkürzung und Spezifizierung: in diesem Fall wird nur ein Aspekt von der Originalbedeutung aufgenommen: z.B: *sutekki* (< stick) behält nur die Bedeutung von „walking stick"; oder: *hitto-endo-ran* (< hit-and-run) wird nur für Baseball benutzt; oder: *raisu* (< rice) bezieht sich auf in westlicher Weise gekochten Reis u.a.
- Hybride Bildungen: z.B: *saboru* (< don´t go to school or work)
- Semantische Veränderung / Verschiebung: z.B: *sumāto* (< smart) aber mit der Bedeutung von „slim"
- Semantische Restriktion: z.B: *karute* (< patient´s medical record)

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[8] Vgl: Joseph J. Tobin (Hg): *Re-made in Japan; Everyday Life and Consumer Taste in a Changing Society*, Yale University Press London, 1999, Seite 71

Ausser den verbalen Lehnwörtern gibt es auch andere Wörter, die in die japanische Sprache aufgenommen wurden, weil es für diese Bezeichnungen kein einheimisches Wort existierte. Aus dem Bereich des täglichen Lebens stammen Wörter wie:

> sukāfu (< scarf), bōto (< boat), furī (< free), intānetto (< internet), sūpu (< soup), jūsu (< juice), sutēki (< steak), hanbāgā (< hamburger), pōku (< pork), tenisu (< tenis), gorufu (< golf), sukī (< ski), sukēto (< skate), gitā (< guitar), takushī (< taxi), rajio (< radio), sētā (< sweater), sukāto (< scarf), sokkusu (< socks), kōto (< coat), baggu (< bag), beddo (< bed), bōru-pen (< ball-pen), nōto (< note), sūtsu-kēsu (< suitcase).

Einige Lehnwörter klingen rafinierter als das einheimische Wort und werden darum bevorzugt. Solche Beispiele sind:

> *kamera* (für *shashinki* < photograph machine), *depāto*, die kurze Form von *department store* (für *hyakkaten* < hundred-ware-store), *tēburu* von *table* (für *shokutaku* < eating stand – mit semantischer Restriktion), *puretaporute* von *pret-a-porter* (für *kiseifuku* < ready made clothes), *babī-car* (für *ubaguruma* < nurse carriage) u.a[9].

Dieser linguistische Transfer ist keine Einbahnstrasse: es gibt japanische Begriffe, die in anderen Sprache eingedrungen sind:

> gaijin (Ausländer), soba (japanische Nudelart), sumo, sakura (Kirschbaum), ikebana (flower arrangement), haiku, shamisen (japanische Gitarre), geisha, harakiri, kimono, judo, karate, sushi, sashimi (sliced raw fish), tempura (deep-fried fish and vegetables), mikado (Tore oder Eingang eines königlichen Sitzes).

Bis vor einigen Jahren hat man das Verwenden der englischen Wörter als eine Art Schmeichelei gegenüber dem Westen gesehen. Es ist tatsächlich wahr, daß die Bewunderung und die Faszination über welche sich die westliche Kultur in Japan gefreut hat, eine Basis für das Eindringen der Fremdwörter geschaffen hat. Diese Tatsache aber, kann nicht alleine die massive Aufnahme von englischen Wörtern erklären.

Es ist auch die junge Generation, die eine große Rolle spielt. Viele Jugendliche studieren im Ausland und kommen täglich in Kontakt mit fremden Sprachen. Ohne es umbedingt zu wollen, wird ihre Sprache von diesen Neuerungen beeinflußt. Bedeutend ist hier die technische und ökonomische Terminologie.

Welche Rolle wird in der Zukunft die englische Sprache in Japan spielen? Mit Sicherheit wird Englisch auch in den nächsten Jahren ein Mittel der internationalen Kommunikation bleiben und es wird auch weiterhin starke Einflüße auf das Japanische ausüben. Bis jetzt haben die japanischen Kompanien wenig Gebrauch von anderen Sprachen gemacht, ausser dem Englischen. Das wird sich aber ändern wegen der starken Entwicklung der multinationalen Organisationen. Dann werden auch andere Termini ihren Weg in die japanische Sprache finden.

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[9] Vgl: Tadao Shimomiya: *Foreign Influence and vice versa,* Ms. Diss: *Proceedings of the 16th International Congress of Linguists, Pergamon, Oxford*, 1997

Bereiche, wo Anglizismen erscheinen
1. Mode und Kosmetik

Im Bereich der Mode tragen sehr viele *Kleidungsstücke* die englische Bezeichnung. Sie werden in Katakana geschrieben und haben verschiedene phonetische Änderungen vollzogen, damit sie an die japanische Sprache angepaßt werden. Einige Beispiele wären:

fasshon < fashion
fasshonaburu < fashionable
kōto < coat
jaketto < jacket
sētā < sweater
shūzu < shoes (benützt an der Stelle des einheimischen Wortes „kutsu")
sūtsu < suit
sukāto < skirt
doresu < dress
nekutai < necktie
burausu < blouse

Auch im Bereich der Mode werden einige Bezeichnungen für *Stoffe* und *Farben* durch Anglizismen ersetzt:

shiruku < silk (benützt an der Stelle des einheimischen Wortes „kinu")
nairon < nylon
burū < blue (benützt an der Stelle des einheimischen Wortes „aoi")
bēju < beige
gurē < gray (benützt an der Stelle des einheimischen Wortes „haiiro")
gurīn < green (benützt an der Stelle des einheimischen Wortes „midoriiro")
buraun < brown (benützt an der Stelle des einheimischen Wortes „chairo")
die einheimische Bezeichnung für die Farbe „schwarz" (kuroi) wird in Katakana geschrieben

Für die Bezeichnung einiger *Schmuckstücke* werden Anglizismen verwendet:

ringu < ring (benützt an der Stelle des einheimischen Wortes „yubiwa")
iyaringu < earring
nekkuresu < necklace

Im Bereich der Kosmetik treten viele Bezeichnungen in Katakana auf. Die Anglizismen sind sehr verbreitet hier:

paudā < powder
burashi < brush
nēru enameru < nail enamel
rippu sutikku < lipstick
kurīmu < cream
rōshon < lotion
emurushon < emulsion

2. Freizeit

Einige Beispiele wäre hier folgende: aus dem Bereich Musik: *poppsu* (< pop), *rokku* (< rock), *jazu* (< jazz), *raten* (< Latin American music), *kurashikku* (< classical music), *miūjikaru* (< musical), *opera* (< opera);

Einige Sportarten: *sofutobōru* (< softball), *sakkā* (< soccer), *ragubī* (< rugby), *barēbōru* (< volleyball), *basukettobōru* (< basketball), *tenisu* (< tennis), *bōringu* (< bowling), *sukī* (skiing), *sukēto* (< skating);

3. Essen und Trinken

Hier sprechen wir über: Fleischsorten: *hamu* (< ham), *sōsēji* (< sausage), über Früchte: *banana* (< banana), *remon* (< lemon), über Gemüsearten: *tomato* (< tomato), *kyabetsu* (< cabbage), über Getränke: *kōhī* (< coffee), *kokoa* (< cocoa), *jūsu* (< juice), *kōra* (< cola), über Gerichte: *batā* (< butter), *hanbāgā* (< hamburger), *furaidochikin* (< fried chicken), *sarada* (< salad), *sūpu* (< soup), *sutēki* (< steak), *tōsuto* (< toast), *yōguruto* (< yoghurt) und über Geschirr: *fōku* (< fork), *supūn* (< spoon), *naifu* (< knife), *kappu* (< cup), *gurasu* (< glass), *furaipan* (< fry pan);

4. Methodik und Didaktik

In den letzten Jahren entwickelten sich neue Techniken und Methoden um den Unterricht moderner und besser zu gestalten. Aus diesem Grund entstanden auch neue didaktische Begriffe und die Mehrheit dieser in der englischen Sprache. Einige wurden auch vom Japanischen aufgenommen: z.B. *kōsudezain* (< course design), *karikyuramu* (< curriculum), *reberu* (< level), *furasshukādo* (< flash card), *Q&A* (< question & answer), *peawāku* (< pair work), *rōrupurei* (< role-play), *infomēshongyappu* (< information gap), *tīchātōku* (< teacher talk), *fīdobakku* (< feedback), u.a.

Schlussbetrachung

Es besteht für die japanische Sprache überhaupt keine Gefahr der Überfremdung, da die Anglizismen in bestimmter Weise hinsichtlich der Aussprache, der Schreibung und der Grammatik in das Sprachsystem integriert werden. So wie die Sprache verschiedene Lehnwörter aus dem Portugiesischen, dem Deutschen aufnahm, kann sie auch die Anglizismen der letzten Jahrzehnte verkraften.

In einer Welt, wo es sehr stark an Zeit mangelt, ist die Forderung nach sprachlicher Kürze sehr hoch. Darum haben die Anglizismen viel an Bedeutung in den letzten Jahren gewonnen: englische Ausdrücke sind kurz und prägnant und wie ein deutsches Sprichwort sagt: „In der Kürze liegt die Würze!". Der aktive Gebrauch von Anglizismen findet sich vorwiegend in der Fachsprache und der Gruppenkommunikation und weniger in der Alltagssprache. Die Wörter, die nicht mehr kommunikativ relevant sind, verschwinden nach kurzer Zeit ohnehin wieder aus der Sprache.

Man darf nicht vergessen, dass jeder Sprecher selbst entscheiden darf, welche Wörter er verwendet. Der sprachbewusste Mensch wird immer neue Wörter suchen und sie spielerisch ausprobieren. Somit, gelassen und offen für alles Neue, kann der Sprecher seine eigene Sprache und ihre Wortfelder weiterhin verwenden und weiterentwickeln.

Es ist wohl damit zu rechnen, dass die Zahl der Anglizismen noch zunehmen wird. Diese Tendenz zeigt keineswegs die Dominanz eines fremden Sprachsystems, sondern ist ein Aspekt der heutigen Alltagskultur.

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THE CATEGORY OF TIME IN JAPANESE.
TOWARDS AN INTEGRALIST PERSPECTIVE

OANA SÎNZIANA PĂLTINEANU[*]

RÉSUMÉ. *La catégorie du temps en japonais. Vers une perspective intégraliste*. Dans cet article nous examinons de près la catégorie du temps en japonais, dans une perspective intégraliste. Nous présentons d'abord le cadre théorique et les concepts utilisés dans cette analyse. Ensuite, nous remarquons que la définition du concept de «non-passé» contient une ambiguïté terminologique, ce qui réclame une reconsidération du signifié unitaire du non-passé, à l'aide des principes cosériens de la fonctionnalité et de l'opposition. En poursuivant le raisonnement intégraliste, nous distinguons entre le plan fonctionnel et le plan des variantes. Dans le plan discursif l'alternance passé - non-passé est examinée en tenant compte du fait que ce phénomène ne caractérise pas seulement la langue japonaise. Cette analyse est proposée comme esquisse pour un futur projet plus élaboré.

0. Introduction.

This paper focuses on the way time is conceptualized through temporal categories found at the idiomatic level of speech (i.e. the level of the individual language), by using Eugenio Coseriu's principles of *functional grammar*. The choice of this theoretical view is motivated, on the one hand, by the fact that it enables us to carry out a clearer and more organized analysis, and, on the other hand, by the fact that it involves a constant reconsideration of each argument and line of reasoning against the reality of language structuring. Also, analysis within the integralist framework can yield relevant results for application in the process of teaching / learning Japanese as a foreign language.

Of utmost importance for any student willing to learn foreign languages is Humboldt's view on linguistic relativity, taken up and developed by Coseriu in his explanation of the level of historical languages. To recall one of the most famous Humboldtian formulations:

> Man lives primarily with objects, indeed, since feeling and acting in him depend on his presentations, he actually does so exclusively as language presents them to him. By the same act whereby he spins language out from himself, he spins himself into it, and every language draws about the people that possesses it a circle whence it is possible to exit only by stepping over at once into the circle of another one.[1]

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[1] Wilhelm von Humboldt. 1836. *Über die Verschiedenheit des menschlichen Sprachbaues und ihren Einfluß auf die geistige Entwicklung des Menschengeschlechts*. Berlin: Druckerei der Königlichen Akademie. English translation by P. Heath: *On Language. The Diversity of Human Language-Structure and its Influence on the Mental Development of Mankind*, Cambridge: Cambridge University Press, 1988, chapter 9, p. 60.

One immediate consequence is that, by proper understanding of this notion, one abandons the perception that the studied language "misses" some parts in comparison to one's native tongue. When one is not aware of this conceptual "circle", one mechanically applies sets of concepts which inevitably find inaccurate correspondents in the other language.

An example of such a grammar can be easily given. Just by opening a speed course in Japanese grammar and taking a look at the table of contents, one can find sections bearing the following titles: "Pronouns (personal, interrogative, demonstrative, relative, reflexive)", "Nouns (gender and number)" etc. This type of books, in which the authors argue that they chose the term *present* instead of *non-past* because the latter "sounds strange"[2], will find their buyers, but only those who have in mind purely practical aims (e.g. to learn Japanese for business trips).

In 1981, Coseriu described the situation of the functional grammar as being still deficient:

> Really deficient is the situation of functional grammar, especially regarding superior levels of grammatical structuring - group of words, the sentence, and the "text" (as an idiomatic grammatical "stratum", and not as a plane of language in general). In this domain, the opinion that sentence functions are universal, and "logical" rather than grammatical, thus not contributing to language diversity, is still accepted nowadays. But this is simply not true. […] Therefore, it is time we stopped attributing to languages "logical" and universal functions (functions of speech), and establish, instead, at all levels the idiomatic functions as such and their corresponding paradigms.[…] Functional syntax too, as the paradigmatics of idiomatic contents, especially at superior levels of grammatical structuring, constitutes an aim of our days and of the future.[3]

The present analysis is intended as a descriptive contribution in the area of research which focuses on laying the foundations of a functional Japanese grammar within integral linguistics. Also, complementarily, grammatical structures specific to Japanese will prove illustrative for integralist concepts and support fundamental integralist theses on language functioning. This line of research is only now beginning to take shape, so bibliographical sources are still scarce. Guidelines for the present analysis were found especially in three books published in the past several years in Cluj, which reflect this orientation at the Department of Theoretical Linguistics and Semiotics of Babeş-Bolyai University.[4]

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[2] Carol & Nobuo Akiyama, *Barron's Japanese Grammar*, New York: Barron's Educational Series, Inc., 2002, p. 93.

[3] Eugenio Coseriu, *Lezioni di linguistica generale*, Torino, 1973; Revised Spanish version: *Lecciones de lingüística general*, Madrid, 1981; Spanish version translated into Romanian by E. Bojoga: *Lecţii de lingvistică generală*, Chişinău: Arc, 2000, p. 155-156. Page numbers refer to the Romanian version. Translation into English of the quotes is mine – S.P.

[4] Emma Tămâianu-Morita, *Integralismul în lingvistica japoneză. Dimensiuni, impact, perspective* (Cluj-Napoca: Clusium, 2002), Emma Tămâianu-Morita, *Limba japoneză. Schiţe de gramatică funcţională* (vol. 1, Cluj-Napoca: Clusium, 2004), Emma Tămâianu-Morita & Tomo Morita, *Structuri gramaticale în limba japoneză. Funcţii intrapropoziţionale* (Cluj-Napoca: Presa Universitară Clujeană, 2005).

This paper presents an outline of how an integralist approach to the category of time in Japanese should be undertaken, a sketch which future research will fill out and develop. Thus, in the first section, I will introduce the theoretical perspective and the key concepts with which I operate. In an attempt to clarify the terminology used in different grammars, the second section discusses the ambiguities of concepts related to the category of time in Japanese. The question that must be formulated in light of this discussion is: *Is there only one signifié or are there more, under this umbrella-term "non-past"*? The principle of functionality proves to be instrumental in answering this question, enabling us to distinguish between the *functional plane* and the *plane of variants*. A closer analysis of the alternation between *past* and *non-past* traceable on the third plane of speech, namely the discursive plane, will also offer some food for thought in relation to the process of learning / teaching Japanese as a foreign language.

1. The theoretical perspective

This analysis of the category of time in Japanese, with a particular focus on the *non-past*, draws on the theoretical perspective elaborated by Eugenio Coseriu in *Principes de syntaxe fonctionelle* (1989*)* and in *Lezioni di linguistica generale / Lecciones de lingüística general* (1973/1981). While necessary concepts will be defined in the course of the analysis, the current section presents the fundamentals of functional grammar: (i) the definition and task of functional grammar, (ii) its principles, and (iii) its place along the other two components of grammar which complement it.

Since "the more a theory forbids, the more it tells us" (in Karl Popper's words)[5], one should start with a definition of functional grammar: "the syntax or the functional grammar […] represents the paradigmatic of the grammatical signifié".[6] Further explanation is needed in order to clarify the significance of this definition.

(a) Coseriu argues that there is no difference between grammar and syntax because all grammar is concerned with the "syntactic" combinations. Thus, he concludes, there is no "non-syntactic" grammar.

(b) The *signifié* (signified) is the content given by the language used in discourse, and represents, as such, the organization of all possibilities of designation which are specific to a certain language.[7] The signified has its place in the scheme of the three types of linguistic content, being placed by Coseriu between *designation* (content on the universal plane) and *sense* (content on the individual plane). Before defining the grammatical signifié, Coseriu presents the ancient distinction between two primary functions of language, which, in present-day terminology, correspond to *vocabulary* and *grammar*. This distinction refers to two functions: "to name" (*onomasein*) and "to say" (*legein*). The lexical signified refers exclusively to the first function mentioned, while the grammatical signified includes them both.

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[5] Karl Popper, *Unended Quest. An Intellectual Autobiography*, Glasgow: Fontana/Collins, 1976, p. 41.

[6] Eugenio Coseriu, *Principes de syntaxe fonctionelle*, in "Travaux de linguistique et de philologie", XXVII, Strasbourg-Nancy, 1989; translated into Romanian by E. Tămâianu: *Principii de sintaxă funcțională*, in "Dacoromania", new series, I, 1994-1995, no. 1-2, p. 29. Page numbers refer to the Romanian version. Translation into English of the quotes is mine – S.P.

[7] *Ibid.* p. 38.

Therefore, the grammatical signified constitutes the semantic organization which belongs to "saying" something in a language.

(c) The paradigm is defined as "an ensemble of units which are directly opposing one another *at the same level of structuring*, following that one word is opposed to other words, a group of words is opposed to other groups of words, a sentence is opposed to other sentences etc."[8]

Coseriu argues that the task of functional grammar is to establish in each case what exactly the language "says" *in and by itself*, by considering its grammatical oppositions. This means to establish for each language its paradigmatic system of oppositions, or, in other words, to establish for each language its grammatical "Weltanschauung": the specific system in which that language structures the world of events and relations which form the object of "saying".[9]

Functional grammar is based on four general principles: functionality, opposition, systematicity, and neutralization[10]. These will be further explained when used in the analysis.

Grammar, according to Coseriu, has three sections, functional grammar being one of them. The other two are: 'constitutional grammar' and 'relational grammar'. Functional grammar is considered to be central because it establishes the grammatical paradigms of a language and, consequently, conditions both the constitution of expression and the relations between paradigms. 'Constitutional grammar' refers to the material constitution (expression) of grammatical structures, while 'relational grammar' refers to the way grammatical paradigms within a language relate to one another from the point of view of designation.

2. The signifié under investigation

2.1. Terminological oscillations regarding the category of time in Japanese

This section aims to provide a bird's eye view of the French and the English usage of terms that "name" the categories of time in Japanese, with reference to their manifestations in actual teaching contexts. One can easily notice that there is an oscillation which reflects an emphasis on one value or the other, both encompassed in the *non-past*.

In France, at the *Institut National des Langues et Civilisations Orientales* (INALCO), both basic and more advanced concepts are introduced from the first year of study[11]. Students are taught that there are three types of verbs ("les mots

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[8] *Ibid.* p. 49.

[9] *Ibid.* p. 30.

[10] See Eugenio Coseriu, *Lezioni di linguistica generale*, Torino, 1973; Revised Spanish version: *Lecciones de lingüística general*, Madrid, 1981; Spanish version translated into Romanian by E. Bojoga: *Lecții de lingvistică generală*, Chișinău: Arc, 2000, p.157-216. Page numbers refer to the Romanian version.
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[11] The description is based on my personal experience as an international student at the French institution, in the academic year 2003-2004. For the following classification I used several unpublished (multiplied) textbooks designed for INALCO students by Terada Sumie (Exercices d'application - Jap 105), Jean-Michel Butel, Emmanuel Lozerand, and Sumikazu Nishio (Structure de la langue II - Jap 200), Takeshi Niwa (Expression écrite II - Jap 202).

verbaux de type 1": *yodan* / *godan*, de "type 2": *ichidan*, de "type 3": (*iku*), *suru*, *kuru*) and six basic forms, those of traditional Japanese grammar (*mizenkei*, *renyōkei*, *shūshikei*, *rentaikei*, *kateikei*, *meireikei*).

Catherine Garnier further divides these forms into two categories:[12]

(1) "formes de liaison": *renyō* ("forme suspensive-conclusive"), *rentai* ("forme déterminante"), *mizen* ("forme indéterminée"), *katei* ("forme conditionnelle");

(2) "formes de césure": *shūshi* ("forme conclusive"), *meirei* ("forme impérative").

In 1994, when researchers considered that there were insufficient general studies about the Japanese language written in French, Reïko Shimamori published a book which was to become a reference work for INALCO students – *Grammaire Japonaise Systématique*. The author uses the terms *passé* / *non-passé* in the following context:

> Le «temps», représenté par l'opposition passé / non-passé en japonais, est une valeur relative au moment de l'énonciation (c'est á dire «avant maintenant» et «après maintenant»); autrement dit, le «temps» est une valeur déictique.[13]

France Dhorne summarizes these oscillations, and makes the connections between the above mentioned classifications and Shimamori's concepts:

> Ce qu'on appelle «forme en -*u*» habituellement est la base conclusive (*shūshikei*) de la conjugaison des verbes. […] On la définit comme une forme d'attemporel ou de non-passé (*hi-kako*), d'imparfait (*mizen*) ou de l'inaccompli (*mikanryō*) (cf. Katō et Fukushi, 1989 [*Tensu, asupekuto, mūdo*, Aratake Shuppan]). C'est la forme d'une absence, elle n'est pas ce que les autres sont.[14]

> Aussi même l'appelation de «non-passé» pour réunir toutes les valeurs citées, comme le suggèrent Katō et Fukushi, est-elle impropre.[15]

In English terminology as well we can find a certain ambiguity when it comes to naming the category of time in Japanese. One can observe, first of all, a confusion between styles (levels of formality), which is reflected at the level of terminology. For example, some authors consider that reference to the future can be made by using the dictionary form of the verb (i.e. the informal non-past):

> There is no morphologically unique form to refer to the future. Reference to the future may be made with the –*ru* form of nonstative verbs, although there will be some indicator of uncertainty involved.[16]

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[12] Catherine Garnier, *La phrase japonaise. Structures complexes en japonais moderne*, Paris: Publications orientalistes de France, 1982, p. 16.
[13] Reïko Shimamori, *Grammaire Japonaise Systématique*, vol. 2, Paris: Jean Maisonneuve, 1994, p. 129.
[14] France Dhorne, *Aspect et temps en japonais*, PhD Thesis coordinated by Antoine Culioli (Université de Paris VII), 1994, p. 407.
[15] *Ibid.* p. 419.
[16] John Hinds, *Japanese*, London and New York: Routledge, 1986/1988, p. 296.

