EGER JOURNAL
OF
ENGLISH STUDIES

VOLUME V

EGER JOURNAL
OF
ENGLISH STUDIES

VOLUME V

Pondering over *Over*: A Semantic Analysis

Éva Kovács

1 Introduction

Over, one of the most polysemous words in English, has especially enormous complexity, which is not only semantic but syntactic as well. Consider the following examples (cf *Collins Cobuild English Dictionary* (1995: 1177–78)):

- *He looked at himself in the mirror over the table. ...a bridge over the river Danube, ...helicopters flying over the crowd.* (above) (PREP)
- *Mix the ingredients and pour over the mushrooms. He was wearing a light grey suit over a shirt.* (covering) (PREP)
- *I stepped over a broken piece of wood. The policeman jumped over the wall.* (across a barrier, obstacle) (PREP)
- *She ran over the lawn to the gate.*
 (across an area, surface, from one side to the other) (PREP)
- *She lived in a house over the road/over the river.*
 (on the opposite side of it) (PREP)
- *He fell over. He was knocked over by a bus.*
 (towards or onto the ground) (ADV)
- *His car rolled over after a tyre was punctured. He turned over and went back to sleep.*
 (its position changes so that the part which was facing upwards is now facing downwards) (ADV)
- *I met George well over a year ago.* (more than) (PREP)
- *Do it over. He played it over a couple of times.* (again) (ADV
- *The war was over. The bad times were over.*
 (completely finished) (ADV)
- *He's never had any influence/power/control over her.*
 (control or influence) (PREP)
- *They discussed the problem over breakfast/ a glass of wine.*
 (during) (PREP)

As evident from the above examples, *over* is not only polysemous but it can be found in several grammatical categories, i.e. a preposition in a prepositional phrase or an adverb. Besides, it occurs as a prefix in 124 prefixed verbs such as *overpay, oversleep, overlook*, in 38 prefixed adjectives e.g. *overpopulated, overpowering*, in 26 prefixed nouns such as *overdose, overtime* (cf *Collins Cobuild English Dictionary* (1995)) and as an adverb or a preposition in 111 phrasal verbs in various meanings (cf *Collins Cobuild Dictionary of Phrasal Verbs* (1995)):

- Movement and position: *come over, roll over, take over, turn over*
- Overflowing or overwhelming feelings: *boil over, fuss over, slop over, spill over*
- Falling and attacking: *kick over, knock over, tople over, trip over*
- Covering and hiding: *cloud over, film over, freeze over, skate over*
- Considering and communicating: *brood over, chew over, look over, think over*
- Changing and transforming: *buy over, hand over, swap over, win over*
- Ending and recovering: *blow over, get over, give over, throw over*

On the surface the meanings of *over* mentioned above may seem totally unrelated and its combination with a verb or noun seems to be rather arbitrary. While some linguists (see Kennedy (1920), Wood (1955), Live (1965), Bolinger (1971), Sroka (1972), Fraser (1976)) also consider prepositions/particles/prefixes to be either fully analysable or opaque by stating that they have a literal meaning or no meaning at all, cognitive grammarians (see Lindner (1981), Brugman (1981), Vandeloise (1985), Lakoff (1987), Taylor (1989), Dewell (1994), Morgan (1997), Dirven (2001), Rudzka-Ostyn (2003) and Tyler & Evans (2003)) suggest that the meanings of particles in most verb particle combinations and prefixed verbs are analysable, at least to some degree.

The most important studies on the semantics of *over* to have appeared so far are those of Brugman (1981), Taylor (1989), Lakoff (1987), Dewell (1994) and Tyler & Evans (2003), who provided an analysis of *over* in the cognitive framework. On the basis of these studies, I will make an attempt to show that *over* constitutes a complex network of related meanings, which can be analysed at least to some degree. I will show that it has various central, prototypical meanings, which are the literal meanings, and most of the other meanings depart from these prototypical ones in various ways, typically via metaphorical extensions. It is generally assumed by cognitive grammarians that the basis of a great many metaphorical senses is space and among their most common source domains are containers, journeys (with path and goal) and vertical obstacles. Following the terminology used by

Lindner (1981), Lakoff (1987), Taylor (1989), Dewell (1994) Rudzka-Ostyn (2003) and Tyler & Evans (2003), I will also use the term 'Landmark' (LM) to denote the entity which serves as a reference point, i.e. a background point/container/surface which is located and 'Trajector' (TR) to refer to a moving entity, i.e. an object or a person. What underlies this analysis is that we conceive or characterize an abstract reality in terms of a concrete one and when we talk about our feelings, fears, hopes, suspicions, relations, thoughts, etc. we tend to use concrete images. From this semantic point of view, it is actually not relevant what syntactic function *over* has, whether it is a prefix or a particle in a phrasal or prepositional verb, an adverb or a preposition in a prepositional phrase.

2 The Meaning of *Over* in Modern English

The most important senses of *over* in Modern English are as follows:

2.1 The Above and Across Sense

2.1.1 The Central Sense

Consider the examples in:

(1) The plane flew *over*. The plane flew *over* the hill.

In the above sentences the meaning of *fly over* is that of moving overhead. The LM is what the plane is flying over and it is either specified, i.e. the hill, or not. The TR is the plane and there is no contact between the LM and TR.

Some special cases of the *above* and *across* sense are illustrated in the following examples:

(2) The bird flew *over* the yard. (extended, no contact)
(3) The plane flew *over* the hill. (vertical extended, no contact)
(4) The bird flew *over* the wall. (vertical, no contact)
(5) Sam drove *over* the bridge. (extended, contact)
(6) Sam walked *over* the hill. (vertical, contact)
(7) Sam climbed *over* the wall. (vertical, contact)
(8) Sam lives *over* the hill. (vertical extended, focus on the end point of the path)

As pointed out above, LM is either extended or vertical or both and there is either contact or no contact between the LM and TR. In (8) there is a focus on the end-point of the path. End-point focus means that there is an understood path that goes over the hill, and Sam lives at the end of that path and *over* has the sense of on the other side of as a result of end-point focus (cf Lakoff (1987: 420)).

In addition, there are innumerable examples where we can witness a transfer of the above TR-LM relation from the concrete domain of space to the abstract domain via metaphorical extensions.

2.1.2 The Metaphorical Extensions of the Above and Across Sense

Consider the following examples:

(9) The media *passed over* some of the most disturbing details of the case.

I noticed that he *skated over* the topic of redundances.

They *overlooked* each others' faults.

It's easy to *overlook* a small detail like that.

In the above examples in (9), *over* has the meaning of avoiding discussing a subject or problem or not giving it (enough) attention. The problem(s), the topic can be understood metaphorically as a LM.

In another extended meaning of *over* exemplified below in (10), the LM is a problem, a difficulty, an illness, an unpleasant experience or a feeling. *Over* denotes the path of the TR surmounting an obstacle. The metaphorization is made possible by the fact that that life is often construed as a path, and difficult episodes during one's life as obstacles in the path.

(10) It took me a very long time to *get over* the shock of her death.

Harry still has not *got over* his divorce.

How would they *get over* the problem, he wondered?

Molly had fought and *overcome* her fear of flying.

Find a way to *overcome* your difficulties.

The basis of metaphorization in (11) below is that a person's career can be construed as a journey over a vertical extended LM (hill). *He is over the hill* means that he has already reached and passed the peak or high point of his career (journey).

(11) Peter is *over the hill*.

The end-point focus of the path the trajector follows can also be understood metaphorically as representing the completion of a process, which yields examples as in:

(12) The lesson is *over*. The bad times were *over*.

2.2 The Above Sense

2.2.1 The Central Sense

Consider the meaning of *over* in the sentences in:

(13) The lamp *hangs over* the table.

He is *standing over* the entrance to the cave.

Over in (13) has a stative sense, with no path. It is linked to the *above* and *across* sense in that it has the TR above the LM, but it differs from it in two respects: There is no path and no boundaries, in other words, the *across* sense is missing. Second, it does not permit contact between the TR and LM.

2.2.2 The Metaphorical Extensions of the Above Sense

a) *Over* in (14) is used metaphorically to indicate that something or someone threatens or worries you. The TR can be understood as a problem that worries you or a person that threatens you on the path defined by life's journey.

(14)   I had the Open University exam *hanging over* me.

He *held* the Will *over* her like a threat.

b) Another extended meaning of *over* illustrated by (15) is that of control, i.e. supervising someone or being in a position of authority over them. The relationship of TR and LM is one of power, authority. Power relations are typically conceptualized in vertical space. Someone with power (TR metaphorically) is higher than someone without power (LM metaphorically).

(15)   Don't you try to *queen* it *over* me. (act in a way to show that they are better than you)

Do you have to *lord* it *over* us?

The wives took turns to *watch over* the children. (take care of them)

He had *presided over* a seminar for theoretical physicists. (be in charge of it)

Fanny *sat over* her sick brother. (watch them very carefully)

She *stood over* him and made him eat his lunch. (watch him what he is doing)

c) Examples like in (16) show another extended meaning of *over* in this relationship, which is that of considering, examining something carefully from all sides, thinking about or looking at something in a thorough and detailed way where the LM is understood metaphorically as a problem, a question under consideration.

(16)   The more you sit and *brood over* your problems, the bigger they get. (think about it seriously for a period of time)

As I *pondered over* the whole business, an idea struck me. (think carefully and seriously about a problem.

In discussion we *chew over* problems and work out possible solutions. (think carefully about it)

The meeting was devoted to *hashing over* the past. (discuss it in great detail)

I *mulled* that question *over* for a while. (think about it seriously for a long time.)

I saw an old lady *picking over* a pile of old coats in a corner. (examine them carefully)

Monks *pored over* ancient texts. (look at it and examine it very carefully)

Why travel back in the past and *rake over* old worries? (keep talking about unpleasant events)

I wanted to *think over* one or two business problems. (consider them carefully before making a decision)

I'll *talk* it *over* with Len tonight. (discuss it)

2.3 The Covering Sense

2.3.1 The Central Sense

There is a group of meannings for *over* that have to do with covering, which means that the TR appears to cover the LM as is evident in the examples in:

(17) *Put* the tablecloth *over the table*.
The sky *clouds over*.
The windscreen's *frosted over*.
You've *grassed over* the back garden.
My eyes *filmed over*.

It is linked to the *above* and *across* sense and in its dynamic interpretation it shares the motion of the TR above and across the LM. In other words, the table/sky/the windscreen/the back garden/eyes i.e. the LM becomes covered with a tablecloth or a layer of cloud/frost/grass/tears, which can be interpreted as the TR, thus there is a covering relationship between the LM and the TR.

2.3.2 The Metaphorical Extensions of the Covering Sense

Some combinations are used metaphorically with the meaning of hiding something, for example a situation, an event, an unpleasant, embarrassing subject, a problem which can be understood as the LM and the TR as an abstract entity as exemplified in:

(18) He *varnished over* the conflict with polite words. (hide unpleasant aspects of it or pretend they do not exist)
They tried to *paper over* the crisis. (hide the difficulty or problem)

2.4 The Reflexive Sense

2.4.1 The Central Sense

Consider examples like in:

(19)   The fence *fell over*. He was *knocked over* by a bus.

Here the TR – the initial upright position of the fence – is distinguished from the final position, in which the fence or a person is lying horizontally on the ground, i.e. the LM. These are the cases when: TR=LM. Such a relation between a LM and TR is called reflexive (cf Lindner (1981: 122)).

Some other examples of the reflexive sense are:

(20)   John, beside himself with rage, had *kicked over* the table and grabbed at her. (kick it so that it falls to the ground)
He suddenly *keeled over* with a heavily-loaded tray. (fall over sideways)
Be careful you don't *knock* the paint *over*. (push it or hit it so that it falls or turns on its other side.)
The children were *pushing* each other *over* on the sand. (push them so that they fall onto the ground)
We almost *ran over* a fox that was crossing the road. (hit it causing injury)
She *tipped* the pan *over* and a dozen fish fell out. (turn onto its side or upside down)
She *tumbled over* and hit her head on the concrete. (fall down)

In these combinations of *over* the TR, which is upright at the beginning, traces a curved path and falls or is pushed to the ground, which is the LM.

Additional examples of the reflexive sense are given in:

(21)   *Roll* the log *over.*
Turn the paper *over.*
He *turned over* and *over* in bed.
His car *rolled over.*

Here the position of an entity, i.e. the log or the car changes so that the part which was facing upwards is now facing downwards. It means that half of the log or the top of the car is acting as LM and the rest as TR. Thus the TR and the LM become identical.

2.4.2 The Metaphorical Extension of the Reflexive Sense

An extended meaning of this spatial *over* is its telic, resultative meaning, which is exemplified by 'removal', 'change', 'cancel' in the definitions of the examples given in (22), where *over* is a prefix. For example, first the

government is in control (metaphorically upright), and afterwards it is not in control (metaphorically it has fallen over):

>（22）*overturn a government* – remove a government from power
>*overthrow a government/leader* – remove from power by force
>*overhaul a system or machine* – make changes or repairs to improve it
>*override a decision/order* – cancel/ignore a decision
>*overrule a decision/order* – change someone's decision/order that you think is wrong

2.5 The Excess Sense

2.5.1 The Central Sense

Over can also indicate excess as illustrated in the sentences in (23). In these instances there must be some fluid in a container, which has vertical sides. The path of overflowing fluid is upright and over the edges of the container. Here the LM is the edge of the container and the TR is the the fluid in the container and the path the TR follows is the path of flow. For instance:

>（23）The milk *is boiling over*.
>He splashed wine into Daniel's glass until it *brimmed over* onto the tablecloth.
>Some of the milk *slopped over* onto the the floor.
>Rivers and streams have *overflowed* their banks in countless places.

2.5.2 The Metaphorical Extension of the Excess Sense

Excess can be interpreted metaphorically as well, where people, situations, quantities, relations, feelings, states can be seen as entities that go beyond their limits or boundaries as illustrated in (24), (25) and (26). It is confirmed by the fact that the definitions given in the dictionary usually contain words like *very, so full of it.* For example:

>（24）The argument *boiled over* into a fight. (become violent)
>Kenneth *overflowed* with friedliness and hospitality.
>(experience it very strongly)
>He was *bubbling over* with enthusiasm. (be so full of it)

In addition, consider also the following examples where the meaning of *over* has another kind of excess meaning, i.e. 'beyond' or 'more than'*,* which is reflected by the comparative form such as *more than, more/less important/hotter, greater than it really is* etc., in the definitions:

(25)   *overbook* – sell more tickets than they have places for
         overpay – pay more than it is necessary
         overrun (e.g. costs) – they are higher than was planned or expected
         overspend – spend more money than you can afford
         overshoot (e.g. budget) – spend more than it had planned to
         overact – exaggerate their emotions and movement
         overdo – behave in an exaggerated way
         overemphasize – give it more importance than it deserves
         overestimate – think it is greater in amount or importance than it is really
         overindulge in sg – allow yourself to have more of it than it is good for you
         overplay – make it seem more important than it really is
         override sg – it is more important than them
         overshadow – make someone or something seem less important
         oversimplify – make a situation or problem seem less complicated than it really is
         overstate – describe it in a way that makes it seem more important or serious than it really is
         overstay – stay somewhere longer than you have permission to stay
         overuse – use more of it than necessary
         overvalue – believe that sg is more valuable or more important than it really is
         overwork – work too much or too hard

(26)   He is *over* forty.
         It lasted *over* two hours.
         Cigarettes kill *over* a hundred thousand Britains every year.

2.6 The From One Side to the Other Sense

2.6.1 The Central Sense

We also use *over* in combinations with the meaning of moving or going towards a place or moving something from one place to another where there is a spatial relationship between the LM and the TR, such as in:

(27)   She got up and *went over* to her suitcase. (move towards sg and reach it)
         The woman *took* two full bottles *over* to the group round the big table. (carry them to that place)

I'll take the money and *hand* it *over* to him. (give it to sy so that they own it)

This spatial meaning of *over* can have several metaphorical extentions where we can witness a transfer of the TR-LM relationship from the spatial domain to some abstract domain.

2.6.2 The Metaphorical Extensions of the From One Side to the Other Sense

a) Some combinations with this spatial *over* can also have the extended meaning of giving something to someone, so that the ownership of a thing or the responsibility is transferred to the other person where the TR is represented by ownership or responsibility and the LM by the abstract distance, as in:

(28)   Sir John *handed over to* his deputy and left. (give them the responsibility)
You should *make* the business *over* to me. (legally transfer the ownership of it from one person to another)

b) Another variety of this meaning of *over* is that of changing your mind or changing the group that you support. Consider the examples in:

(29)   She was not able *to buy* him *over*. (win his support by giving them money)
Local radio stations have done their best to *win over* new audiences. (persuade them to support them or agree with them)

c) Some combinations can also have the meaning of changing the function or use of something for another, as illustrated in:

(30)   The automobile industry had to *turn* their production facilities *over* to the creation of weapons. (change its function or use)
Airline and chain-hotel bookings *switched over* to computers. (change from using or doing the first to the second)

As made clear in the above discussion, *over* has diverse meanings which are nonetheless unified in a network of semantic extensions.

3 Conclusion

In conclusion, the following points are worth mentioning about *over*, which can occur in different syntactic categories in English, i.e. it can be an adverb, a preposition, a prefix or a particle in a phrasal verb and prepositional verb. The focus in this paper, however, has not been on its syntactic properties but on its semantics.

By analysing the meanings of *over,* I hope to have proved that it is a misconception that prepositions, prefixes and particles have either literal

meanings or no meanings at all. By contrast, I have suggested that they can be analysed at least to some degree. I have claimed that while the well-established, concrete/literal meanings of *over*, occurring in a relatively wide range of contexts (*above and across sense, above sense, covering sense, excess sense, reflexive sense, from one side to the other sense*), tend to be the central ones, the other meanings depart from these prototypical meanings in various ways, typically via metaphorization, thus they form a network of interrelated senses.

References

Bolinger, Dwight. 1971. *The Phrasal Verb in English*. Cambridge Massachusetts: Harvard University Press.

Brugman, C. 1981. *Story of OVER*. M.A. Thesis, Berkeley: University Of California.

Dewell, Robert B. 1994. *Over* again: Image-schema transformations in semantic analysis. *Cognitive Linguistics* 5–4: 351–380.

Dirven, R. 2001. The metaphoric in recent cognitive approaches to English phrasal verbs. *Methaphoric. de* 01: 39–54.

Fraser, B. 1976. *The Verb-Particle Combination in English*. New York: Academic Press.

Kennedy, A. G. 1920. *The Modern English Verb-Adverb Combination*. Stanford: Stanford University Press.

Kovács, Éva. 1998. *The Syntax and Semantics of Phrasal Verbs in English*. Ph.D. diss. Debrecen: KLTE.

Lakoff, George. 1987. *Women, Fire and Dangerous Things*. Chicago: University of Chicago Press.

Lindner, Susan J. 1981. *A Lexico-Semantic Analysis of English Verb-Particle Constructions with OUT and UP*. Ph.D. diss. San Diego: University of California.

Lipka, L. 1972. *Semantic Structure and Word-formation*. München: Wilhelm Fink Verlag.

Live, Anna. H. 1965. The discontinuous verb in English. *Word* 21: 428–51.

Morgan, Pamela. 1997. Figuring out *figure out*: Metaphor and the semantics of English verb-particle constructions. *Cognitive Linguistics* 8–4: 327–57.

Rudzka-Ostyn, Brygida. 2003. *Word Power: Phrasal Verbs and Compounds A Cognitive Approach*. Berlin-New York: Mouton de Gruyter.

Sinclair, J. 1995. *Collins Cobuild Dictionary of Phrasal Verbs*. London: Harper Collins Publisher.

Sinclair, J. 1995. *Collins Cobuild English Dictionary.* Harper Collins Publishers.

Sroka, K. A. 1972. *The Syntax of English Phrasal Verbs.* The Hague: Mouton.

Taylor, J. R. 1989. *Linguistic Categorization: Prototypes in Linguistic Theory*. Oxford: Clarendon Press.