On the other hand, there are voices which claim that "there is no future tense form, and that the present tense form serves that function."[17]

To sum up, these oscillations signal confusions between time and aspect, and between different styles of the language. The problem with all these approaches lies in the insufficient consideration, or even the absence of a notion of a *unitary signifié* of this form.

For the purposes of this analysis, the working terms used are *past / non-past*.

2.2. The value *non-past* and its unitary signifié (idiomatic content)

The previous section raised a crucial question about the unitary signified and its importance for the analysis of the category of time: *Does the value 'non-past' encompass two signifiés or just one unitary signifié?* In other words, the question is whether "present" and "future" are the two different signifiés corresponding to the form of non-past, i.e. two contents functionally differentiated in the system of language itself. In this case, following the logic of integralist functional grammar, the answer will stem from the principle of "functionality", correlated with the principle of opposition.

Coseriu argues that there is not necessarily a one-to-one relation between forms and contents. He further refines the analysis and provides a scheme, which visually draws the difference between identical forms (which have as correspondents two or more signifiés) and single signifiés (which have as correspondents two or more forms)[18]:
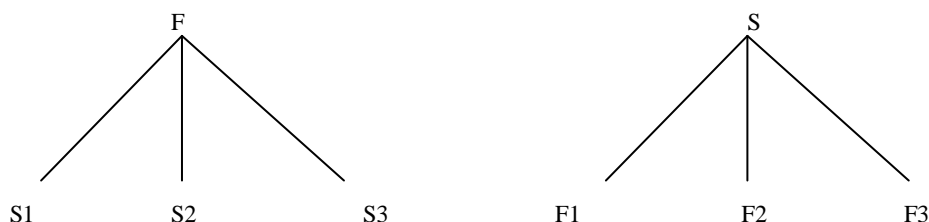
As a first step in our attempt to establish the signifié for what is called the "dictionary form" of the Japanese verb, we will suppose that we have two signifiés (present and future), thus choosing the first scheme for our analysis. But how could we prove that S1 is different from S2, given the fact that there is no change in form? In this case, very instrumental is the unitary signifié, the corollary of the principle of functionality, according to which "for any distinct linguistic form, both in grammar and in vocabulary, one has to assume, first of all, that there is a unique signifié, which means a unitary signifié valid for all the contexts in which the analyzed form appears, and which can justify the acceptations of this form as being motivated by contextual

[17] Yoko Matsuoka McClain, *Handbook of Modern Japanese Grammar*, Tokyo: The Hokuseido Press, 1981, p. 18.

[18] Eugenio Coseriu, *Lezioni di linguistica generale*, Torino, 1973; Revised Spanish version: *Lecciones de lingüística general*, Madrid, 1981; Spanish version translated into Romanian by E. Bojoga: *Lecţii de lingvistică generală*, Chişinău: Arc, 2000, p. 169.

determinants."[19] Continuing this line of reasoning, Coseriu tackles the problem of "zone of significance", in which different acceptations of a form have to be included. Then, we should not think of the signifié as being a "punctual" signifié, since 'a "unitary signifié" […] is not a point: it is a zone of significance delineated by language.'[20] Furthermore, Coseriu distinguishes between three types of unitary signifiés:[21]

(i) a unitary signifié that encompasses or "contains" all the acceptations; which means that every acceptation is this very unitary signifié plus a contextual determinant;

(ii) a unitary signifié that justifies the other types of variants although it does not "contain" them, as such;

(iii) a unitary signifié that "contains" its acceptations, while all types of acceptations seem to be ordered in a specific way.

The problematic of this section comes to a final solution by bringing into discussion the principle of opposition, thus justifying the choice of the first type of unitary signifié for our analysis. Since the principle of opposition means that we should look for opposing units in language, we could easily distinguish between "past" and "non-past" ("present"+"future", as a single unit). The latter exists only because there is a unit for "past". Therefore, the non-past conceptualizes "in an undifferentiated and unified manner the reference to events simultaneous to the moment of speech (*the present* in other languages) and the reference to events ulterior to the moment of speech (*the future* in other languages)."[22] In Japanese, there are both grammatical and lexical means to express these two references of the idiomatic unit 'non-past'. Thus, adverbs, adverbial phrases and nouns with a temporal content make the distinction between future and present reference, and not the verbal form in and by itself.

3. The value *non-past* in the functional plane and in the plane of variants
The principle of functionality starts from the postulate of the solidarity between the two sides of the linguistic sign: the signifier, or the plane of expression, and the signified, or the plane of content. By applying this principle, we can also distinguish between the functional plane (that of the unitary idiomatic content) and the plane of designational variants (contextual determinations of the unitary signifié). Functional grammar emphasizes the primacy of the signifié because "languages are essentially semantic structurings of the extralinguistic world, and therefore, the differences in expression are nothing but means of manifestation of the semantic distinctions, of the identities and differences expressed in the plane of content."[23] The terminological oscillations presented in section **2.1.** prove that the structuring of the Japanese grammatical content was not fully separated from semantic factors outside the language itself.

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[19] *Ibid,* p. 173.
[20] *Ibid,* p. 175.
[21] *Ibid,* p. 175-181.
[22] Emma Tămâianu-Morita, *Limba japoneză. Schiţe de gramatică funcţională*, vol. 1, Cluj-Napoca: Clusium, 2004, p. 31.
[23] Eugenio Coseriu, *Lezioni di linguistica generale*, Torino, 1973; Revised Spanish version: *Lecciones de lingüística general*, Madrid, 1981; Spanish version translated into Romanian by E. Bojoga: *Lecţii de lingvistică generală*, Chişinău: Arc, 2000, p. 36.

We will take as an example the verb *shinu.* Before analyzing more closely the series of acceptations of the verb *shinu*, it is worthwhile mentioning two classifications that bring forth a more nuanced perception of values, or variants. It is also important to have more examples in our analysis in order to have a better understanding of these variants and the way they are interpreted. Reïko Shimamori not only observed that verbs of action are used for making future references, but she also pointed out two values of these verbs: a generic value (illustrated by sayings, for example: *Rui wa tomo wo yobu*). and a habitual/repetitive one (*Watashi wa maitoshi natsuyasumi ni umi e ikimasu.*).[24] France Dhorne considers that "la forme en -*u*" marks "l'atemporalité" (*Chikyū wa taiyō no mawari wo mawaru.*) and "l'habitude" (*Watashitachi wa, futsū, tokei wo tsukatte jikan wo hakaru.*).[25] The outcome of the two authors' approaches is very similar, although Shimamori limits her interpretation to verbs of action, while Dhorne refers to the dictionary form of the verb.

With Coseriu's guidelines in mind, we will note, for instance, that the non-past of the verb *shinu* can acquire, in individual speech or in "texts", a series of acceptations. In *Hito wa shinu*, the reference is made to an eternal, unlimited present. Another example would show that *shinu* also has a frequentative value, when it comes to describing daily events: *Mainichi kōtsūjiko de ooku no hito ga shinu*. The verb could have an iterative value if the event had only a repetitive character. All these values can be identified both in texts and in concrete acts of oral speech, but they are not specific functions of Japanese, as a language, because these differences are not expressed through different tense forms of the verb itself. Therefore, one can conclude that in Japanese there is no difference between "eternal", iterative, and frequentative, because all these are expressed by means of the same function, and they stand as contextual variants of the same signified. These variants have to be considered as facts that belong to the plane of the so-called "Sprech- / Redebedeutungen". Thus, in Coseriu's terms:

> a unit 'is realized' or 'is manifested' through its variants, and the variants *represent* or *express* the unity, being distinguished among themselves by the fact that they receive contextual and situational determinations, while being in the process of realization: they constitute the unity they represent, and also something more, or they *are* the same unity, but modified in different contexts.[26]

4. Past and non-past in the discursive plane

In my view, analysis of the discursive plane – often overlooked in foreign language teaching, especially at beginner level – is important in the highest degree for foreign students of Japanese. In the case of the topic under investigation here, the most relevant phenomenon is that of tense alternation in texts. The difficulties posed by this phenomenon are apparent both in tasks of translation, and in tasks of composition, where using this alternation in a natural way seems to be extremely complicated for native

[24] Reïko Shimamori, *Grammaire Japonaise Systématique*, vol. 1, Paris: Jean Maisonneuve, p. 56.
[25] France Dhorne, *Op. cit*. p. 417.
[26] Eugenio Coseriu, 1973/1981. *Lezioni di linguistica generale*, Torino, 1973; Revised Spanish version: *Lecciones de lingüística general*, Madrid, 1981; Spanish version translated into Romanian by E. Bojoga: *Lecții de lingvistică generală*, Chișinău: Arc, 2000, p. 166.

speakers of European languages. More thorough research from a contrastive point of view between Japanese and other languages is undoubtedly needed in order to unriddle the question of possible interidiomatic correspondences in cases of alternation. In this section, I will restrict my presentation to formulating the problem, on the basis of some interpretations of the alternation between past and non-past in the discursive plane.

In their well-known work of wide circulation among foreign learners of Japanese, Makino and Tsutsui[27] approach the issue starting from the analysis of a fragment from Yasunari Kawabata's *Yama no Oto*. They argue that non-past is used when the author refers to the circumstances in which the main character finds himself, while the past is used when his feelings and actions are described. Furthermore, they claim that this alternation is at the author's disposal in order to differentiate between one stage and the chronological events within that stage. Therefore, the past is used to express the drama, and the non-past is used to render the less important information, pertaining to circumstances. In general terms, Makino and Tsutsui formulate the following principle: "A part of a past event (often a state rather than an action) can be described using the nonpast, if the writer perceives it to be relatively unimportant circumstantial information that has no direct bearing upon the major story line."[28]

Soga and Kudo perceive this alternation as having stylistic implications, and they attribute a characteristic of vividness to texts which use the past.[29] In his turn, Hopper uses the model of the "foreground-background" for narratives, situating the major events in the past.[30] Shimamori does not attempt to establish a precise pattern, but rather she focuses on the effects of using the alternation: subjectivity, rendering a vivid atmosphere, bringing the events to a more visible zone. She also imagines the monotony of a text, if only the past were to be used.[31]

A more sophisticated model is put forward by Dai Sato, Keigo Kumamoto and Shigeru Sato.[32] They define a "temporal progression model" applicable to the way in which the reader reconstructs the chronology of the narrated events. The authors designed a special program in order to test their assumption statistically. It is precisely this quantitative approach that can be subjected to criticism: their analysis does not distinguish between literary trends or the personal style of the author. The singularity of the text is completely ignored.

In my opinion, a suitable and refined analysis should take as its starting point a qualitative perspective. One should keep in mind the observation made by Binnik: the alternation described above is not a unique phenomenon, and thus it is not

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[27] Seiichi Makino & Michio Tsutsui, *A Dictionary of Intermediate Japanese Grammar*, Tokyo: The Japan Times, 1995.

[28] *Ibid.*, p. 37.

[29] Matsuo Soga, *On Japanese Tense and Aspect*, apud. Dai Sato, Keigo Kumamoto & Shigeru Sato. *Reconstructing Temporal Structures in Japanese Scene-Depicting Texts*, in Haoru Horie & Shigeru Sato (eds.), *Cognitive- Functional Linguistics in an East Asian Context*, Tokyo: Kuroshio Publishers, 2001, p. 106.

[30] Paul J. Hopper, *Aspects and foregrounding in discourse. Syntax and semantics*, apud. Dai Sato *et al.*, *Reconstructing Temporal Structures in Japanese Scene-Depicting Texts*, in Haoru Horie & Shigeru Sato (eds.), *Cognitive- Functional Linguistics in an East Asian Context*, Tokyo: Kuroshio Publishers, 2001, p. 106.

[31] Reïko Shimamori, *Grammaire Japonaise Systématique*, vol. 1, Paris: Jean Maisonneuve, 1994, p. 57-58.

[32] Dai Sato, Keigo Kumamoto & Shigeru Sato. *Reconstructing Temporal Structures in Japanese Scene-Depicting Texts*, in Haoru Horie & Shigeru Sato (eds.), *Cognitive- Functional Linguistics in an East Asian Context*, Tokyo: Kuroshio Publishers, 2001, p. 105-131.

limited to Japanese.[33] Following the same lines, in an attempt to prevent constructing myths, one should mention that Japanese does not stand alone through its category of time and corresponding values. Finnish and Old English can be taken into account for a future comparative study, based on this common denominator: the category of time and its values.

5. Concluding remarks

In this paper, I approached the category of time in Japanese, with an emphasis on the value of non-past, from an integralist perspective. The aim was to articulate a general framework for dealing with this issue, dissociate the issue in more specific questions and indicate the area or level of linguistic structuring to which each question pertains.

In this context, Coseriu's theory of functional grammar can serve both as an explanatory apparatus, and simultaneously, as an incentive for thinking in clear terms. The principles of functionality and of opposition allow for finding a way out of a terminological impasse which is indicative of much deeper conceptual incoherence regarding the understanding of idiomatic content. The discussion was carried out bearing in mind the relevance of each issue for foreign students of the Japanese language.

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[33] Robert I. Binnick, *Time and the verb*, Oxford: Oxford University Press, 1991, *apud*. Dai Sato *et al.*, *Reconstructing Temporal Structures in Japanese Scene-Depicting Texts*, in Haoru Horie & Shigeru Sato (eds.), *Cognitive- Functional Linguistics in an East Asian Context*, Tokyo: Kuroshio Publishers, 2001, p. 106.

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ANTON PAVLOVICH CHEKHOV, *WARD No. 6*
AND RYUUNOSUKE AKUTAGAWA, *KAPPA*.
MEDITATION ON THE HUMAN CONDITION

RODICA FRENŢIU[*]

RÉSUMÉ. *Anton Pavlovich Chekhov, <u>La chambre n° 6</u> et Ryuunosuke Akutagawa, <u>Kappa</u>. Réflexions sur la condition humaine*. Cet article propose une étude comparative des nouvelles d'Anton Pavlovich Chekhov, *La chambre n° 6* (1892), et de Ryuunosuke Akutagawa, *Kappa* (1927). La nouvelle de Chekhov ayant été traduite en japonais au début du vingtième siècle, l'une de ces traductions étant le fait de Yasunari Kawabata, il est fort probable qu'Akutagawa ai pu lire *La chambre n° 6* avant d'écrire la nouvelle intitulée *Kappa*. Dans la première partie de cet article nous exposons différents éléments dont l'identification nous permet de suggérer que l'œuvre intitulée *Kappa* peut être relu comme une réécriture de la nouvelle de Chekhov. Puis nous avons considéré les trois personnages principaux dans les œuvres respectives : I. D. Gromov, A. E. Reghin et le patient numéro 23, essayant chacun de trouver la notion d'humanité dans le diagnostique de leur folie. En nous appuyant sur le «sentiment tragique de la vie» tel que le défini Miguel de Unamuno, nous avons mis en exergue les hypostases qui, dans l'œuvre de l'écrivain russe et dans celle de l'auteur japonais, proposent un point de vue identique, une réflexion similaire sur la condition humaine.

At the beginning of the Meiji period, Japanese literature had the rare and unusual privilege for a culture closed for so many centuries to come into contact with European literature, with everything that the aesthetic complexity of different literary manifestations originating in various cultures and promoting diverse, often divergent literary trends, meant at the time. The astonishing ability to assimilate, the power to synthesize and combine literary concepts from various cultural environments led to an aesthetic synchretism in Japanese culture that is almost unique in world literature. Thus, in the Meiji period, the aesthetics of late Romanticism met harmoniously with the aesthetics of Realism and that of Naturalism. At the same time, one cannot ignore the interest Japanese writers showed in the new poetic forms of the end of the 19th and the beginning of the 20th century, like Symbolism or early Modernism. It should be noted that this openness to European trends, whether declining or at their peak, blended harmoniously with Japanese poetic sensitivity which, in spite of inherent linguistic barriers, did not exclude from its quest for knowledge any of the major European literatures of the day. Thus, Russian literature enters Japanese literary conscience, along French, English or German literature (Anatole France, Swift, Strindberg, Nietzsche), establishing itself through its greatest names, like Tolstoy, Dostoyevsky or Chekhov (see Katou 1998:833).

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Due to the translation of writers belonging to very different literary trends and European cultural spaces, without exception, the generations of Japanese writers formed in the first two decades of the 20th century could become aware of the variety of poetic forms and tendencies manifest in the European literature of the period.

Educated in the spirit of modernism, the one who built the bridge "entre le Japon et l'Europe" (Ceccatty, in Akutagawa 2005:9), Ryuunosuke Akutagawa, one of the most representative Japanese writers of the 1920s, read Strindberg and Baudelaire with the frenzy of having recognised his own torments in their work, and even said that "La vie humaine ne vaut pas même une ligne de Baudelaire" (apud Ceccatty, in Akutagawa 2005:10). To the young Japanese writer, the hold of the ideology imposed by the literary practice of the day had started to dwindle, the ability of literature to organise the consciousness of modernity, according to the opinion expressed by Akutagawa's generation, eventually leading to a failure consciously assumed by literary experience (see Lippit 1999:30). Thus, one of his stories, *Kappa*, is a political-social fantasy that describes through popular mythological characters called *kappa* the daily and intellectual life of the time that inevitably ends up ridiculed, following the thematic line initiated in Japanese literature by Natsume Souseki with *I am a cat* and with world literature precursors like Anatole France with *L'Ille* or Jonathan Swift with *Gulliver's Travels* (cf. Ceccatty, in Akutagawa 2005:12).

1. A possible "rewriting"of *Ward No. 6* (1892): Ryuunosuke Akutagawa, *Kappa* (1927)

The astounding sense of precision revealed in his description of human traits, as well as the profound humanity reflected in his work, made A. P. Chekhov one of the most appreciated Russian writers to enter the Japanese cultural space. The authenticity of his expression of reality imposed Chekhov to the Japanese writers of the first half of the 20th century. While, loyal to a personal view of life, Chekhov combined lucid irony with a sharp analysis of the human character, his works reveal a profoundly human feeling that does not cease to manifest itself even in his most sombre or naturalist descriptions.

Beyond the differences in vision and cultural identity, structural affinities can be found between the Russian writer A. P. Chekhov and the Japanese writer Ryuunosuke Akutagawa, especially their amazing ability to essentialise their writing. In Chekhov's case this leads to conciseness and the precision of his radiography of the human soul, sometimes to the detriment of action, and in Akutagawa's case to what critics have called "a novel without story" (Lippit 1999:35).

Chekhov's *Ward No. 6* and Ryuunosuke Akutagawa's *Kappa* best express the way in which the tendency to essentialise both characters and action, leads to a real economy of artistic means, the mechanisms of literary expression being reduced to a minimum. If Chekhov takes an almost clinical X-ray picture of his 'patients'' souls, placing the storyline in the background and thus losing it in the details of the characters' clinical symptoms, Akutagawa succeeds in describing with astonishing precision a world populated by unusual beings, called *kappa*, completely discarding the epic conflict without diminishing, however, the fictional character of the story.

Making man a sort of axis of the world, Chekhov expresses the issue of life objectively, "as it is and as it should be" (Chekhov 1957:20). However, accused at the time of "indifference towards good and evil", of "lack of ideals and ideas", and of "objectivity", by replying to these accusations the Russian writer tried to differentiate the aesthetic meaning of literature from its moral meaning, favouring aesthetics explicitly: "[…] you want me to say by describing horse thieves: stealing horses is bad. But they have known this for a long time even without my saying it. Let them be judged by jurors, my role is only to show what the thieves are like" (Chekhov 1957:37). To Chekhov, one of the essential features of a writer is his ability to lucidly understand life. Thus, for those who have made studying life their purpose, man is, as the Russian writer believes, as necessary as "the star to the astronomer" (Chekhov 1957:144). That is why Chekhov will try to express in his work the right of every man, insignificant as he may be, to life (see Bunin 1960:422) and it is not coincidence that the common man's joys, suffering, deceits and dreams of another life – an "unbelievably beautiful" one as Gromov, the lunatic from *Ward No. 6*, says – in permanent conflict with the reality of life, is one of the most frequent themes in his work.

Critics consider the publication of *Ward No. 6* in 1892 a special moment in Anton Pavlovich Chekhov's literary evolution (see Teodorescu 1981:52). At the time, however, the writer said that this was a "boring" short story, as "love and woman" were missing from it, considering it "a piece" written "by chance and out of recklessness" (Chekhov 1999:527). But, contrary to its author's opinion, this short story, seen as a "miniature description" of contemporary Russian society, never passed unnoticed, making Nikolai Leskov say: "*Ward No. 6* is everywhere – it is Russia herself" (in Chekhov, 1999:1).

The *Ward*, which its creator thought should be "repainted", because of the stench (see Chekhov 1999: 527), begins with the description of the building in a pathetic state of decay: "In the hospital yard there stands a small lodge surrounded by a perfect forest of burdocks, nettles, and wild hemp" (Chekhov 1992: 267) and of the ward, where "there is a stench of sour cabbage, of smouldering wicks, of bugs, and of ammonia" (Chekhov 1992: 268), where, on the five beds bolted to the floor, sit the insane. The world revealed by Chekhov with such sadness and sense of his own belonging to it, a world that he felt was condemned to aimless wandering, by the power of destiny which seems to work against man, belittling and ridiculing him, seems to find the solution to the crisis in its very disfunctionality. "Has this Russian writer not discovered, wondered the critics, a force of the ridicule through which it could establish tragedy?" (Săvulescu 1981:213).

Miguel de Unamuno, not knowing what to call the consequences of the existential datum, called it "the tragic sense of life" (see Unamuno 1995), saying that not only individuals can have it, but entire nations. It is significant that this sense does not result from ideas, but "determines" them directly, as Unamuno (1995:16) thinks, these ideas reacting then upon the tragic feeling, "confirming" and imposing it by the force with which it manifests itself. *Ward No. 6* does not constitute an exception in Chekhov's work, it expresses this *tragic sense of life*, a sense which fills the lucid Chekhovian heroes with a thirst for life, making them

see "painfully" and hide "in shame" (Gorki 1960:307). And then it is not surprising that a piece of writing that became the expressive formula of the spirituality of its time stirred, shortly after its publication, the interest of other cultures.

Ward No. 6 was first translated into Japanese in 1907 by Senuma Kayou, and then retranslated in 1922 by Yasunari Kawabata (cf. Simu 1994:118). As he was great friends with Ryuunosuke Akutagawa (1892-1927), Natsume Souseki's most beloved student and disciple, Kawabata must have told him about *Ward No. 6* as he was translating it. An indication of this might be the beginning of *Kappa*, published in 1927: "Kore wa aru seishinbyouin no kanja – dainijuusanbangou ga darenidemo shaberu hanashi de aru." (Akutagawa 1946:5). Could it just be coincidence that the Japanese writer chose to depict society and express his own thoughts about the people in it through the words of a madman, just as Chekhov had done?!

Kappa is a short story which transcribes the personal experience of a man lost in the world of the fantastic *kappa* animals. *Kappa* is a mythological being on whose whims the people of ancient times blamed the drowning of people and animals (in Akutagawa 1994:54). According to popular belief, *kappa* is a short creature covered in scales, with bulbous eyes and fish-like membranes between its fingers. On its head it has a dent filled with water which, if it spills when the *kappa* is on land, causes it to lose its vital force (cf. *Nihongo daijiten* 1995:405). The description of the *Kappa* community, considered a satyre to human society, ridiculing erotic prejudices, business, politics (see Simu 1994:12), could be interpreted as a rewriting of *Ward No. 6*. The same approach, the narrator speaking in the first person, as well as the incursion into the mental universe of individuals excluded from the society of sane people, suggest a close connection between the two literary works. Moreover, a certain narrative exigence noticeable in drastic epic and stylistic reduction, the storyline following the flow, often contradictory or even illogical, of an inner voice which observes the world from the outside, gives the two stories essential common traits. Another element that brings the two stories close, and situates them on the same conceptual level is the satyrising vision, the satyrical pretext through which the two authors' contemporary societies are observed – using in Chekhov's case a sort of Shakespearean "madness" which expresses with lucidity a certain state of facts, and in Akutagawa's case a much more acid expression, describing a world in which everything contradicts human mentality.

With admitted mentors like Nietzsche, Tolstoy and Dostoyevsky, and a Romantic structure, Ryuunosuke Akutagawa supported, critics believe, an aestheticism which saw life as an act of hostility towards art (see Simu 1994:12). His sombre pessimism and desperate scepticism sharpened his sensitivity into disequilibrium and, in poor health and tortured by existential dilemmas, disgusted with a world he thought was nearing the end, Akutagawa put an end to his life when he was still very young, in 1927, the same year he wrote *Kappa*.

2. People and madmen at once: Ivan Dmitrich Gromov, Andrey Yefimitch Ragin and patient no. 23

By taking an X-ray picture of the society of the time, even in his private correspondence, Chekhov was trying to find a cure for its evils, believing that imposing an image like that of the *hero* would be more than necessary for the "salvation" of

society (see Chekhov 1957:49). If we look at the characters in *Ward No. 6*, we notice that the meaning that the Russian writer gives the term "hero" is a peculiar one. The hero of ancient tragedies or the Romantic hero is replaced in Chekhov's short story by the image of an anti-hero, by a madman called Ivan Dmitritch Gromov, who "liked people, but owing to his irritable temperament and suspiciousness, […] never became very intimate with anyone, and had no friends." (Chekhov 1992:273).

Time and again it has been said that the line between 'sane' and 'insane' can be difficult to define and that no one has been able to prove "scientifically" that man must be cheerful by nature. That is why, in Miguel de Unamuno's view, simply having a conscience is already an illness that differentiates man from the other animals (cf. Unamuno 1995:16). And Chekhov's character, Ivan Dmitritch Gromov, is convinced that when the conscience of his contemporaries awakens and recognises its diseases "society must see its failings and be horrified" (Chekhov 1992:273) . But one day, Ivan Dmitritch, overwhelmed by this consciousness "that the force and violence of the whole world was massed together behind his back and was chasing after him" (Chekhov 1992:279), withdraws in his insanity and goes into the others' oblivion, leaving the doctor Andrey Yefimitch Ragin, who has come to see him, the burden of the consciousness of being in the world. After seeing Gromov, Andrey Yefimitch, faithful to his view, says that "one should not interfere with people who are going out of their minds" (Chekhov 1992:279), and offers him shelter in Ward no. 6, whose patient he himself will become one day.

Ragin, whose "step is soft, and [whose] walk is cautious and insinuating" (Chekhov 1992:283), seems to have promised himself never to use the imperative. Having become a doctor at his father's insistence, he ends up considering medicine useless as long as it cannot eradicate death. As, like Gromov's, his greatest joy is the pleasure to read, he lives a lonely life, regretting that in the provincial town where he lives he cannot find worthy partners of discussion. Unlike Gromov, who divides society into scoundrels and honest people, Ragin treats everybody with contemptuous indifference thus erasing any differences (cf. Teodorescu 1981:52). Critics have noted that the two heroes, related through their desire to consider themselves intellectuals, therefore different from the rest of the world, could be seen as upturned images of one another: "What matters is that you and I think" (Chekhov 1992:314), says Ragin to Gromov, "we see in each other people who are capable of thinking and reasoning, and that is a common bond between us however different our views." (Ibidem). The existence of Ward no. 6, this hallucinatory universe that appears as an essential appendix of the world outside, raises a series of questions whose answers are difficult to fathom in the fictional context, Chekhov managing to create with minimal means a world in which, in the view of some critics, represents Russia herself (see Teodorescu 1981:56).

Ivan Dmitritch Gromov, in a permanent state of uncertain expectation, seems to have answers, but hesitates long before talking to his fellow people, and when he does, he starts speaking with great passion and enthusiasm: "His talk is disordered and feverish like delirium, disconnected, and not always intelligible, but, on the other hand, something extremely fine may be felt in it, both in the words and the

voice. When he talks you recognize in him the lunatic and the man. It is difficult to reproduce on paper his insane talk. He speaks of the baseness of mankind, of violence trampling on justice, of the glorious life which will one day be upon earth, of the window-gratings, which remind him every minute of the stupidity and cruelty of oppressors. It makes a disorderly, incoherent potpourri of themes old but not yet out of date." (Chekhov 1992:271).

The nameless patient no. 23 in *Kappa*, a sort of *double* of Ivan Dmitritch Gromov, already committed to the *Ward*, is also in the habit of looking somewhere beyond himself when he speaks, as if he could actually see the strange world he describes. Moreover, when he finishes his story, he takes an aggressive stance, as if preparing to fight an invisible enemy: "Tachimachi genkotsu o furimahashinagara, darenidemo kau okoridonari tsukeru de arau. 'Dete ike! Kono akutoumega! Kisama mo bakana, shittobukai, waisetsuna, zuuzuushii, unuborekitsuta, zankokuna, mushi no yoi doubutsu nandarau. Dete ike! Kono akutoumega!" (Akutagawa 1946:5).

In his story, patient no. 23 speaks of a walk in the mountains enveloped in mist, where he meets a *kappa*, that he first catches a glimpse of on the round dial of his watch. Believing he is being followed by the *kappa*, the patient slips into an unseen hole in the ground, becoming unconscious. When he wakes up he sees himself surrounded by *kappa* beings, his first impression being that, paradoxically, the street he is in looks very familiar to him: "Boku no ryougawa ni narande iru machi wa sukoshimo Ginzadoori to chigahi arimasen." (Akutagawa 1946:7). If the *kappa*'s living standards are not that different from the human's, they have a habit, that patient no. 23 considers most strange, even absurd, to ridicule the things that people take seriously and the other way around, to take seriously the things that people find amusing. Thus, if for man the concepts of "justice" and "humanity" are very serious things, a *kappa* burst into laughter when they are mentioned. Through his journey in the imaginary land of the *kappa*, patient no. 23 is offered the opportunity to see from another point of view the number of problems that a society can be faced with, and maybe to find ways of solving these problems. And if Ivan Dmitrici Gromov, Chekhov's character, is waiting for the day when there will be no more barred windows, patient no. 23 is waiting for a new opportunity to return to the land of the *kappa*: "Ikitai no dewa arimasen. Kaeritai to omohidashita no desu. Kappa no kuni wa touji no boku niwa kokyou no yau ni kanzeraremashita kara." (Akutagawa 1946:40).

Spinosa writes in his *Ethics* that "all things, while existing in themselves, strive to persevere in their being, and the effort with which every thing tries to persevere in this being is nothing but the actual essence of the thing itself" (apud Unamuno 1995:8-9). Applied to man, this essence seems to be nothing but the "the endeavour, the effort that man makes in order to go on being a man, in order not to die" (Unamuno 1995:9). In this sense, philosophy answers our need to fashion a unitary and complete view of life and the world for ourselves and, as a consequence of this view a feeling that generates a personal attitude and even action is born. It is paradoxical, however, that this feeling, instead of being the consequence of this view, is in fact, its cause. Our philosophy, that is the way we do or do not understand life and the world, stems from our feeling about life itself (cf. Unamuno 1995:6).

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3. *Ward No. 6* and *Kappa* – meditation on the human condition

Homo sum; nihil humani a mi alienum puto, said the Latin comedian. Miguel de Unamuno transforms the famous sentence into *Nullum hominem a me alienum puto*, or *I am human and I do not think any man strange* (Unamuno 1995:5). Critics state that what Chekhov stresses first and foremost in his work is the inept way in which people live their lives (apud Săvulescu 1981: 48) and the explanations and excuses that they look for essentially do nothing but justify their failures. Through the dialogue between the two protagonists of the short story, following Plato's model of dialogue as revelation of the truth, the compulsive Gromov will try to prove that suffering is the product of external factors, thus this suffering can only be cancelled by cancelling the external factors, and the contemplative Ragin will try to demonstrate that suffering is part of the innermost structure of the human condition, and therefore it can only be cancelled through self-improvement (see Teodorescu 1981:55). The dialogue, carried out first by *the outsider* and *the insider*, as Ragin is still a doctor and Gromov a patient, changes, and it is eventually carried out from an equal standing, as the two interlocutors are now both occupants of Ward No. 6. Even though the two have a different view of life, this difference brings them closer instead of pushing them apart. To Andrey Yefimitch Ragin, the wise man is the one who, by thinking, seeks to get to the essence of things, despising suffering and, as a result, not letting himself be impressed, and thus "is always content" (Chekhov 1992:308). But to Ivan Dmitritch Gromov, suffering is the very essence of life: "To my mind, that is just what is called life. The lower the organism, the less sensitive it is, and the more feebly it reacts to stimulus; and the higher it is, the more responsively and vigorously it reacts to reality." (Chekhov 1992:309).

The meditation-dialogue on the human condition, Gromov's "You should be philosophical" (Chekhov 1992:339) helps the two protagonists understand their own destiny. The courage to live, the courage to assume one's condition, becomes a defining formula for man's existence in the world: - "I have lost heart, my dear fellow" (Ibidem), Ragin will tell Gromov when he becomes a Ward no. 6 patient himself, "trembling and wiping away the cold sweat, I have lost heart. " (Ibidem).

In Akutagawa's story, the essence of religion in the *Kappa* society is life itself, called "the religion of life" where the "judges" are considered to be *Faith*, *Circumstance*, *Chance* and *Heredity*: "Wareware no unmei o sadatameru mono wa shinkou to kyouguu to guuzen to dake desu." (Akutagawa 1946: 35). In the *kappa* universe, birth becomes a personal choice, the equation of the existential datum being thus eliminated: "Omae wa kono sekai e umarete kuru ka dou ka, yoku kangaheta ue de, henji o shiro. " (Akutagawa 1946: 10), and death can be brought about by simply naming it which makes the *kappa* able to also choose the moment of their disappearance, "Wareware kappa no shinkeisayou wa anatagata no yori mo bimyou desu kara ne. " (Akutagawa 1946: 28).

Chekhov's and Akutagawa's heroes also remind us of the contradiction of the human condition: on the one hand, man yearns for never-ending life and, on the other hand, he believes that life is not as valuable as it is said to be. We are reminded thus that, in fact, man only lives on contradictions or in order to overcome them, that life is, ultimately, a battle, victory and defeat blending into each other in many cases. Understanding this emotional value that life entails and accepting the fact that emotional values override arguments (cf. Unamuno 1995:13), the rereading of

Ward No. 6 and *Kappa* gives them new dimensions. If in Chekhov's work the horizon of insanity becomes the only way to escape from a society closed by its own limitations, in Akutagawa's case it is only the belief in imagination that can lead to overcoming the human condition, even if in both cases the price to pay is the lucidity, and ultimately the stigma, of the lunatic asylum. The vision that both authors reveal is that in a world where the real values are reversed, the only possibility to escape from the reality outside, with dire consequences for those who perceive these changes in the substance without accepting them, is the return to the self and, implicitly, the discovery of the world within: for Chekhov's heroes through meditation, and for Akutagawa's through imagination.

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THE DIARY FORM IN THE FICTION OF
TANIZAKI JUNICHIRŌ AND KAZUO ISHIGURO

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RÉSUMÉ. *La forme du journal intime dans la fiction de Tanizaki Junichirō et Kazuo Ishiguro*. Cette étude propose une analyse comparative du roman *Les vestiges du jour* par Kazuo Ishiguro et du roman *La clé* par Tanizaki Junichirō, en insistant sur l'utilisation de la forme du journal intime et sur les implications que cette utilisation a au niveau stylistique tout comme au niveau thématique. On offre une investigation sur les manières dans lesquelles les deux auteurs explorent, exploitent et corrompent les conventions de la fiction d'écriture intime. On a analysé de près les similitudes et les différences entre les deux romans, en accentuant sur le contour de leur structure, sur l'utilisation de la convention du narrateur non fiable, sur l'ironie comme procédé narratif, et sur la fonction de la temporalité en tant qu'elle est configurée dans les deux œuvres analysées. On a conclu avec quelques remarques sur la manière dans laquelle l'utilisation de la forme du journal intime entretient les préoccupations centrales de ces textes avec les problèmes liés au soi-même et à l'identité.

This paper proposes a comparative analysis of Kazuo Ishiguro's *The Remains of the Day* and Tanizaki Junichirō's *The Key*, focusing on the use of the diary form and its implications both on a thematic and a stylistic level. It is an attempt to prove that in both of these works the thematic elements developed are inseparable from their form as fictional diaries, although the relationship is configured differently in each of the two novels. This paper will be restricted to a close reading and comparison of the two texts, leaving to a more ample study several other intriguing issues that may be raised by their approach in such a light, namely their position in the long tradition of confessional literature in general, and diary fiction in particular, in both Japan and the West, as well as the issue of the literary influence exerted by Tanizaki's diary novels (*Diary of a Mad Old Man, The Key*) upon the similarly constructed novels of Ishiguro (*An Artist of the Floating World, The Remains of the Day, When We Were Orphans*). The present paper is therefore meant to constitute but a small step toward an ampler investigation of these and other similar issues, which have not, as yet, been fully researched.

The similarities between these two novels are not restricted to the very obvious fact that they are both written in the form of fictional diaries. Other elements that connect them, even on a superficially accessible level, are the use of elderly

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narrators with its implication of an exploration of issues of self and identity, as well as a poignant concern with communication or, more precisely, with its problematic nature, or even absence. However, these unifying elements, which justify a comparative approach to the two works, coexist with differences, that encourage a parallel contrastive move in their analysis. Most striking of these is the use, in the case of Tanizaki, of two narrators whose diaries are presented as engaging in some sort of dialogue, as opposed to Ishiguro's monologic novel.

In the following section of this paper I would like to undertake a more detailed analysis of the technique of the two authors and the part played by the form as fictional diary in the development of the themes of the novels. In order to do this, it might prove useful to depart from a brief description of the essential elements of the diary as a mode of narration. The diary form as used in literature is, of course, an extension of an originally non-fictional mode of narrative, and these origins are responsible for the creation of a certain horizon of expectations for the reader of the fictionalized version as it appears in literature. The diary entails the use of a strict chronology, directed by the successive entries recording the daily routine of the narrator-protagonist. It is also a highly intimate and, therefore, subjective mode of narration, concerned with personal confessions and the revelation of the inner self of the narrator. In its fictionalized form therefore, it brings into sharp focus issues related to intimacy, the self, and consciousness, as well as problems pertaining to the relationship between fact and fiction, and to the nature of representation. These primary characteristics of the diary are very well summarized by Ralph-Rainer Wuthenow:

> Le journal dit intime n'est qu'une des formes multiples de relation d'événements qui, sous d'aspects divers relève du genre autobiographique, non-narratif et statique. Il est fondé sur la juxtaposition de faits, de moments, de réflexions spontanées et de caractère le plus souvent contradictoire. La démarche de l'auteur est plus ou moins chronologique. Cette «comptabilité» des jours et des heures est la source même de l'écriture diaristique.[...] il s'agit d'un compte rendu de la vie quotidienne qui, même sous cette forme, fait ressortir une espèce d'intimité: le diariste se raconte, à lui seul, ce qu'il n'oserait guère raconter à autrui ou avouer à son confesseur même. Il s'interroge sur lui-même, sur son existence. (Wuthenow 1995: 115)

Wuthenow points to several issues of central interest for the present analysis. The static propensity of events as recorded within a diary, and their chronological ordering in successive entries, the insistence on daily matters and their spontaneous juxtaposition with reflections that reveal the self in the intimacy of quiet recollection are all characteristics that represent the norm, which is explored, exploited and subverted in the two novels analyzed here. Another crucial aspect is also the thematic potential, that is the subject matter that is favored for treatment in such a form, namely an exploration of consciousness, of the construction of the self as mirrored in the act of reflection. While such subject matter may be explored in various forms, using several types of narrative point of view, it is the diary form that gives a certain sense of immediacy and authenticity to the enterprise of seizing the self in the act of constructing self - identity.

This sense of immediacy and authenticity is what seems to be essential for both Ishiguro and Tanizaki, and it explains their choice of the diary form as a framing device for their narratives. Kobayashi Hideo describes Tanizaki's fiction as portraying "life as an epic of the senses" (Kobayashi 1995: 77). This concern for the portrayal of reality as sensually experienced by people explains Tanizaki's choice for narrative devices that allow for immediacy in the description of reality filtered through the consciousness of a narrator, through its sensual perception by the protagonist. The picture that emerges is that of life as it is lived, rendered in the form of memoirs, letters, essays, diaries, giving a sense of authenticity in the rendering. In an essay relating his technique in writing *The Story of Shunkin*, one of his most celebrated short stories, the author confesses his utmost concern to have been with "what kind of form would give the impression of actuality" (Tanizaki apud Jones 1974: 322). In that particular short story this impression of actuality is achieved by a layered type of narrative, where various accounts and documents converge towards the portrayal of an incredibly beautiful woman. The strategy adopted in *The Key* follows the same larger pattern, in that the confessions of the two narrators add up to an exploration and description of the psychology of old age, the force of the narrative springing from its very concrete insistence upon materiality and the carnal, from the faithful account of the complex sexual games in which the two protagonists engage.

Compared to Tanizaki's narrative, so forcibly anchored in the physicality of experience, Ishiguro's novel gives the impression of being in a diametrically opposed ethereal sphere of abstract meditation upon such issues as dignity and professionalism, where sensuality is repressed to the point of complete absence. Ostensibly, the kind of actuality in the rendering of events, so essential to Tanizaki, seems to be disregarded altogether. Ishiguro's narrative focuses not on immediate experience, but on experience as filtered through memory, thus situated at a certain temporal as well as spatial remove from the events. The narrative surface of the text, with the little incidents that befall Stevens on his journey toward a meeting with the former housekeeper of Darlington Hall, act only as incentives provoking an ever deeper immersion into the recollection of the past. Upon more careful consideration, however, it becomes obvious that Ishiguro too is deeply concerned with an authentic rendering, but an authentic rendering of a different kind. His focus is not on the actuality of experience as perceived by the protagonist in the act of living, but rather on the retrospective analysis of experience in the act of recollecting the past, carefully monitored by the following around of the meanderings of memory.

Whether used for offering a concrete account of the protagonist's daily experience or for giving a glimpse into the workings of memory, the diary form is preferred by both authors because it enables the construction of characters and the exploration of their psychology in a seemingly unmediated form, giving the impression of authenticity. Here lies the source of the profoundly human dimension in the fiction of both authors, picturing characters that are deeply troubled, struggling with the burden of affirming their self and the impending necessity of conferring a meaningful sense to it, while confronted with the complexity of an experience irreducible to straightforward binary oppositions of black and white, good and bad, truth and falsity.

A closer look at the ways in which these two authors explore, exploit and subvert the conventions of the diary form will hopefully help shed some more light on the manner in which they use the potentialities of the diary in order to develop character and to further the exploration of the dominant themes in their respective novels. In so doing I will start from an outlining of the structure of the two novels, moving on to an analysis of the use of the unreliable narrator, the relationship between narrator and reader and the use of irony as a narrative device, and concluding with some remarks on temporality as configured in the two novels under scrutiny.

Of the two novels analyzed here, Ishiguro's *The Remains of the Day* is the one with the more straightforward structuring, directly derived from the adopted form of a fictional diary. The story is told in the space of seven diary entries, dated July 1956, of which the first is presented as a prologue and the following ones mark stages in the protagonist's journey to meet Miss Kenton. Each entry is numbered as day one, two, and so on, and also has a clear indication of Stevens's location at the time when it is supposedly written. Therefore, in the dynamics of Ishiguro's story, the framing movement is a progression toward the destination, marked by the various little incidents that befall Stevens on his journey.

Yet this progression is continually checked by the opposite movement, of temporal regression, through memories of the past. Ishiguro's subtlety in structuring his novel is not only a matter of this contrast between the physical move forward and the spiritual move backward. The prologue mentions the fact that the idea of the journey is prompted by a letter from Miss Kenton, in which Stevens manages to somehow read between the lines that she would be willing to return and take up her former position as housekeeper again, which is precisely what Stevens is in need of at the very moment. He consequently decides to visit her:

> So it was this instance; that is to say, my receiving the letter from Miss Kenton, containing as it did, along with its long, rather unrevealing passages, an unmistakable nostalgia for Darlington Hall, and – I am quite sure of this – distinct hints of her desire to return here, obliged me to see my staff plans afresh. I could drive to the West Country and call on Miss Kenton in passing, thus exploring at first hand the substance of her wish to return to employment here at Darlington Hall. (Ishiguro 1993: 9-10)

Miss Kenton's letter being the main reason for undertaking the journey, it is only natural that his thoughts should revolve around her all the while he is on the road. It is due to this that the pattern of geographical progression and temporal regression outlined earlier is further complicated, giving rise to what might be described as a certain circularity in the structuring of the novel. The events of the past, recollected in the present, have a certain broken chronology of their own, the fragments of memories amounting to another narrative of the events remembered, leading to the present state of affairs. In short, the movement to the past is triggered in the present, and in the act of recollection the thread of events is brought back to the present, its initial point of departure. The same is the case with the other two story lines that emerge in the narrative of the past, namely the development of Stevens's relationship to his father and to his former employer, Lord Darlington.

Underlying all this, furthermore, there is yet another progressive move that emerges as a consequence of the retrospective reinterpretation of the past, which represents the very core of the novel. By remembering from a later vantage point all that happened years ago, Stevens begins to see himself, his relation to Miss Kenton, to Lord Darlington and his father, indeed his entire existence, in a different light. While looking back to the past, he moves inexorably towards an acknowledgement, despite himself at times, of the truth about his self and his identity.