Tyler, Andrea and Vyvian Evans. 2003. Reconsidering prepositional polysemy networks: The case of *over. Language* 77: 724–65.

Vandeloise, C. 1984. *Description of Space in French*. Ph.D. diss. San Diego: University of California.

Wood, Frederick T. 1955. Verb-adverb combinations: The position of the adverb. *English Language Teaching*. 10: 18–27.

How Does Shanghai Become London in Hungarian?
A Case Study of Film Titles in Translation

Albert Péter Vermes

1 Introduction

The idea of this study was suggested by a surprising discovery I made a few months ago, browsing through a programme guide: the original English title of a Jackie Chan film, directed by David Dobkin, which was shown in Hungarian cinemas in 2003 under the title *Londoni csapás* ("London raid"), was *Shanghai Knights*! This rather odd rendering must obviously have been motivated by some contextual consideration. But how characteristic are such pragmatic adaptations in Hungarian translations of film titles? This study, thus, examines what sorts of solutions are employed by translators in translating English film titles into Hungarian. The operations applied by the translators are divided into four basic categories, which I previously worked out within a relevance-theoretic framework to describe the translational phenomena of proper names (see, for instance, Vermes 2003). These operations are the following: simple **transference**; **translation** proper, which preserves relevant logical contents; **substitution**, which preserves relevant contextual assumptions; and **modification**, which alters both the logical and the contextual meaning of the original. For the purposes of the study I analysed the titles of films which appeared in Hungarian cinemas in 2003. The data were collected from the www.est.hu website. By analysing the data within the frames of relevance theory, I intended to answer the following questions: (1) What general tendencies can be observed in the Hungarian translations of English film titles? (2) Are there differences in terms of treatment in translation between the different film genres? (3) If yes, how can they be explained? And (4) how can individual solutions, such as the one that sparked this study, be explained in particular cases?

2 Theoretical Background

According to Sperber and Wilson's relevance theory (1986), an ostensive-inferential act of communication is determined by one single principle called the **principle of relevance**: "Every act of ostensive communication communicates the presumption of its own optimal relevance" (Sperber and Wilson, 1986:158), where optimal relevance means that the processing of a stimulus leads to **contextual effects** that are worth the audience's attention and, moreover, that it puts the audience to no unnecessary **processing effort** in achieving those effects.

A contextual effect arises when, in the given context, the new information strengthens or replaces an existing assumption or when, combining with an assumption in the context, it results in a contextual implication. The effort required to process a stimulus in a context is the function of several factors. According to Wilson (1992:174), the three most important of these are: the complexity of the stimulus, the accessibility of the context, and the inferential effort needed to compute the contextual effects of the stimulus in that context.

When an assumption communicated by an utterance is the development of a logical form encoded by the utterance, this assumption is called an **explicature**. In the case of figurative or non-assertive utterances, of course, the propositional form of the utterance is not part of the intended interpretation, which consists of a set of implicitly communicated assumptions. Assumptions communicated this way are called **implicatures**. Thus all the intended analytic implications of a logical form are explicatures, while all the intended contextual assumptions (implicated premises) and all the intended contextual implications of the logical form (implicated conclusions) are implicatures. The interpretation of an utterance, therefore, consists in a set of explicatures and implicatures, that is, a set of intended analytic and implicated assumptions.

In relevance theory, an **assumption** is defined as a structured set of concepts. The meaning of a concept is made up of a truth-functional **logical entry**, which may be empty, partially filled or fully definitional, and an **encyclopaedic entry**, containing various kinds of (propositional and non-propositional) representational information about the extension and the possible connotations of the concept (e.g. cultural or personal beliefs), stored in memory. The concept may also be associated with a lexical entry, which contains linguistic (phonological, morphological, semantic and categorial) information about the natural language item related to it (Sperber and Wilson 1986:83-93). The three different types of information (lexical, logical and encyclopaedic) are stored in different places in memory. It is suggested that

the content of an assumption is the function of the logical entries of the concepts that it contains and the context in which it is processed is, at least partly, drawn from the encyclopaedic entries of these concepts (Sperber and Wilson 1986:89).

Utterance interpretation is an inferential process whereby the audience infers, by combining the stimulus with a set of contextual assumptions (**context** in the narrow sense), the intended meaning of the communicator. For this to happen, the audience must use the context envisaged by the communicator, otherwise the stimulus may be misinterpreted and the communication may fail. Let us call the situation when this condition is fulfilled a **primary communication situation**, and the second where the audience uses a more or less different set of contextual assumptions a **secondary communication situation** (Gutt 1991:73). A secondary communication situation is likely to occur when the communicator and the audience are representatives of different socio-cultural contexts (context in the wider sense), that is, when there is a marked difference between their background assumptions and circumstances, which constitute, roughly, the cognitive environment of an individual (Sperber and Wilson 1986:39). **Culture-specificity** thus means that an assumption which figures in the mutual cognitive environment of one community is not present in the mutual cognitive environment of another.

Interpretive resemblance between utterances (or any representation with a propositional form) means that the two representations share at least a subset of their explicatures and implicatures in a context (Wilson and Sperber 1988:138). Translation can then be seen as the act of communicating in the secondary context an informative intention that interpretively resembles the original one as closely as possible under the given conditions. Thus the principle of relevance in translation becomes a presumption of **optimal resemblance**: the translation is "(a) presumed to interpretively resemble the original […] and (b) the resemblance it shows is to be consistent with the presumption of optimal relevance" (Gutt 1991:101). In other words: the translation should resemble the original in such a way that it provides adequate contextual effects and it should be formulated in such a manner that the intended interpretation can be recovered by the audience without undue processing effort.

3 Translation Operations

There are four basic operations defined by the four possible configurations in which the logical and encyclopaedic meanings of an expression may be intended to be conveyed in translation. These configurations can be

illustrated in the following way: (1) [+L, +E], (2) [+L, -E], (3) [-L, +E] and (4) [-L, -E], where L stands for logical meaning and E for encyclopaedic meaning.

(1) **Transference**, as Catford puts it, is "an operation in which the TL text, or, rather, parts of the TL text, do have *values set up in the SL*: in other words, have SL meanings" (Catford, 1965:43, italics as in original). In simple words, this is when we decide to incorporate the SL expression unchanged into the TL text; either because it only contributes its referent to the meaning of the utterance, or because this makes possible the recovery in the target text of some relevant assumptions, even though at the cost of an increased level of processing effort, which would not otherwise be accessible in the target cultural context.

(2) **Translation**, in the proper sense, will mean the process of using a 'dictionary equivalent' of the original. In relevance-theoretic terms this means rendering the SL expression by a TL expression which, by preserving the logical content of the original, gives rise to the same relevant analytic implications in the target text as the original did in the source text (but which, by the same token, may activate different encyclopaedic assumptions in a secondary context).

(3) By **substitution** I will refer to those cases when the source language expression is replaced in the translation by a TL correspondent which may be different in terms of logical content but carries with it the same relevant encyclopaedic assumptions as the original. Obviously, the substitution of an expression, by directly activating relevant contextual assumptions in the target context, is motivated primarily by a need to optimise processing effort.

(4) **Modification** I understand as the process of choosing for the SL expression a TL substitute which is semantically unrelated to the original. In relevance-theoretic terms this means replacing the original with a TL expression which involves a substantial alteration of the logical and encyclopaedic content of the SL expression. This operation is clearly aimed at minimising processing effort, even if it means losing some relevant assumptions and, thus, contextual effects.

This set of four operations is remarkably in line with Sperber and Wilson's definition of relevance, whereby an assumption is said to be relevant in a context, on the one hand, to the extent that it has adequate contextual effects in this context and, on the other hand, to the extent that the effort required to process it in this context is not unnecessarily great (Sperber and Wilson 1986:125), insofar as both processing effort and contextual effects, the two factors to be balanced in the interest of achieving relevance, are taken into account by our operations.

4 Method and Results

The film titles were sorted out according to genres. The genre categories employed are the same as those used by the www.est.hu website, which served as the source of data. The categories are the following: action, adventure, animation, comedy, crime, drama, episode film, experimental film, fantasy, horror, musical, satire, sci-fi, spy movie, thriller and war movie. Then in each case it was examined, by comparing the original with the Hungarian correspondent, which of the four operations or what combination of these was applied by the translator (or the person in control of the translation process). The four basic operations and the six possible operational duets add up to a total of ten different modes of treatment, which have all in fact been observed.

The numerical results are summarised in Table 1. For each genre, the cell containing the largest number for the occurrence of a particular operation or operation duet has been marked with grey. Numbers in grey cells thus indicate how many times the most frequent operation or duet was employed in the given genre. Comparing this number with the number of total occurrences at the end of the row, the relative frequency of the operation within the genre can be established which, weighed against the relative frequency of the other operations, can allude to the existence of certain characteristic tendencies.

On the other hand, by summing up the occurrence numbers of each operation and operational duet, it can be observed whether there are some among them which appear more characteristically used than others within the set of films examined in this study. The final, short row marked with Σ, sums up the total rate of the four basic operations, including their occurrences in the various operational duets.

Table 1. Number of occurrence of operations in the different genres.

GENRE	TRF	TRL	SUB	MOD	TRF TRL	TRF SUB	TRF MOD	TRL SUB	TRL MOD	SUB MOD	Σ
action	0	1	1	5	1	1	2	1	0	1	13
adventure	0	5	1	1	0	0	0	1	0	0	8
animation	0	1	2	1	0	0	0	1	0	0	5
comedy	1	5	7	20	0	0	0	2	0	1	36
crime	1	2	2	2	0	0	0	0	0	0	7
drama	7	12	3	4	0	0	1	0	1	0	28
episode	0	0	0	0	0	0	0	1	1	0	2
experim.	0	0	0	0	0	1	0	0	0	0	1
fantasy	0	1	1	0	0	0	0	0	0	0	2
horror	0	4	1	2	0	0	0	0	0	0	7
musical	1	0	0	0	0	0	0	0	0	0	1
satire	0	1	0	1	0	0	0	0	0	0	2
sci-fi	0	1	2	0	0	0	0	2	0	0	5
spy	0	1	0	0	0	0	0	0	0	0	1
thriller	1	4	3	6	0	0	2	0	0	0	16
war	0	1	0	0	0	0	0	0	0	0	1
TOTAL	11	39	23	42	1	2	5	8	2	2	135
Σ	19	50	35	51							

5 Discussion of Results

5.1 Characteristic Tendencies

As can be seen from the last complete row, on the whole set of 135 films, the two most frequent basic operations were modification (MOD) and translation proper (TRL), with 42 and 39 occurrences, respectively. Moreover, within one genre, the most frequent operation (marked with grey) was TRL 7 times, MOD 5 times, SUB 4 times, and TRF only once (Table 1). This difference is even more striking when only the most numerous genres are considered (with at least 7 items). In this case TRL and MOD proved the most frequent operation within a genre 4 times each, while SUB only once and TRF 0 times (Table 2).

Table 2. Number of occurrences of operations
in the most frequent genres

GENRE	TRF	TRL	SUB	MOD	TRF TRL	TRF SUB	TRF MOD	TRL SUB	TRL MOD	SUB MOD	Σ
action	0	1	1	5	1	1	2	1	0	1	13
adventure	0	5	1	1	0	0	0	1	0	0	8
comedy	1	5	7	20	0	0	0	2	0	1	36
crime	1	2	2	2	0	0	0	0	0	0	7
drama	7	12	3	4	0	0	1	0	1	0	28
horror	0	4	1	2	0	0	0	0	0	0	7
thriller	1	4	3	6	0	0	2	0	0	0	16
TOTAL	10	33	18	40	1	1	5	4	1	2	115
Σ	17	39	25	48							

5.2 Differences between Genres

For ease of exposition, let us again consider only the most numerous genres (Table 2). Comparing the number of occurrences of operations within each genre we find that there are genres with a relatively even distribution of occurrence numbers, such as crime movies and thrillers, without any one of the operations being dominant over the others. On the other hand, there are also genres which are characterised by the excessive domination of one operation (about 50% or above), such as film dramas, horrors and adventure movies, dominated by TRL, and comedies, dominated by MOD. Furthermore, we find a noticeable relative frequency of TRF in film dramas, compared to its frequency in the other genres.

5.3 Other Observations Relating to Operational Duets

It can be seen that in the whole set of titles examined, from among the 16 different genres only 7 lack examples for the application of operational duets, which suggests a relatively high frequency of use of these combinations, and there are three genres, episode films, experimental films and sci-fis, where their application can even be considered markedly typical.

6 Explanations

We are looking for answers to the following questions: (1) What is the reason behind TRL and MOD being the two most frequent operations? (2) What is the reason behind TRL being the most frequent in film dramas, horrors and adventure films, while MOD in comedies? (3) What is the reason for the relatively high frequency of TRF in film dramas and the high frequency of operational duets in episode films, experimental films and sci-fis? (4) And, finally, how does Shanghai become London in Hungarian translation?

6.1 Tendencies

The typicality of the application of TRL should be no surprise, considering the following. As the aim of a translation, ideally, is to result in contextual effects which are identical, or at least very similar, to those produced by the source text, in an assumed primary (or near-primary) communication situation, where the originally intended contextual assumptions are recoverable, for this to happen only the logical content needs to be taken care of. This of course is only true if we presume that the title is meant to communicate something explicitly, through explicatures, in other words, when some of the analytic implications of this content are in fact assumptions intended to be communicated by the source communicator.

Thus, for instance, *A Karib-tenger kalózai* (English original: *Pirates of the Caribbean*), carrying a logical content identical with that of the original, when combined with the originally intended contextual premises, will result in the same explicatures and will implicate the genre (adventure movie) and the story of the film with the same amount of processing effort as the original.

But then what explains the frequency of modifications? MOD seems a sensible option when the relevance of the target language utterance for the target audience can be ensured by preserving neither the logical nor the encyclopaedic content of the original. What does relevance mean in the case of a film title? A film title is relevant if on the basis of it the audience can infer that the film is worth watching. And what is the relevance of a translated film title? A translated title is relevant if it optimally resembles the original, that is, it resembles the original in relevant respects so that the target audience can infer that the film is worth watching. In a secondary communication situation, where the target audience's cognitive environment, being different from that of the source audience, does not make it possible to reconstruct the originally intended context or when this would require too much processing effort, it does not make sense to aim to ensure that the translation is relevant in the same way as the original. In such a case, it makes more sense to simply produce a relevant translation, even if it is relevant in a different way. Thus the Hungarian title *Veszett vad* ("raging beast") is just as relevant as the English original *The Hunted* in the sense that it enables the target audience to infer that it is the title of an action film in which some violent scenes are to be expected. The same considerations may have motivated the translator in the case of the English original *Who is Cletis Tout?*, which in Hungarian became *Baklövészet* (untranslatable pun: "blunder + shooting") The punning title implicates that it is a comedy built around some situation where somebody is in error and where guns are also used.

6.2 Differences between Genres

According to the considerations above, if TRL is the most frequent operation in film dramas, horrors and adventure films, it must be because in these genres the translation process happens in a primary communication situation with no significant difference in available background assumptions, that is, cognitive environments. This also includes that the assumptions relating to the typical ways (norms) of giving titles to films in these genres are not significantly different in the cognitive environments of the source and target audiences. And thus *A vonzás szabályai* is just as relevant a title for a film drama as the English original *The Rules of Attraction*, *Szellemhajó* is just as

relevant a title for a horror film as *Ghost Ship*, and *Kapj el, ha tudsz!* is just as relevant a title for an adventure movie as *Catch Me If You Can*.

What about comedies, then? Here there can be observed an essential difference between usual ways of giving titles in English and Hungarian. While English titles typically communicate explicitly, through their explicatures, as well as implicitly, Hungarian titles in this genre build much more characteristically on implicatures, of a humorous kind. Typically, they employ puns or distorted expressions. Thus if we assume that these norms are represented in the cognitive environment of the audience by assumptions relating to the way a title is meant to achieve its relevance, then in this case we are dealing with culture-specific assumptions and, consequently, a secondary communication situation, in which, as we have seen above, the application of MOD is an obvious option. The following examples will serve to illustrate this point: Hungarian *Birkanyírás* ("sheep shearing") for the English original: *Barbershop*, *Hajó a vége* (untranslatable pun: "if it ends well + it ends with a boat") for *Boat Trip*, *Ki nevel a végén* (untranslatable pun: "who will educate in the end + who will laugh in the end") for *Anger Management*, *Szakítópróba* ("tearing test") for *Just Married*, and *Több a sokknál* (untranslatable pun: "more than enough + more than a shock") for *Bringing Down the House*.

6.3 TRF and Operational Duets

The relative frequency of TRF in film dramas is easy to explain: it is because many of the film titles in this genre consist of a personal name and personal names in the default case are simply transferred (see Vermes 2003), as are the names in the following titles: *Frida*, *Gerry*, *Max*, or *Miranda*.

Let us now consider the combined operations. In the following three titles we find examples for the combination of TRF with the other three basic operations. TRF+MOD: *Dogville – A menedék* ("the shelter") for the English original *Dogville*, TRF+TRL: *Daredevil – A fenegyerek* ("daredevil") for English *Daredevil*, and TRF+SUB: *Naqoyqatsi – Erőszakos világ* ("a violent world") for the original *Naqoyqatsi*. In the first one, the name of the town is transferred and is supplemented by an expression whose content serves to implicate the plot. The explanation for this may again be a difference between assumptions relating to the relevance of a film title in the cognitive environments of source and target readers. In the second example, the reason for TRF is not clear, but since the logical content of the original is explicated by the second element of the Hungarian title, it can only be because of an intention to preserve some encyclopaedic content. The third example, on the other hand, is completely obvious. The substitution of the second element here is motivated by a need to preserve an implicated premise relating to the

connection with an earlier movie entitled *Koyaanisqatsi – Kizökkent világ* ("a demeshed world", English original: *Koyaanisqatsi*).

There is a similar link between the titles *Tíz perc – Cselló* ("ten minutes – the cello", English original *Ten Minutes Older: The Cello*, 2003) and *Tíz perc – Trombita* ("ten minutes – the trumpet", English original *Ten Minutes Older: The Trumpet*, 2002). The second part of the title undergoes TRL in both cases. The first part of the title of the earlier film is modified, as there is no sign that the change was motivated by an intention to preserve some encyclopaedic assumption, while that of the 2003 film undergoes SUB, because the use of the same expression is clearly motivated by the intention to preserve the link between the two movies, which was also established in English by the identity of the titles.

The same intention to preserve an encyclopaedic assumption about an earlier film is revealed by the substitution in the first part of the title in *Doktor Szöszi 2* ("dr. Blondie"), the Hungarian version of *Legally Blonde 2: Red, White and Blonde*. The second part of the title, however, is missing, that is, it went through a modification. The reason for this can only be that the translator thought the preservation of the logical or the encyclopaedic content of the second part of the title would not make the Hungarian title any more relevant. Why? If I am not mistaken, the English original contextually implies a humorous assumption relating to a connection between the American colours, national matters and the blonde heroine. Since the premise relating to the colours of the American flag is absent, or only weakly present, in the Hungarian target reader's cognitive environment, the activation of this assumption would probably have required a gratuitous amount of processing effort, which in turn would have caused a decrease of relevance, and therefore the translator decided to drop this part of the title altogether.

6.4 The Mystery of Shanghai

We have not yet discussed the independent application of SUB, typical examples of which are the following: *Volt egyszer egy Mexikó* ("there was once a Mexico") for the English original *Once Upon a Time in Mexico* and *A Gyűrűk Ura – A két torony*, a literal translation of the English *The Lord of the Rings: The Two Towers*. What is common in these two renderings is that in both cases, even if the logical content of the translation is identical or very similar to that of the original, the relevance of the translated title is not a result of this but, rather, of the fact that the title contextually implies a connection between the film and another work of art. This other work, in the first case, is another classic movie, *Volt egyszer egy Vadnyugat* ("there was once a Wild West"), the Hungarian version of *Once Upon a Time in the*

West. In the second case, it is a book, J. R. R. Tolkien's well-known classic. Thus the aim of the translator in both cases was to preserve the appropriate implicated premises and not the logical content. Other such examples are *Még egy kis pánik* ("some more panic") for *Analyze That* and *Tökös csaj* ("ballsy chick") for *The Hot Chick*, where the substitution is meant to preserve a link with earlier films: *Csak egy kis pánik* ("only a little panic", English original: *Analyze This*) in the first case, and two previous films in the second: *Tök alsó* ("jack of diamonds", English original: *Deuce Bigalow: Male Gigolo*) and *Tök állat* ("brutal(ly good)", English original: *The Animal*).