Tanizaki's *The Key* is an entirely different matter altogether. The first essential difference, already mentioned earlier on, is the fact that Tanizaki's novel is built around the interlocking diaries of two character-narrators[1]. The confessions moreover keep up a displaced dialogue between the two protagonists, who do not communicate directly, but use their diaries for the purpose. The present is therefore the focus of these diaries, as opposed to Ishiguro's novel, where the events in the present represent but a pretext for the immersion in the past. A retrospective dimension is introduced only in the second part of the novel, where, after the professor's death, Ikuko becomes the only narrating voice and reconsiders and reinterprets the events covered by their diaristic dialogue of the first part. It might be said therefore that what we are dealing with here is a 'twice told tale'. First the reader is confronted with an unfolding of events in the present time of the narration, where the confessions themselves, making up the discourse, play an important part in the development of the story. Then the story is retold, reinterpreted in retrospect, after the death of one of the protagonists. Therefore, it is only the latter part of the novel that may be called a diary with the characteristic elements of intimate and solitary confession, whereas the entries previous to the professor's death perform the function of ensuring the communication between the two protagonists, on matters that Ikuko's sense of decorum dictates should remain untold in direct conversation. As Jaime Fernandez aptly points out:

> They are diaries with a specific addressee, thus they lose the character of impressions of the soul, of a mirror or portrait of the spirit, and instead become an extrovert expression of the self in intimate confidences. They are both partial autobiographies and messages, born of the tacit agreement between the Professor and his wife that they will read each other's diaries without mentioning the fact to each other. To utilize a distinction made by Tzvetan Todorov, they are letters on the "being level" and diaries on the "seeming level". (Fernandez 1976: 217)

What these diaries that are not quite diaries engender is an intricate texture of revelation and concealment, where the reader is challenged to read between the lines and behind the uttered words, in an attempt to piece up the story. The narrators take turns in relating the same events, centering on their sexual life, disclosing their innermost

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[1] In the original Japanese text there is a clear visual differentiation between the entries attributed to the two narrators, by the use of *katakana* in combination with *kanji* for the professor's confessions and *hiragana* combined with *kanji* for his wife's (Tanizaki 1966). This creative exploitation of the potentialities of the Japanese writing system is enhanced by the common association of the two syllabaries *hiragana* and *katakana* with masculinity and femininity, respectively. This visual feature of the text is unfortunately lost in translation.

feelings, both knowing that their confidences are received, that the other is reading the message, yet ostensibly claiming that they are ignorant all the while. The plot is furthered by the tension ensuing from these intimate confessions and the claim that both narrators make of being unaware of them.

The first entry belongs to the professor and is dated as New Year's Day. From the very first entry the essential components of the game of partial concealment and partial disclosure that is about to ensue are already hinted at:

> This year I intend to begin writing freely about a topic which, in the past, I have hesitated even to mention here. I have always avoided commenting on my sexual relations with Ikuko, for fear that she might surreptitiously read my diary and be offended. I dare say she knows exactly where to find it. But I have decided not to worry about that anymore. Of course, her old-fashioned Kyoto upbringing has left her with a good deal of antiquated morality; indeed, she rather prides herself on it. It seems unlikely that she would dip into her husband's private writings. However, that is not altogether out of the question. If now, for the first time, my diary becomes chiefly concerned with our sexual life, will she be able to resist the temptation? I have just said that I've decided not to worry, but perhaps I really stopped worrying long ago. Secretly, I may have accepted, even hoped, that she was reading it. (Tanizaki 2001: 3-4)

This entry therefore initiates the confessions about the sexual life of the couple, and the husband is the one who takes the initiative, secretly hoping that his wife will read his private diary, inviting her to do so both in written form, by inciting her curiosity, and with the telling gesture of leaving the key where she can see it, and thus take up his invitation.

The wife, for her part, readily accepts the challenge, as the reader may clearly see from the first entry that she makes in her diary:

> Today an odd thing happened. I've been neglecting my husband's study lately, and went to clean it this afternoon while he was out for a walk. And there on the floor, just in front of the bookshelf where I'd put a vase of daffodils, lay the key. Maybe it was only an accident. Yet I can't believe he dropped it out of sheer carelessness. … why should he have dropped the key in a place like that? Has he changed his mind and decided he wants me to read it? Perhaps he realized I'd refuse if he asked me to, so he's telling me: "You can read it in private – here's the key." (Tanizaki 2001: 9-10)

The epistolary rather than diaristic nature of the narrative in this part of the novel that Fernandez points out is made clear from the very beginning. The novel continues in a similar vein, and the discourse is structured according to a dynamics of the professor and Ikuko's shifting roles, as protagonist, narrator and reader of the events that are recounted. We are confronted therefore with an unstable point of view, continually shifting as the narrative voice shifts from one entry to the next. To complicate matters even further, it is not just the point of view of two distinct narrators that we have, but also the point of view of the same narrator, Ikuko, at two distinct times. For with the death of her husband she goes on keeping a diary, attempting to bring the game initiated by him to a close, by reinterpreting their previous exchange in retrospect:

> If I compare his diary with my own I ought to be able to understand what really happened. Then there were a number of things I hesitated to put into writing while he was alive. I'd like to add them as a kind of postscript, to bring this account to a close. (Tanizaki 2001: 164)

It is in this part that Tanizaki's novel comes close to Ishiguro's, turning from a series of intimate confessions meant to stimulate the sexual life of the protagonists, to a retrospective analysis of events in an attempt to make some sense of the experience. Just like Stevens, who needs to reassess his life in old age, Ikuko gives vent to the urge of concluding by applying some sort of meaning to her marriage, and, by extension, to her entire life.

For both authors, confessions in the form of the diary are ultimately linked to issues relating to the self and an understanding of self - identity by the individual. They both play on what Anthony Giddens sees as a fundamental characteristic of identity, namely its being both 'fragile' and 'robust' at the same time:

> Fragile, because the biography the individual reflexively holds in mind is only one 'story' among many other potential stories that could be told about her development as a self; robust, because a sense of self-identity if often securely enough held to weather major tensions or transitions in the social environments within which the person moves. (Giddens 1991: 55)

It is precisely the critical moment of transition from robustness to an exposure of the fragility that is caught by the two authors: for Ikuko and her husband, a matter of a failed marriage, for Stevens a life spent in pursuit of all the wrong things, and a rejection of all that should have been important.

The use of the diary form in order to create highly unreliable narrators is another aspect that connects the two novels. All three narrators give the reader sufficient reason to suspect that there is a distance between their account of the events and what may be actually read between the lines, behind little slips of the tongue, as it were. However, in this respect, Tanizaki and Ishiguro channel their strategies in different directions. Stevens, the professor and Ikuko are all unreliable, yet their unreliability is determined by different presumptions and serves different purposes in the two novels. In what follows I would like to argue that this difference might be best summarized by saying that while Ishiguro's narrator is benevolently unreliable, Tanizaki's narrators are malevolently so.

In Ishiguro's novels, unreliability has two distinct sources. Firstly, the narrator is unreliable because his narrative is built up mainly of memories, which are by nature unreliable themselves. As Etsuko, the narrator of Ishiguro's first novel, *A Pale View of Hills* puts it:

> Memory, I realize, can be an unreliable thing; often it is heavily coloured by the circumstances in which one remembers, and no doubt this applies to certain of the recollections I have gathered here. (Ishiguro 1990: 156)

Such self-defensive remarks are not infrequent in Stevens's narrative, either. For instance, at some point Stevens confesses:

> But now that I think further about it, I am not sure Miss Kenton spoke quite so boldly that day. In fact, now that I come to think of it, I have a feeling it may have been Lord Darlington himself who made that particular remark to me. (Ishiguro 1993: 60)

The second source of unreliability in Ishiguro's novel is the narrator's attempt to conceal, whether consciously or not, certain events or feelings threatening the image of the self that he is struggling to maintain. His only consolation in old age being that of having achieved true greatness in being a great butler to a great man, it is understandably difficult for Stevens to adopt the view, generalized after the war, of his employer not having been the morally upright character that Stevens had thought. The acknowledgement is painful and it does not come until the end of the novel, yet the reader had already made it out from the various episodes where Stevens, while praising the man in his diary, also hints to the fact that he denies ever having known Lord Darlington in his conversations with the people he meets on his journey. A similar need to maintain a sense of dignity is at the origin of similar transparent concealments with respect to Stevens's relationship to his father and to Miss Kenton.

I have called this unreliability of Ishiguro's narrator a benevolent one, because although the discrepancy between what happened and what the narrator says happened is made fairly clear, Stevens does not willfully deceive anyone, but himself. Stevens faces what 'remains of his day' with the final realization of the numerous mistakes that he has made throughout his life, and the focus of the novel is on the process that leads to this realization, on how Stevens comes to see some of the mistakes of his past for what they are, while still not quite ready to acknowledge to some others. In revealing the process of how people get to come to terms with who they are, Ishiguro reveals both what happened and what the character tells himself happened. This is what is of central importance to the novelist, as he himself confesses:

> I'm not overwhelmingly interested in what really did happen. What is important is the emotional aspect, the actual positions the characters take up at different points in the story, and why they need to take up these positions. (Ishiguro in Mason 1999: 223)

The same point is made by Salman Rushdie, in speaking of his own unreliable narrator of *Midnight's Children*:

> His mistakes are the mistakes of a fallible memory compounded by quirks of character and of circumstance, and his vision is fragmentary he is obliged to deal in broken mirrors, some of whose fragments have been irretrievably lost. But there is a paradox here. The broken mirror may actually be as valuable as the one which is supposedly unflawed. (Rushdie 1992: 10-11)

Ultimately it might be said that Stevens is reliably unreliable, since if one accepts that a major intention of the novel is to express how it is that the narrator manages to convert fragments of reality into a coherent narrative about the self, then the lies that he tells himself and the way in which he manages to accommodate them with the truth are one of the most reliable sources for exposing the mechanism.

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Tanizaki's protagonists and narrators, however, are pictured as intentionally deceptive and false in their confessions. As in the case of Ishiguro's novel, we might trace two sources of unreliability. First, there are the lies that are necessary in order to keep going the game initiated and sustained by the dialogue of the diaries: "We knew we were reading each other's diaries, and still we set up all sorts of barriers, to make it as difficult and uncertain as possible." (Tanizaki 2001: 180). These are the lies that might be termed innocent to the extent that both narrators are aware of and quietly acknowledge them, since they help perpetuate the game. For instance, they both pretend that they are not aware of the other's diary, yet their very defensive reiteration of the fact reveals their falsity.

The other type of lies, the ones that illustrate what I have termed malevolent unreliability, are only revealed in the second part of the novel, after one of the narrators has been reduced to silence by death. Ikuko is now safe in confessing, this time in the true spirit of the intimate diary, the extent to which she had actually broken the rules of the game and taken her deceptions beyond the limit of innocent lies:

> On April tenth I wrote: "He isn't the only one whose health is bad. I'm not much better off myself." Of course I wasn't at all sick – I had something else in mind those were all downright lies. I was trying to lure him into the shadow of death. I wanted him to think I was gambling my own life, and that he ought to be willing to risk his. From then on my diary was written solely for that purpose. I didn't just write, though; sometimes I acted out my symptoms. I did everything I could to excite him, to keep him agitated, to drive his blood pressure higher and higher. (Tanizaki 2001: 181-2)

The last pages of the novel add this terrifying dimension to the narrative, the wife turning, in the spirit of Tanizaki's earlier prose, into a true *femme fatale*, in the literal sense of the word, causing, in full knowledge of the fact, the death of her husband, although the reasons why she had done it elude even herself to a certain extent.

This type of malevolent unreliability, the willful deceit exposed in the last pages of *The Key*, points to an essential difference between the uses of the diary form in the fictions of Tanizaki and Ishiguro. This disclosure attributes to the diaries a function that is totally absent in Ishiguro, namely the power to influence the reality of the fictional world to which they belong. Tanizaki's characters inhabit a world with a terrifying dimension to it, "a world in which communication has virtually ceased. The husband and wife never talk to each other, and if they write, the purpose of writing is to mislead, dissemble, and manipulate." (Miyoshi 1994: 147). The relationship between fact and fiction within the fictional world itself is brought into sharp focus. Of course, there is always a certain tension between fact and fiction inherent in the diary form, and this tension is necessarily intensified in the case of the diary novel given its status as a "form of fiction which imitates a factual form imbued with fictional tendencies." (Field apud Parkes 2001: 86). It is this propensity that Tanizaki explores fully and takes to its extremes, baffling the reader caught in the web of conflicting interpretations. As opposed to the reader of Ishiguro's novel, who finds it easy to see beyond Stevens's pathetic self-justifications and acquires fairly easily a picture of the reality that he dissimulates, the reader of Tanizaki's novel is not allowed any kind of privileged position with respect to the characters:

> There are moments when the reader is surrounded by mystery while the characters seem to have clear knowledge, since the reader cannot know anything not expressed in the diaries. Mysteries, irresolutions, uncertainties, changing impressions, call into question a balance of awareness: who is more completely aware of what happened, the reader or the characters? (Fernandez 1976: 219)

Somewhat jokingly, one might say that it is neither the reader nor the characters, perhaps only the author, like Joyce's artist and like the God of creation "within or behind or beyond or above his handiwork, invisible, refined out of existence, indifferent, paring his fingernails" (Joyce 1966: 215), and maybe smiling at the reader puzzled by the text.

Indeed, Tanizaki seems to be withdrawn from the text, with ironic detachment, while the reader is drawn into it and thrust on the same level as the characters. Both the professor and his wife are not only narrators of events, but also readers of each other's diaries, and their own entries are often concerned with an interpretation of the other's words. Until the very last pages which bring Ikuko's final disclosure however, the reader of the novel is not given a privileged position over the fictional readers and narrators of events. Tanizaki's subtle technique actually forces the reader who arrives at the end of the text to reread it in order to grasp the full significance and achieve a satisfactory interpretation.

The Remains of the Day is, to a certain extent, similar to *The Key* in positing the existence of two types of readers for Stevens's text (Parkes 2001: 41) – a fictional reader and the reader of the novel. Throughout his confessions, Stevens recurrently addresses a fictional "you", a somewhat ambiguous presence in the text. Yet this "you" of Stevens's audience might best be characterized as a benevolent listener, sharing in the butler's confession with a willingness to believe his version of the events. A telling example in this respect appears at the very end of the novel:

> After all, what can we ever gain in forever looking back and blaming ourselves if our lives have not turned out quite as we might have wished? The hard reality is, surely, that for the likes of *you* and I, there is little choice other than to leave our fate, ultimately, in the hands of those great gentlemen at the hub of this world who employ our services. (Ishiguro 1993: 244) (my italics)

It is a compassionate listener that Stevens projects for himself in order to validate his narrative. From this point of view, Ishiguro, who is detached in a similarly ironic manner to Tanizaki's, gives his reader all the necessary textual clues in order to share the same privileged position over the narrator. Here again the two authors are similar in their use of the diary form as a framing device in order to attain a measure of ironic detachment, yet the details in the treatment, as revealed by the relationship to the reader outlined above, present subtle variations.

A final issue that I would like to consider here is temporality as treated in the two novels under analysis. What they have in common from this point of view is a fairly tight temporal frame. As already mentioned earlier, Stevens's diary entries are compressed in the interval of roughly one week, while Tanizaki's novel starts with the professor's entry on New Year's Day and closes with Ikuko's entry on June 9 of the same year. This aspect might be considered in its turn a milder form of departure

from the traditional conventions of the diary form. A diary being a record of the daily events that befall the diarist, it might be commonly assumed that the writing of a diary is an activity that would normally go on for longer periods of time. In point of fact, as much is hinted at by Tanizaki's narrators, of whom we learn that they have been keeping personal diaries for years before the time on which the novel concentrates. The justifications of the tightening of the temporal frame in these novels are different, yet here too I would like to point to a similarity between the two authors. Although used for different reasons, the compressed temporality serves, in both cases, purposes intimately connected with the respective author's preferences in terms of subject matter and the construction of the novel, which have to do with a disconsideration of plot in favour of emotional content in the case of Ishiugro, and the architectural structure of the work, for Tanizaki.

The plot of both Tanizaki's and Ishiguro's novels is reduced to a minimum. In discussing Tanizaki's indifference to plot, however, it is useful to underline the fact that I am referring here to the traditional notion of plot as defined in Western theories of the novel, since otherwise we might run the risk of encountering an insoluble contradiction. In the famous "novel without a plot" debate between Akutagawa and Tanizaki, it was actually the former who advocated the lack of plot, and was being opposed in this by Tanizaki. Yet, as Karatani Kōjin points out, the debate only appears as such if we fail to understand that the two writers were using the term with two subtly different meanings (Karatani 1993: 155). For Tanizaki, 'plot' refers to the carefully built structure of the work, not to the accumulation of events making up a story, which justifies Karatani in associating it with the *monogatari* "which is nothing but structure", and in concluding that, ultimately, "even if Tanizaki possessed a magnificent 'ability to construct' he, too, was alien to the configuration of modern literature" (Karatani 1993: 162).

Tanizaki's story concentrates on the sexual life of the narrators, and the tight temporality gives a sense of obsession to the treatment of the subject matter. Yet while tight enough to give this sense of obsessive fixation, the temporal frame in *The Key* is, however, ample enough to allow for a complex and intricate structuring, as outlined earlier. It seems to be the very realization of the ideal of "beauty of construction", or "physical stamina", that Tanizaki posits as the proper ideal to be aimed at by any novelist, and for which he praises *The Tale of Genji*:

> Though *The Tale of Genji* does not display physical stamina overtly, it has stored within it an abundance of elegant and poignant Japanese sensibilities, and it contains a beginning, an ending, and internal correspondences – it is indeed a peerless work of Japanese literature, displaying beauty of construction to an unparalleled degree. (Tanizaki apud Karatani 1993: 167)

In Ishiguro's *The Remains of the Day*, the tight temporal framework fulfills several functions. On the one hand, it enhances another narrative device derived from the use of the diary form, namely the capacity of the successive entries to relativize each other, which has been already mentioned. Indeed this is one of the reasons that account for his favouring this type of narrative: "Technically, the advantage of the

diary narrative is that each entry can be written from a different emotional position." (Ishiguro in Mason 1999: 224). It is fairly obvious that this effect is enhanced when the entries follow each other closely in time, thus giving a more acute sense of the disturbed and confused state of mind of the narrator.

As for the obvious limitations upon the plot that a tight temporal frame entails, Ishiguro speaks of his liberation from plot, which allows ample space for the exploration of the workings of the consciousness of the narrators, of their emotional life. In Ishiguro's case, the events that make up the reduced plot of his novels are only there to the extent that they make it possible to "see below the surface of everyday life to the emotions and what makes people do what they do" (Ishiguro apud Parkes 2001: 24). Ishiguro's major theme, as already mentioned, lies with the construction of identity, out of the bits and fragments of reality that the self is forced into unifying into a coherent whole, and it is thus understandable that the way in which the narrator pieces together these fragments in order to confer some meaning to his life should make the events themselves insignificant in comparison.

By the analysis undertaken in the course of this paper, I hope that I have managed to outline the extent of the similarities between the diary form in the novels of Kazuo Ishiguro and Tanizaki Junichrō. The essential aspect that brings close these two narrators in their use of the diary novel is the manner in which they creatively exploit and subvert the conventions of the form in order to enhance what they each believe to be a fundamental aspect of the novel: the architectural beauty of construction for Tanizaki and the almost lyrical exploration of the realm of emotions, of characters engaged in a confrontation with their past in order to create a coherent and stable sense of self in the case of Ishiguro.

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SYMBOLISM OF THE DRAGON IN JAPAN: SHINTŌ ELEMENTS AND VALUES

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RÉSUMÉ. Le symbolisme du Dragon au Japon: éléments et valeurs Shintō. L'article propose une argumentation de la spécificité des images du dragon dans l'espace culturel japonais. Par rapport au contextes culturels européens, par exemple, les valorisations au sens positif de l'image du dragon semblent beaucoup plus nombreuses. Les légendes et contes populaires fournissent des éléments pertinents qui convergent vers une explication de cet état de choses focalisée autour des concepts, croyances et visions caractéristiques de la religion japonaise originaire, le Shintō. Le dragon est ainsi conçu comme *kami* (déité shintoïste), notamment comme *kami* qui gouverne l'élément aquatique dans toutes ses manifestations. Les types d'occurrences et la constellation de valeurs symboliques du dragon dans cette qualité sont analysées à partir de textes provenant de diverses régions de l'archipel japonais. Les domaines de la vie quotidienne du Japon contemporain où la signification verbale, les connotations et l'image du dragon restent extremement productives sont illustrés dans la section finale de l'article.

0. Preliminary observations.

The Dragon appears in myths, legends and folktales all over the world. In Western culture, the valuation of dragon imagery is most frequently negative, particularly – though not exclusively – under the influence of Christian doctrine, where the dragon is associated with the manifestation of the devil. On the other hand, in Japan negative valuations are more difficult to find and positive ones prevail, possibly by association with the notion of *kami* (deity), as represented in *Ryūjin* (*Dragon kami*). The main objective of the present paper is to examine from multiple angles on what background, in what manner and why the dragon is endowed with positive functions in Japan. It must be pointed out that in the term 'positive' as employed in this paper we include the components of 'awe' and 'fearful respect'.

Two principal aspects will form the object of the present analysis. First, we propose to unravel the functions and symbolism of the dragon on the basis of accounts contained in legends and folktales. Secondly, we shall attempt to examine the reasons and motivations which favour the appearance of positive valuations, from the perspective of the native Japanese religious system, Shintoism.

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It must be acknowledged, however, that the views on life and death, as well as religious values in Japan were shaped under the twofold influence of Shintoism and Buddhism. Historically, Mahayana Buddhism was brought to Japan from Ancient Continental China, via the Korean Peninsula, around the middle of the 6th century A.D., and developed on Japanese soil relatively without conflict with the already existing Shintō religion[1], in a process that led, up to the Meiji era, to a relative 'specialization' of each for certain areas of human life. Thus, the religious view and worldview of present-day Japanese derives from the mutual influences and intermingled form of these two religions (*shinbutsu shūgō*).

As is well known, by the time Buddhism was transmitted to Japan, more than one thousand years had already passed since Buddhism in its original form was founded in India by Shakyamuni. Consequently, Japanese Buddhism is significantly different both from the original Hinayana Buddhism, and from the Mahayana Buddhism transmitted to other countries, and when we refer to Japanese Buddhism we generally take into account the specific form that received the influences of Shintoism. Needless to say, at the same time, that when we examine Shintō views we are also dealing with forms that evolved under influences from Buddhism in the course of history.

1. Basic image of the Dragon and the Shintō framework of thought.

1.1. According to *Nihon kokugo daijiten*[2], the dragon is a "fictitious animal" living in the water or underground, also able to fly the skies forming clouds and rain, and causing lightning. In Buddhism, it is considered to be a protector god of sea-faring and invoking rain.

In the Chinese tradition, The Dragon is one of the 12 zodiacal signs, and, as such, the bearer of a whole complex of astrological significance. Also, in Ancient China the emperor's physical aspect and mental qualities, as well as his possessions are referred to as 'belonging to the Dragon': emperor's appearance – *ryūshi*, emperor's face – *ryūgan*, emperor's eyes – *ryūgan*, emperor's flag – *ryūki* etc[3].