And this will also explain how Shanghai became London in the Hungarian rendering of *Shanghai Knights* as *Londoni csapás* ("London raid"). The reason, again, is that the translator intended to preserve the connection between this Jackie Chan film and an earlier one entitled in Hungarian as *Új csapás* ("a new raid", for the original *Shanghai Noon*), of which it is a sequel.

One further, slightly different, example for the application of SUB is provided by the film *Nem fenékig tejfel* ("it is not cream all the way to the bottom", for the English original *This is Not a Love Song*). The Hungarian title is motivated again by the need to preserve an implicated premise but, in this case, the premise in question is an encyclopaedic assumption carried by an idiomatic expression, not an assumption relating to a connection with some other film or book.

7 Conclusions

How a target language title may achieve optimal resemblance with the original depends primarily on whether the translator works in a primary or in a secondary communication situation. In a primary communication situation TRF or TRL, while in a secondary communication situation SUB or MOD can prove the most reasonable option. In general, the application of TRF and TRL seems to be motivated by an intention to preserve the contextual effects of the original in the primary context, while SUB and MOD are motivated mainly by a need to optimise the amount of processing effort required from the target reader. It can be seen that of the two extreme operations, TRF and MOD, transference is nothing other than a special case of direct quotation within an act of bilingual communication, modification, on the other hand, can be regarded as a way to conceal certain assumptions or modify them as required by a secondary communication situation. We have also seen that the dynamic changes of communication situations even within one and the same title can result in the application of combined operations.

It can also be observed that although in certain cases a superficial identity can occur between different operations, the crucial factor is always what the **translator's intention** is. For instance, while there is an identity on the surface between TRL and SUB in the case of *The Quiet American*, rendered into Hungarian as *A csendes amerikai* ("the quiet American"), the translator's decision was not primarily motivated by an intention to preserve the logical content but by an intention to preserve an encyclopaedic assumption about the link between the film and Graham Greene's book, because when the translator examined which part of the original content would have to be preserved, in view of the target reader's cognitive environment, to make the translated title relevant, he or she must have realised that the relevance of the title in this case depended on this assumption and thus the title of the novel was substituted.

In other words, what translators need to decide is whether their intention is to preserve the logical content (TRL) or the encyclopaedic content of the original (SUB), or both (TRF), or neither (MOD), in order to satisfy the principle of relevance in accordance with what the given primary or secondary communication situation requires.

A secondary communication situation may arise for various reasons. One can be that a source language expression activates an encyclopaedic assumption in the source language that the corresponding target language expression cannot activate in a relevance-sensitive manner (see, for example, the case of *Legally Blonde*). Another is when there is a difference in background assumptions that the source and target readers bring into the process of assessing the relevance of a title. One example is the case of comedies, where Hungarian titles, as has been observed, tend to rely on humorous implicatures much more than titles in English. Whether we call such background assumptions norms or something else is of little importance. What is important is that the translator should be clear about what assumptions the target reader's cognitive environment contains and how these are different from those in the source reader's cognitive environment. Such comparative studies as this one may serve to better bring out these differences.

References

Catford, J. C. 1965. *A Linguistic Theory of Translation.* Oxford: Oxford University Press.

Gutt, E-A. 1991. *Translation and Relevance.* Oxford: Basil Blackwell.

Sperber, D. and D. Wilson. 1986. *Relevance.* Oxford: Basil Blackwell.

Vermes, A. P. 2003. Proper names in translation: An explanatory attempt. *Across Languages and Cultures* 4.1: 89–108.

Wilson, D. 1992. Reference and relevance. In: *UCL Working Papers in Linguistics* Vol. 4. London: Department of Phonetics and Linguistics, University College London. 167–191.

Appendix

Transference: 11

COMEDY: 1

Johnny English
Johnny English, angol vígjáték, 90 perc, 2003

CRIME: 1

Femme Fatale
Femme Fatale, amerikai, német, francia krimi, 110 perc, 2002

DRAMA: 7

Frida
Frida, amerikai filmdráma, 118 perc, 2002

Gerry
Gerry, 2002 Színes, feliratos, amerikai filmdráma, 103 perc

Ken Park
Ken Park, amerikai filmdráma, 96 perc, 2002

Lantana
Lanatana, színes feliratos ausztrál filmdráma 121 perc 2001

Max
Max, magyar, német, angol, kanadai filmdráma, 106 perc, 2002

Miranda
Miranda, német, angol filmdráma, 90 perc, 2002

Swimming Pool
Swimming Pool, francia, angol filmdráma, 103 perc, 2003

MUSICAL: 1

Chicago
Chicago, amerikai musical, 113 perc, 2002

THRILLER: 1

Donnie Darko
Donnie Darko, amerikai thriller, 113 perc, 2001

Translation proper: 39

ACTION: 1

Vitathatatlan
Undisputed, amerikai, német akciófilm, 96 perc, 2002

ADVENTURE: 5

Kapj el, ha tudsz!
Catch Me If You Can, színes magyarul beszélő amerikai kalandfilm 141 perc 2002

A Karib-tenger kalózai
Pirates of the Caribbean, amerikai kalandfilm, 144 perc, 2003

A muskétás
The Musketeer, amerikai, holland kalandfilm, 104 perc, 2001

A Nap könnyei
Tears of the Sun, amerikai kalandfilm, 120 perc, 2003

New York bandái
Gangs of New York, amerikai történelmi kalandfilm, 166 perc, 2002

ANIMATION: 1

Némó nyomában
Finding Nemo, amerikai rajzfilm, 100 perc, 2003

COMEDY: 5

Én, a kém
I Spy, amerikai akcióvígjáték, 96 perc, 2002

Hogyan veszítsünk el egy pasit 10 nap alatt?
How to Lose a Guy in 10 Days, amerikai romantikus vígjáték, 116 perc, 2003

Igazából szerelem
Love Actually, angol romantikus vígjáték, 129 perc, 2003

Oviapu
Daddy Day Care, amerikai vígjáték, 92 perc, 2003

Szívtiprók
Heartbreakers, amerikai vígjáték, 123 perc, 2001

CRIME: 2

Az olasz meló
The Italian Job, amerikai krimi, 104 perc, 2003

Titokzatos folyó
Mystic River, amerikai krimi, 137 perc, 2003

DRAMA: 12

8 mérföld
8 Mile, amerikai filmdráma, 110 perc, 2002

Bábok
Dolls, japán filmdráma, 113 perc, 2002

Dina vagyok
I Am Dina, francia, dán filmdráma, 125 perc, 2002

Esküvő monszun idején
Monsoon Wedding, amerikai, olasz, francia, indiai filmdráma, 114 perc, 2001

A harcos
The Warrior, angol, indiai filmdráma, 86 perc, 2001

A Magdolna nővérek
The Magdalene Sisters, ír filmdráma, 119 perc, 2002

Minden vagy semmi
All or Nothing, angol filmdráma, 128 perc, 2002

Az órák
The Hours, amerikai filmdráma, 114 perc, 2002

Távol a mennyországtól
Far from Heaven, amerikai melodráma, 107 perc, 2002

A titkárnő
Secretary, amerikai filmdráma, 104 perc, 2002

A vonzás szabályai
The Rules of Attraction, amerikai filmdráma, 107 perc, 2002

A zongorista
The Pianist, német, francia, angol, lengyel, holland filmdráma, 148 perc, 2002

FANTASY: 1

A Zu legendája
The Legend of Zu, kínai, hongkongi fantasy, 104 perc, 2001

HORROR: 4

28 nappal később
28 Days Later, amerikai, angol, holland horror, 112 perc, 2002

Félelem.com
FearDotCom, amerikai horror, 101 perc, 2003

A kör
The Ring, színes feliratos amerikai horror 115 perc 2002

Szellemhajó
Ghost Ship, amerikai horror, 91 perc, 2002

SATIRE: 1

Adaptáció
Adaptation, amerikai filmszatíra, 114 perc, 2002

SCI-FI: 1

Álomcsapda
Dreamcatcher, amerikai sci-fi, 148 perc, 2003

SPY STORY: 1

Egy veszedelmes elme vallomásai
Confessions of a Dangerous Mind, amerikai kémfilm, 113 perc, 2002

THRILLER: 4

Azonosság
Identity amerikai thriller, 90 perc, 2003

David Gale élete
The Life of David Gale, amerikai thriller, 130 perc, 2003

A gödör
The Hole, angol thriller, 102 perc, 2001

Pók
Spider, angol, kanadai thriller, 98 perc, 2002

WAR: 1

Apokalipszis most - rendezői változat
Apocalypse Now Redux, amerikai háborús film, 200 perc, 2001

Substitution: 23

ACTION: 1

Volt egyszer egy Mexikó
Once Upon a Time in Mexico, amerikai, mexikói akciófilm, 102 perc, 2003

ADVENTURE: 1

Kapitány és katona - A világ túlsó oldalán
Master and Commander: The Far Side of the World, amerikai történelmi kalandfilm,
      128 perc, 2003

ANIMATION: 2

A dzsungel könyve 2.
The Jungle Book 2., amerikai rajzfilm, 80 perc, 2002

Bolondos dallamok: Újra bevetésen
Looney Tunes: Back In Action, amerikai animációs film, 90 perc, 2003

COMEDY: 7

Bad Boys II. - Már megint a rosszfiúk
Bad Boys II, amerikai akcióvígjáték, 146 perc, 2003

Balhé
Crime Spree, kanadai akcióvígjáték, 98 perc, 2003

Bazi nagy görög lagzi
My Big Fat Greek Wedding, amerikai vígjáték, 96 perc, 2001

Halálosabb iramban
2 Fast 2 Furious, amerikai akciófilm, 100 perc, 2003

Londoni csapás
Shanghai Knights, amerikai, angol akcióvígjáték, 114 perc, 2003

Még egy kis pánik
Analyze That, amerikai vígjáték, 95 perc, 2002

Tökös csaj
The Hot Chick, amerikai vígjáték, 101 perc, 2003

CRIME: 2

Nem fenékig tejfel
This Is Not a Love Song, angol krimi, 94 perc, 2002

Novocain
Novocaine, amerikai krimi, 95 perc, 2001

DRAMA: 3

A csendes amerikai
The Quiet American, amerikai, német, ausztrál filmdráma, 101 perc, 2002

Charlotte Gray
Charlotte Gray, francia, angol filmdráma, 121 perc, 2001

Holdfényév
Moonlight Mile, amerikai filmdráma, 117 perc, 2002

FANTASY: 1

A Gyűrűk Ura - A két torony
The Lord of the Rings: The Two Towers, amerikai, új-zélandi fantasy, 179 perc,
    2002

HORROR: 1

Végső állomás 2.
Final Destination 2, amerikai horror, 90 perc, 2003

SCI-FI: 2

Solaris
Solaris, amerikai sci-fi, 99 perc, 2002

X-Men 2.
X-Men 2, szín. fel. am. sci-fi 125 p. 2003

THRILLER: 3

A fülke
Phone Booth, amerikai thriller, 81 perc, 2002

Gyönyörű mocsokságok
Dirty Pretty Things, angol thriller, 107 perc, 2002

Túl mindenen
A Man Apart, amerikai thriller, 110 perc, 2003

Modification: 42

ACTION: 5

Félholt
Half Past Dead, amerikai akciófilm, 91 perc, 2002

Hulk
The Hulk, amerikai akciófilm, 138 perc, 2003

Sporttolvajok
Riders/Steal, francia, angol, kanadai akciófilm, 83 perc, 2002

A szövetség
League of Extraordinary Gentlemen, amerikai akciófilm, 110 perc, 2003

Veszett vad
The Hunted, amerikai akciófilm, 94 perc, 2003

ADVENTURE: 1

Rabold a nőt!
The Abduction Club, angol, ír kalandfilm, 96 perc, 2002

ANIMATION: 1

Malacka, a hős
The Piglet Movie, amerikai animációs film, 75 perc, 2003

COMEDY: 20

Álmomban már láttalak
Maid In Manhattan, amerikai vígjáték, 105 perc, 2002

Apósok akcióban
The In-Laws, amerikai, német akcióvígjáték, 95 perc, 2003

Baklövészet
Who Is Cletis Tout? amerikai vígjáték, 92 perc, 2001

Birkanyírás
Barbershop, amerikai vígjáték, 102 perc, 2003

Hajó a vége
Boat Trip, amerikai vígjáték, 94 perc, 2002

Holly Woody történet
Hollywood Ending, amerikai vígjáték, 114 perc, 2002

Kegyetlen bánásmód
Intolerable Cruelty, amerikai vígjáték, 100 perc, 2003

Két hét múlva örökké
Two Weeks Notice, amerikai vígjáték, 100 perc, 2002

Ki nevel a végén?
Anger Management, amerikai vígjáték, 96 perc, 2003

A minden6ó
Bruce Almighty, amerikai vígjáték, 97 perc, 2003

Miről álmodik a lány
What a Girl Wants, amerikai vígjáték, 105 perc, 2003

Mostohám a zsánerem
Tadpole, amerikai vígjáték, 78 perc, 2002

Nagydumás kiscsajok
Uptown Girls, amerikai vígjáték, 102 perc, 2003

Nem férek a bőrödbe
Freaky Friday, amerikai vígjáték, 93 perc, 2003

Nemzetbiztonság Bt.
National Security, amerikai akcióvígjáték, 90 perc, 2003

Pokolba a szerelemmel
Down With Love, amerikai vígjáték, 94 perc, 2003

Sorsdöntő nyár
Blue Crush, amerikai romantikus vígjáték, 104 perc, 2002

Szakítópróba
Just Married, amerikai vígjáték, 95 perc, 2003

Széftörők
Welcome to Collinwood, amerikai vígjáték, 87 perc, 2002

Több a sokknál
Bringing Down the House, amerikai vígjáték, 105 perc, 2003

CRIME: 2

Az igazság órája
City by the Sea, amerikai krimi, 108 perc, 2002

Trükkös fiúk
Matchstick Men, amerikai krimi, 116 perc, 2003

DRAMA: 4

Birtokviszony
The Safety of Objects, amerikai filmdráma, 121 perc, 2001

Császárok klubja
The Emperor's Club, amerikai filmdráma, 109 perc, 2002

Túl nagy család
It Runs In the Family, amerikai filmdráma, 109 perc, 2003

Az utolsó éjjel
The 25th Hour, amerikai filmdráma, 134 perc, 2002

HORROR: 2

Merülés a félelembe
Below, amerikai horror, 105 perc, 2002

A sötétség leple
Darkness Falls, amerikai horror, 85 perc, 2003

SATIRE: 1

Schmidt története
About Schmidt, amerikai filmszatíra, 125 perc, 2002

THRILLER: 6

Beavatás
The Recruit, amerikai thriller, 115 perc, 2003

Bölcsőd lesz a koporsód
Cradle 2 the Grave, amerikai akció thriller, 100 perc, 2003

Claire életre-halálra
Picture Claire, amerikai, kanadai thriller, 90 perc, 2001

Fullasztó ölelés
Swimfan, amerikai thriller, 85 perc, 2002

Hóhatár - A félelem felpörget
Extreme Ops/Extremist, német, angol akció thriller, 93 perc, 2003

Kínzó mindennapok
Trouble Every Day, német, francia, japán thriller, 101 perc, 2001

Transfer + translation: 1

ACTION: 1

Daredevil - A fenegyerek
Daredevil, amerikai akciófilm, 103 perc, 2003

Transfer + substitution: 2

ACTION: 1

Kémkölykök 3D: Game Over
Spy Kids 3D: Game Over, amerikai akciófilm, 84 perc, 2003

EXPERIMENTAL: 1

Naqoyqatsi - Erőszakos világ
Naqoyqatsi, amerikai kísérleti film, 89 perc, 2002

Transfer + modification: 5

ACTION: 2

Ballistic: Robbanásig feltöltve
Ballistic: Ecks vs. Sever, amerikai, német akciófilm, 91 perc, 2002

Kill Bill
Kill Bill: Volume 1, amerikai akciófilm, 111 perc, 2003

DRAMA: 1

Dogville - A menedék
Dogville, amerikai, francia, dán filmdráma, 177 perc, 2003

THRILLER: 2

Darkness - A rettegés háza
Darkness, amerikai thriller, 102 perc, 2003

SWAT - Különleges kommandó
S.W.A.T., amerikai akció thriller, 118 perc, 2003

Translation + substitution: 8

ACTION: 1

Lara Croft: Tomb Raider 2. - Az élet bölcsője
Lara Croft: Tomb Raider: The Cradle of Life, amerikai akciófilm, 117 perc, 2003

ADVENTURE: 1

Kémkölykök 2. - Az elveszett álmok szigete
Spy Kids 2: Island of Lost Dreams, amerikai kalandfilm, 99 perc, 2002

ANIMATION: 1

Szindbád: Hét tenger legendája
Sinbad: Legend of the Seven Seas, amerikai rajzfilm, 86 perc, 2003

COMEDY: 2

Amerikai pite - Az esküvő
American Pie - The Wedding, amerikai vígjáték, 97 perc, 2003

Charlie angyalai: Teljes gázzal
Charlie's Angels: Full Throttle, amerikai akcióvígjáték, 105 perc, 2003

EPISODE FILM: 1

Tíz perc - Cselló
Ten Minutes Older: The Cello, német, angol epizódfilm, 95 perc, 2003

SCI-FI: 2

Mátrix - Forradalmak
The Matrix – Revolutions, amerikai sci-fi, 129 perc, 2003

Mátrix - Újratöltve
The Matrix Reloaded, amerikai sci-fi, 138 perc, 2003

Translation + modification: 2

DRAMA: 1

Lapzárta - Veronica Guerin története
The Veronica Guerin Story, amerikai filmdráma, 96 perc, 2003

EPISODE FILM: 1

Tíz perc - Trombita
Ten Minutes Older: The Trumpet, német, angol, spanyol, kínai, finn, holland
    epizódfilm, 92 perc, 2002

Substitution + modification: 2

ACTION: 1

Terminátor 3. - A gépek lázadása
Terminator 3, amerikai akciófilm, 110 perc, 2003

COMEDY: 1

Doktor Szöszi 2.
Legally Blonde 2: Red, White and Blonde, amerikai vígjáték, 95 perc, 2003

Investigating Student Beliefs about Language Learning

Karin Macdonald

An empirical study of first year students studying English at Eszterházy Károly College in Eger, Hungary, in 2004 is presented in this paper. The study aimed to investigate student beliefs about language learning. Student attitudes were examined at the start of their college studies and again at the end of their first semester after following a new language practice programme designed specifically to promote learner autonomy. The 2004 study presented here shows that students at the start of their studies seem more aware of learner autonomy principles than previously assumed. In addition, at the end of the first semester a small increase in some learner autonomy beliefs seem to be observable among the students. However, this paper only presents a preliminary inquiry into student beliefs at the college and more extensive research is necessary before more conclusive statements can be made.

1 Introduction

This paper reports the findings of a localised empirical study of first year students studying English at Eszterházy Károly College in Eger, Hungary, in 2004. The study aimed to investigate student beliefs about language learning, in particular those attitudes conducive to autonomous language learning behaviour. Student attitudes were examined at the start of their college studies in order to gauge students' readiness for the promotion of learner autonomy, and again at the end of their first semester at the college to gauge student beliefs after following a new language practice programme designed specifically to promote learner autonomy. The intention to promote learner autonomy at the college results from the findings of a previous study of the former language practice syllabus (Macdonald 2003, summarised in Macdonald 2004). In order to contextualise the findings of the study presented here, this paper will begin by reviewing the findings of the 2003 study and describing the new language practice programme. The 2004 study will then be presented and the findings will be analysed. The conclusion of

the study presented here shows that students at the start of their studies seem more aware of learner autonomy principles than previously assumed in the 2003 study. In addition, at the end of the first semester a small increase in some learner autonomy beliefs seem to be observable among the students. However, this paper only presents a preliminary inquiry into student beliefs at the college and more extensive research is necessary before conclusive statements can be made regarding learner autonomy, including the possible connection between increased learner autonomy and the introduction of the new programme.

2 The New Language Practice Programme: Summary

An in-depth study undertaken in 2003 to examine the English language practice programme at the college identified a number of problem areas which needed to be addressed, namely:

- the lack of opportunities for student-centred decision-making or discussion;
- the problems of student passivity and the large number of failing students in the first year at the college;
- the lack of opportunities for collaboration among staff as well as learners;
- aims and content specifications for Language Practice units which did not provide a clear enough picture for teachers or learners;
- the lack of cohesion between LP units 1 to 4 (Macdonald 2003).

As a result, the 2003 study recommended a new programme for language practice which would actively promote learner autonomy for language learning. By implementing a programme specifically designed to address student attitudes to language learning, it was hoped that students would begin to actively seek to improve their language learning skills and work more independently to achieve that goal. As Little states, "in formal educational contexts, genuinely successful learners have always been autonomous" (1995: 175) and adds, "our enterprise is not to promote new kinds of learning, but by pursuing learner autonomy as an explicit goal, to help more learners to succeed" (1995:175).

The main principle upon which the new programme of English language study is based is therefore as follows: the promotion of the learner as an active participant in the language learning process within an instructed environment, where his/her active participation is to be encouraged through the development of the learner's ability to make decisions, think critically, work collaboratively and on an individual basis in a way which will help his/her studies in the educational setting in question (Macdonald 2003). This

principle is supported by a communicative paradigm for teaching and learning English which emphasises the development of students' communicative as well as study competence. The syllabus is designed to incorporate problem solving tasks, project work, language and study skills analysis, and negotiation and collaboration between staff and students in order to promote the underlying principle of learner autonomy as defined by the 2003 study. Finally, the aims of the new programme are concerned with meeting the study skills needs of full time students in their first year at the college and are summarised on the syllabus as follows:

- to involve students actively in the learning process by providing opportunities to make choices regarding activities in and out of class;
- to prepare students for their non-LP English medium subjects at the college;
- to raise students' awareness of pedagogical goals, the content of materials being learned, preferred learning styles and strategies;
- to give students opportunities to work collaboratively and individually, and be supported in their differing roles.

The next section will now present the 2004 study of learner attitudes.

3 The Study

3.1 Aims of the Study: Learner Beliefs

The study presented in this section aims to gauge learner attitudes to learner autonomy at the start of their studies and at the end of one semester of a new language practice programme. Research has shown the importance of learner beliefs with regards to their impact on language learning (Horwitz 1988, Victori and Lockhart 1995, and Cotterall 1995 and 1999). As Cotterall argues:

> Language learners hold beliefs about teachers and their role, about feedback, about themselves as learners and their role, about language learning and about learning in general. These beliefs will affect (and sometimes inhibit) learners' receptiveness to the ideas and activities presented in the language class, particularly when the approach is not consonant to the learners' experience (1995: 203).

It is therefore necessary to examine student attitudes to language learning in order to evaluate the promotability of learner autonomy in the context in question and to assess the effectiveness of the new programme,

which is designed specifically to develop qualities associated with learner autonomy.

3.2 Methodology

78 full-time first year students out of a total of 113 were given a questionnaire at the beginning and the end of their first semester of the English programme at the college. The students were all members of one teacher's Language Practice unit, divided into 5 seminar groups (there were 7 groups for each Language Practice unit in total at that time) and were thus able to receive exactly the same instructions for completing the questionnaire at the start and at the end of the semester by the same teacher. Students must complete four Language Practice units in the first semester of the first year of English study (resulting in 6 hours of language practice study per week, one language practice unit being 1 hour and 30 minutes per week) and this is reduced to one Language Practice unit in the second semester of the first year (1 hour and 30 minutes per week). This is therefore the reason for gauging student attitudes to learner autonomy already after the first semester, as the programme of Language Practice units are weighted to the first semester and the active promotion of learner autonomy according to the syllabus is most involved in that period of the first year. Furthermore, there is a level of expectation on the part of teaching staff at the college that the students are ready to take effective responsibility for their studies by the time most of their academic English courses start in the second semester.

Questionnaire items were based on a questionnaire format used by Cotterall which sought to target those variables "which are considered important by researchers interested in learner autonomy" (1999: 498). The variables identified on Cotterall's questionnaire resulted from a series of interviews with ESL students about their experience of language learning. The items used for the questionnaire at Eszterházy Károly College were taken from Cotterall's variables of 'learning strategies', 'the role of the teacher', 'opportunities for language use' and 'effort' (1999). The decision for focussing the questionnaire on these variables was a direct result of staff feedback on student language abilities and attitudes in an earlier study at the college (Macdonald 2003), which suggested that students had a teacher-centred view of teaching and learning and needed to increase their understanding of learner strategies.

The questionnaire was thus organised according to 18 Likert-type statements on which respondents indicated their agreement with the statements on a scale ranging from strongly agree to strongly disagree. In addition, there were 2 sections of ranked items with a total of 7 statements which respondents had to arrange in order of importance. The questionnaire

was given on two separate occasions to the same set of students. The first occasion was in September 2004 and the second occasion was in December 2004. In order to compare the results of the two occasions more accurately, students were asked to put their names on the questionnaires. They were, however, assured that the results would in no way affect their grades on the course, the results for individuals would not be made public and students were reassured that there was no single correct answer to the questions, but that the questionnaire was genuinely trying to find out their views.

3.3 Data Analysis

Student responses to the two questionnaires were calculated as percentages and analysed comparatively in order to examine any trends of student beliefs regarding autonomous language learning. The results are presented in section 3.4.

3.4 Results

This section presents the student responses to the student questionnaire for September and December. The questionnaire variables pertaining to the learning strategies, the role of the teacher, opportunities for language use and effort as part of language learning success will be presented in separate sections. The two occasions of September and December are reported separately under each variable.

3.4.1 Learning Strategies

A. September

According to the results of the learner strategies section of the questionnaire for September, the students polled were confident at the start of their studies that they could find their own ways to practise language (71.79% of students in the agree and strongly agree categories contrasted with only 5.13% in the disagree categories). In addition, they felt they were able to explain why they needed English (78.21% agreeing and strongly agreeing with the statement as opposed to 2.56% disagreeing) and felt able to ask for help when they needed it (74.36% agreeing and strongly agreeing but 7.69% disagreeing). They also felt they could identify their strengths and weaknesses regarding learning English (75.64% agreeing and strongly agreeing, but 10.26% disagreeing). Less acute difference between ageement and disagreement lay in their perceptions regarding their ability to check their own work for mistakes (44.87% agreeing and strongly agreeing with 28.21% disagreeing). Areas where students were more neutral were the strategies for setting learning goals (46.15% agreeing and strongly agreeing and 14.1%

disagreeing, but 39.75% having ticked the neutral box) and measuring their own progress (46.15% agreeing and strongly agreeing and 12.82% disagreeing and strongly disagreeing, but 41.03% being neutral).

The table of results is given in table 1 below in percentages:

Table 1 September responses to Likert items on learning strategies

	September: learning strategies	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
	I know how to:					
1	find my own ways to practise language	12.82	58.97	23.08	5.13	0.00
2	check my own work for mistakes	7.69	37.18	26.92	28.21	0.00
3	explain why I need English	29.49	48.72	19.23	2.56	0.00
4	identify my strengths and weaknesses	17.95	57.69	14.10	10.26	0.00
5	ask for help when I need it	30.77	43.59	17.95	7.69	0.00
6	set my own learning goals	6.41	39.74	39.74	14.10	0.00
7	plan my learning	15.38	42.31	20.51	19.23	2.56
8	measure my progress	7.69	38.46	41.03	11.54	1.28

B. December

The same set of students were polled with the same questionnaire in December and, according to the results of the learner strategies section, the students remained confident at the end of the semester with regards to their belief that they could find their own ways to practise language (75.64% of students in the agree and strongly agree catergories contrasted with only 7.69% in the disagree categories). Furthermore, most students still felt they were able to explain why they needed English (78.21% agreeing and strongly agreeing as opposed to 6.41% disagreeing and strongly disagreeing) and still felt able to ask for help when they needed it (79.49% agreeing and strongly agreeing with the statement but 11.54% disagreeing and strongly disagreeing). However, 6.41% more students than in September felt they could identify their strengths and weaknesses regarding learning English (82.05% agreeing and strongly agreeing with only 3.85% disagreeing). The difference between ageement and disagreement became greater in December regarding student perceptions of their ability to check their own work for mistakes (58.97% agreeing and strongly agreeing with 20.51% disagreeing and strongly disagreeing) and their feelings of being able to plan their learning (60.26% agreeing and strongly agreeing and 12.82% disagreeing and strongly disagreeing). 20.52% more students felt they could set their learning goals by December (66.67% agreeing and strongly agreeing and

5.13% disagreeing), though a number of students showed they were still neutral in this regard (28.21%, nevertheless 11.53% less than in September). The ability to measure progress remained an area of uncertainty for students with 12.82% less students agreeing and strongly agreeing with the statement than in September (with 33.33% in December) and 15.38% more students ticking the neutral box (with 56.41% in December).

The table of results for December is presented in percentages in table 2 below:

Table 2 December responses to Likert items on learning strategies

	December: learning strategies	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
	I know how to:					
1	find my own ways to practise language	12.82	62.82	16.67	7.69	0.00
2	check my own work for mistakes	8.97	50.00	20.51	17.95	2.56
3	explain why I need English	34.62	43.59	15.38	5.13	1.28
4	identify my strengths and weaknesses	25.64	56.41	14.10	3.85	0.00
5	ask for help when I need it	28.21	51.28	8.97	10.26	1.28
6	set my own learning goals	10.26	56.41	28.21	5.13	0.00
7	plan my learning	16.67	43.59	26.92	11.54	1.28
8	measure my progress	2.56	30.77	56.41	10.26	0.00

3.4.2 The Role of the Teacher

A. September

The greatest majority of students believed that the teacher's role is to help the students learn effectively (47.44% agreeing and 43.59% strongly agreeing, 91.03% in total; and only 1.28% disagreeing); to say what the students' difficulties are (39.74% agreeing and 39.74% strongly agreeing, 79.48% in total; and 5.13% disagreeing and strongly disagreeing); to create opportunities for the students to practise language (41.03% agreeing and 25.64% strongly agreeing, 66.67% in total; and 7.69% disagreeing); and to offer to help the students (42.31% agreeing and 38.46% strongly agreeing, 80.77% in total; with no-one disagreeing but 1.28% strongly disagreeing). 69.23% agreed and strongly agreed with the statement that the teacher should tell the student what to do, with only 15.38% disagreeing and strongly disagreeing. In addition, students believed that the teacher should tell the student what progress he/she is making (66.66% agreeing and strongly agreeing, and 6.41% disagreeing); and students also believed the role of the teacher was to give regular tests to students (64.1% agreeing and

strongly agreeing, but only 8.97% disagreeing and strongly disagreeing). 51.28% were neutral towards the idea that the teacher should explain why an activity is being done, which contrasts with 37.18% agreeing and strongly agreeing that the teacher should explain, and 11.54% disagreeing. In comparison, 42.31% were neutral about the teacher's role in deciding how long a student should spend on an activity (with 26.93% agreeing and strongly agreeing, and 30.77% disagreeing and strongly disagreeing). Similarly, 33.33% were neutral with regards to the teacher setting a student's learning goal (with 34.61% agreeing and strongly agreeing, and 32.05% disagreeing and strongly disagreeing).

The results for September regarding the role of the teacher are presented in percentages in table 3 below:

Table 3 September responses to Likert items on teacher's role

	September: teacher's role	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
	I believe the role of the teacher is to:					
1	tell me what to do	21.79	47.44	15.38	12.82	2.56
2	help me learn effectively	43.59	47.44	7.69	1.28	0.00
3	tell me what progress I am making	21.79	44.87	26.92	6.41	0.00
4	say what my difficulties are	39.74	39.74	15.38	3.85	1.28
5	create opportunities for me to practise	25.64	41.03	25.64	7.69	0.00
6	decide how long I spend on activities	3.85	23.08	42.31	23.08	7.69
7	explain why we are doing an activity	5.13	32.05	51.28	11.54	0.00
8	set my learning goals	1.28	33.33	33.33	25.64	6.41
9	give me regular tests	8.97	55.13	26.92	7.69	1.28
10	offer to help me	38.46	42.31	17.95	0.00	1.28

B. December

7.7% less students in December agreed and strongly agreed that the teachers' role is to help the students learn effectively (52.56% agreeing and 30.77% strongly agreeing, 83.33% in total; and 3.85% disagreeing). However, 6.41% more students believed by December that the teacher should say what the students' difficulties are (52.56% agreeing and 33.33% strongly agreeing, 85.89% in total; and 2.56% disagreeing with no-one strongly disagreeing). Students still believed in December that the teacher should create opportunities for the student to practise language (48.72% agreeing and

20.51% strongly agreeing, 69.23% in total; and 11.54% disagreeing); students also still believed that the teacher should tell the student what progress he/she is making (65.39% agreeing and strongly agreeing, and 3.85% disagreeing); and students maintained their belief that the role of the teacher was to give regular tests to students (64.11% agreeing and strongly agreeing, but only 11.54% disagreeing and strongly disagreeing). However, 15.38% less students believed that it is the teacher's role to offer to help the students (42.31% agreeing and 23.08% strongly agreeing, 65.39% in total; with 6.41% disagreeing and 1.28% strongly disagreeing). Furthermore, 56.41% agreed and strongly agreed with the statement that the teacher should tell the student what to do, 12.82% less than in September. 23.07% less students were neutral with regards to the teacher explaining why an activity is being done, with 28.21% ticking the neutral box. Instead, 53.84% now agreed and strongly agreed with the statement and 17.95% disagreed. In comparison, 14.1% less students were neutral about the teacher deciding how long a student should spend on an activity (with 19.23% agreeing and strongly agreeing, and 52.56% now disagreeing and strongly disagreeing). 29.49% remained neutral with regards to the teacher setting a student's learning goal, though 8.98% more students disagreed and strongly disagreed with the statement (29.48% agreed and strongly agreed, and 41.03% disagreed and strongly disagreed).

The results for December regarding the role of the teacher are presented in percentages in table 4 below:

Table 4 December responses to Likert items on teacher's role

	December: teacher's role	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
B	I believe the role of the teacher is to:					
1	tell me what to do	19.23	37.18	25.64	15.38	2.56
2	help me learn effectively	30.77	52.56	12.82	3.85	0.00
3	tell me what progress I am making	11.54	53.85	30.77	3.85	0.00
4	say what my difficulties are	33.33	52.56	11.54	2.56	0.00
5	create opportunities for me to practise	20.51	48.72	19.23	11.54	0.00
6	decide how long I spend on activities	3.85	15.38	28.21	43.59	8.97
7	explain why we are doing an activity	2.56	51.28	28.21	17.95	0.00
8	set my learning goals	2.56	26.92	29.49	30.77	10.26
9	give me regular tests	3.85	60.26	24.36	10.26	1.28
10	offer to help me	23.08	42.31	26.92	6.41	1.28

3.4.3 Ranked Items

3.4.3.1 Opportunities for Language Use

A. September

The items pertaining to opportunities for language use are organised into 3 levels of ranking, and the students were instructed to decide 1, 2 or 3 ranking positions for the 3 statements with no number repeated. Results show that most students (70.51%) believed they themselves must find opportunities to practise language, followed by a majority second ranking of it being the teacher's job (65.38%) and the least important ranking being that it is their classmates' role to provide language practice opportunities (84.62%).

Table 5 below shows all the ranked results in percentages for September with regards to opportunities to practise language:

Table 5 September responses to ranked items on opportunities for language use

	September: opportunities for language use	ranking		
C	I believe that:	1	2	3
i	opportunities to use the language should be provided by my classmates	2.56	12.82	84.62
ii	I should find my own opportunities to use the language	70.51	21.79	7.69
iii	opportunities to use the language should be provided by the teacher	26.92	65.38	7.69

B. December

Students were given the same instructions regarding the completion of the ranked section as in September. The trend of first, second and third ranking positions of items remained the same in December as in September but with a 10.26% increase of students recognising their own role in creating opportunities for language use and with no students ranking that role into the third position. 8.97% less students ranked the teacher's importance in creating opportunities for language use in the first position compared to September. 5.13% more students ranked the teacher's importance in second place in December.

Table 6 below shows all the ranked results in percentages for December with regards to opportunities to practise language:

Table 6 December responses to ranked items on opportunities for language use

	December: opportunities for language use	ranking		
C	I believe that:	1	2	3
i	opportunities to use the language should be provided by my classmates	1.28	10.26	88.46
ii	I should find my own opportunities to use the language	80.77	19.23	0.00
iii	opportunities to use the language should be provided by the teacher	17.95	70.51	11.54

3.4.3.2 Effort

A. September

The items pertaining to effort are organised into 4 levels of ranking, and the students were instructed to decide 1, 2, 3 or 4 ranking positions for the 4 statements with no number repeated. The highest ranking for what students believed to be most important for language learning success was given to the students' role outside the classroom (47.44%), and the same number of students gave their own role in the classroom a second place ranking. The teacher's role in language learning success is ranked third (46.15% of students). Least important was deemed the role of classmates in the classroom with a majority of students (83.33%) giving this a fourth place ranking.

Table 7 below shows all the ranked results in percentages for September with regards to effort:

Table 7 September responses to ranked items on effort

	September: effort	ranking			
D	I believe my language learning success depends on:	1	2	3	4
i	what I do outside the classroom	47.44	19.23	21.79	11.54
ii	what I do in the classroom	33.33	47.44	17.95	1.28
iii	what my classmates do in the classroom	1.28	1.28	14.10	83.33
iv	what the teacher does in the classroom	16.67	33.33	46.15	3.85

B. December

Once again the students were given the same instructions for the ranked items as in September. The trend in December concerning rankings pertaining to effort are the same as those in September. However, 7.69% more students have given the first place ranking to their own efforts outside the classroom than in September and 7.69% less students have given their importance outside the classroom a fourth rank placing. More students have given their role inside the classroom a third rank placing (23.08%; 5.13%

more than in September) but the teacher's importance is also placed in the third ranked position by more students in December (55.13%; 8.98% more than in September). The majority of students still believed in December that their classmates play the least important part in their language learning success (91.03%).

Table 8 below shows all the ranked results in percentages for December with regards to effort:

Table 8 December responses to ranked items on effort

	December: effort	ranking			
D	I believe my language learning success depends on:	1	2	3	4
i	what I do outside the classroom	55.13	24.36	16.67	3.85
ii	what I do in the classroom	32.05	43.59	23.08	1.28
iii	what my classmates do in the classroom	0.00	2.56	6.41	91.03
iv	what the teacher does in the classroom	12.82	28.21	55.13	3.85

4 Discussion

The study presented in section 3 of this paper is limited to the collection of quantitative data via a questionnaire. Reliance on quantitative data generated by questionnaires can certainly have disadvantages, such as the inability to follow-up on student statements or check student interpretation of questions. Indeed the number of items on the questionnaire were carefully limited to take student language abilities into account, further reducing the possibility for drawing definite conclusions regarding the research here. However, a questionnaire format was deemed most suitable for investigating student attitudes to language learning in the context in question due to time constraints. Students at the college have a heavy programme of study which involves two majors and have very little space on their timetables to be able to be interviewed in such numbers as were able to complete a questionnaire. In addition, the introduction of the new programme at the same time as the research into student beliefs at the start of the semester of a new academic year meant that teaching staff were also constrained by time and would not have been able to interview students easily. Furthermore, it is important to note that this particular study was of a localised empirical nature with mainly pedagogical aims of assessing the efficacy of a new programme of study. Moreover, the questionnaire focused upon in this paper comprises the first stage of a longitudinal study of Hungarian college students following the new programme and will be extended to include other methodological approaches over time. The intention of the questionnaire is therefore only to gauge possible trends of students' beliefs at the start of higher education, and any changes in these attitudes that might have taken place among these

particular students in the first semester of the new syllabus. The results of the data analysis will now be discussed in relation to each variable on the questionnaire.