Taking into account this historical background, it may seem only natural to consider that the concept of «dragon» itself was transmitted to Japan from Ancient China together with Buddhism and other cultural elements. Given the absence of official records written by the Japanese themselves before the Nara period, it is difficult to establish whether such a concept existed in Japan prior to that date. Even if we admit the hypothesis that the «dragon» concept was taken up already fraught with positive connotations from the Chinese tradition, it cannot be denied that the specific cultural background of the area of transplantation must have exerted its influence as well, at least in the form of favouring conditions, if not necessarily as determining causes. That is why Shintoist views should also be examined in relation to the evolution of the «dragon» concept in Japan, as Shintō represents the original religious system in Japan.

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[1] See Watanabe (1958/1989: 72). Besides Watanabe Shōkō's fundamental contribution to the issue, see also, for instance, the extended analyses proposed by Yoshie (1996) and Hanayama (1989/1991).

[2] Vol. 20, s.v. *ryū*, p. 357.

[3] See *Nihon kokugo daijiten*, vol. 20, s.v. *ryū*, p. 357. The words are given here in the adapted Japanese pronunciation.

1.2. Shintō appears to us to be the source of several ideas and beliefs that are particularly relevant for analyzing the significance and functions of the dragon within Japanese culture.

The first point is that in ancient Shintō animist elements are extremely powerful, in the sense that *kami* ('gods', 'deities' or 'spirits') are thought to manifest themselves everywhere in nature, especially in places and phenomena beyond human control and awe-inspiring, such as: mountains, forests, the sea, rivers, the wind, storms, thunder and lightning. This is one reason why it is said that over 8 million *kami* are in existence. Thus, similar to the situation in numerous other archaic cultures, fundamental elements like water, fire, earth and wind, in their various aspects, become objects of faith.

While this aspect is common to animist systems, the second idea is specific to Shintoism: after death people also become *kami*. In one view, described by the ethnologist Kunio Yanagita, after death, human souls turn into 'dead spirits' (*shiryō*) containing impurity (*kegare*), and are gradually purified with the passage of time, becoming 'ancestor spirits' (*sorei*). When this process is completed, 33 to 50 years later, they finally become 'ancestor gods' (*sosenshin*, *ujigami*)[4]. It is also a characteristic of Shintō that some individuals who died in the course of specific events or owing to specific reasons, as well as personalities that have left their mark in history are worshipped as *kami*. For example, numerous shrines, such as Kitano Tenmangū, are dedicated to Sugawara no Michizane, a man of brilliant intellect who lived in the latter part of the 9th century, as the *kami* of scholarship[5]. At the other extreme, more mundane problems, such as suffering from hemorrhoids, are believed to be relieved if one visits a shrine dedicated to an individual whose death was caused by this particular ailment, and who is now worshipped as a *kami*.

The definition of *kami* in Shintoism is subject to controversy. Nevertheless, the most widely accepted interpretation seems to be: 'something out of the ordinary' (objects, phenomena, humans), 'something deviant from the average'. It will be noted that 'something out of the ordinary' does not imply only a positive orientation, but also something situated at the other extreme[6]. Whether exalted in the extreme, or weird to the extreme, entities that stray far from the ordinary are all apt to become *kami*. *Kami* elicit feelings of menace and awe in the hearts of people, command respect and require worship in order to be appeased.

We believe that this Shintoist understanding of *kami* is highly relevant for interpreting the imagery and functions of the dragon in Japanese culture.

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[4] For details on the death view in Shintoism, see Hiro 1987: 58-61.

[5] Cf. Hiro 1987: 89-92.

[6] For a discussion in this sense, see Hiro 1987: 48-50. As pointed out by Hiro, this definition was retrieved from a source as early as *Kojiki* (*The Chronicle of Ancient Things*, 712 A.D.) by the Edo era scholar Motoori Norinaga: "Sate oyoso kami towa, inishie no fumidomo ni mietaru tenchi no moromoro no kamitachi wo hajimete, so wo matsureru yashiro ni mashimasu mitama womo mōshi, mata hito wa saranimo iwazu, chōjūhonsō no tagui umi yama nado, sono hoka nan ni mare, yonotsune narazu suguretaru koto no arite, kashikokimono wo kami towa iunari." "Suguretaru towa, tōtoki koto yoki koto, isaoshiki koto nado no suguretaru nomi wo iuni arazu, asiki mono ayashiki mono nado mo, yo ni sugurete kashikoki wo ba, kami towa iunari." (interpretation formulated in his *Kojikiden*, 1798)

2. Functions of the Dragon as water-related *kami*.

2.1. *Ryūjin* (The "dragon *kami*").

As already mentioned, in Buddhism the dragon was ascribed the function of protector god for sea-faring and rain-invoking[7]. Interpreted from a Shintō perspective, this role appears in an expanded form: from the diverse range of natural things out of human control, the dragon is conceived as a *kami* of *everything* related to water. Thus, as far as we can determine from legends and folktales, *Ryūjin* ("dragon *kami*") is a deity of the sea, lakes, ponds, swamps and rivers, and also the *kami* that causes rainfall. In other words, in Japan ***Ryūjin*** **is the object of fear and worship in connection to all water-related elements and phenomena**. The water-related functions can be observed in many legends and folktales all over Japan. For instance, in texts from the prefectures Aomori, Akita, Yamagata, Fukushima and Nagano, the dragon appears as a *kami* of ponds, swamps and rainfall. As we go towards southern parts of Japan, it also tends to appear as a *kami* of the sea (e.g. in Wakayama prefecture, Okinawa etc.).

In the 49 volumes of *Nihon no minwa*, which collects legends and tales from every prefecture in the form of re-accounts based on the original informants' versions, numerous instances of this function can be attested. We have systematized the types of occurrences and their relevant elements in *Table 1*, according to:

(a) the prefectures where texts were collected;
(b) the number of tales and legends where dragon accounts appear;
(c) the place where the dragons dwell or the phenomena they control;
(d) some observations on the significance of each occurrence.

As a preliminary step to interpretation, the area of significance was dissociated into two broad types of valuation, based on the general nature of the emotions elicited by the dragon appearance in each text: (i) 'awe' and (ii) 'fascination'. These will be analyzed in more detail in subsequent sections.

Table 1.

PREFECTURE (REGION)	NR.OF TEXTS	PLACE OF APPEARANCE / CONTROLLED PHENOMENA	OBS.
Aomori	2	(a) the border area between a river and the sea (b) invoking rain	(a) fascination (b) awe
Akita	3	a lake in the mountains (in all 3 instances)	awe
Yamagata	3	(a) a swamp (b) a river (c) a swamp, in the context of invoking rain	(a) awe (b) fascination (c) awe

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[7] Cf. *Nihon kokugo daijiten*, vol. 20, s.v. *ryūjin*, p. 370. *Ryūjin*, the dragon with deity powers, also appears under the denomination of *Ryūō* ("Dragon King"). For instance, in the text *Sangōshiiki* written by Kūkai in the year 798, arguing the superiority of Buddhism as compared to Confucianism and Taoism, as well as in the explanation of Buddhist doctrine *Nihon ryōiki* written by Keikai in 824, *Ryūjin* is indicated as a deity causing rainfall.

Niigata	1	a river	fascination
Fukushima[8]	2	(a) a lake (b) a pond	awe, in both instances
Nagano	2	(a) a pond (b) a lake, in the context of invoking rain	(a) awe (b) awe
Ishikawa	1	a pond	awe
Tochigi	1	a swamp	awe
Chiba	1	a swamp	awe
Aichi	3	(a) the sea (b) a river (c) underground river	(a) fascination (b) fascination (c) awe
Nara	1	a pond	awe
Wakayama	2	the sea, in both occurrences	awe
Shiga	3	(a) a river (b) a pond in the mountains (c) a pond	awe, in all 3 instances
Mie	1	the sea	awe
Kagawa	1	the sea	fascination
Tottori	1	the sea	fascination
Ooita	1	a pond in the mountains, in the context of invoking rain	awe
Kagoshima	1	a pond in the mountains	awe
Miyazaki	2	a river, in both instances	fascination
Kumamoto	2	the sea, in both instances	fascination
Okinawa	1	the sea	fascination
Tanegashima	1	the sea	fascination
Yakushima	1	the sea	fascination

As apparent from the table, in legends and folktales from all regions of Japan the one common function of the dragon is related to controlling the element of water under all of its forms. We would like to emphasize that, from a Shintō perspective, even when we encounter the dragon figure eliciting feelings of dread and *awe* before nature's might, this is not associated with a negative valuation. The mechanism that explains this state of affairs pertains to the understanding of *kami*: even something swaying far from the ordinary / average in a negative direction will receive positive connotations once it acquires *kami* status.

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[8] In the case of the two texts from Fukushima and in one text (instance (b)) from Yamagata, the initial apparition is that of a white snake, but the contexts clearly indicate its functioning in the area of the Dragon imagery.

2.2. A typical example.

Dragon legends and folktales display a relative variety of structures, but a basic, prototypical pattern also emerges: a human being encounters the Dragon *kami*, performs some beneficial action for it and then receives in exchange something of exquisite value – not necessarily a material object.

Many variations on this pattern are attested. For instance, the dragon transforms itself into a snake and appears before the main character – usually a man. If the man saves the snake, later the snake/dragon reappears in a different transformation, most frequently in human form[9]: an old man who identifies himself as the Dragon *kami* of that particular watery place, or a young girl, who identifies herself as the Dragon's daughter, etc. (In the latter case, the girl invites or takes the hero into the pond or swamp etc., in order to meet the Dragon *kami*.).

A telling example appears in the legend of a pond called *Biwa* (lit. a four-stringed Japanese lute), situated in a mountainous region of Nagano prefecture, particularly affected by flash floods and landslides with catastrophic effects[10].

A biwa player loses his way in the mountains and spends the night near the pond. Unable to sleep, he starts playing his instrument, and, all of a sudden, an old man makes his appearance. Pleased by the music, the old man asks for one more song. When his wish is satisfied, he reveals himself as being the Dragon *kami* of this pond and warns the biwa player that he will produce a flood the next day. The man should save himself, but tell no one else about the matter. However, the player eventually feels sorry for the other villagers and partakes the information with them. All the villagers manage to escape in time, but the musician is no longer to be found. Later, his instrument is seen floating in the pond, which thus receives the name of *Biwa*.

The common point of such accounts is that the dragon appears in the role of ruler of the pond, lake etc., and through it the dread of water-related disasters is conveyed.

A connection to the empirical natural context seems to be traceable. In Japan, where 85% of the territory is mountainous and covered with forests, rain-connected disasters, such as flash floods and landslides, are frequent. As traditional communities were based on agriculture, these natural disasters affected them most heavily, and balance in the water cycle must have been essential to their survival, truly a matter of life and death for virtually the whole history of Japan up to modern times. For instance, Miyoko Matsutani (1974/1989: 26-35) examines in detail legends of ponds from several regions, especially Shigakōgen in Nagano prefecture, and correlates them to historical records attesting actual floods, thus substantiating the link of the texts to the "battle with water" that marked life in those communities. Similar legends are also found in bordering regions of Niigata and Yamagata.

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[9] An example is the tale *Kannon ni tsukauru hito ryūgū ni ikite tomi wo eru monogatari* (*The Tale of the Man Who Served Kannon , Went to the Dragon King and Received Wealth*), in *Konjaku Monogatari*, vol 16, nr. 15 (reproduced under the title *Ryūgūjō, The Dragon King's Castle*, in the 1964 edition, pp. 91-95). For a discussion, see *infra*, **3.1.**.

[10] Cf. Matsutani 1974/1989: 27-29.

Also, as becomes evident from the table, geographical regions where the dragon functions, in legends and folktales, as a ruler of the sea are in fact more southern regions, where sustenance came primarily from fishing and related trades, and disasters at sea inexorably marked the rhythm of life.

Thus, the Dragon is employed as a symbol of nature's fierceness, to be treated with fearful respect, and dragon accounts reflect the memory of a long-continuing battle with the extremes of nature.

2.3. The dragon and the Shintō concept of *kegare*.

"Impurity" (*kegare*) is one of the central Shintō concepts. In order to dispel *kegare*, three *purifying agents* are used: **water**, **fire** and **salt**. When visiting a Shintō shrine for worship, one must first cleanse one's hands and mouth in a specially designed pavilion situated before the entrance to the main building. The ruler of purifying water is the Dragon *kami*, and therefore many Shintō shrines place dragon figures in this pavilion. In this role, the dragon is, once again, endowed with markedly positive values, never with negative ones.

In this context, it is also interesting to mention that sumō, originally a Shintō ritual, also preserves rites of purification. Before the fight, sumō wrestlers cleanse their mouth with water and spread salt on the *dohyō*. Also, the winner customarily hands water over to the wrestler who will fight next: this water is designated as *chikara-mizu* ('power-water'). This too may be related to receiving the dragon's power with the aid of water, the element that the dragon holds in control.

3. The Dragon's world as an object of fascination (*akogare*).

3.1. The Dragon's dwelling place.

In contrast to the feelings of awe described in section **2.2.**, the Dragon also appears as an object of fascination. Its dwelling – the palace where the Dragon King resides (*Ryūgūjō*) – is described in legends and folktales as the space of an ideal world that exerts unending attraction. The palace is decorated with gold and silver, with precious stones, pearls and corals rich beyond imagination. Its visitor is served a feastly meal by beautiful ladies in attendance of the Dragon Queen. At departure, upon return to the world of reality, he receives a precious gift of magic quality, be it a *mochi* (rice ball) made of gold that keeps re-forming itself when pieces are torn off, or the "seed of water", which, once planted, causes a lake to appear, so that the community should not suffer from drought ever again.

In folktales the palace of the Dragon King is sometimes described as "a place like paradise" ("gokuraku no yōna tokoro"). In Buddhism, "paradise" (*gokuraku*) is the state of Amida Buddha, the ultimate ideal state after breaking away from the cycle of reincarnation. Such comparison used in relation to the Dragon King's palace entitles us to interpret that we are no longer in the realm of fear or awe, but rather in the realm of pure fascination (*akogare*).

Let us illustrate with the tale entitled *Kannon ni tsukauru hito ryūgū ni ikite tomi wo eru monogatari* (*The Tale of the Man who Served Kannon, Went to the Dragon King and Received Wealth*)[11], from the 12th century collection *Konjaku Monogatari*.

An empoverished samurai who was a worshipper of Kannon *bosatsu* rescues a small snake and releases it into a pond. Later that day, the snake changes into a beautiful young woman and appears before the samurai, in order to express her gratitude, on behalf of her parents. She guides the man deep into the forest, to the pond, and transports him, in a state of slumber, to the underwater world, awakening him in front of her palace. Entering the palace, he observes floors and walls covered in resplendent precious stones, that make him think that "paradise must be a world like this one". The young woman's father appears under the form of an old man, revealing himself as the Dragon King. The samurai is treated to a rich meal of delicatesses, and, upon return, receives a *mochi* made of gold. If he did not use it up, but only took a small piece of it at a time, it would keep growing back to its original form, so that the samurai would not have to struggle with poverty ever again. He is then led back to the world of humans, where he realizes that in fact many days had passed, although he had felt it all like only a brief moment's experience.

This tale can be easily interpreted through the concepts of *shinbutsu shūgō*. While the appearance of the dragon is Shintō-related, from Buddhism we derive the precept that one should not take a life, not even that of an animal. Also, the promise of resplendent reward if one follows the faith in Kannon serves to advocate the desirability of this religious path.

3.2. The Dragon as possessor of eternal life.

In all cultures, the one certainty that comes with being human, namely the inevitability of death, is the cause of fear as well as an incentive to search for means of overcoming this fear. An example of the instrumental role of the dragon in this quest is the legend of Lake Tazawa in Akita[12].

In a village there lived, together with her mother, a girl named Tatsuko (lit. "Dragon" + suffix for female names), whose beauty was praised by many. One day, as the girl admired her own reflection in the lake, in Tatsuko's heart there arises the wish to preserve her beauty forever, never losing it to old age. Praying to Kannon for her wish, one hundred days later Kannon appears to her and explains that her wish cannot be granted as far as she has human body, but, nevertheless, another way exists to have it accomplished: she must drink from the water of a certain spring in the mountains. Upon doing so, Tatsuko feels her body grow hot and she faints. She comes to in the midst of a fierce thunderstorm and heavy rain. Tatsuko's mother, who had come looking for her missing daughter, discovers a lake in the mountains that was not supposed to be there. From this lake Tatsuko, now transformed into a dragon, makes her appearance and explains that, praying to *kami-sama* for eternal preservation of her beauty, she was changed into a dragon and given this lake to live in – the present Lake Tazawa.

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[11] *Konjaku monogatari*: 91-95.
[12] *Minwa*, vol. 3, pp.137-151 (*Tatsuko-hime monogatari*).

This account also reflects the intermingled beliefs *shinbutsu shūgō*. The starting point of Buddhist thought is an understanding of the impermanence of all things (*shogyōmujō*). The text shows both the weakness of man who cannot accept this reality, and the unlimited range of human desire. Although Kannon grants the fulfillment of the girl's desire for immortality and eternal youth, in exchange, the human form must be given up for that of a dragon.

The text also displays the phenomenon of unification between the Buddhist *bosatsu* Kannon and the Shintō deity (*kami*), under the appellation *kami-sama*. Finally, the eternal existence of the dragon as a water-related *kami* is stated with clarity.

As apparent from many stories, the dragon is an expression of the ability to live forever as a *kami*, without being subjected to the passage of time as in the world of men[13]. This can be considered another reason why the dragon receives positive valuation in Japanese culture. The feature is definitely of Shintō descendance, different from the Buddhist idea of escaping from the cycle of reincarnation, because the state of the Buddhas is incompatible with the existence of *any* entities, dragons included.

4. Transformation into a dragon as a form of 'punishment'.

In a relatively small number of texts, a different significance of dragon occurrences can be identified.

For instance, the legend *Hachirō monogatari* from Akita prefecture[14] tells of a man named Hachirō who went into the mountains together with two friends. Hachirō caught three fishes, but instead of sharing his catch with the other men, as the rule of mountain life requested, he ate all three. Presently his body grew hot and, and, as he drank water to cool down, he changed into a dragon. When his friends came by, astonished to see the fearsome dragon, he revealed himself to be Hachirō and confessed to have been so punished for breaking the rule of the mountain, a deed which he now regrets. Hachirō turned into dragon continued to live in Lake Towada for several thousand years, reemerging only to see a world of men changed for the worse, where individual and social values are no longer respected. After a series of other events, he finally comes to dwell in a lagoon which thus receives the name "Hachirō-gata" (Hachirō-lagoon).

Matsutani points out that tales with a similar idea (turning into a dragon if one breaks the community rule of sharing food) exist not only in Akita prefecture, but also in the mountainous ranges of the whole Tōhoku area[15].

The point of utmost interest here is the initial use of the dragon image. If in the latter parts of the story we find the same aspect that was discussed in previous sections, namely the function of the dragon as a ruler of water – *kami* of a pond, lake or sea –, the function of the occurrence in the initial episode is clearly different from control of the water element. We are dealing, rather, with a warning function against the act of breaking societal rules. The basis for using the dragon image to this end lies in the

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[13] Tales and legends present the world where the dragon dwells as having a pace of time that is markedly different from the real world, one day, for instance, being equal to several human years.

[14] *Minwa*, vol. 3, pp. 59-74.

[15] Matsutani 1974/1989: 57-59.

awe-inspiring nature of the image, and underscores the extent to which the dragon was seen to symbolize the world beyond human powers. In this connection too we can also observe the idea of immortality, discussed, in a different context, under **3.2.**.

Even in such cases, however, it will be noted that the valuation of the image is not actually negative. In concrete terms, the 'punishment' for breaking the rules of community life is nothing more than the impossibility to return inside the community and within humanity in general. In compensation, however, one acquires awesome powers in the ever-continuing world of nature. Also, ironically, the fact of being human is not necessarily presented as an advantage, as in Hachirō's story the world of the present is described as a world of utter disrespect for fundamental human values, and Hachirō as better off in his dragon shape.

5. The Dragon as the apparition of a 'vengeful ghost' (*onryō*).

A different function of the dragon, related, in a broad sense, to its fearsome qualities, can be situated in an area of Shintō beliefs distinct from the ones invoked for interpretation in previous sections. In order to identify and discuss this function, we will turn our attention to the worship of Sugawara no Michizane's[16] vengeful spirit (*onryō shinkō*).

As already shown in section **1.2.**, in the view of ancient Shintō the souls of dead people are initially impure, and undergo a process of purification along the passage of time, becoming 'ancestor spirits' (*sorei*) and finally 'ancestor gods' (*ujigami*). Even in Ancient Japan, therefore, the worship of human spirits was practiced. However, the cult was understood as a symbol of the community, and *ujigami* represented the unity of all souls of the people who died in the past, without any individual being singled out for worship. As argued in detail by Yoshie (1996)[17], it is around the middle of the Nara period (8th c. A.D.) that the notion of 'vengeful ghost' (*onryō*) can be attested, i.e. the idea that the spirit of an individual person can come back into the world of the living for the purpose of revenge. Specifically, we encounter ghosts of individuals who lost the battle of political power and suffered a tragic death.

A representative case is that of Sugawara no Michizane (845-903). He managed to reach the highest rank in the imperial bureaucracy, but lost his position because of the machinations of an opponent and was sent away to Dazaifu, where he died two years later.

According to the official record *Kitano Tengin Enki*, by 909, Michizane's opponent, Fujiwara no Tokihira, had been ill for many years. Several cures and methods of treatment were tried, to no effect. At last, one of his supporters sent his own son, who was a famous priest endowed with special powers, to atttempt a healing. When the priest arrived by Tokihira's side and was about to start the rite, he saw two blue dragons coming out of the sick man's ears. The dragons warned the priest not to attempt any treatment, because it would be useless. He immediately understood the significance of the warning, and, as soon as he left the room, Tokihira passed away. The dragons had been the manifestation of Michizane's ghost, come to seek revenge.

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[16] As mentioned under **1.2.**, Sugawara no Michizane is worshipped as the *kami* of scholarship, and shrines such as Kitano Tenmangū are extremely popular with students preparing for examinations.
[17] Yoshie 1996: 89-131, especially 103-108. The source is *Nihon ryōiki* (824), second part, 1st section.

This type of situation bears no connection to the water-related functions. Even in Ancient Shintō, dead people's sprits were the object of fear, and that is the link to the employment of the dragon figure. The dragon may be used specifically to indicate the ultimate fearsome power beyond human control, similar, from this angle, to Hachirō's transformation in the legend discussed in section **4.**

6. Usage of the dragon image in present-day Japanese life.

In Japanese, the notion of «dragon» is signified by three different kanji (龍, 竜, 辰) associated with three different phonetic expressions: *ryū* (most common in contemporary Japanese, both as a single word and in compounds, for 龍 and 竜), *tatsu* (for 辰) and *ryō* (Chinese reading, used mostly in older stages of the Japanese language, for 龍 and 竜). The valuations of the dragon image in the sense of power and strength in general on the one hand, and of nature's fierceness on the other hand can also be attested in the usage of the word's variants for compounds and denominations of various types.

(A) Due to the positive associations of the dragon image, there is no constraint or reluctance for using the word (or figure) in proper naming, logo marks, tattoos etc. All instances draw upon the associations of strength that the word's referent is held to impart. Several examples follow.