4.1 Learner Strategies

Trends in learner beliefs with regards to the learner strategies section of the questionnaire are similar in September to December. Students believed on both occasions that they could find their own ways to practise language, explain why they needed English and ask for help when necessary. A trend towards increased confidence in being able to identify strengths and weaknesses, check their work for mistakes and plan their learning seems to be suggested by the comparison of the two occasions, but the trend is only suggestive as the increase is small and further investigation over a longer period of time would be necessary in order to show that the trend would remain thus. A clearer trend is visible by December towards students believing they are able to set their own learning goals and might be explained by such requirements as project work on the new language programme, though there is no conclusive evidence to prove this.

Interestingly, students seemed to feel less sure about their abilities to measure their own progress in English in December compared to September. Conversations with students over the semester provide anecdotal evidence of students losing confidence in their English language abilities when facing the differences between school and college, achieving top grades at school but struggling at college level. These students commented on the fact that they no longer felt that they were among a small number of able students, but were now pitted against a larger number of similarly talented language students in a college setting where their English level might even be deemed inadequate at times. This in turn may have led students to lose confidence in their ability to evaluate their own language learning levels. In addition, as Blue states, "self-assessment is an area that many non-native speaker students have difficulty with, even when they have had feedback on language level" (1994: 30). Blue argues that as a result of a number of cultural and psychological factors, the process of sensitising students to assessing their own levels accurately can take time and students need to be constantly monitored and guided through the process (1994). Three months of a new programme at college may not be enough for such awareness to develop sufficiently and although the new programme mentions self-assessment in its assessment aims, the occasions for self-assessment have not been systematised on the new syllabus and may therefore need to be introduced more thoroughly.

4.2 The Role of the Teacher

Once again the trend in beliefs about the teacher's role were similar in September to December. Most items in the teacher's role section remained relatively unchanged by December and students see the teacher's role as important in helping them to learn effectively, telling them the progress they are making, creating opportunities for language practice and giving regular tests. Signs of a trend towards a less pronounced teacher role seem to be the reduction in the numbers of students believing that the teacher should offer to help students, tell students what to do and how long to spend on an activity. Once again further research is necessary in order to confirm whether this trend continues to increase but these reductions may be due to aspects of the new language programme which allow students to dictate their own tasks, though may also be a natural trend resulting from higher education attendance and increasing maturity on the part of the students.

4.3 Opportunities for Language Use

Ranking positions remained similar in December to those in September. Already in September, students believed their role to be most important in finding opportunities to use language, with the teacher in second place. This may seem surprising to those teachers who believed students to be reliant on the teacher to provide such opportunities as suggested by the feedback in the earlier study at the college (Macdonald 2003). The trend towards the students believing their own role to be paramount seems to increase by December and further research is necessary to investigate whether this trend continues. Classmates feature at the bottom of most students' rankings and third place rankings increase slightly by December. This trend does not reflect the emphasis of the new programme on collaboration between students and suggests that the new syllabus has had no impact on perceptions of importance regarding student to student cooperation despite the introduction of project work. This might be due to the short time period within which such attitudes were guaged using the questionnaire and the unaccustomed nature of students relying on other members of the class to complete a task that would require grading, which contrasts with assessment methods at school level in Hungary. It remains to be seen whether such attitudes might eventually change with continued student collaboration on English programmes.

4.4 Effort

Students recognised the importance of their own role outside the classroom to achieve language learning success already at the start of the academic year. This trend increased slightly by December. This perception again

contrasts with teacher feedback, which commented on student passivity and the apparent reliance of students on staff to improve their language abilities (Macdonald 2003). The trends regarding other rankings remained similar in December when compared to September, placing the students' role in the classroom in second place and ranking the teacher's and classmates' role third and fourth respectively. The seeming difference between teacher expectations about student attitudes and actual student beliefs shown here might suggest a mismatch of attitudes, though may equally suggest that although the students believe they know what leads to language learning success, they may not actually be acting on that belief in an observable way. Once again, further investigation is necessary to explore the extent of both the teachers' and the students' beliefs.

5 Conclusion

This paper reported on student attitudes to aspects of learner autonomy at the start and end of their first semester at a college of higher education in Hungary. The new programme had been specifically designed to promote learner autonomy as a result of a previous study of the former syllabus. Data collection and analysis were limited to a questionnaire format and could only be used to explore general trends of student beliefs at the start of higher education and after one semester. Trends suggesting an awareness of learner strategies and students' awareness of their own role in achieving language learning success even at the start of their studies are encouraging. For example, the small-scale study by Gan, Humphreys and Hamp-Lyons (2004) showed that successful students (i.e. those showing success in examinations) could manage their own learning, determine their own learning goals and work towards their own learning goal at their own pace. In addition, the seeming readiness for learner autonomy, according to the questionnaire results in September, suggests that the promotion of learner autonomy is realistic in the context in question.

In terms of evaluating the new programme for its suitability to promote learner autonomy, the new syllabus includes a number of aspects argued to be necessary for the promotion of learner autonomy, such as raising awareness about language learning strategies (Oxford and Nyikos 1989), developing students' critical thinking skills through study skills training to develop students' study competence (Waters and Waters 1992) and opportunities for students to interact through negotiation and collaboration, evident from the project work aspect of the course. Dam (1995), for example, carried out project work in a formal educational institution in Denmark and devised a planning model to prioritise such work. She claims

that her procedures have led her school-aged learners to develop both an overall awareness of language learning processes and an awareness of personal possibilities and responsibilities within these processes (1995: 80). However, opportunities for self-assessment on the syllabus may currently be too limited to have helped students to develop this skill and the programme may benefit from systematising occasions for student self-assessment.

Nevertheless, the new programme at the college can be considered potentially beneficial in developing learner autonomy especially as the study reported in this paper suggests a readiness for learner autonomy on the students' part previously underestimated. However, it is worth noting that in order to be able to make more concrete conclusions regarding student beliefs and the effectiveness of the new programme, further research over a longer period of time is necessary in the form of interviews, surveys and the introduction of learner diaries. A mixed methodology of data collection will allow a more complete picture of student beliefs in relation to language learning success and the role the new English language programme might play towards achieving the goal of greater learner autonomy and English language competence. As Glesne and Peshkin state, "the openness of qualitative inquiry allows the researcher to approach the inherent complexity of social interaction and to do justice to that complexity, to respect it in its own right" (1992:7). The next stage of research must therefore be to add a qualitative dimension to the study of these particular students at the college in Hungary, gauging both their level of learner autonomy and language learning success.

References

Blue, G. 1994. Self-assessment of foreign language skills: Does it work? *Centre for Language in Education 3, University of Southampton.* 18–32.

Cotterall, S. 1995. Readiness for learner autonomy: Investigating learner beliefs. *System,* 23, 2: 195–205.

Cotterall, S. 1999. Key variables in language learning: What do learners believe about them? *System,* 27: 493–513.

Dam, L. 1995. *Learner Autonomy: From Theory to Practice.* Dublin: Authentik.

Gan, Z., Humphreys, G. and Hamp-Lyons, L. 2004. Understanding successful and unsuccessful EFL students in Chinese universities. *Modern Language Journal,* 88, ii: 228–243.

Glesne, C. and Peshkin, A. 1992. *Becoming Qualitative Researchers: An Introduction.* New York: Longman.

Horwitz, EK. 1988. The beliefs about language learning of beginning university foreign language students. *Modern Language Journal,* 72: 283–294.

Little, D. 1995. Learning as dialogue: The dependence of learner autonomy on teacher autonomy. *System,* 23, 2: 175–181.

Macdonald, K. 2004. Promoting a particular view of learner autonomy through an English language syllabus. *Eger Journal of English Studies*, IV: 129–148.

Macdonald, K. 2003. Promoting a Particular View of Learner Autonomy Through a Proposed Syllabus for First Year Students of English in a Specific Higher Education Institution in Hungary. Unpublished MA Dissertation, University of Southampton.

Oxford, R. and Nyikos, M. 1989. Variables affecting choice of language learning strategies by university students, *Modern Language Journal,* 73: 291–300.

Victori, M. and Lockhart, W. 1995. Enhancing metacognition in self-directed language learning, *System,* 23, 2: 223–234.

Waters, M. and Waters, A. 1992. Study skills and study competence: getting the priorities right. *ELT Journal*, 46, 3: 264–273.

The Importance of Raising Collocational Awareness in the Vocabulary Development of Intermediate Level Learners of English

Adrienn Károly

Introduction

Over the past few decades, there has been a growing awareness of the significance of the lexicon in Second Language Acquisition (SLA) research, after a long period of neglect. In fact, vocabulary is considered to be the most significant – and the most difficult – language component for learners to acquire successfully. The analysis of a large number of corpora indicates that vocabulary errors not only outnumber grammatical errors, they are considered more serious by native speakers. While grammatical errors do not usually disrupt structural understanding and communication, lexical errors interfere with basic meaning resulting in a lack of understanding between the speaker and the listener (Gass and Selinker 2001:372). Vocabulary is central to communication; therefore, vocabulary acquisition is essential for successful language learning. Without words, it is impossible to use grammatical structures and language functions, so learners often consider vocabulary to be the source of all problems.

The Importance of the Lexicon

Intermediate students very often remain stuck at a certain level of language competence. First, they are familiar with the basic and most common grammatical structures. Second, they are able to communicate their ideas successfully and "survive" in most everyday conversational topics; their active vocabulary, however, often consists of a limited set of lexical items resulting in a rather poor and simplistic discourse. Therefore, teachers' aim should be to help learners create word-meaning awareness and encourage them to increase the size, accuracy and richness (expressiveness) of their active vocabulary.

In many current linguistic theories the lexicon assumes great importance. In his Minimalist Program (1995), Chomsky maintains that language learning is primarily lexical learning. According to Levelt, vocabulary is a crucial factor in sentence production: "The assumption that the lexicon is an essential mediator between conceptualisation and grammatical and phonological encoding will be called the *lexical hypothesis*" (Levelt 1989:181). In addition to helping production, the lexicon acquires significance in the comprehension of input as well.

Key Principles in the Lexical Approach

The Lexical Approach has been in the centre of interest since Michael Lewis published *The Lexical Approach* in 1993. This approach was born as an alternative to grammar-based approaches although it is not something totally new: it develops the basic principles in the communicative approaches to language learning. The most important difference is a shift in preference: in the lexical approach achieving proficiency depends to a great extent on words and their combinations. Lewis points out that words do not exist in isolation: it is not always possible to put any word in any place in a sentence, even if the result is a grammatical sentence. The choice of a vocabulary item often determines the following words and grammatical structure. As Lewis puts it: "language is grammaticalised lexis, not lexicalised grammar" (Lewis 1993:vi). In other words, lexis is essential in creating meaning; grammar plays a minor role. It is important to note that this approach distinguishes between *vocabulary* and *lexis*; the former is a set of individual words with fixed meanings whereas the latter includes word combinations that learners store in their mental lexicons. Lewis further argues that the traditional grammar/vocabulary dichotomy is not tenable as an important part of language consists of unanalysed "chunks". Therefore, teachers should help learners develop their stock of prefabricated phrases and spend less time on grammatical structures (ibid., 95). In short, collocation should become the organising principle in teaching.

The Role of Collocations in Vocabulary Acquisition

Knowing a word is definitely much more than simply knowing what it means. Nation lists eight elements, which are necessary to have complete knowledge of a word (1990:31):

1. spoken form
2. written form

3. grammatical behaviour
4. collocational behaviour
5. frequency
6. stylistic register constraints
7. conceptual meaning
8. word associations

In the Lexical Approach, collocational patterns form the core of word knowledge. According to Thornbury "the ability to deploy a wide range of lexical chunks both accurately and appropriately is probably what most distinguishes advanced learners from intermediate ones" (2002:116).

Morgan Lewis argues that increasing the learners' collocational competence is the way to improve their language as a whole:

> The reason so many students are not making any perceived progress is simply because they have not been trained to notice which words go with which. They may know quite a lot of individual words which they struggle to use, along with their grammatical knowledge, but they lack the ability to use those words in a range of collocations which pack more meaning into what they say or write. (Lewis 2000:14)

Learning collocations not only increases the mental lexicon but develops fluency as well. As Michael Lewis says, "fluency is based on the acquisition of a large store of fixed or semi-fixed prefabricated items, which are available as the foundation for any linguistic novelty or creativity" (1997:15).

An Overview of Research into Collocations

Collocation is not a new idea in the field of SLA. However, researchers have been able to formulate theories about the extent of collocational patterning only since the development of computerized collection and analysis of corpora. At the beginning of the 1990s two influential books appeared, Paul Nation's *Teaching and Learning Vocabulary* (1990) and John Sinclair's *Corpus, Concordance, and Collocation* (1991), which stimulated research into vocabulary and more specifically into collocation. It was in 1993 that Michael Lewis put forth his theory and described a new approach to language learning and teaching: the Lexical Approach. This approach puts vocabulary acquisition and collocation in a central role in second language acquisition. Lewis's second book, *Implementing the Lexical Approach* (1997) contains practical activities that teachers applied in the classroom, and the most recent book edited and co-authored by Michael Lewis,

Teaching Collocation: Further Developments in the Lexical Approach
(2000) is an extension of the ideas developed in the previous two books
focusing on collocations, a key element in the approach.

In *Teaching Collocations* Hill claims that "it is possible that up to 70 %
of everything we say, hear, read or write is to be found in some form of fixed
expression" (2000:53). Underlining that collocation has an overriding
importance in language learning he further argues:

> A student with a vocabulary of 2,000 words will only be able
> to function in a fairly limited way. A different student with
> 2,000 words, but collocationally competent with those words,
> will also be far more communicatively competent. (ibid., 62)

He notes that learners lacking collocational competence often express
their ideas in longer, wordier sentences, which often contain several
grammatical errors. Although Morgan Lewis admits that it might not be easy
for teachers to change their attitude towards vocabulary teaching and
learning, he maintains that the teaching process does not have to be changed
radically to make room for collocations (2000:27). There are various
strategies and classroom activities to expand the learners' repertoire of
lexical chunks, which foster fluency and eventually enhance language
development.

Types of Lexical Units

Advocates of the lexical approach argue that in language there are set lexical
phrases, which cannot be combined without constraints. Akhmatova claims
as early as in 1974:

> It follows that word combination becomes free in the sense of
> not having any constraints imposed upon it when words are
> combined by *creative* or 'imaginative' speakers who are not
> content with merely reproducing the already existing
> complexes. Words are combined 'freely' only by people who
> strive for novelty and originality. It is mainly in fiction or other
> types of imaginative speaking and writing that we find word
> combinations that are really free. (cited in Gass and Selinker
> 2001:392)

SLA researchers use many different and overlapping terms to refer to
these fixed lexical units including *speech formulae* (Peters 1983), *lexicalised
stems* (Pawley & Syder 1983), *lexical phrases* (Nattinger & DeCarrico 1992
and Schmitt 2000) or *prefabricated chunks* (Lewis 1993). In the Lexical
Approach a distinction is made between *lexical chunks* and *collocations*.

Lexical chunk is an umbrella term, which refers to any pair or group of words that usually appear together. Although collocation is included in this term, it is defined as a pair of lexical content words (as opposed to function words) commonly found together.

Lewis (1997) offers the following categorization of lexical units:

- words (*book*)
- polywords (*by the way*)
- collocations / word partnerships (*basic principle*)
- institutionalised utterances (*If I were you...* or *we'll see...*)
- sentence frames and heads (*that is not...as you think* or *The problem is...*)
- text frames (*Firstly...;Secondly...;Finally....*)

In the Lexical Approach collocations have a special role. Lewis points out:

> Instead of words, we consciously try to think of collocations and to present these in expressions. Rather than trying to break things into smaller pieces, there is a conscious effort to see things in larger, more holistic ways. (1997:204)

Lewis defines collocation as "the readily observable phenomenon whereby certain words co-occur in natural text with greater than random frequency" (ibid., 8). It is important to emphasise that the relationship between words is not determined by logic; it is arbitrary, decided by linguistic convention. Hill offers the following taxonomy of collocations (2000:63–64)

- **unique** collocations (*to foot the bill*, *to shrug your shoulders)*: the verb is not used with any other nouns
- **strong** collocations (*rancid butter*): *rancid* is most commonly used with butter
- **weak** collocations (*long hair*): these combinations are completely free and predictable to students
- **medium-strength** collocations (*to make a mistake, to hold a meeting*). These are neither free nor completely fixed.

Pragmatic knowledge is also important in deciding which collocation to use, as some collocations are not appropriate for certain contexts.

Hill argues that students should acquire more medium-strength collocations if they want to leave behind the intermediate level.

According to Hill we can further categorize collocations based on the elements they contain (2000:51):

- adjective + noun (*a huge profit)*
- noun + noun (a *pocket calculator*)
- verb + adjective + noun (*learn a foreign language*)
- verb + adverb (*live dangerously*)
- adverb + adverb (*half understand*)
- adverb + adjective (*completely soaked*)
- verb + preposition + noun (*speak through an interpreter*)

The Importance of Teaching Collocations

Rote learning, which means that students have to memorise endless lists of single words in isolation, is still common practice in many Hungarian schools leading to superficial, surface-level knowledge and impeding meaningful vocabulary learning, which is the key to progress. As a result of rote learning, learners may transfer incorrect forms from their native language (negative transfer). Hill maintains that teachers should raise their students' awareness of collocations and encourage learner autonomy because acquiring competence in collocations is a long process. Learners should be sensitive to noticing collocations in language. Noticing is a key term in the lexical approach as it plays the role of transforming input into intake, which according to Michael Lewis is "perhaps the most important of all methodological questions" (2000:159). He insists that "exercises and activities which help the learner observe or notice L2 more accurately ensure quicker and more carefully-formulated hypothesis about L2, and so aid acquisition, which is based on a constantly repeated Observe-Hypothesise–Experiment cycle" (Lewis 1997:52). It is worth mentioning that all four skills can be practiced in this way: reading and listening help learners notice collocations while writing and speaking activities provide opportunity to practice. Hill maintains that language learners should be presented with authentic texts. One of the best examples is a newspaper article, which is extremely rich in collocations. Seeing how language is really used is a great motivating factor for learners (2000:58). The way students record collocations is also important. Collocations should be recorded in an organised way. As Lewis says: "If you want to forget something, put it in a list" (1993:118). He suggests that the best organising principle is using topics and semantic fields. Later these collocation journals will be much more useful for learners than textbooks.

Classroom Activities Focusing on Collocations

Jimmie Hill, Michael Lewis and Morgan Lewis present general and specific classroom activities, which centre on collocation (2000:98–106). These could easily be incorporated into lessons to raise students' awareness of English word combinations, provide practice and encourage learner autonomy.

- Students read or listen to a text, and they have to find some collocations which centre on a topic.
- Students are given a list of words and they have to find what collocates with them in the text.
- Students have to do a gap-filling collocation exercise based on the text.
- Students have to do a matching exercise based on the collocations which occurred in the text.
- Students have to find the odd one out in a list of words, which can be combined with another word.
- Students are given a word, and they have to brainstorm as many collocates as they can.
- Students get a list of words which collocate with one word; they have to guess the headword.
- Students read a text and then they have to summarise it orally using collocations.
- Students have to translate sentences / short texts containing collocations.
- Students have to spot the errors in a text.

Reference Sources for Classroom Use

There are excellent dictionaries which can develop students' collocational sensitivity:

1. *The Macmillan English Dictionary for Advanced Learners* informs the users on the collocational behaviour of words:

    > Example: Words frequently used with **meaning:**
    > adjectives: *actual, deep, hidden, intended, literal, real, symbolic, true*
    > verbs: *catch, decipher, determine, discover, get, grasp, understand*

2. *The BBI Dictionary of English Word Combinations* is an excellent guide to help students master English collocations:

Example: **reputation**

1. to acquire, earn, establish, gain, get a ~ 2. to enjoy, have a ~ (he had the ~ of being a heavy drinker) 3. to guard, protect one's ~ 4. to compromise, blacken, blemish, damage, destroy, ruin, smear, tarnish smb.'s ~ 5. an enviable, excellent, fine, good, impeccable, spotless, unblemished, unsullied, untainted, untarnished ~ 6. a tainted, tarnished, unenviable ~ 7. an international, worldwide; local; national ~ 8. a ~ suffers 9. a ~ as, for (that judge has a ~ for being fair) 10. by ~ (to know smb. by ~) 11. (misc.) to live up to one's ~; to stake one's ~ on smt.

3. The *Oxford Collocations Dictionary for Students of English* contains over 150,000 collocations helping students speak and write natural-sounding English:

Example: **education**

ADJ.: decent, excellent, first-class, good | poor | compulsory | formal *Although he had had little formal education, he could read and write well.* | adult, further, higher, pre-school, primary, secondary *a college of further education* | university | professional, vocational | all-round | health, religious, sex | full-time, part-time | public, state | private *parents who choose private education for their children*

VERB + EDUCATION: have, receive *He was at a disadvantage because of the poor education he had received.* | give sb, provide (sb with) *The school provides an excellent all-round education.*| enter *students entering higher education* | continue, extend *She went on to college to continue her education.* | leave *young people who are just leaving full-time education* | complete, finish *He went to America to complete his education.*

EDUCATION + NOUN: authority, committee, department, ministry, sector, service, system *funds provided by the local education authority* | minister, officer, official | policy | reform | campaign, initiative, programme, project, scheme *The council has launched a new health education*

campaign. | facilities, materials, resources | class, course *adult education courses* | centre, college, establishment, institution

PREP: in ~ *students in full-time education* | through ~ *We acquire much of our world knowledge through education* | ~ about *education about danger on the roads*

4. *The Longman Language Activator* is a revolutionary dictionary, which leads students from a general key word to the exact word or phrase they need. Each entry is followed by usage examples and appropriate collocations:

Example: **mistake**

1. something that is wrong or incorrect, which you do by accident

   mistake, error, slip, mix-up, slip-up, oversight, aberration
2. a mistake in writing or speaking

   mistake, misprint, spelling mistake, slip of the tongue, error
3. an action or plan that is based on very bad judgement, often leading to serious problems

   mistake, miscalculation, misjudgement, error of judgement, be a bad move, blunder, bad tactics
4. to make a mistake

   make a mistake, go wrong, get sth wrong, blunder, goof/goof up, slip up, misjudge
5. a stupid mistake that causes social embarrassment

   put your foot in it, faux pas, gaffe, boob/booboo, indiscretion
6. to deceive someone so that they make a mistake and say something they did not intend to say

   trip sb up, catch sb out

5. Two books entitled *The Words You Need* and *More Words You Need* aim at activating learners' collocational sense by presenting semantic matrices of words:

	weapon	drug	dose of a poison	wounds	danger	combat	enemies	blow	disease	poison	injuries	accident	mistake	step
fatal			+	+							+	+	+	+
deadly								+	+	+				
mortal				+	+	+	+	+	+		+			
lethal	+	+	+											

6. *English Collocations in Use* presents and practices collocations in typical contexts. Each unit focuses on a topic and provides not only the contexts but also several exercises to practice collocations.

Example: **Talking about types of food**

Tom: Kids eat far too much **junk food**.
Nelly: Yeah, but it's hard to get them to eat **nourishing meals**[1]. They think they're boring.
[1]meals which make you healthy and strong
Fran: Have you tried the new supermarket yet?
Jim: Yes. The **fresh produce**[2] is excellent, and they have a big **organic food** section.
Fran: Mm, yes. I actually think their **ready meals**[3] are good too.
[2]foods produced from farming, e.g. dairy produce, agricultural produce
[3]meals already prepared or which just need to be heated quickly before eating
Liam: I can't believe **food additives**[4] are good for our long-term health.
Todd: No, and I think **processed foods**[5] in general are probably bad for us, not to mention **GM foods**[6]!
[4] substances added to food to improve its taste or appearance or to preserve it
[5] foods which are changed or treated as part of an industrial operation
[6] genetically modified foods
Gail: The restaurant was leaving **perishable food**[7] lying round outside the fridge, and some people got **food poisoning** so the authorities closed it down.
Terry: Oh dear.
[7] food which goes bad quickly, e.g. cheese, fish

References

Benson, Morton, Evelyn Benson and Robert Ilson. 1997. *The BBI Dictionary of English Word Combinations*. Amsterdam: John Benjamins Publishing Company.

Chomsky, Noam. 1995. *The Minimalist Program*. Cambridge, MA: MIT Press.

Ellis, Rod. 1994. *The Study of Second Language Acquisition.* Oxford: Oxford University Press.

Gass, Susan and Larry Selinker. 2001. *Second Language Acquisition: An Introductory Course*. New Jersey: Lawrence Erlbaum Associates.

Hill, Jimmie. 2000. Revising priorities: From grammatical failure to collocational success. In *Teaching Collocation: Further Developments in the Lexical Approach*, ed. Michael Lewis, 47–69. Hove: Language Teaching Publications.

Hill, Jimmie, Morgan Lewis and Michael Lewis. 2000. Classroom strategies, activities and exercises. In *Teaching Collocation: Further Developments in the Lexical Approach*, ed. Michael Lewis, 88–117. Hove: Language Teaching Publications.

Lea, Diana ed. 2002. *The Oxford Collocations Dictionary for Students of English*. Oxford: Oxford University Press.

Levelt, Willem J. M. 1989. *Speaking: From Intention to Articulation*. Cambridge, MA: MIT Press.

Lewis, Michael. 1993. *The Lexical Approach: The State of ELT and the Way Forward.* Hove: Language Teaching Publications.

Lewis, Michael. 1997. *Implementing the Lexical Approach: Putting Theory into Practice*. Hove: Language Teaching Publications.

Lewis, Michael. 2000. Learning in the lexical approach. In *Teaching Collocation: Further Developments in the Lexical Approach*, ed. Michael Lewis, 155–185. Hove: Language Teaching Publications.

Lewis, Morgan. 2000. There is nothing as practical as a good theory. In *Teaching Collocation: Further Developments in the Lexical Approach*, ed. Michael Lewis, 10–27. Hove: Language Teaching Publications.

McCarthy, Michael and Felicity O'Dell. 2005. *English Collocations in Use*. Cambridge: Cambridge University Press.

Nation, Paul. 1990. *Teaching and Learning Vocabulary*. New York: Newbury House.

Nattinger, James and Jeanette DeCarrico. 1992. *Lexical Phrases and Language Teaching*. Oxford: Oxford University Press.

Pawley, Andew and Frances Syder. 1983. Two puzzles for linguistic theory: Native-like selection and native-like theory. In *Language and Communication,* J. Richards & R. Schmidt (Eds), 191–226. London: Longman.

Peters, Ann. 1983. *The Units of Language Acquisition*. Cambridge: Cambridge University Press.

Rudzka, B., J. Channell, Y. Putseys and P. Ostyn. 1981. *The Words You Need.* London: Macmillan.

Rudzka, B., J. Channell, Y. Putseys and P. Ostyn. 1985. *More Words You Need.* London: Macmillan.

Schmitt, Norbert. 2000. *Vocabulary in Language Teaching*. Cambridge: Cambridge University Press.

Sinclair, John. 1991. *Corpus, Concordance and Collocation*. Oxford: Oxford University Press.

Summers, Della. 2003. *The Longman Language Activator*. Harlow: Longman.

Thurnbury, Scott. 2002. *How to Teach Vocabulary*. Harlow: Longman.

Rundell, Michael and Gwyneth Fox. 2002. *The Macmillan English Dictionary for Advanced Learners*. Oxford: Macmillan.

Schopenhauer, Barthes and the Bird

Tibor Tóth

Fowles demonstrates that he can create a doubling of the world through being self-consciously textual and still avoid the danger of a pastiche in his formulation. Through the story of Catherine, Fowles constructs a world that reflects Michael Foucault's recommendation for a return to the pre-modern Greek concept of techne, or self-conscious artistic making as a model for authentic living, with the predictable result of viewing the humanly fabricated truth as provisional.

Yet John Fowles is one of the outstanding exponents of the neo-Romantic celebration of the imagination as space outside commercial cultures, where new worlds could be envisaged. In "The Cloud"[1] he sacrifices the narcissistic pleasures of the private imagination and the projection of psychic interiority on the altar of neo-Romanticism. "The Cloud" formulates its author's awareness of the major paths taken by contemporary fiction to employ the possibilities offered by the side-paths not yet taken. To be more explicit, John Fowles locates his story in a physical space outside the British Isles. The second 'remove' is materialised through the self-reflexively intertextual world of literariness itself. Microcosm and macrocosm are presented both separately and in a deadly collision to which neo-romanticism is the only cure. As one of the central themes of the short-story is the corruption of the communicative system of the twentieth century, he opts for a formula which allows for the expertise of both the fragmentation and the unity of existence, thought and art.

John Fowles creates a neo-Romantic parallel to the 'fantastic'. He demonstrates that the fairy tale can achieve more than simply provide a comprehensive interpretation of the symbiosis of the fragments envisaged in the short story. The fairy tale, classically employed as fiction within fiction by John Fowles, has two immediately identifiable functions: it grafts the sublime onto the real, and by performing this it projects fiction and reality against a neo-Romantic metaphor of a harmonious, atemporal universe.

---

[1] Fowles, John. 1996. "The Cloud" in *The Ebony Tower*. London: Vintage. 241–300.

"The Cloud" needs no sensationalist and cyber-, computo- fantastic plot or auxiliaries. Death, philosophy, communications theory, the inadequacy of social and national stereotypes and literary theory represent in themselves a remove from reality[2]. Discussing the above topics within a traditional form of the fantastic may tempt the reader to interpret them not only at an objective, theoretical level but as artistic alternatives to the conflicts described. Furthermore, symbols, poetic passages and lyrical interludes help John Fowles to formulate the final enigma of the short story about Catherine's fate and its implications.

The plot of John Fowles's "The Cloud" promises a trivial, rather boring story populated by too typical to be interesting characters against a pastoral French landscape that creates the background for a belated melodrama. It is the story of an Anglo-Saxon family and friends on holiday in central France. The characters form two groups, which later on will be arranged around shifting perspectives. These shifts are based on the exploration of various modes of perception. There are roughly two groups of characters we meet in the exposition. The first group consists of Peter, his girlfriend Sally, and Tom, his son by his deceased wife. They have joined the second group formed by a family: Paul and Annabel are on holiday with their two daughters, Constance and Emma.

Two incidents serve up the conventional conflict: there is a domestic dispute about the character's willingness or unwillingness to participate in the outing, and the 'problem' created by the presence of Annabel's sister Catherine. Catherine has lost her husband recently apparently through the latter's suicide. Annabel is convinced that the unavoidable communication between the other members of the group and Catherine will diminish the consequences of the trauma suffered by her sister. Contrary to Annabel's intentions, Catherine refuses to obey the rules required by a 'social activity,' and she resists the lures of superficial happiness. She remains isolated and the reader discovers that Catherine, through her sophistication, represents more than a mere opposition to the group's emotional balance. She becomes the super-auntie for Emma by telling her a tale about a princess and a prince. Catherine then tells Paul that she would like him to make love to her, but she refuses Peter after having deliberately provoked his sexual appetite. A strange cloud appears in the sky and the group prepares to go home. Peter responds to the calls of the group and leaves Catherine behind and to further complicate the situation Sally suspects that Peter was with Catherine. The

---

[2] Fowles John. (1967) 1996. "I Write Thefore I Am" in *Wormholes*. London: Jonathan Cape. 3–13

group starts back home leaving Catherine behind while Annabel calms the children by saying that Catherine might have already gone home.

There is no classical ending to the story except for our knowledge that Catherine refuses communion with the group and the group seems to have accepted the situation. Yet, with the last sentence the story starts building a different sense. The last sentence reads: "The princess calls, but there is no one, now, to hear her" (*T.C.* 300). The princess is the protagonist of Catherine and Emma's tale. To interpret "The Cloud" through the perspective created by the tale of the princess is to accept the very intention behind the 'secret' structure created by John Fowles. Catherine is telling the story to the insistence of Emma, and the forest serves as their shelter and becomes the setting for their tale. Catherine does not fail to maintain dialogue with Emma and adjusts the events to her expectations. The two are absorbed by the act of telling the story and Emma insists on linking the imaginary with the real:

> 'Was she pretty?'
> 'Of course. Very pretty.'
> 'Did she win beauty competitions?'
> 'Princesses are too grand for beauty competitions.'
> 'Why?'
> 'Because they're for stupid girls. And she was a very clever girl.'
> 'Was she more cleverer than you?'
> 'Much cleverer than me.'
> 'Where did she live?'
> 'Just over the hill there. A long time ago.' (*T. C.* 274-75)

Tale and reality are confronted and although Emma needs easily identifiable scraps of reality to be at home, she does not mind it if reality is abandoned. In Catherine's story the princess fell asleep and her parents did not notice she was missing, because even the king could only count to twenty. When she woke up she was alone under the thorn tree where Catherine and Emma are sitting. She could not go home because it was extremely dark. The beasts of the forest found her and protected her. Many years passed and she forgot her name and grew to be afraid of man whom she considered to be the only terrible creature on earth. A young man, a prince, made her understand that not all men are to be feared. They fell in love but the prince could not marry her because he had to marry a princess, and Emma could not prove that she was a princess. An old owl offered to help her, but as its magic power was limited it could not offer her both beautiful clothes and a palace. When they discovered that the princess could only have one symbol of wealth at a time, the king and the queen declared

her a young witch and forbade their son to marry her. The name of the prince was Florio and the princess had the young listener's name. All the owl could do was to offer a solution, which was no solution: the two lovers would never meet, but could remain seventeen till they would meet.

That we are participating in a narrative experiment is clear from the very beginning of the tale about the princess. The history of English literature has provided us with play within the play, the sonnet within the sonnet, the work of art within the work of art, so the story within the story directs our attention to the consequences of this experiment. The setting justifies the romantic perspective effectively supported by the little girl's demand for a happy ending and the narrator's repetition of 'If only' several times when preparing for the narrative act.

Catherine assimilates the different sources of perception available in nature to create her story and to support the plot she is creating. The setting is exactly the place where she and her niece are sitting. The little princess could hear the voice of the river Emma and Catherine can hear as well. The onomatopoeia "Laplaplaplaplap" translates "Too late, too late, too late [...]" (*T. C.* 275) establishing nature as the medium through which both imagination and real life become accessible to the human mind.

John Fowles instantly undermines the romantic mood and suggests that this is not classical romanticism, but a new, characteristically twentieth century version of it, which builds on fragments that could or could not reconstitute the harmony between creator, art and nature. Observe the technique by which the narrator traps the child into direct participation:

> It all happened such a long time ago that people didn't know
> how to count. Can you imagine that? Even the king could only
> count to twenty. And they had thirty-three children. So they
> used to count to twenty and make a guess. (*T. C.* 275)

Emma does not realize that she has been 'activated', dragged into the creative process, and the little girl continues the story with the, for her logical sequence: "They missed her out" (*T. C.* 275).

John Fowles reinforces the idea that Emma is listening to the story about the birth of a story through elements reminiscent of conventional dramatic technique. The dialogue is occasionally interrupted by asides or interior monologues that reveal secrets about the process of creating the story: " 'So she was all alone.' And from nowhere, storied; granted a future, peripetia. She tried to walk home. But she kept falling, and she didn't know where she was in the dark […]' " (*T. C.* 276).

Yet the authorial digression does not disrupt the conversational pattern creating the story within the story. The dialogue between the storyteller and

her audience recreates a typical John Fowles model. Emma is left to guess what happened to the little princess left alone in the dark forest. Her guess is based on stereotypes and is predictably false. The little princess was not eaten by wolves; what is more, she was found by a squirrel who aided by an otherwise fierce bear helped the princess build herself a nice house and taught her whom to fear. Emma's imagination is tested again and is once again found inadequate. How should she know that the greatest enemy of all is man? Although she is invited to contribute to the making of the story, she does not sense the subtle ambiguity that supports Catherine's secret intentions. Furthermore, Emma is trapped into the story at the birth of which she is assisting. The dialogue between listener and storyteller continues to construct the world of the tale:

> 'And that's how she lived. For years and years. Until she was a big girl.'
> 'How old was she?'
> 'How old do you want her to be?'
> 'Seventeen.'
> Catherine smiles at the blonde head. 'Why seventeen?'
> Emma thinks a moment, then shakes her head: she doesn't know.
> 'Never mind. That's exactly what she was. […]' (*T. C.* 277)

Emma is forced by Catherine's story to expose social stereotypes that contradict the logic of timeless beauty and suffering and this aspect contributes to the neo-Romantic formulation of the sublime. The prince falls in love with the princess, but the princess has already forgotten that she is a princess and she is naked as she is by now more the daughter of nature than that of the king and the queen who are her ignorant and negligent parents. Emma cannot understand this transformation and she acts once again in accordance with the stereotypes favoured by the world of her parents:

> ' … Because he was a prince, he could marry only a princess.'
> 'But she was a princess.'
> 'She'd forgotten. She didn't have pretty clothes. Or a crown. Or anything.' She smiles. 'She hadn't any clothes at all.'
> 'None!'
> Catherine shakes her head.
> Emma is shocked. 'Not even …?' Catherine shakes her head again. Emma bites her mouth in. 'That's rude.'
> 'She looked very pretty. She had lovely long dark brown hair. Lovely brown skin. She was just a little wild animal.' (*T. C.* 278)

Catherine does not hesitate to support the credibility of the text of her story with the sounds, shapes, and colours of the natural environment. Princess Emma has already acquired the status of a 'little wild animal,' the daughter of nature. Being left behind and the possibility of being assimilated by the natural environment become expressions of a Romantic perspective discordant even in the given context.

The relevance of this element links with the elliptical construct we are offered at the end of the larger narrative structure. The natural frame continues providing elements of credibility for the artistic work of art. As the question regarding the prince's name crops up in the moment when the oriole whistles again, the name of the prince becomes Florio. At this point we are powerfully reminded of the fact that Catherine is an accurate neo-Romantic artist when she intentionally links the nature-inspired name to her young listener's identity and gives the princess the name Emma. When Emma is incredulous she creates off hand a reverse element of motivation:

> 'Why do you think Mummy and Daddy called you Emma?'
> The little girl thinks, then gives a shrug: strange aunt, strange
> question.
> 'I think because of a girl in a story they read.'
> 'The princess?'
> 'Someone a little like her.' (*T. C.* 282)

Catherine seems to be enclosed into her adult interpretation of the tale (false stereotypes, the negation of love and life, the impossibility to communicate in the contemporary world et cetera) and can only bring her story to an end through bargaining it with Emma. The story has to have a kind of happy ending without actually having reached its end. So Emma is told that the two lovers are still seventeen and the oriole still calls: The situation fits Emma's expectations perfectly and it is the equivalent of John Keats's formula in "Ode on a Grecian Urn" when he writes "Heard melodies are sweet, but those unheard // Are sweeter, therefore, ye soft pipes, play on, // Not to the sensual ear, but , more endeared, // Pipe to the spirit ditties of not tone:// Fair Youth, beneath the trees, thou canst not leave // Thy song, nor ever can those trees be bare, // Bold Lover, never, never canst thou kiss, // Though winning near the goal yet, do not grieve // She cannot fade, though thou hast not thy bliss, // For ever wilt thou love, and she be fair."

> Once more the trisyllabic flute. Cathrine smiles.
> 'Flo-ri-o.'
> 'It's a bird.'
> Catherine shakes her head. 'The princess. She's calling his
> name.'