(1) Family names
Ryū   ("Dragon")   龍, 竜
Ryūjin   ("Dragon *kami*") 龍神, 竜神

(2) Given names (for both men and women, more frequently men)
Ryūichi ("Dragon" ＋ "first") 龍一, 竜一
Ryūji   ("Dragon" ＋ "next", respectively "second") 龍次, 龍二
Tatsuo   ("Dragon" ＋ approx. "man") 辰男, 辰夫, 辰雄
Tatsuya ("Dragon" ＋ "be") 辰也, 竜也, 龍也
Ryūtarō ("Dragon" ＋ most common traditional male name) 龍太郎, 竜太郎
Ryōma   ("Dragon" ＋ "horse") 竜馬, 龍馬
Ryūko   ("Dragon" ＋ suffix for female names) 龍子, 竜子

(3) Professional names adopted by sumō wrestlers
Asashōryū[18] ("morning" ＋ "blue" ＋ "Dragon") 朝青龍
Ryūko   ("Dragon" ＋ "tiger") 龍虎
Kotoryū   ("koto" (Japanese musical instrument) ＋ "Dragon") 琴龍

(4) Names of professional sports teams, clubs, companies
Chūnichi Dragons 中日ドラゴンズ (baseball team from Nagoya)
Ryūjinshuzō ("Dragon *kami*" ＋ "sake brewery") 龍神酒造 (name of a sake producer)
Pachinko Tōryū ("fighting dragon") 闘龍 (name of a pachinko gambling parlour)

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[18] The present yokozuna.

(5) Title (rank) in the professional shōgi competition
Ryūō ("Dragon" ＋ "king") 竜王

(6) The linguistic metaphor (functioning as an idiomatic phrase) *tōryūmon* (lit. "gate of ascending dragon") designates a breakthrough or an opportunity for progress.

Ex. *Akutagawa shō wa bundan e no tōryūmon da.*

芥川賞は文壇への登竜門だ。
("The Akutagawa Prize is a gateway to the literary world.")[19]

(7) The image of a dragon is used as a logo mark by the publishing house Shinchōsha (Tokyo).

(8) Among tattoo patterns, one of the most frequently requested is the *nobori ryū* ("ascending dragon", 昇り龍).

(B) The idea of nature's fierceness motivates the use of the word in **common nouns** such as:

    tatsumaki ("tornado", lit. "dragon" ＋ "spin") 竜巻
    taki ("waterfall", kanji composed of the radical "water" ＋ "dragon") 滝, 瀧
    kyōryū ("dinosaur", lit. "frightening dragon") 恐竜

(C) Numerous **place names** (for temples, villages, rivers, ponds, mountains etc.) contain the word *Dragon*, possibly in relation to local legends.
Tatsubi Misaki ("Dragon" ＋ "fly" ＋ "promontory") 龍飛崎
Ryūmonzan ("Dragon" ＋ "gate" ＋ "mountain") 龍門山
Ryūjinmura ("Dragon *kami* village") 竜神村
Tenryūgawa ("heaven" ＋ "Dragon" ＋ "river") 天竜川
Tenryūji ("heaven" ＋ "Dragon" ＋ "temple") 天竜寺
Ryōanji ("Dragon" ＋ "peaceful" ＋ "temple") 竜安寺

7. Concluding remarks.

  The main objective of the present paper was to analyze and illustrate the functions of the dragon from the perspective of *shinbutsu shūgō*, the intermingled form of Shintō and Buddhist beliefs that is specific to the Japanese cultural-historical space. The following points have been substantiated:
  (1) In the perspective of the Japanese native religion, Shintoism, the dragon is defined and functions as a *kami*, specifically a water-related *kami* (*ryūjin*).
  (2) *Ryūjin* can be attested as such in numerous legends and folktales from all over Japan.
  (3) The Dragon appears, on the one hand, as the ruler of all the manifestations of the element *water* in nature, which are, by definition, beyond the scope of human control.

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[19] Cf. *Shōgakukan Progressive Japanese – English Dictionary*, Tokyo, 1986/1994, s.v. *tōryūmon*.

(4) On the other hand, the Dragon's world, modelled as an ideal space, is an object of fascination, and the Dragon is seen as possessing the most valuable gift of all – eternal life.

(5) Being a *kami*, the dragon is associated with feelings of awe, fearful respect or admiration for its strength, and is used in this sense, both as a linguistic expression and as an image, in many areas of Japanese culture and social life.

(6) Positive valuations of the dragon image are by far predominant in Japanese culture.

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THE EYE AND THE FACE - TWO VERSIONS OF A HIT - MOVIE

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RÉSUMÉ. L'œil et le visage - deux versions d'un succès cinématographiqe. Cet article compare **Ringu** (1998), le film de Nakata Hideo, et son "re-make" Américain **The Ring** (2002 - film produit par *DreamWorks* et mis en scène par Gore Verbinsky). Des différences concernant les evènements narrés, aussi que le style des deux metteurs en scène, leurs techniques visuelle et symbolique sont mises en évidence. Finalement, l'auteur avertit sur le peril que représente la globalisation de la manière hollywoodiène de concevoir la réalisation des films; il insiste sur le rôle de l'art dans la préservation de la *différence*, de la variabilité au sein de l'humanité.

The *re-make* industry

One of today's most profitable businesses in Hollywood seems to be movie re-making. Within the latest 15 years or so, we have seen at least a few very successful[1] *feature films*, which were in fact contemporary 're-productions' of older cinematographic stories.

In some of the cases (the simplest ones, from my interpretive point of view), the reason is purely the extraordinary development of filming techniques. This is true especially when the 'F-X' (an acronym for [special] effects) industry is involved. Today's science fiction or fantasy movies largely depend on the quality of digitally constructed objects or characters. We couldn't - for instance - even try to imagine the **StarWars** pre-sequels **The Phantom Menace** or **Attack of the Clones** in the absence of *Jar Jar Binks*; or the exceptional saga of **The Brotherhood of the Ring** without its most fascinating character, *Gollum*. Also, no one would have ever thought of making a movie series about the Hogwarts School of Wizardry and Magic and its most brilliant pupil, Harry Potter, if cutting edge F-X techniques didn't permit what they actually do. In short: there is almost no creature or thing imagined by the screenwriter that cannot be brought on-screen in a fully credible[2] manner. Thus, movies like **Godzilla**, **Spiderman** or **King-Kong** were subjects to recent re-making due to a more than obvious reason: their older versions used special effects totally unconvincing in the eyes of contemporary public.

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[1] At least from the box-office point of view; some of the most important titles will be mentioned below.

[2] I won't use the term 'realistic' simply because I believe that there can be no simple *iconic* representation without a *symbolic* mediation (both these terms are used here with their Peirceian meanings).

There is a second reason for re-making a movie, quite close to the one mentioned above. This has to do with American public's short cultural memory. I don't only mean memory of the *facts*, but rather memory of *style*, that is - acceptance of tradition. Old American movies are re-made because their story often remains an interesting one, while their visual style, dialogues and internal rhythm aren't satisfactory anymore[3]. As a result, today's average viewer would strongly hesitate to watch an 'old' movie in its entirety; he/ she would much rather have the story re-told using up-to-date visual and narrative means. And since the average viewer's opinion is and will always be the main commercial criterion for success, producers will probably continue sacrificing artistic tradition for the sake of conformity[4].

More complex reasons seem to be involved when successful *non-American* movies are re-made in Hollywood. We'll have a look at some examples, in order to understand what drove American producers into making their own versions of some excellent foreign films. I will choose a few famous movies that I suppose we Europeans saw in their time. Luc Besson's revolutionary **Nikita** (1990) was a huge commercial success on our continent *because* it looked American - yet not American enough to escape re-making, only three years later, with the title **Point of no Return** (starring Bridget Fonda); later on, a Canadian TV series appeared under the title **La Femme Nikita**. The brilliant comedy **La Cage aux folles** (1978) was followed by the American movie **Bird Cage** (1996), starring Robin Williams and Gene Hackman. **Profumo di donna** (1974) became, in 1992, **Scent of a Woman**; Al Pacino's fascinating performance couldn't make us forget the original interpretation of Vittorio Gassman. Tarkowsky's intensely beautiful (and heavily symbolic) **Solaris** (1972) was recently transformed into a plain science-fiction movie with the same title, directed by Steven Sodebergh (2002, starring George Clooney). Even without taking into consideration the huge differences in conception between the four pairs of films - that is, without examining their situations distinctively - we won't have any difficulty in noticing the main characteristics of the Hollywood remakes compared to their European originals: the re-makes are more efficient, more pragmatic; the originals are more poetic, more metaphoric.

American movies tend to eliminate all 'redundancies' (imagistic as well as characteriological) and *stick to the story*; the chain of events - with its logic and its emotional growth - is, in their case, the end to which all means must submit. European

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[3] Compare, for instance, Steven Sodebergh **Ocean's Eleven** (2001) with the original film (same title, 1960, directed by Lewis Milestone); or 1994's **The Getaway** (directed by Roger Donaldson) with Sam Pekinpah's 1972 film.

[4] Of course there are exceptions to this rule; and the directors who dared to adopt an 'old' or 'classic' narrative style in order to tell their contemporary or even futuristic stories managed to make films that are *memorable* - to say the least. In **Blade Runner** (1982), Ridley Scott uses the famous detective comic-book way of narrating. The same 'stylistic' source is used in **Sin City** (directed by Arthur Miler, Robert Rodriguez, Quentin Tarantino, 2005) - but this time on the visual effects level (comic books). Some scenes in Oliver Stone's **Natural Born Killers** (1994) are shot in the most 'unnatural' (rather; *unconventional*, or *using a different convention*) manner, giving the impression that we aren't watching a film, but a play at the theatre. In this film we also have a movie-inside the movie, some kind of a gag-comedy that even finishes with its own credits.

movies are (or at least seem) slower, more complicated, more careful with details, with 'unessential' nuances, providing more psychological and/ or discursive analysis.

Are the American re-makes *better* movies than their originals? Of course, there can be no straight answer to such a question. First of all, it depends on which film we talk about; then we would have to establish some evaluation criteria - and it is not my intention to assume so difficult a task here. Finally, the implicit question we started our investigation with (*what point is there in taking a decent, or even good movie and re-making it from the start?*) proves to have been a false one. The correct question is: *is it worthwhile doing it*? And since time is money, the only economically suitable answer to this question is: *by all means*, *yes*! As long as the production costs are lower than the profits, there is more than enough reason for the remake industry.

The *Ring(u)* phenomenon

Released at the beginning of 1998, the Japanese 'horror' movie **Ringu** (directed by Nakata Hideo; screenplay Takahashi Hiroshi, from the novel by Suzuki Kōji), cost just $1.2 million. However, it soon turned to be a huge success all over the Asian cinematographic market. Not only did it set box-office records, but it was also acclaimed by the critique, in its 'native' country as well as throughout the world. Four years later, DreamWorks produced a Hollywood version of the movie: **The Ring** (directed by Gore Verbinsky; screenplay Ehren Kruger), starring one of the new sex-symbols of American cinema - Naomi Watts. The film was a hit; it managed to literally terrorize its audience, bringing a great deal of fresh air to Hollywood's horror movie industry, which had seemed, for quite a while, suffocated by clichés and unable to escape a narrow area of narrative patterns.

The idea of the plot, the existence of a cursed video-cassette, was as simple as it was highly productive - just what any film maker would call 'a stroke of genius'. If one happens (or chooses) to watch the short (but horrifying) string of images recorded on the tape, he/ she is doomed to die exactly seven days later. The film begins with the mysterious death of a young (Japanese, respectively American) girl. We don't actually see her dying, just watch her confessing to a friend that she has seen the film and, later on, we get a glimpse of her dead body: her face looks as if she died of *fear*. An aunt of this girl, who is a journalist (Asakawa Reiko/ Rachel Keller) begins to investigate this mystery and, as one would expect, soon gets to watch the video herself. Right after she has seen the images, a phone *rings* (the title of the Japanese film seems to come from this) and a voice tells her she will die in a week. A counter-clock detective story begins, one that involves the journalist's ex-husband (Takayama Ryūji, a Math teacher with some ESP abilities/ Noah, a movie-maker with no belief whatsoever in the existence of supernatural events). The plot is complicated by the fact that not only the two (ex-) spouses see the tape, but also their son (Yōichi/ Aidan) - so now the parents have a task far more important than saving their own lives - saving the boy. At the end of their investigation they find the remains of a young girl (Yamamura Sadako/ Samara Morgan), who was thrown into a deserted well, about thirty years before, by one of her parents (the father, in

the Japanese film; the mother, in the American version). They both assume that finding the source of the curse and offering the tormented soul some comfort will bring the horrifying events to an end. But the following day, in Ryūji's/ Noah's living room, the TV turns on and we see again the cursed video. Sadako/ Samara literally comes out of the well and out of the TV and kills him. Since it is now clear that it wasn't finding the girl's body that saved her, Reiko/ Rachel has to discover the real reason, in order to help her son. She remembers that she made a copy of the tape and then let Ryūji/ Noah watch it. So the way out of the curse is, in the Japanese version, to tell Yōichi to make a copy and show it to Reiko's father; in the American film, to put Aidan make one and show it to... us, the viewers of the film[5].

I have to add here[6] that even if the story itself may not seem very frightening in the eyes of the reader, the two directors, Nakata Hideo and Gore Verbinsky, fully managed - although using quite different strategies and techniques - to make it into two almost *unbearable* (for the spectator) cinematographic works. As a result, the movies were so successful that several sequels and pre-sequels were soon released[7]. Since her (brief, but scary) apparition in **Ringu 1** (1998), Yamamura Sadako has become a Japanese folk culture character; she appeared in adverts and in theme parks; she and her American alter-ego, Samara Morgan, have made lots of fans. All over the world people joined Internet communities dedicated to the Japanese, American and Korean **Ring** movies[8]. In short, Nakata Hideo's film originated a *mass- culture phenomenon*, and the existence of a re-make, produced by one of the most prestigious Hollywood studios, strongly contributed to its *globalization*.

Differences in story/ characters

Since my main goal is to compare the Japanese and the American versions of 'the first' feature-film **(The) Ring(u)**, I will start by stressing those narrated events that are different in the two. Some details have been *changed* in the re-make; and many others have simply been *added* (innovations of the scriptwriter Ehren Kruger - some of them, really inspired).

The background/ past events in the lives of the main characters Asakawa Reiko/ Rachel Keller, both journalists who will use their skills to investigate the death(s) of their niece(s), are basically the same. Also, there is no significant variation concerning their boys, Yōichi vs. Aidan; these are children who (due to

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[5] This meta-textual device represents one of the two *brilliant* ideas brought up by the American writers; the other one is the visual explanation of the title **Ring** not as an onomatopoeia, but as the well-known English noun.

[6] This is - for anyone who hasn't actually seen the movies, which I strongly recommend, both, as masterpieces of the *horror-film* genre.

[7] **Rasen** (Japan, 1998), written and directed by Iida Jōji; **Ringu 2 (Japan,** 1999), directed by Nakata Hideo, written by Takahashi Hiroshi; **Ringu Ø** (Japan, 2000), directed by Tsuruta Norio, written by Takahashi Hiroshi; **The Ring Virus** (Japan & Koreea, 1999), written & directed by Kim Dong-bin. In our country, the 'avant-premiere' Romanian launch of Dreamworks' **Ring Two** (2005, written by Ehren Kruger, directed by Nakata Hideo) has been one of the main events of TIFF, the Transylvania Film Festival in Cluj-Napoca, 2005.

[8] The most important/ famous site dedicated to this subject can be found at URL www.theringworld.com

their age, probably) will become capable of establishing a paranormal mental relation with the 'villain' Sadako/ Samara. The investigators' ex-husbands, on the other hand, are endowed with quite different qualities. Takayama Ryūji exhibits (although to a much lesser degree) the same clairvoyant capacity as Sadako and her mother, Shizuko; so, he will become an excellent medium for visions transmitted, over the years, by the two. On the contrary, Noah is a man who likes to keep his feet on the ground: he hesitates a lot before believing his wife's story. Thus, for some time, he fails to perceive the real danger menacing him and his family. But if the Japanese character is a Math teacher, the American one works in a field (video and photography) that allows him to help Rachel professionally.

As far as the villains are concerned, the variations are much more significant: Sadako is the *natural* child of Shizuko, about whom we only know that she possessed para-normal abilities (which she passed on to her daughter - on a much more evolved level, literally a *deadly* one). While in Tokyo and submitting to experiences testing her capacities, she is accused of being a fraud by a furious gang of reporters; Sadako, who participates in the event, kills one of them by the mere power of her wish. Ashamed and frightened by the girl's monstrous capability, the mother will commit suicide by throwing herself into an erupting volcano. Her American alias, Anna Morgan, is the *adoptive* mother of Samara; before taking the child, she is the happy wife of Richard Morgan, a successful farmer who breeds horses. The family's only drama is her incapacity of giving birth; but Samara will bring a much graver curse over the household and the whole island they live on. A series of calamities will affect the area; the horses will go mad and drown themselves in the sea. Finally, Anna will kill Samara by throwing her in a well and then kill herself by jumping off the island's high shore cliffs.

This is one of the big differences in story: Sadako was killed by her father, Ikuma Heihachirō, a university professor who had an affair with Shizuko. Samara, after being long tortured by he adoptive father (who put her in a mental facility, then kept her totally isolated from the world in the loft of a barn), is finally her mother's victim.

But a greater difference, coming from the directors' style, becomes obvious when we forget the details and look at the movies again, so to say, from a distance. Nakata Hideo tells us a story that has mystery and some kind of nightmare-ish fuzzy[9] logic as its basis: he neither multiplies the visual or conceptual 'clues' in the cursed video, nor tends to explain all the connections between the events. Gore Verbinsky's narrative manner rather focuses on the detective side. Of course, the American film preserves all the inevitable references to paranormal events and a 'sur-natural' level of the world; it is full of scary apparitions, delusions, unexpected events - as a horror movie should be. But in the end exhaustive[10] Reason prevails, *all* the veils tend to be raised, and *all* the texture of the facts is fully explained. To a certain

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[9] As we well know, 'fuzzy' logic does not differentiate itself from our day-to-day conceptually clear inferencing by being more *unsecure* when it comes to drawing conclusions from premises; the only difference is that fuzzy logicists tend to accept a certain degree of vagueness and the necessary *incomplete* character of knowledge as irreducible components of *conceptual* thinking

[10] And a bit exhausting, one must confess.

extent, it is as if the makers of the movie took into consideration the possible FAQ's[11] of the public. For instance: *what's the meaning of the title*? It's not only the sound of the phone *calling*; it also is the light circle that Samara sees watching from inside the covered well towards the sky (a line in the movie says: *before you die, you see the ring*). Or: *why do people die exactly seven days after watching the tape*? Because that's how long Samara survived in the well. *Why did the horses have to die*? Because the noises they were making disturbed the girl - etc., etc.

There is also a great difference as to how much of the villain characters' pasts are investigated. Sadako and her mother remain much denser mysteries than Samara and Anna Morgan. In the Japanese version, all we see are *glimpses* of the girl (a frail silhouette dressed in white, the face always covered by her long, black hair). But this is exactly what makes her only *full* apparition (when she comes out of the well and the TV) totally unexpected and transforms this moment into one of the scariest scenes ever seen on screen. The American production team has chosen to show us a series of moments from Samara's past; the exceptional interpretation of Daveigh Chase makes this character a very convincing one[12]. But in the end we are left with a most curious impression: that Nakata Hideo's film is more impressive and frightening - by showing us almost nothing, than Gore Verbinsky's managed to be - through showing us a lot.

Mise-en-abîme: differences in style (technique, vision)

The part of the films that best allows us to comment on the overall differences between their two *worlds* is definitely the scene - or rather the sequence of images - of the cursed videotape. Here we have to do with important variations - both in length and in contents.

As anyone who has followed the above comments would already expect, the video in the Japanese version is much shorter and has fewer 'components'. At first all we get is static, then it changes into 1) recorded static. What follows is: 2) the night sky seen from the well, with a face looking from above; 3) an oval mirror on a wall, in which we see a woman (Shizuko) combing her long, dark hair; for a split second the mirror changes its position, then it comes back, but we get a glimpse of 4) a small girl in a white gown (Sadako). [After the second shift of the mirror the woman turns towards the place where the girl stands and smiles to her.]; 5) moving shapes formed of many Kanji characters; one of them, more distinct, reads: *(volcanic) eruption*; 6) masses of people who crawl or shamble or move in reverse (here the sound is something like a collective moaning); 7) a man standing on a shore, pointing at something off-screen; his face is covered with a kind of white towel; 8) the close-up of a blinking eye, in which the Sada character is reflected; 9) an outdoor, uncovered well[13]. In the end, there's recorded static again.

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[11] Frequently asked questions (internet English).

[12] Personally, I only know two 'villain' performances as memorable as this - and they belong to exceptional and famous actors: Anthony Hopkins's in **Silence of the Lambs** (1991) and Kevin Spacey's in **Seven** (1995).

[13] It seems that the closer any of Sadako's victims gets to his/her seventh day, further he/ she is able to see within this scene: when Reiko sees the end of the video her son has just watched, we get a glimpse of Sadako's hands: the villain is ready to come out of the well. (In the American version we can even partially see the girl's *head*.)

In the American version, Rachel watches a tape containing: A) recorded static [Japanese version (JV)1]; B) the image of the Ring (daylight seen from the covered well [corresponding to JV 2]); C) blood in the ocean water; D) a chair in a white room[14]; E) a mirror, in which we see a woman in a black dress, combing her hair, a glimpse of Samara [JV 3 and 4] F) a thorn with a drop of blood on it; G) a man[15] looking from behind a window on the second floor of a house; H) the ocean seen from the grassy high cliffs of the shore (during this scene there's a fly on the screen, so that we understand we're watching the image of a TV image); I) some kind of a wire drawn out from a corpse's open mouth; J) a black plastic bag over the face of a person struggling[16]; K) the sky seen from the half-covered well; L) a burning tree; M) a finger pierced by the thorn [F, above]; then again recorded static [A]; N) swarming maggots; O) people crawling in mud or in shallow water [JV 6]; P) a centipede coming out from under a table; on the table there is a glass of water and behind it the chair [D]; Q) a limping lamb; R) the huge black eye of a horse (close-up [corresponding to JV 8]); again the image [K]; S) seven severed fingers moving in a wooden box; again the burning tree [L]; again the plastic bag [J]; again the woman in the mirror [E]; again the window [G]; again the chair [D], upside down and spinning inside a white room; T) a ladder leaning against a brick wall; U) horse corpses on a beach; V) the woman in a black dress throwing herself off the shore cliffs [H]; the ladder [T] falling towards the ground; X) the lid covering the well [K]; the Ring [B]; the ladder [T] fallen on the ground; Y) the well seen from outside, in a forest clearing; finally, static.

The mere enumeration of these elements clearly shows that the two directors' approaches were different in *conception*.

Nakata Hideo preferred to state very little and let the viewer think and imagine; he seems to be convinced that wherever there is a blank (or, since this a mystery and horror movie, should I say: a black [spot]?) in his story, he can confide in the public's intelligence and creativity. As a result, throughout his film, he didn't seem too preoccupied to clarify the meaning of each and every image or symbol from the cursed videotape (for instance, we never find out who the crawling people, or the white towel shrouded character are). Moreover, these images are never repeated during the film - except, of course, when one character or another watches the tape.