> A shaded doubt; a tiny literary critic - Reason, the worst ogre
> of them all - stirs.
> 'Mummy says it's a bird.'
> 'Have you ever seen it?'
> Emma thinks, then shakes her head.
> 'She's very clever. You never see her. Because she's shy about
> not having clothes. Perhaps she's been in this tree all the time.
> Listening to us.' (*T. C.* 282)

The tiny literary critic ordered from the very beginning a happy ending to the story. Catherine pretends that she knows from a very reliable source that the story has a happy ending and manages to persuade Emma to accept the story as credible:

> 'It doesn't end happily ever after.'
> 'You know when I went away before lunch? I met the princess.
> I was talking with her.'
> 'What did she say?'
> 'That she's just heard the prince is coming. That's why she's
> calling his name so often.'
> 'When will he come?'
> 'Any day now. Very soon.'
> 'Will they be happy then?'
> 'Of course.'
> 'And have babies?'
> 'Lots of babies.'
> 'It is happy really, isn't it.' [The contended client concludes.]
> (*T. C.* 282)

When Constance discovers Catherine and Emma, their secret journey into the world of the story of the prince and the princess ends. This was a way of putting it not very satisfactory for those who cannot understand the beginning of an end. Romantic hopes for a possible happy ending are not shared with the intruder.

The workshop on creative writing being disturbed, John Fowles takes us to another idyllic scenery. Annabel is reading Matthew Arnold's *The Scholar Gypsy* aloud. She loves the 'green petals of Victorian words' and she believes in nature, peace in a soft equivalent of herself "watching gently and idiosyncratically behind all the science and the philosophy of cleverness" (*T. C.* 283). The reader is conversant with John Fowles's obsession with the Victorian spirit conclusively demonstrated in *The French Lieutenant's Woman*. From the same novel the reader knows that John Fowles does not accept the dominance of the Victorian world even if it is exercised over a delicious mother of a large family. Consequently, we learn that Paul reads only occasional lines and Peter finds people's reading a poem too

pretentious. Annabel's inner monologue is an eloquent digression from her 'hereness' and it discloses her dissatisfaction with contemporary theories about art or the female Hamlet at Somerville. Her comments support Catherine's attempt to artistically interpret life in a traditional way although seemingly there is no contact between the two scenes and events.

She compares these intellectual 'willful flights from all simplicity' in art to the intentions behind the innovation announced by the *Observer* about how to dry leaves and keep their colour by using glycerin. Annabel revolts against "plots, drama, far-fetched action: when there are lovely green poems to live by" (*T. C.* 284). Peter feels the way in which people read poetry to be 'vaguely embarrassing' and climbs up a path, to enjoy loneliness and the proximity of the sylvan quietness. He envies his friend because Paul still acts and lives according to conventions, while Peter's life is a continuous attempt to 'suck the juice' and 'attack the next' and remain a guest everywhere. Peter seems to worship the traditional system of communication and the simple nearly natural structure it produces. The mountain and the falling rocks from which he wants to be secure are symbolic of a very daring adventure: Peter's visit to the Garden of Eden.

The moods created by the texts introduced under the headings 'erotic sun,' 'death,' 'childish,' 'tenses,' and 'Il faut philosopher pour vivre' lead to 'the black hole.' The reader grows uneasy about these symbols as there is a mysterious quality about the atmosphere suggested by these images. Characteristically, the mystery stems from the ambiguity of the character's insistence on false social stereotypes - Peter is after all the show-biz guru, who lives by the power conferred onto him by the often sensationalist, artificial mass media Bel has just condemned - and his attempt to justify his goals through persuasively traditional symbolism. The poetic quality of this mystery seems to refuse interpretation although John Fowles operates with a technique reminiscent of the one used by Virginia Woolf in *The Waves*. The by now 'classical' technique is inserted in ahead of the different streams of the narrative, and it functions as a dam that helps all the voices meet. The lyrical interlude both breaks and reorganizes the fictional material and it repeats its main themes.

John Fowles suggests that experience is too real to be true; therefore, there is need for more fictional alternatives, and the analysis of the symbiosis of these alternatives will result in the 'histories' offered up to his readers and protagonists alike. The interlude reflects on elements that are in search of both their reflection in the real world and a fictional author who could adopt them. Partial impersonation of these themes is possible at the level of the narrative fragments and the overall interpretation of the short story, yet none of the above can claim authority over them. Consequently, it also formulates

the impossibility to communicate meanings even through fragments of great narratives and thus the material invites remembrance of a conversation which preceded Catherine and Emma's story about Prince Florio and Princess Emma. The symbol of the erotic sun becomes understandable only when one is in possession of the story within the story and the meanings attached to it.

Communication gaps are persistent in the story. For example, the discourse employed by Paul in his defense of his socialist views irritates his woman companions. Catherine's interior monologue stamps Paul for being an 'expounder of the grand cultural rhubarb'. Yet there is no solution in conventional terms that could help to explain the world:

> When all one sees, somehow, is a tired rush of evening people, work-drained automata to whom one can be only profoundly lucky, above, chosen, helpless. To motivate, to explain them is the ultimate vulgarity and the ultimate lie … a kind of cannibalism. Eat butchered pork for lunch; then butchered other lives, chopped-up reality, for afters. The harvest is in. All that's left are the gleanings and leavings; fragments, allusions, fantasies, egos. Only the husks of talk, the meaningless aftermath. (*T. C.* 265)

The above train of thoughts determines Catherine to meditate on Roland Barthes. As a result, the confusion about the theoretical aspects and the sources of the chaos that renders human communication difficult is repeated at a (fictionally) theoretical level in the story. This marks a very serious departure from the story within the story, yet the two layers exist and are explicable only through their symbiosis. Subtleties abound - Roland Barthes is introduced through the perspective of hearsay. Peter's '[s]omeone was talking about him the other day' sounds as if he thinks it is spelt Bart and a it is a Christian name, and the intellectual chit-chat contends itself by defining Roland Barthes as the fellow who is difficult to understand. Catherine is addressed as the authority on the subject and she explains that Roland Barthes analysed tourist guides in a book of essays and found that they consider all modern things monotonous and that "the picturesque has come to be associated almost uniquely with mountains and beaches in the sun" (*T. C.* 267). Paul, who is ignorant of the ideas expressed by Roland Barthes, bases his answer on earlier stereotypes and answers that "[t]he mountain bit started with the Romantics, surely".

Their discussion develops into a philosophical debate concerning crucial concepts like 'the beautiful,' thirteenth-century architecture versus twentieth-century reality, 'false images of the British and the French' as selected reality and bourgeois stereotypes of national character. In response

to Paul's confession about him being said that 'this chap [is] fantastically difficult to understand,' Catherine explains her version about the general message of *Mythologies:*

> 'That there are all kinds of category of sign by which we
> communicate. And that one of the most suspect is language –
> principally for Barthes because it's been badly corrupted and
> distorted by the capitalist power structure. But the same goes
> for many other non-verbal sign-systems we communicate by.'
> Peter chews on a grass-stalk.
> 'You mean advertising – things like that?'
> 'That's a particularly flagrant field of manipulation. A lot of
> private communication is also advertising. Misuse – or just
> clumsy use, of signs.' (*T. C.* 269)

The interpolated 'aside' makes it clear that we are unobserving witnesses to Peter's attempt to manipulate Catherine in the name of the stereotype concerning male superiority. Catherine, this time on guard, identifies the message wrapped in both the verbal and non-verbal system of communication employed by Peter. Although she feels uneasy about being 'too much in the sun' she cannot master the situation any more:

> Too late to stop now, one is trapped. 'A sentence is what the
> speaker means it to mean. Which may be quite the opposite.
> What he doesn't mean it to mean. What it means as evidence of
> his real nature. His history. His intelligence. His honesty and so
> on.'(*T. C.* 269)

The two touch upon Roland Barthes's definition of originality as well:

> 'This chap who was talking about him … isn't there something
> about the religion of the middle classes being the platitude?'
> 'I think the ethos.'
> 'Because originality is disruptive – right?'
> 'It depends on the context.'(*T. C.* 270)

Earlier Catherine interpreted, that is, proofread the English translation of that difficult chap's *Mythologies.* Bel uses Roland Barthes's interpretation to stamp her husband's methods of rebellion:

> Bel stares at her sister's bowed head, speculating.
> 'How?'
> 'There are middle-class contexts where one is expected to
> sound original. Amusing. Even revolutionary. But the context
> is kind of countermanding sign. It trumps.'

> Bel says, 'For example, how quickly you go to sleep after
> lunch when you have finished cursing the society that allows
> you to go to sleep after lunch.'
> Paul murmurs, 'I heard that.' (*T. C.* 270)

The verbal duel between Catherine and Peter is devoid of the self-deprecating humour exposed by Paul. Peter insists on stereotypes defined by Catherine as middle-class platitudes. No matter how well Catherine understands these platitudes, they will help Peter to establish himself as an emblem interpreted by Catherine to be threatening:

> She sees out of the corner of her eyes, for through all this she
> has been looking down at Emma, then he nods. As if she has
> made a point. She realizes, it is very simple, she hates him;
> although he is fortuitous, ignorable as such, he begins to earn
> his right to be an emblem, a hideous sign. For he is not testing
> – or – teasing – Barthes and semiotics, but her. He means
> childish little male things like: why don't you smile at me,
> what have I done, please show respect when I match my
> language because I know you don't like my language. (*T. C.*
> 271)

The conversation makes it clear that Peter intends to seduce Catherine. At the surface the trap seems to be on an intellectual level, but as it proves to be rather trivial and conventional Catherine manages to escape. He wants Catherine to talk about Roland Barthes 'across the telly,' but the woman states that the material under discussion presumes the reader's direct contact with *Mythologies* and she manages to undermine the idea of the efficiency of the mass media in this respect, when she asserts the following: "I should have thought it was essentially to be read" (*T. C.* 271).

The situation is comic although at a surface level the communicative process is faultless. Catherine 'decodes' Peter's sign system, yet in her answer she supports her refusal by stating that the work the media specialist wants to employ her for is impossible to perform. Her declared reasons are strictly professional and moral in their character. Peter perverts the communicative function of the code system as his primary aim is to trap the woman into a situation where, he can unquestionably dominate her. Talking about Roland Barthes and his theory of communication he phrases his ideas with the adequate portion of ambiguity: "I mean, if these sign things aren't all verbal, it might be fun to illustrate" (*T.C.* 271). While he is saying this he is prodding some insect in the grass with his stalk, an act illustrative of his intentions with Catherine. No wonder Catherine is on the verge of panic. Yet she does not become one of the insects in Peter's collection because she can identify his intention to dominate and ridicule her in time. Peter has to put

his notebook back into his pocket and accept her unambiguous decision: "I honestly shan't" (*T. C.* 271).

The theoretical debate is just the first variant of a story told three times, the second, central one being the story of Emma and prince Florio I have already discussed. The third variant is the one that leads to Catherine's disappearance with the tragic possibility of her having committed suicide. The various interpretations and the plurality of perspectives and fragments that populate the fictional work of art are comprehensively postulated by Catherine. She explains that there are all kinds of categories of sign by which we communicate and that they are suspect for Roland Barthes because they have been badly corrupted and distorted. Similarly, the scrutiny of the communications theory with reference to the sign system of the Prince Florio story demonstrates that 'civilisation' cannot escape distortions, or faulty decoding. Yet, the fairy tale confronts the different meanings attached to the neo-Romantic concepts of the 'beautiful' and the 'sublime' as it bestows them onto the animal world and the 'human world.' Natural beauty comes to be interpreted by the royal parents as terrible and Catherine fails to provide a classical happy ending to the tale. The Roland Barthes interlude and the story about Catherine's tragic isolation through the loss of her husband allow for a totally different interpretation of the happy ending of the fairy tale. It is important to remember that the fairy tale allowed for an ambiguous end of the love-story: the prince and the princess will never grow old and wise enough to give up their search for happiness.

The third variant of the story enriches the already dense sign system of the short story by bringing in elements of the great narrative. The snake recalls the symbolic meaning of temptation and the Garden of Eden. The speaking names of the two male characters Peter and Paul, Catherine and Peter's private communication through non-verbal signs rhymes with the arguments used by them when discussing Roland Barthes' theory. Their gestures do not mean what they intend them to mean rhyming with:

> [Catherine] 'A sentence is what the speaker means it to mean.
> Which may be quite the opposite. What he doesn't mean it to
> mean. What it means as evidence of his real nature. His history.
> His intelligence. His honesty and so on.' […]
> [Paul]'Until everything about meaning matters except
> meaning. "Pass me the salt" becomes a pregnant sign-structure.
> And the poor bloody salt never gets passed.'
> Catherine smiles. 'Sometimes.' (*T. C.* 269)

When Peter, disturbed by a snake, arrives to Catherine's hiding place, the snake becomes the expression of her abusive defense as revenge. The snake is present throughout the story similarly to other symbols. Its first

appearance interrupts Peter's imaginary dialogue with the French estate agent, who charges him the 'inexplicably high sum of fifty new pence for the water-mill'. The kids see a snake in the grass and are terrified. Peter and Paul chase the snake into the water and the latter attaches a traditionally positive significance to its presence: "Oh well. Proves it's paradise, I suppose" (*T. C.* 245). The narrator's comment provides a different perspective through the as yet unclear statement: "The snake disappears among some yellow flags in the shallow water at the foot of the terrace wall. *With Peter everything is always about to disappear*. Now he turns and sits at the end of the parapet" (*T. C.* 254).

The snake appears again when Peter is searching for Catherine. He seems to observe the pattern on the back of the snake and tentatively identifies it as an adder. It will become an adder by the time he reaches the group, because an adder can provoke greater excitement than a harmless grass snake. Certainly, the transformation of the snake into an adder also supports the venomous character of Peter's adventure with Catherine with utmost accuracy: "It was gone almost before he saw it. But some sort of pattern on its back? He was almost sure. It must have been an adder. It would certainly be an adder when he got back to tell them" (*T. C.* 288).

For Peter the adder is the means of declaring himself a kind of near victim-hero, but he does not see the real danger of the snake's transformation into a definitely venomous reptile. He warns Catherine, yet Catherine understands the nature of the pending danger better than he does. The scene is followed by a frustrating love ritual between a reptile and a disoriented path-loser, that is, between Catherine and Peter. Actually Catherine has just concluded that the only philosophy that she can accept formulates the thesis that to live one must not love. The ritual of the reptile responding to the temptations earlier formulated by the superior male deconstruct the truth value of both theses on grounds that man and woman both lie in the contemporary variant of the Garden of Eden, which is easy to describe but nearly impossible to interpret.

Peter acts in the name of male superiority, while Catherine performs the ritual of the 'corpse' making love.

> 'Didn't mean to disturb you. Just the adder.'
> He is already turning away when she moves; her arm, almost
> with the rapidity of the snake. The fingers catch him … It is a
> change of attitude so sudden, so unexpected, so banal, so
> implicitly friendly despite the expressionlessness of her face,
> that he grins.' (*T. C.* 289)

Catherine hypnotizes Peter with her magic power as if she were a snake, she does not move, nor does she give the slightest sign, yet she manages to torture Peter into what he was yearning for all day: an erotic adventure:

> When all is erect, cocked, wild, in all senses wild; the bloody
> nerve, the savage tamed; the knowing one will; and somehow
> outrageously funny as well as erotic […] He reaches and takes
> the dark glasses away. The eyes are closed. He lowers himself
> on her, searching for the averted mouth. […] He insists, and
> she jerks the head wildly to the other side; a sudden
> willfulness, her nails in his shoulders, frantic pushing him
> away, writhing, struggling, shaking her head violently from left
> to right. He kneels up again, on all fours. Her hands drop. She
> lies still, head twisted away. […]
> Catherine turns her head and opens her eyes and stares up into
> Peter's face. It is strange, as if she can't really see him, as if
> she is looking through his knowing, faintly mocking smile. He
> has, will always have, the idea that it was something beyond
> him; not Peter. It is a pose, of course; just the sick game of a
> screwed-up little neurotic on heat. Very sick, and very sexy. To
> have it like this, just once; to have those pale and splintered
> eyes. (*T. C.* 291-292)

Peter's directly and vulgarly formulated discontent which stems from his frustrating adventure with Catherine, is essentially a lie. He hoped to use the snake as a topic that could help him enjoy sex as envisaged by him. Catherine does not only crush his sense of superiority to all women, but also fails to reformulate the philosophical thesis that one must not love. The result could be formulated as one cannot love which is a more pessimistic thesis.

That Peter does not understand the experiment he has just undergone is demonstrated by the fact that he continues using the adder as an excuse and a means to avoid the group's possible suspicions when he returns:

> 'Sorry. Rough country in them thar hills.'
> 'We've been shouting our heads off.'
> 'It's stiff with adders. I was scared the kids would try and meet
> me.'
> Sally flinches. 'Adder!'
> 'Damn near put my foot on one.'
> 'Oh Peter!' (*T. C.* 292)

In the context offered by the fictional situation, Bel nearly instinctively associates Catherine, the adder and the possibility of Peter's misfortune with her sister:

> Bel says, 'I should have warned you. There are a few.'
> […]
> Bel smiles. 'You didn't see Kate by any chance?'(*T. C.* 292-293)

The snake is further employed by the unknowing members of the group in their conversation, and their sentences naturally mean something different from what they want them to mean. That the meaning of things escapes Peter is demonstrated by his incapacity to interpret the frustrating incident as other than a not really successful attempt to seduce. Once again the meanings formulated by the symbol remain incomprehensible for the participants in the fictional situation we are in. Yet, John Fowles does not make allowances in this sense and makes Candida suggest that "Kate has been bitten by an adder" (*T. C.* 294). All we know is that the snake managed to bite itself and the conclusions cannot be specified as the possible Biblical analogy is also diminished.

It is important to note though that the ritual performed by Peter and Catherine avoids language, the 'suspect' sign system which Roland Barthes considers to be perverted and thus an inadequate means of communication. The way in which Catherine lures Peter into a wild erotic adventure without the intention of making love to him finds justification in the theoretical arguments of the 'salt' passage quoted above, and the Garden of Eden 'temptation scene' becomes a demonstration of the arguments of the theoretical speculations as well as that of Catherine's 'interior monologues' in the Roland Barthes section, and is illustrative of the distorted value system governing man's deeds in the fairy tale.

Another relevant presence is that of the bird. Its presence in all the relevant sections of the story renders the triple linkage obvious: theory, fairy tale/fiction within fiction, and reality are to be appropriated only if we accept the dominance of nature over the still interpretable fragments of narratives. This obviously leads to the acceptance of the 'book of nature' as the 'grand narrative' incorporating life, art, and science. The Roland Barthes section formulates, (although the tone used is cynical) the possibility of 'transsubstantiation' through nature in the following passage:

> 'But you have to change society first, don't you?'
> 'One hopes that's what more awareness does.'
> 'But I mean, you know … if it's just picking up people's
> platitudes, it's just word-watching. Like bird-watching. No?'
> 'I presume even ornithology has its uses.'
> 'Hardly central though, is it?
> 'It would be if the bird was the basis of human society. As
> communication happens to be.' (*T. C.* 270)

The presence of the bird in all the three sections discussed so far proves that there is more meaning attached to it. The bird is not just one of the many symbols employed by John Fowles, it charts the borders and the possibilities of trespassing between theory, narrative and the 'real'. It determines the essential links among these elements without revealing itself and of course, the bird itself is far from being an easily identifiable symbol. It appears at the very beginning of the short story as the group are heading for the river and Peter the 'animator' of the group comments on the idea why so many people are trying to buy houses in that area. Peter's lecture on the necessity of improvisation, his monologue which is supposed to be a dialogue with Paul is interrupted by the kingfisher as if to underline the futility of the exercise. It interrupts the idea that talk is unnecessary and that life should be similar to a news story that has to be done fast and by luck and improvised. The kingfisher, 'a flash of azure, skimmed away ahead of them,' is causing some panic and it is distracting their attention from the discussion of a TV production. The idea that concludes the passage is relevant: "What one lost, afterwards, was what one had never had strongly at the best of times: a sense of continuity" (*T. C.* 252).

Again the oriole interrupts Peter and Paul's discussion about a possible TV programme involving the 'curious 'middleclassishness' of the English relations with France.