On the contrary, Gore Verbinsky chose to replay short sequences from the tape almost each time one of his characters 'stumbles' over a thing or event 'foreseen' in the video. For instance, Rachel, getting out of Noah's apartment building, sees a ladder leaning against the wall. For a split second, the corresponding moment [T] from the video is shown. Later, while reading some old newspapers, she finds out about Anna Morgan's suicide; we see again the woman in black throwing herself from the cliff [V]. Even when she gets to the Morgan estate and sees the mirror, the black and white image with a glimpse of Samara is re-played - although one could hardly have forgotten the oval shape of the impressive looking-glass.

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[14] The chair appairs in Samara's little loft room and at the mental institution; it symbolises her prisoner status and the mental torture that she endured.

[15] Samara's adoptive father, Richard Morgan.

[16] Before throwing her in the well, Anna Morgan covered her daughter's head with a plastic bag.

These are not faults; on the contrary - they are *statements*. They talk about the American director's *manner* (which opposes Nakata's). On the one side, no hint remains un-followed, no symbolic clue unused; on the other, the cursed video contains images that, even if carefully motivated by further events, are there rather in order to impress and scare. *E.g.*: the blood in the water anticipates the atrocious (and yet, somehow gratuitous) scene of the horse jumping off the ferryboat's deck. The severed fingers in a box may symbolize the seven days of Samara's agony; still, my impression is that they are shown simply because their image is *terrifying*. Finally, it's hard to find any 'narrative' motivation for the centipede, the maggots and the fly (except for the fact that where there's death, there's rotten flesh, etc. - which is far too trivial). Of course, in the case of the fly, we will be dealing, later in the film, with a new stroke of genius, as far as the 'shock potential' of the movie is concerned. The scene in which Rachel literally catches the insect that appeared in the video doesn't only leave its spectators breathless; it also brilliantly anticipates Samara's capacity of leaving the tape's world and incarnating in the real one. Still: this is an 'additional' impressive effect; it doesn't naturally grow out of the story's flesh; it is not one of its organs, but an excrescence.

Further *mise-en-abîme*: The eye and the face

Within **Ringu 1** we can never see Sadako's face; it is always covered by her long, dark hair; all we get to see is one of her black, inhuman eyes - and this happens when she kills Takayama Ryūji. Western make-up artists have strived and managed to develop excellent technique in making a face look scary; Nakata Hideo outdid them all by hiding it. No matter how frightening what we see is, it's what we can't see that frightens us more.

A huge effort is put to work, within the American version, to tell Samara's story. Everything, as far as this 'villain' is concerned, is brilliantly done: her lines are brief and convincing, the young actress's performance is excellent - so that the viewer is impressed by the tension between her childish innocence and her malefic destiny. One cannot help sympathizing with this character and at the same time fearing it strongly. On the other hand, we find out almost nothing about Sadako. We only know that, as a child, she killed one of the men who verbally attacked her mother and that she was later killed by her father. Still, Nakata managed to create, within a single visual scene of just a few seconds, all the emotional weight so painstakingly produced by Verbinsky: towards the end of **Ringu**, inside the well, Asakawa Reiko discovers Sadako's skeleton. When she takes it out of the water (holding it the way a mother holds her baby), two luminous drops of liquid slowly poor, like gigantic tears, out of the skull's eyeholes. Personally, I consider this to be, by far, the best moment in the two movies. It is at the same time odious and beautiful, highly symbolic and visually unforgettable.

"Globalisation" and the end of art

It isn't hard to characterize the two civilizations that these different visions of the world address: while one is more open to the *unseen* and the *unsaid*, the other seems to be obsessed with both *visibility* and (rational) *conceivability*. One accepts and

somehow nourishes mystery, the other one continually tends to reduce it. The Japanese seem to believe that clarity and distinctiveness (these Cartesian dimensions that we Europeans considered prerequisite to any valid thought process) aren't absolutely necessary for communication. On the contrary, only a certain degree of *indetermination* can allow the free participation of the Other (the cinema public, in our case) as an equal partner in the process. 'Western' discourse is 'egological', speaker-focused, even in cinema: the film *talks* to its spectators, *shows* them events and *teaches* them how they are to be understood. 'Eastern', 'Asian' or simply Japanese discourse is more 'altruistic', it works the other way around, stressing the part played by the listener.

These differences, reflected in *artistic* products, make me think that the global spreading of just one *manner* of film making, of just one conception ('the Hollywood recipe'), may be dangerous to art in general - because art *is difference*. I cannot deny that I found Gore Verbinsky's **Ring** easier to watch, or, so to say, to taste and swallow. I liked the movie a lot and I still consider it a great achievement for the American horror movie industry. Nakata Hideo's version was more obscure, more difficult to understand and accept - but, finally, much more impressive. Watching **The Ring**, I encountered fear and mystery - but they were *behaving properly* and speaking a (symbolic and narrative) language that I had no trouble understanding. So, I got terribly scared from time to time, but I had fun. The overall experience was *thrilling*, in an *entertainment*-sense-of-the-word.

But **Ringu** was something else, a much deeper encounter: in a film like this, Otherness remains unaltered, making us understand that not only may there be other facts in the world, but there can be other *ways* of looking at facts - at all of them. While watching the American version, we can ask ourselves if we aren't *seeing things* (that is, hallucinating); but we don't doubt the very *criteria* for acknowledging reality; thus, remaining calm and reasonable is the solution to all our fears. The Japanese version raises more serious difficulties - by suggesting that there are other *styles* (if I may use such a word) of being human, other types of knowledge, of course not entirely different from ours, but sensitively distinct.

It is not my intention, though, to end these brief comments in an apocalyptic manner, warning about the future erasing of all difference and the instauration of a global American vision of the world. One of the facts that make me optimistic is that for **The Ring II (2005)**, DreamWorks decided to hire Nakata Hideo as a director. Of course, a lot can be said about the actual results of this decision; my opinion is that this sequel is a *Hollywood* film with an *Oriental twist* both in visual style and narrative conflict. That is, American film makers somehow seem to have caught a (discrete, but distinct) Japanese virus.

This was, perhaps, because one of the powers of *difference*[17] - still acknowledged in the French original word - is the one to *defer*: hopefully, eternally defer the moment in which all humans would become totally alike. One cannot deny that the most paradoxical aspect of humanity is this: its very *essence* is *variability*; finally

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[17] I am not using this term in a Derridean manner, therefore I will not adopt the French philosopher's famous *différance* spelling.

reduced[18] to a monochrome thinking and behavior, it would simultaneously disappear. But, of course, as long as humans keep open to each *other*, this is bound never to happen.

FILMOGRAPHY:

Title	Year	Country	Directed by	Written by	Starring
Ringu	1998	Japan	Nakata Hideo	Kōji Suzuki, Hiroshi Takahashi	Nanako Matsushima, Hiroyuki Sanada, Masako, Rikiya Otaka, Rie Inou
Rasen	1998	Japan	Jōji Iida	Kōji Suzuki, Jōji Iida	Kōichi Satō, Miki Nakatami, Hinako Saeki
Ringu 2	1999	Japan	Nakata Hideo	Kōji Suzuki, Hiroshi Takahashi, Nakata Hideo	Miki Nakatani, Nanako Matsushima, Hiroyuki Sanada, Masako, Rikiya Otaka, Rie Inou
The Ring Virus	1999	Japan, Coreea	Dong-bin Kim	Dong-bin Kim, Kōji Suzuki	Eun Kyung-Shin, Seung-hyeon Lee
Ringu 0: Bāsudei	2000	Japan	Norio Tsuruta	Kōji Suzuki, Hiroshi Takahashi	Yukie Nakama, Seiichi Tanabe
The Ring	2002	USA	Gore Verbinsky	Kōji Suzuki, Ehren Kruger	Naomi Watts, Martin Henderson, David Dorfman, Daveigh Chase, Brian Cox, Shanon Cochran
The Ring II	2005	USA	Nakata Hideo	Kōji Suzuki, Hiroshi Takahashi, Ehren Kruger	Naomi Watts, Simon Baker, David Dorfman, Daveigh Chase, Sissy Spacek
Ocean's Eleven	1960	USA	Lewis Milestone	Harry Brown, Charles Lederer	Frank Sinatra, Dean Martin
Ocean's Eleven	2001	USA	Steven Sodebergh	Harry Brown, Charles Lederer, Ted Grifin	George Clooney, Julia Roberts, Andy Garcia, Brad Pitt, Matt Damon
The Getaway	1972	USA	Sam Pekinpah	Jim Thompson, Walter Hill	Steve McQueen, AliMac Graw

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[18] This reduction is by definition the dream of any Rationalist.

Title	Year	Country	Directed by	Written by	Starring
The Getaway	1994	USA	Roger Donaldson	Jim Thompson, Walter Hill, Amy Holden Jones	Alec Baldwin, Kim Basinger
Nikita	1990	France	Luc Besson	Luc Besson	Anne Parillaud, Marc Duret
Point of no Return	1993	USA	John Badham	Luc Besson, Robert Getchell, Alexandra Seros	Bridget Fonda, Gabriel Byrne
La Cage aux folles	1978	France	Edouard Molinaro	Jean Poiret, Francis Weber, Edouard Molinaro, Marcello Danon	Ugo Tognazzi, Michel Serrault
The Birdcage	1996	USA	Mike Nichols	Jean Poiret, Francis Weber, Edouard Molinaro, Marcello Danon, Elaine May	Robin Williams, Gene Hackman
Profumo di donna	1974	Italy	Dino Rissi	Giovanni Arpino, Ruggero Macari, Dino Risi	Vittorio Gassman, Agostina Belli, Alessandro Momo
Scent of a Woman	1992	USA	Martin Brest	Giovanni Arpino, Bo Goldman	Al Pacino, Chris O'Donnell
Solyaris	1972	Russia	Andrei Tarkovsky	Stanislaw Lem, Fridrikh Gorenshtein, Andrei Tarkovsky	Donatas Banionis, Natalia Bondarchuk, Jüri Järvet,
Solaris	2002	USA	Steven Sodebergh	Stanislaw Lem, Steven Sodebergh	George Clooney, Natascha McElhone
Blade Runner	1982	USA	Ridley Scott	Phillip K. Dick, Hampton Fancher, David Webb Peoples	Rutger Hauer, Harrison Ford, Sean Young
Sin City	2005	USA	Frank Miller, Robert Rodriguez, Quentin Tarantino	Frank Miller	Mikez Rourke, Bruce Willis, Benicio del Toro, Rutger Hauer, Michael Madsen
Natural Born Killers	1994	USA	Oliver Stone	Quentin Tarantino, David Veloz, Richard Rutovwski, Oliver Stone	Woody Harelston, Juliette Lewis, Robert Downey Jr, Tommy Lee Jones
Silence of the Lambs	1991	USA	Jonathan Demme	Thomas Harris, Ted Tally	Anthony Hopkins, Jodie Foster
Seven	1995	USA	David Fincher	Andrew Kevin Walker	Morgan Freeman, Brad Pitt, Kevin Spacey, Gwyneth Paltrow

THE JAPANESE AND TIME

RENATA MARIA RUSU[•]

RÉSUMÉ. *Les japonais et le temps*. Dans cet article nous allons analyser le concept du temps dans le contexte japonais. Dans une perspective historique, nous allons examiner le développement du calendrier à travers les époques, en insistant sur les particularités de la culture japonaise, comme par exemple la modalité de dénommer les périodes historiques. Dans une perspective culturelle, c'est dans la relation avec les saisons, les moments importants de l'année et de la vie des gens que les Japonais trouvent leur spécificité. Nous allons examiner également les festivals japonais annuels, et pour conclure nous allons analyser la cosmologie telle qu'elle nous a été transmise par les contes anciens et la conscience du temps qui résulte de ces mythes.

0. One of the questions that people must have been asking themselves since the earliest times is probably "What is time?". Trying to define it, to measure it, to control it has always been a major preoccupation with people everywhere. The answer to the above question, as well as the solutions found for the above-mentioned preoccupations have evolved in time, and this evolution has naturally been different from place to place. The experience of time thus differs from culture to culture, and from one historical period to another.

In this paper I will analyse the way the Japanese experience time. I will take a look at how from a historical perspective, the Japanese way of understanding time has its particularities in the way historical periods have been named and organized. From a cultural perspective, the specificity lies in the way the Japanese relate to seasons, to the important moments of a year, such as the New Year, or the different occasions which mark the important moments in a person's life. I will briefly follow the development of the calendar in Japan, not only in order to form an idea of how the Japanese have been organizing their lives through the centuries, but also to get a glimpse of what calendars and other time – related systems can tell us about Japanese culture. Also, I will analyse certain myths that also reflect very clearly the attitude the Japanese have had towards time.

1. Researching the way ideas regarding time have evolved in Japan, one soon notices that most of the ideas concerning time have come to Japan together with the religious notions. Therefore, there is a strong connection between the awareness of

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time and the religious behaviour of the Japanese. Also, since religious ideas in Japan have known influences from geographically various spaces, such as China, India, Europe, but also South-East Asia, the notion of time has also known very different developments.[1] Eclectic as it may have been, Japanese culture, including the notion of time, has always found a way to be unique in its own way.

Since ancient times, calendars have been indispensable for knowing the changes of days, months, and seasons. Every era has had a particular type of calendar, these old calendars being now a very good source of information on the transition in life-style and culture through the ages. While the **Kojiki – Records of Ancient Matters** (712 A.D.) gives no chronology whatsoever, the **Nihongi** or **Nihonshoki – Chronicles of Japan from the Earliest Times to A.D. 697** (720 A.D.), faithful to its function as a true historical chronicle, does not fail to give us the details of the introduction of the first calendars to Japan, thus reflecting the people's early interest in ways of measuring time and not only:

> A Pèkché priest named Kwal-leuk arrived and presented by way of tribute books of Calendar-making, of Astronomy, and of Geography, and also books of the art of invisibility and of magic. At this time three or four pupils were selected, and made to study under Kwal-leuk. Ōchin, the ancestor of the Yako no Fumibito, studied the art of Calendar-making.[2]

This allegedly happened during the reign of the empress *Toyo-Mike Kashiki-Ya-Hime*, but before this, the calendar is mentioned two more times in the **Nihonshoki**, in contexts which explain how men learned in classics, divination, calendar-making, medicine, music, and so on took the way of the Japanese imperial court, coming from Pèkché – the Kingdom of Korea. But all these arts came through Korea from China, and it was also under the Chinese influence that the **Nihonshoki** so thoroughly dates historical events (giving the exact years, months, and days), going as far as the middle of the 7th century B.C. Of course, as W. G. Aston points out in his preface of the translation of the **Nihonshoki**, such a chronology could hardly have been possible, since writing only became known in 405 A.D., and the first calendars were actually made around the year 553 A.D. Also, the **Nihonshoki** contains many examples of impossible length of reigns, which only proves the fictional character of such a chronology.[3]

Since then, many types of measuring time have been used on the Japanese islands, and it is very interesting to notice how different time measuring systems have succeeded to coexist up to the present day.

Just as the year 2005 is also called Heisei 17 (see below the explanation on the *nengō* system), two different calendars are called upon on different occasions, or even for different aspects of the same occasion. Thus, the children who visit a Shinto shrine on November 15th, the day of *shichi-go-san*, (meaning 'seven-five-three'),

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[1] Joy Hendry, *Cycles, Seasons and Stages of Life. Time in a Japanese Context*, in Kristen Lippincott (ed.), *The Story of Time*, p. 80.
[2] W.G. Aston (trans.), *Nihonji. Chronicles of Japan from the Earliest Times to A.D. 697*, p. 126.
[3] *ibid.*, Introduction xix – xx.

when according to tradition they should be aged three, five, and seven, may have had their age calculated according to one of the two systems, that is either the older, traditional systems which calculates the age based on how many New Years have passed, or the new, Western system. The advantage of this kind of flexibility is that it allows taking siblings to the shrine in the same year.[4]

Before the introduction of the Gregorian calendar in 1873, the Japanese used lunar calendars derived from the Chinese ones.[5] Based on the cycles of the moon, these lunar calendars had twelve months of either 29 or 30 days, and an occasional 13th month[6] added in certain years, to even out the discrepancy to the solar cycle, that is the discrepancy to the seasons, which could not be accepted in a culture based on agriculture.[7] Depending on the position on the globe, differences in calculating the first day of the lunar month could occur in different cultures. Consequently, a calendar based on longitude in China was not necessarily accurate in Japan.

Although they are not in use anymore, various features of the lunar calendar remain intact in today's Japan. For example, various aspects of time, such as the years, days, and hours are still associated with the twelve animals we so well known from Chinese horoscopes: mouse, cow, tiger, rabbit, dragon, snake, horse, sheep, monkey, rooster, dog, and pig. Also, each year, day, and hour is assigned one of the five elements from which the universe is composed: wood, fire, earth, metal, and water.[8]

The modern Japanese names for months translate as 'first month', 'second month' and so on until the twelfth[9], but every month has a traditional name also. These traditional names are currently used mainly in poetry, with the exception of *shiwasu*[10] – the twelfth month, still commonly used today. Other usages of the traditional months' names are the seasonal greetings which appear in the opening paragraph of a letter, and some of these names, such as *yayoi*[11] (March) and *satsuki* (May) are used as female proper names. The other names (*mutsuki*[12] – January, *kisaragi*[13] – February, *uzuki*[14] – April, *minatsuki*[15] – June, *fumizuki* – July, *hazuki*[16] – August, *nagatsuki*[17] – September, *kan'nazuki*[18] – October, *shimotsuki*[19] – November) are not currently used in Japan.

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[4] Joy Hendry, *op. cit.*, p. 80.

[5] There seem however to have existed certain discrepancies between the two countries, due to either misinterpretations or delays in acquiring the improved methods for calculating the calendar. These discrepancies varied between 1 – 2 day-long ones, and more significant ones.

[6] The added months took the name of the month after which they were introduced, followed by the word *jun*.

[7] Herschel Webb, *Calendar, Dates, and Time*, in *Kodansha Encyclopedia of Japan*, pp. 230 – 231.

[8] But if the beginning of the Chinese New Year is still celebrated in February, and the year of the bird started on February 9th 2005, in Japan the year of the bird (usually interpreted as a chicken in Japan) started on January 1st 2005 and will end on December 31st.

[9] This system of simply numbering the months is actually of Chinese influence.

[10] One of the meanings attributed to *Shiwasu* is 'priests' run' and it gets its name from the busy priests making end of the year prayers and blessings.

[11] *Yayoi* means 'the beginning of a new life'.

[12] *Mutsuki* means 'harmony' or 'happy spring'.

[13] *Kisaragi* refers to the seasonal change of the clothes, or putting on more clothes.

[14] *Utsuki* can be interpreted as 'rice planting'.

[15] *Minatsuki* is 'the month of water' and it was the time of the year when water was put in the rice paddy.

[16] *Fumizuki* is the month of letters, or writing, and *hazuki* is the month of leaves.

All these names are related to agriculture and the passage of the seasons, reflecting the awareness of time specific to the Japanese. Also, it is interesting to notice that some of the months have even older names, such as *minatsuki* which used to be *seion*, the interesting thing about these names being that the suffix *-tsuki*[20], or its phonetic modification *–zuki*, is not yet used.

The division of the week into seven days with names related to planets seems to have been brought to Japan as early as the year 800 AD, but it began to be commonly used only after 1876. Until then, the Chinese sexagenary system[21] was used, and the most important thing seems to have been whether that day is 'good' or 'bad'. Sunday (*nichiyōbi*) and Monday (*getsuyōbi*) took their names from the sun and the moon, while the other five names are taken from the five Chinese elements mentioned above: *kayōbi* (fire) – Tuesday, *suiyōbi* (water) – Wednesday, *mokuyōbi* (wood) – Thursday, *kinyōbi* (metal) – Friday, *doyōbi* (earth) – Saturday. From an astrological perspective, these five days refer to the five planets of Mars, Mercury, Jupiter, Venus, and Saturn.

Within a day, time was divided into two periods: sunrise to sunset and sunset to sunrise – which were not equally long. Each of these periods was divided into six divisions named after the twelve animals of the Chinese horoscope. These twelve divisions not only told the time (in fact this was probably their less important aspect), but also denoted directions, that is, it was telling people in which direction it was more auspicious to travel.[22]

2. One observation on how the Japanese experience time can be made also by looking at the Japanese word for time, which is *toki*. The Chinese character used in Japanese as the word for time, *toki*, "stands very much for a point in time, a particular moment or occasion, rather than an abstract continuing entity"[23]. In order for this Chinese character to point to the idea of 'interval', the character for 'space' has to be added. And in combination with the character for 'change', the notion of a 'period' or 'generation' is rendered.[24]

All this suggests the fact that for the Japanese time is renewable, it can be folded and manipulated as people want, it is extremely flexible.[25] Within the concept of 'time', there is for the Japanese a variety of 'times', that is, distinct, individual, diverse periodifications, which have different meanings, and different appellations, as far as people are concerned.

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[17] *Nagatsuki* simply means 'the long month'.
[18] *Kan'nazuki* means 'month of no gods' and it was used all over Japan, except for the province of Izumo, where the month of October was called *kamiarizuki*, meaning 'month of gods'. This is explained by the belief that in October all the gods gather for an annual meeting at the Izumo Shrine in Shimane Prefecture.
[19] *Shimotsuki* is the month of the frost.
[20] The Chinese character for this suffix is the same as the one for 'moon'.
[21] This system was also applied to years.
[22] Herschel Webb, *op. cit.*, p. 232.
[23] Joy Hendry, *ibid.*, p. 80.
[24] *Ibid.*, pp. 80 – 81.
[25] *Ibid.*, p. 80.

From a historical perspective, the hint of such an awareness of time is also given by the way years and eras are counted in Japan. There exist several systems for measuring time on a long run. For example, when a new emperor is enthroned, the counting starts from the year one of his reign, and it ends with his death. Thus, the year 2005 of the Gregorian calendar[26] is called Heisei 17, because it has been 17 years since Emperor Hirohito (whose period was known as the Shōwa Period) died and the present Emperor, Akihito, started his reign. The era names, called *nengō* in Japanese, are announced by the imperial court about one year after the new emperor is enthroned. This practice, used in China since the 2nd century BC, was apparently adopted by the Japanese in the year 645 A.D., when the emperor Kōtoku took the name Taika ("Great Reform").

In older times it was also quite common for emperors to change their *nengō* in the middle of a reign, in order to commemorate a great event. However, in 1872 it was decided that one emperor should only take one *nengō* through his entire reign. Upon the emperor's death, his *nengō* becomes the official posthumous name of that emperor.[27]

Particular historical periods are thus associated with particular families and/or places, which thus become "markers of time". To give just some examples, Nara era (710 – 784) took its name from the capital of that time; Edo era (1600 – 1867) again took its name from the old name of today's Tokyo, which was changed in order to mark a new beginning. Recording periods of history under the names of families who held the power during the time, or under the names of the capital cities, is just another expression of the way the Japanese grasp the notion of time as something that can be ended and then restarted under a new name or in a different place – marking a new era.[28]

Besides these two systems for counting years, there was a third one, called *kōki* – the imperial year, which was based on mythical founding of Japan by Emperor Jimmu in 660 BC. This system seems to have already been in use at the moment of the introduction from China of the *nengō* system, and was used in parallel with the latter until the end of World War II.[29]

Time is, as we can see, not an eternally continuous notion for the Japanese. Time is something to be measured in cycles, which have a start and an end, with people finding this very natural and suitable for their lifestyle. But this is not a borrowed idea, it is, as we shall see further on, a very Japanese idea, born from the lifestyle of the ancient Japanese people, and especially in relation with the planting of rice. As Emiko Namihira observes, time is not homogeneous, but heterogeneous for the Japanese, as there is not one 'time', but there are there are many 'kinds of time', alternately following one another within a day, a month, and a year.[30]

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[26] The Gregorian calendar was introduced in Japan on January 1st 1873. The Japanese designation for it is *seireki* – the Christian Era.

[27] Herschel Webb, *ibid.*, pp. 231 – 232.

[28] Joy Hendry, *ibid.*, pp. 80 – 81.

[29] Herschel Webb, *ibid.*, p. 232.

[30] Emiko Namihira, *Kegare*, p. 228.

3. One of the 'subdivisions' of time is the season. The Japanese are very proud of the four clearly distinguishable seasonal changes in their country, and they express this artistically, by such things as scrolls hung in the house, the cloth used for wrapping various objects, the kimono patterns, as well as all kinds of specific decorations – the best known remaining the cherry flower in spring, and the red leaves in autumn. There are several days throughout a year which carry special names that mark some kind of seasonal change. The *nijūshi sekki* are twenty-four special days which divide the solar year into twenty-four equal parts. Besides these, there exist approximately fifteen seasonal days which are known as the *zassetsu*. Moreover, the *shichijūni kō* are the seventy-two days obtained from dividing the twenty-four *sekki* further by three.[31] Most of these seasonal days' names have been forgotten in nowadays Japan, with only some of them still in use. There is also a number of five seasonal events known as the *go sekku*, which are said to have become official holidays ever since the Edo era (1600 – 1867). They are *nanakusa no sekku* (January 7th), *momo no sekku* (March 3rd), *tango no sekku* (May 5th), *tanabata* (July 7th), and *kiku no sekku* (September 9th).

Except for the first of these *sekku*, we notice an interesting pattern of the days these seasonal festivals are celebrated: the 3rd day of the 3rd month, the 5th day of the 5th month, the 7th day of the 7th month, and the 9th day of the 9th month – this pattern suggesting that the purpose of such celebrations was measuring the time.

The traditional calendar after which the Japanese celebrate their annual events, or *nenjū gyōji*, is also based on the regular, seasonal passage of time. This calendar has continually undergone numerous changes. It contains comparatively old annual events, such as the *New Year* and the *O–bon*[32], but also new holidays, which are being gradually introduced, such as *Christmas*, *Valentine's Day*[33], *White Day*, and even *Halloween*, and *Easter*. These events are essentially commercial, their celebration meaning mainly the giving and receiving of presents, which are also usually predetermined, like the chocolate gifts for Valentine's Day.

But before discussing the *nenjū gyōji*, I would like to refer to a type of Japanese 'festival', namely the *matsuri*[34]. Although there is some overlapping between the *nenjū gyōji* and the *matsuri* (over the years, some *matsuri* have become *nenjū gyōji)*, and also they are both translated into English as 'festival', they are essentially different and should be treated as such. One such difference is that while the *nenjū*

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[31]Herschel Webb, *ibid.*, pp. 230 – 231.

[32] *O–bon* is celebrated in the middle of August and is an annual event dedicated to the memory of the dead. Celebrated roughly six months after the New Year, these two annual events divide the year into two.

[33] In Japan, Valentine's Day is the day when women offer chocolate not only to boyfriends or husbands, but to the men they work with, the men they are in some kind of a contact with. In response to this, companies wanting to sell their products have come up with White Day (celebrated exactly one month from Valentine' Day), an opportunity for the men who received chocolate on Valentine's Day to return the favor.

[34] The word *matsuri* is usually translated into English as festival or rite. Such a translation does not however cover the true meaning of *matsuri* (in an attempt to explain it briefly, some of the defining aspects of *matsuri* are given in this article). This article therefore uses the word '*matsuri*' in its original Japanese form.

gyōji have a national character, the *matsuri* belong to a particular shrine[35], that is to a particular community. The relation to Shinto proves that the *matsuri* are native Japanese, while the *nenjū gyōji* are mainly of Chinese or other external provenance.[36]

The concept of *matsuri*, which I will try to explain here briefly, is a very complex reality of Japanese culture. The *matsuri* are 'festivals' in the respect that they are organized in the same place and at the same time once a year, they are public events connected to a particular idea, and, as they are derived from ancient Shinto rites, they are religious, of sacred origin.[37]

Originally, all Shinto rites were related to the growing cycle of rice. Therefore, *matsuri* still maintain the four basic types of *matsuri*: for a successful harvest, *matsuri* of supplication, *matsuri* of giving thanks for a good harvest, and *matsuri* to drive away pestilence and natural disasters (celebrated mostly in summer, in order to protect the crops).[38] It is thus only natural that the most important *matsuri*, at least originally, took place in spring and in autumn. According to folkloric tradition, in spring, the mountain *kami* descend to the village and become the *kami*[39] of the rice paddies, where they stay and protect the rice until autumn, when they return into the mountains[40].

It is, as Yanagita Kunio[41] explains, first of all to welcome the *kami* that *matsuri* are organized. And with this receiving of the *kami*, people were also measuring the time, as Yanagita Kunio explains that in ancient times there were these small *matsuri* specific to each family that constituted the real *nenjū gyōji* – the real calendars.[42]

Matsuri have two aspects: communion between *kami* and people, and communion among people. The first aspect is concerned with a series of formalities, or rites, such as purification, offerings, and banquets. The second aspect is about the releasing from such restrictions, and comprises games, contests, and *mikoshi* parades through the town. The combination of these two aspects results into what is known as *hare* in Japan. Reminding of Mircea Eliade's 'sacred space' vs. 'profane space', *hare*, together with *ke*, form a set of opposite dimensions (of time, space, and things), that is the oppositions between 'sacred, special, out of the ordinary' and 'ordinary, mundane, everyday life'.[43]

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[35] As each shrine establishes a specific date for its festivals, it is possible for different shrines in the same village or city to have their *matsuri* on different dates. A definite group of people always act out a *matsuri*, and this group of people (known as *ujiko*) are the members of a shrine (*ujigami*). It is therefore very common even in nowadays Japan to see, within the same town or city, the blocks around a certain shrine having their *matsuri* on specific days. On these days, the streets and the houses of that block are ornated with *shimenawa* ropes.

[36] Itō Mikiharu, *Festivals*, in *Kodansha Encyclopedia of Japan*, p. 255.

[37] Kunio Yanagita, *Minzokugaku jiten (Dictionary of Japanese Ethnography),* pp. 539 – 540.

[38] Itō Mikiharu, *op. cit*., p. 253.

[39] *Kami* are deities, and can include anything from rocks, plants, animals, fabulous creatures, to people. In Shinto, which is first of all a cult of the ancestors, everybody becomes *kami* after death, and initially the *matsuri* were organized by each family to welcome the *kami* – that is the ancestors of the family.

[40] In some *matsuri* portable shrines – *mikoshi* – are taken down a mountain in spring to symbolize the descent of the *kami* into the rice fields. The process is reversed after the completion of the harvesting.

[41] Yanagita Kunio (1875 ~ 1962) is considered to be the founder of Japanese folkloric studies.

[42] Kunio Yanagita, *op. cit.,* p. 539.

[43] Itō Mikiharu, *loc.cit.*

There is also a third principle, *kegare* (impure, unclean), which according to Sakurai Tokutarō, as quoted by Emiko Ohkuni-Tierney in her book *Rice as Self*, is not an opposite of *hare*, but a result of the decrease of *ke* as even the etymology of the term proves it: '-*gare*' comes from the verb '*kareru*', which means 'to wane' or 'to wither'.[44] *Kegare* times were such as time of death, time of giving birth (apparently considered a *kegare* time because of women's incapacity to work and fulfil their daily routines at the time of birth), time of menstruation.[45] The length of *kegare* times were subtly connected with times when rites were performed. For example, the death of a person was always followed by rites that had the sole purpose of decreasing the *kegare* condition (that is, return to a *ke* condition). The decrease is believed not to be uniform (this would happen only if rites were not observed), but gradual, little by little, as the rites occurred.

The origin of these three terms is connected to agriculture, that is to rice cultivation. Just how important the connection between rice and time, especially the annual cycle of time is, is evident also from the fact that the word used today in Japanese for "year", *toshi*, originally meant 'rice'.[46]

Returning now to the first of the three principles, on a temporal dimension, *hare* is the day of a *matsuri*[47](or, better said, a *matsuri* day is a *hare* day), or some other special event, such as birthdays and weddings[48]; spatially, each traditional house used to have a *zashiki* – a *hare* space used as a guest room, and also for special occasions, such as weddings; among the things that are connected to *hare* are the *haregi* (special clothes worn on *hare* occasions), and the *mochi*[49] (glutinous rice cakes, which are nowadays consumed mainly during the New Year's holidays). At the time of a *matsuri*, regular rice and *mochi* rice, as well as rice wine (*sake*), vegetables, and fruits are presented as offerings (*monoimi*) for the gods. These offerings are shared by the *kami* and the people, as part of the communion between them, communion known as *naorai* in Japanese. It is through this communion that the ordinary life of *ke* turns towards the sacredness of *hare*, and in return the *hare* lends its vital energy to *ke*.[50]

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[44] Emiko Ohkuni-Tierney, *Rice as Self*, p. 56.
[45] Emiko Namihira, *op. cit.*, pp. 235 – 240.
[46] Itō Mikiharu, *ibid.*, p. 258.
[47] In prehistoric times Japan being an agricultural society based on the cultivation of rice, there appears to have been a fixed pattern of *matsuri* days in relation to seasonal and lunar cycles, that is, the 15th day of lunation (the day of the full moon) was the day of purification and communion with the *kami*. Thus, even long after the adoption under Chinese influence of the day of the full moon as the first day of the month, the Japanese still celebrated the New Year on the 15th day of the 1st month of the year. This practice was very common until the Heian era (794 – 1185), and today it survives in folk practice as the Koshōgatsu (Little New Year) or Onna Shōgatsu (Women's New Year).
[48] *Hare* occasions can thus be celebrated either within a small group, as would be the case for birthdays or weddings, or on a national level, such as Children's Day (May 5th), Coming – of – Age Day (January 15th), or Respect of the Aged Day (September 15th).
[49] Although in nowadays Japan all kinds of rice, including *mochi* rice, can be found all through the year, in ancient times, the stable crop was the millet, with rice, and especially *mochi* rice, reserved for special occasions.
[50] Itō Mikiharu, *ibid.*, p. 253 – 254.

Basically, everything that is *hare* is very different from everything that is *ke*, and what occurs at a *hare* time could not occur at a *ke* time, and the contrary.[51] In ancient Japan great importance was given to *hare* days, the continuity of everyday life being felt as interrupted here and there for the special times and occasions of *hare*. Again, time is not continuous for the Japanese, but interrupted and fragmented, and this time we can say that this way of perceiving time is not due to some external influence, but it is purely of Japanese birth, as it was born naturally as the agrarian society developed. So it is not surprising that the Japanese so easily adopted the Chinese ideas which basically were similar to their own indigenous ideas. Today, these *matsuri* have lost their agriculture-related meanings for most people, with probably only the priests of the Shinto shrines still remembering why they organize a *matsuri* at that time and place, and still observing all the steps necessary in the preparation of such an event.

There are hundreds of *matsuri* celebrated all over Japan throughout one year, today the biggest ones taking place in big cities like Tokyo and Kyoto. Some of the most famous *matsuri* of Japan are Gion Matsuri, held in Kyoto in July, Ombashira Matsuri, held every six years in Suwa, Nagano Prefecture, Sapporo Yuki (snow) Matsuri[52], etc.

I presented up to now the Japanese *matsuri*, which I said are sometimes included into the so-called *nenjū gyōji*, but are different in character. But what does a traditional annual event mean and how are these *nenjū gyōji* different from the *matsuri*?

According to Yanagita Kunio, *nenjū gyōji* are traditional events, repeated as a matter of custom in the same manner or style, and at the same point in the annual calendar. They are not simply repeated by individuals, but by the family, the village, the nation. There is inside the group or the community a sense of obligation to observe the tradition, which as far as the understanding of the nature of time goes, is different from the usual, everyday time. It is as if the continuity of everyday life (*ke*) was interrupted here and there for these special occasions (*hare*).[53] As we see, there is not much difference between how Yanagita Kunio defines the *matsuri* and how he defines the *nenjū gyōji*.

As mentioned above, according to Yanagita Kunio, *matsuri* were *nenjū gyōji* on a smaller level. The term *nenjū gyōji* as such was first used in Japan during the Heian Era (794 – 1185) under the influence of the Chinese court schedules, and it referred to the calendar of recurring events of an year. Following the country's political and cultural development, new annual events were continually added to this calendar. Today, the term includes all national and international annual events that are observed by the contemporary Japanese society, including all the national holidays. So basically, *nenjū gyōji* is a calendar, which contains some *matsuri* which have become famous enough to be thought of as *nenjū gyōji* by all the Japanese people today, and which share with the *matsuri* certain features as I observed above.

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[51] Emiko Namihira, *ibid*, pp. 227 – 228.
[52] A modern kind of *matsuri*, which probably gets to be called so only for commercial reasons, to attract as many people as possible.
[53] Kunio Yanagita, *ibid.,* pp. 447 – 448.

The New Year[54] is probably the most important annual event for the Japanese and other Asian countries. It appears to have been celebrated for the first time in the year 642, and became a regular annual event during the reign of Emperor Saga (809 – 823).[55] The Japanese word for this event is *o-shōgatsu*, which means "the first month of one year", "the time of renewal"(*mutsuki*). It is a time for which the Japanese prepare by cleaning their houses and their working places, and this 'cleaning' is also named by a special term – ō-*sōji* (the big cleaning). Traditionally, all months had thirty days, and the last day of the month was called *misoka,* but this name is not used today, except for the form ō-*misoka*, or the big thirtieth day, that is the last day of the year. Special food is prepared for this event, and cards are sent to friends and family.

Other important *nenjū gyōji* are Setsubun (Bean-Scattering Ceremony), Hina Matsuri (Doll Festival), Kodomo no hi (Children's Day), Tanabata, Taiiku no hi (Sports Day), Bunka no hi (Culture Day), etc.

4. Most cultures' awareness of time take into account a cyclical movement of time and a linear one. Natural phenomena – such as the waxing and waning of the moon, the rising and setting of the stars, the succession of day and night, and of the seasons –suggest a cyclical perception of time. On the contrary, certain facts of life, such as the ageing process followed by inevitable death, suggest a linear and single-directed movement of time.[56] This is not entirely accurate for the Japanese, since the time of death is not the same as the time of life. There is not one line of time, as the three kinds of *hare*-time, *ke*-time, and *kegare*-time are on completely different planes or levels of reality, with interaction occurring only at special times and under certain restrictions.

As a general rule, cultures where the gods are not abstracted from the world of man, time is cyclical, and rites and rituals are enacted at specific times of the year to ensure the continuity of time. Other cultures, such as those dominated by Judaism, Christianity, and Islam, which are based on the idea of God's creation of the universe as told in the Genesis, emphasize the linear movement of time.[57] As myths retell the creation and birth of the reality around us, looking at the creation mythology of each culture is one way to explore the awareness of time specific to each culture.

The creation myths of the islands of Japan are contained in the two chronicles, **Kojiki – Records of Ancient Matters** (712 A.D.) and **Nihongi** or **Nihonshoki – Chronicles of Japan from the Earliest Times to A.D. 697** (720 A.D.). I would like to underline that the two chronicles tell very different stories sometimes, and especially **Nihonshoki**, more often than not, gives a number of variants of the same myth. Sometimes the differences are so big that it has led researchers such as Kōnoshi Takamitsu to assert that not only is it incorrect to say that **Kojiki** and **Nihonshoki**

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[54] The New Year has been celebrated on January 1st only since the nineteenth century, at the government's command, and it is nowadays considered by most Japanese the most important annual event. However, older dates for the New Year still survive under other names, preserving still their nature of marking a new beginning.
[55] Itō Mikiharu, *ibid.*, p. 259.
[56] Kristen Lippincott (ed.), *The Story of Time*, p. 17.
[57] *loc.cit.*

retell 'the Japanese mythology' (he prefers the term 'myth, or mythology of the emperor'), but they retell entirely different myths.[58]

If the **Kojiki** tells one, linear story, attributed with great confidence to the memory of one man (or woman), Hieda no Are, the **Nihonshoki** gives very different interpretations to one and the same mythological aspect. Thus, only for the first creation myth, which tells of the creation of Heaven, Earth, and the first three *kami*, there is in **Nihonshoki** a main story, followed by no less than six variants, all introduced by the words: "In one writing it is said:…". These variants tell of the creation of Heaven and Earth either in succession, or at the same time, proving different attitudes towards the beginning of things and time.

Further on, both chronicles tell of the creation of the islands of Japan, the birth of the *kami* of the sea, the wind, the trees, the mountains, etc, basically all natural elements, by *Izanagi* and *Izanami*. The last *kami Izanami* gives birth to is that of fire, and she dies in the process. Wanting to meet her again, *Izanagi* follows her into the Land of *Yomi*. Failing to keep his promise of not looking at her, *Izanagi* makes it impossible for *Izanami* to come back and continue the creation of the country, and having made *Izanami* angry, *Izanagi* makes a narrow escape from *Yomi*'s Land. Then he performs the *misogi* – the purification process, that is, he washes off the *kegare* with water. In this process, a series of *kami* are born again, the last three being: *Amaterasu – ō-mikami* (Heaven-Shining-Great-August-Deity), born out of *Izanagi*'s left eye, *Tsuki-yomi-no-kami* (His Augustness Moon-Night-Possessor), born from *Izanagi*'s right eye, and *Take-haya-susa-no-ono-mikoto* (His Brave-Swift-Impetuous-Male-Augustness), born of *Izanagi*'s nose. With this *Izanagi* disappears, thus leaving the creation process pending.

Up to this moment, the story is persistently all about the *kami*. It is a 'time of gods', and a particularity of the Japanese creation myth is that there is no story of the creation of man, which is otherwise so important in the mythology of many other cultures. However, this is not to say that there is absolutely no mentioning of people in this story. While they are both in the Land of *Yomi*, *Izanagi* and *Izanami* have a serious fight caused by *Izanagi*'s seeing the decayed body of his wife/sister, a fight during which the following words are uttered:

> [*Izanami*]: "My lovely elder brother, thine Augustness! If thou do like this, I will in one day strangle to death a thousand of the folks of thy land." Then His Augustness the Male-Who-Invites replied: "My lovely younger sister, Thine Augustness! If *thou* do this *I* will in one day set up a thousand and five hundred parturition houses[59]. In this manner each day a thousand people would surely die, and each day a thousand and five hundred people would surely be born."[60]

The origin of death is explained here, and what interests us in this episode right now is that *Izanagi* and *Izanami* are capable to have this conversation because time does not end when *Izanami* dies, and *Izanagi*, following her, simply passes from one

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[58] Takamitsu Kōnoshi, *Kojiki to Nihonshoki. 'Tennōshinwa' no rekishi. (Kojiki and Nihonshoki. The history of 'the myth of the emperor')*, p. 56.

[59] The 'parturition houses' refer to the custom of building a hut separated from the community for every woman about to give birth, where they retrieved to have their children in isolation. This only sustains the fact that giving birth was also felt as a *kegare* condition.

[60] Basil Hall Chamberlain (trans.), *The Kojiki. Records of Ancient Matters*, p. 45.

level of existence, one condition of time (*ke*), to another one (*kegare*). And maybe this also explains the inexistence of another myth Japanese mythology is famous for, that is a myth of the end of the world. Both the **Kojiki** and the **Nihonshoki** naturally pass from an age of gods to an age of people, with the gods retrieving from the world and leaving it to their followers, the people. There is no mentioning of any end, or any recreation for that matter, as such an end could only occur within a *kegare* time and condition, so it could not be an interruption of the *ke* or the *hare*.

Before the episode above, as *Izanagi* was finding ways to escape *Izanami*'s rage, he said to the peach fruits that had saved him:

> "Like as ye have helped me, so must ye help all living people in the Central land of Reed-Plains when they shall fall into troublous circumstances and be harassed!"[61]

The original Japanese for 'living people' is '*utsushiki aohitokusa*', with '*utsushiki*' being an expression of 'the condition of reality, of existence' – that is, from the point of view of the *kami*, the people were real[62], and '*aohitokusa*' translating as 'as many people as grass'. Considering this, as well as the fact that the reason people die is explained –led Kōnoshi Takamitsu to say that the myth of the creation of people must have also existed, but it somehow got lost by accident.[63]

However, we are left with a mythology which chose to survive without the story of the creation of people, so this is how we have to deal with it. And if Kōnoshi Takamitsu is right when he says that the myth of the creation of people was lost in time, the fact that people did not consider it strange for such a myth to be missing can only be explained by the *kegare* condition which was associated with birth-giving.

Such episodes, of time passing from one level to another, are not few in Japanese mythology. One other famous episode is that in which *Amaterasu–ō–mikami*, angry with her brother *Susa-no-ono-mikoto*, hides herself into a cage leaving the whole world in darkness. "Owing to this, eternal night prevailed"[64] tells the **Kojiki**, and according to the **Nihonshoki**, "…constant darkness prevailed on all sides, and the alternation of night and day was unknown"[65]. There are many very interesting aspects of this myth to be considered, but what interests us now is the time aspect. As we can see, both mythological records emphasize the unchanging condition of darkness, but there is again no hint of time coming to an end.[66] What happens is that the *kegare* becomes predominant, making it necessary for certain rites to be performed, so that the *ke* can be restored. All the preparations the *kami* make in order to make *Amaterasu–ō–mikami* get out of the cave – the dance performed by *Ame-no-uzume-no-mikoto* (Her Augustness heavenly-Alarming-Female), the *Sakaki* tree branches, the jewels, the mirror which are objects that can all be seen today in any Shinto shrine – are elements of such rites.

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[61] *Ibid.*, p. 44.
[62] Takamitsu Kōnoshi, *op.cit.*, pp. 61 – 62.
[63] *Ibid.*, p. 63.
[64] Basil Hall Chamberlain (trans.), *op. cit.*, p. 64.
[65] W.G. Aston (trans.), *op. cit.* p. 41.
[66] Interestingly enough there is a very similar story in the Bible, Joshua 10:12, when the sun stands still in answer to the call "Stand still, O Sun!", but time does not stop.

From their myths to the division of years, seasons, months, and days, everything in the way the Japanese relate to time proves a heterogeneous awareness of time. Divided into shorter or longer periods, which can start and end whenever considered necessary, time is not a continuous entity, and it does not flow on only one level, but at least three different ones, all known under different names: *hare*, *ke*, and *kegare*.

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