> 'Listen,' says Bel. 'There's an oriole.'
> And for a moment, Paul stops. They hear the liquid whistle
> from across the river.
> Bel says, 'You never see them.' (*T. C.* 262)

The appearance of the bird manages to interrupt the two gentlemen's heated discussion for a short time though their inability to enjoy what they came for rhymes with the false stereotypes they are speaking about. The 'fascist' quality of all French governments and the French nation is inherently incapable of accepting fascism for long and the English accepting social structures that safeguard them against their real nature, the false pictures of the other nation by the English and the French, et cetera.

The bird reappears having another connotation when Peter and Paul are speaking about tourism, about why working-people do not visit France. When Bel offers a very palpable explanation which is contradicted instantly the bird is used in a pejorative meaning to describe a 'disoriented' tourist:

> Bel says, 'Working class people don't come to France because
> it's too expensive. It's as simple as that.'
> Peter grins. 'You're joking. You don't realize what some of
> them earn these days.'

'Exactly,' says Paul. 'It's a cultural thing. Here they assume
the customer wants the best. We assume they want the
cheapest.'
We did a programme on package tours a couple of years ago.
Unbelievable, some reasons they gave. I remember one dear
old bird in Majorca saying what she liked best was knowing
they all got the same food and the same sort of room.' (*T. C.*
264)

The bird reappears in the already discussed passage focusing on sign
systems, false stereotypes and social problems. The theory under discussion
basically belongs to Roland Barthes and it refers to language being corrupted
and distorted by the capitalist power structure. The seemingly dry
professional register is maintained as Catherine also explains that advertising
is a particularly flagrant field of manipulation and also adds that a lot of
private communication is also advertising. Yet Catherine reminds one that
the professional attitude is endorsed by ordinary everyday situations, the one
we are reading about included as she also explains that a sentence is what the
speaker secretly means it to mean.

The discussion on Barthes's theory leads to the already quoted
conversation on 'word-watching', a term which is easy to associate with
bird-watching. Peter and Catherine's communicative duel potentially
comprises the theoretical elements that support the use of the bird as one of
the story's central 'pluridimensional' metaphors. I am speaking of
pluridimensional metaphor because I consider that the term complex
metaphor would be too conservative or traditional, and the bird carries
'messages' which are incompatible in the short story. Yet, the bird is present
in the story from its very beginning to its end and formulates the symbiosis
of the different layers of the short story. The bird is the expression of
ungraspable magic, it is everlasting love, it is hope, the link between nature
and the artist.

It is also the expression of the Schopenhauerian desire of death: it
connects honest and corrupt sign systems, yet it does not attempt to reconcile
the two moral, social or aesthetic dimensions involved. Instead it functions
as a magnet that holds together the different layers without actually linking
them. Most importantly it reconciles langue and parole as it links the visible
and the invisible world and meaning with non-meaning.

No wonder, the use of the bird is persistent in the short story and
Catherine, the magician who is in possession of the ultimate knowledge of
signs, translates the song of the birds for Emma. Emma the impersonation of
Catherine's niece in the fairy tale is protected by the animals of the forest. A
squirrel helps the lost princess and all kinds of animals and birds and the bird

is the basis of the fiction within fiction section of the short story. The watching eyes of the brown owl detect the distressed girl and the bird attempts to bridge the gap between the animal world and that of the humans by way of magic. Yet Catherine limits the owl's magic power and as a result her and Emma's journey into the world of art has also limited power. Yet the bird can attempt to shape the lives of the lovers.

We may add that it is only in the bird's power to do that, with the, improbable, possibility of changing Catherine's fate as well. After all, if a sentence means what the speaker intends it to mean, those sentences make up a tale that expresses the hopes formulated by a neo-Romantic moment celebrating the imagination as a space outside reality:

> 'Toowhitawoo, toowhitawoo, do-on't … yoo-ou cry.' chants
> the owl. …
> 'Then he flew down beside her and told her what he could do.
> By magic. To be a princess you also have to live in a palace.
> But he couldn't give her both things at the same time.'
> 'Why couldn't he?'
> 'Because magic is very difficult.'(*T. C.* 279)

When Emma is incredulous about the fairy tale, her aunt tells her that her parents gave her her name because of the beautiful fairy-tale. Emma, aware of her right to question anything ripostes: 'But I like questions.' 'Then I will never finish' is the threat formulated by Catherine. As if the threat were not enough, the song of the oriole approaches, and "Emma covers her mouth with a grubby hand. Catherine kisses her finger […]. The oriole whistles, closer, their side of the river now" (*T. C.* 281).

It is also important to remember that in the fairy tale the distressed princess returns to the tree under which Catherine and Emma are sitting to ask the wise old owl what she should do and the owl can do one last piece of magic the result of which is that neither Emma nor Florio would grow older until they meet:

> The oriole calls again, going away downstream. 'Listen!' (*T. C.*
> 281)
> […]
> Emma: 'It's a bird."
> Catherine: 'The Princess. She's calling his name.'
> 'Mummy says it's a bird.'
> 'Have you ever seen it?'(*T. C.* 281)

Also, right after the lyrical interlude Peter finds Catherine. Catherine looks at him 'accusing, craned, like some startled bird', and Peter warns her about the adder. The second to last appearance of the bird is expressive of

the sense of continuity negated by both the structure of the short story and most of its characters. When the group leaves the field by the riverbank, a tiny fable repeats the theme of death as part of the natural scheme:

> A minute, the voices fade, the picnic place is empty; the old beech, the grass, the lengthening shadows, the boulders, the murmuring water. A hoopoe, cinnamon, black and white, swoops down across the water and lands on one of the lower boughs of the beech. After a pause, it flits down on to the grass where they sat; stands, flicks up the fan of its curved bill, and an ant dies. (*T. C.* 295)

Retreat from the suddenly transformed riverbank also marks a final remove from the characters who earlier populated it. They become figures against the landscape that acquires a mysterious quality essentially different from the mystery it stood for earlier. The cloud becomes a trap and the 'islands' are 'floating' back into their common human roles. Paul and Bel have no power over Catherine's fate or her interpretation of the world so they give up looking back, showing their backs to the others and finally they follow the group.

Return to 'normality' is not Fowles's concern, yet in the logic of the story it is unavoidable. Still, John Fowles does not sacrifice the dominant atmosphere of the story and refuses to let reality trap the magic Catherine has created. The necessary distance from reality that allows for apocalypse, the pervasive 'Weltschmertz' that defines the dominant note of the story leads to a significant innovation. 'Natural' retains its connotation as mysterious subject for the philosophy that is a means of life; the 'islands' returning to 'normality' cannot contradict their status as islands. Catherine's loneliness is unique without losing the potential of explaining the standing of all of us in the real world. The key word for the technique allowing for this intricate interpretation is embedded into a traditional definition of the secret agent serving the writer's spying on his characters. The fly on the wall is replaced by the 'watching bird in the leaves' (*T. C.* 300) technique.

Concentrating on the characters smoothly transforms into a panorama, which renders conversation insignificant. The 'watching bird in the leaves' replaces conversation with description, movements, gestures, and directions. Thus, Paul, Bel and Emma perform a rite which announces the enigma of the narrative:

> The three walk on, less quickly, yet not idly; as if there is
> something to be caught up or, perhaps, escape from.
> They disappear among the poplars. The meadow is empty. The
> river, the meadow, the cliff and cloud.

> The princess calls, but there is no one, now, to hear her. (*T. C.* 300)

As I have managed to demonstrate, the symbiosis between the three layers, similar to the bird, remains a theoretical probability. Yet, it is a basis of a possible system (similar to the sign system serving as a basis for human communication), in John Fowles's interpretation it is the basic source of credibility for both fiction and the voice of nature. This practically impossible, yet theoretically valid symbiosis guarantees the credibility of all three layers. It is this invisible, mysterious status that challenges theory, fiction and reality. For example, Catherine demonstrates that the presupposition that the bird could be the basis of communication is applicable to the world they live in. She borrows the song of the bird to give name to the prince in the story she is just creating. Next the bird becomes the basis of the sign system used by the author of the Prince Florio tale in her creative act. When Emma's romantic expectations are in danger of being contradicted by the logical sequence of the narrative, Catherine amends her former conclusions about the prince not deserving Emma because he should have loved her for herself, not for her social status, again with the help of the bird. Correction of the logical sequence is possible because her previous choice of nature, the thorn tree, the very forest in which aunt and niece are hiding is at the same time the setting for her story, and provides her with another, equally acceptable strategy. The bird's song did not cease with the consummation of the conflict dictated by human stereotypes woven into the story. The singing goes on, and Catherine borrows again from nature: if the song of the bird is still audible, the love story of Emma and Florio has not ended either.

I can conclude that the importance of this multidimensional interpretation is rendered comprehensive by John Fowles's creating multiple models of communication. The sources of the story about Florio and Emma can be identified in Emma's desire to listen to a story created exclusively for her, Catherine's being enclosed in her own life-story by social stereotypes, and Catherine's attempt to respond to Emma's demand for harmony by way of transcending nature. As a result, she formulates the power of 'terror', of the sublime, without abandoning the desire of being forever young. The end of Emma and Florio's story demonstrates that return to hope and happiness is possible, yet return to this state also implies giving up real life.

In the final section of "The Cloud" the group prepares to leave because of the storm that is approaching. Peter answers the calls of the group and flees the frustrating situation he and Catherine have got into. He can only understand that she played with him, and is dominated by an uneasy sense of frustration. Sally notices that Peter's body emanates the scent of Catherine's

suntan-lotion, and we witness a trivial domestic feud which suggests that everything is back to normal. Peter invents an appropriate explanation and evades the uneasy situation by taking Tom's hand.

The fairy tale becomes top secret, yet it is going to be told to a third party as Emma demands that Annabel, her mother, swears she will not tell Constance about the story she intends to tell her mother. Emma is a very good 'student', and is telling her mother a revised version of the tale, which will end without ambiguity yet, the departing group have to leave the place because nature seems to be growing into some kind of threat.

> A cloud, but a mysterious cloud, the kind of cloud one will always remember because it is so anomalous, so uncorresponding with the weather knowledge that even the most unobservant acquire. It comes from the south, from behind the cliffs where Peter climbed, and whose closeness, at the picnic place, must have hidden what on the plain would have been obvious long before; so that it seems to have crept up; feral and ominous, a great white edged grey billow beginning to tower over the rocky wall, unmistakable bearer of storm. Always predicated by the day's stillness and heat … yet still it shocks. And the still peaceful and windless afternoon sunshine about them seems suddenly eery, false, sardonic, the claws of a brilliantly disguised trap. […] 'It'll thunder-and-lightning all night.' Then, 'We're worried about Kate.' (*T. C.* 297)

We are left with the impression that the cloud is our last vision of Catherine and she remains a mysterious illusion both to the reader and to the members of the group. The pain caused by her husband's suicide, the thanatic quality of her bodily desire, her will to understand life in its complexity, and her interpretation of life as a fairy tale do not allow for a definite conclusion. The superimposition of eros and thanatos becomes explicable, for example, through Schopenhauer. Catherine attempts to dominate her world through intellect, but the material world refuses or, rather, is incapable of healing her spiritual ills.

Catherine step by step detaches herself from the physical world, from individual essence and thus she renders her intellect subservient to a mysterious fundamental sense of the world, which she hopes will allow her to understand the condition of space, time and intellect. This fundamental sense or meaning can be roughly defined in the context of Schopenhauer's interpretation of will. Catherine submits her individual intellect to experience and understands this will. The similarity offers obvious advantages as it supports my statements regarding the structure of the

narrative, her act is possible as Schopenhauer says that the ends and ambitions of this will are episodes that do not exhaust it. Yet, individual contributions are not attached to the essence of the will because they are separated by it through the veil of illusion which in turn means that no sacrifice can render that will interpretable.

This leads to Catherine's possible acceptance of death as no evil, a thesis comprehensively formulated by the lyrical interlude of the short story. The ethical conclusion to Schopenhauer's logic is that there is no ultimate aim to human activity. Schopenhauer also considers that death cannot be evil since there is no death of the will in itself, only of its finite expression in an animal body. From this rejection of the fear of death, Schopenhauer leads to the renunciation of life. If will itself is aimless and all particular desire strives only for a brief state which generates the pain of its re-enactment, the only happiness we can know lies in renunciation. Catherine's acts exemplify transformations which ultimately lead to this kind of renunciation. If I bring together Catherine's role as a narrator, a character and a theoretician, my conclusions get me close to Schopenhauer's definition of the veil of Maya. He considers that the illusory objects of appetite have to cease to trouble us to allow us to see through the veil of Maya to the universal will, which underlies it. Schopenhauer considers that through the veil of Maya we can achieve a revelation of the fact that desire is illusionary. Here is the section which can convincingly support my above thesis:

> The erotic sun. Apollo, and one is death. … The other side.
> Peace, black peace. … Death. One had lied to the ox, it wasn't
> at all being unable to escape the present; but being all the
> futures, all the pasts, being yesterday and tomorrow. All was
> past before it happened; was words, shards, lies, oblivion. Ergo
> one must prove one sees. One saw, that is.
> Tenses.
> Pollution, energy, population. All the Peters and the Pauls.
> Won't fly away. The dying cultures, dying lands.
> Europe ends.
> The death of fiction; and high time too….
> Il faut philosopher pour vivre. That is, one must not love.
> Tears of self-pity, hand hidden in the furitive hair. The transfer
> of epithets. Burn dry and extirpate; ban; annul; annihilate.
> I will return. Not as I am.
> And Catherine lies, composing and decomposed, writing and
> being written, here and tomorrow … Where all is reversed;
> once entered, where nothing leaves. The black hole, the black
> hole.

>   To feel so static, without will; inviolable shade; and yet so
>   potent and so poised. (*T. C.* 287)

Yet, the short story is not an illustration of a philosophical thesis and actually whether experience creates a state of wisdom that leads to Catherine's romantic admiration for the act of final – but not premature – renunciation to life or not is not stated in the short story. Renunciation to life is present on two accounts in the short story, as both Catherine and her husband seem to have renounced their lives. Yet, Catherine's possible renunciation to life is only essential if it can be interpreted in relation to the other elements deliberately woven into 'the carpet' as meaningful figures and this involves the elements of Neo-Romanticism I considered central to my interpretation of the short story.

But as I have argued the fairy tale is placed centrally, between the Roland Barthes section and the final section of the short story and the conversational section of the short story formulates both the survival of descriptive interpretations prior to the events and dismisses them. For example, Annabel insists on the good old traditional interpretation of art and dismisses the female Hamlet as nonsense; she also enjoys Victorian poetry but her husband regards that poetry only partially enjoyable. The mountain as symbol is dismissed as having no meaning for contemporary interpretation because it belongs to the Romantics' system of interpretation of the world.

Significantly, the truth-value of the above declarations is undermined by the communications theory discussed by the participants in the conversational layer of the short story. It is also relevant that the 'authority' on the subject is Catherine, and she advocates some of the ideas set forth in *Mythologies*. For her the most important aspect formulated by Roland Barthes is the suspicion that the sign systems we employ are false. Most eloquently, Peter abuses language to which Catherine responds with an equally misleading speech of her body. Catherine's creative interpretation of both the incredibility factor incorporated into contemporary communicative patterns and individual relationships determines her to favour the 'romantic' alternative. Yet her romantic digression does not compensate for nor does it offer alternatives for her major concern: Catherine's inability or lack of determination to establish relationships that could convincingly bring her back among her friends and family, and everything they stand for.

The fact that the fairy tale breaks the logical flow of the fictional material is telling of the way her new-Romanticism operates and demonstrates that she is interested in the process, not in the truth-value it has: "One does not have to believe stories; only that they can be told" (*T. C.* 278). Catherine's sense of crisis is connected to her sense of fragmentation

and chaos of the world surrounding her. She sees no chance for reconciliation with the world except perhaps through art. She creates a metafictional fairy tale, which works with fragments available to it. Catherine projects herself into a neo-Romantic fiction in the way described by the philosophy of 'as if'. Also, the result is a personal history, a unique contribution to contemporary history of the kind of which Lyotard says that is made of 'clouds of narratives' that are reported, invented, heard, and played out.

John Fowles's obsession with Romanticism in "The Cloud" is obvious. The occurrence of the cloud of the title, the mysterious cloud at the end of the short story and the cloud of narratives Lyotard speaks about may or may not be accidental. What is sure is that Catherine attempts to project her self into a narrative that attempts to hold together the accompanying stories, transfers some of her magic power to Emma both because of her niece's insistence and to compensate for the sense of fall from harmony into fragmentation she herself experiences. The central character, and her narrative withdraw from the world, to crate a variant of the postmodern sylvan historian and this allows her to both approach and detach herself from the world of her creation and through this dialectic she reinterprets her and the story's relation to natural, human and divine. Yet the romanticism John Fowles operates by is essentially different from traditional Romanticism.

The threatening cloud, the bird, which watches, dominates and enchants the field from which the group has just departed contribute to an essentially neo-Romantic end to a convincingly contemporary story. It performs a function that is difficult to support, unless one unfolds the underlying meanings of some significant momentums in the story of Catherine. The linear progress of the short story, as observed on many occasions, is fractured by various authorial interventions, interior monologues, or theoretical interpolations, yet Catherine's figure remains central to all elements, facets of fiction, philosophy, and of course the reflections on reality involved.

That the character of Catherine was probably drawn onto the model of Catherine Mansfield should be noted, but is not significant from the point of view of our approach. The fact that her character raises cultural and ethical problems is obvious, and as it has already been demonstrated she is explained and explains her status by a variety of symbols and texts of different if not antagonistic qualities. Catherine - by virtue of her central position and mastery of the different aspects - manipulates the symbols, the texts, and the characters of the short story, yet her attitude is far from being narcissistic and thus she becomes the expression of a nonconformist expression of the current status of the artist-hero of much recent fiction. She

demonstrates the ability to specifically, yet comprehensively define the complexity of the relationships that exist between texts, characters, reader, author, theory of culture and the creative act, although she mystifies the final formulation of the otherwise deductible messages. The author and Catherine, because John Fowles does not lose control over his material for a single moment, essentially insist on traditional handling of reality and the different theoretical concepts, and the alternation of mimetic and contemplative strategies in a fashion which is by no means common.

The anaphoric symbols John Fowles employs both support the hic et nunc of the plot and enforce the traditional context they spring from in its status of subject for discussion. This is the instance of the great narrative, Romanticism, Apocalyptic fears, *Mythologies*, mass-media and twentieth century intellect et cetera, which are occasionally handled as intertexts. John Fowles creates from the intertexts he employs symbols which gain global importance in the short story and in spite of their antagonistic status they develop the cohesive system of the story. As a result, all the above-mentioned elements quit their traditional context and become subjective contributors to a distinctly original structure.

Catherine can also be regarded to be a referential character, rooted in a particular cultural environment who acts as an 'organizer' or anaphoric character because she serves to establish links among the different layers and functions that support the story. Performing the above function she is endowed with an intricate, yet explicit personal code system by John Fowles. It is this code system that shapes and guards the inner cohesion and autonomy of the story. It is also significant that the accessibility of this code system is denied to most characters, the only exceptions being Peter and Emma. The discontinuity of her relationship with the other characters supports the formal fragmentation of the short story and is also the guarantee for her remove from both the group and the real situation created by the journey. The same sense of discontinuity allows John Fowles to create of her a character essentially not at home if not alien in the context with which the author operates.

Catherine is a widow, an expert in communications theory, creative and able, but not always willing to match the expectations of those around her. In spite of her erotic desire she becomes asexual, although she is an expert in communications theory she refuses to comprehensively communicate, she creates a fairy tale to satisfy her niece, but she refuses to answer the challenge of speaking about Roland Barthes on television. Her physical disappearance from the field is the result of both physical and intellectual retreat, return to a condition envisaged in the 'islands' section of the short story. Discontent with the world around her is anchored in her

comprehensive interpretation of it, and it is essentially through her interpretation that the 'clouds of narrative' are organically incorporated in her mental journey. The possibility of discussing extremely complex problems like alienation, Romanticism in the second half of the twentieth century, communications theory, the relationship between mass media and literature, mortality and immortality, great narrative and fragments of original contemporary narrative is provided through her states of mind and free, related associations.

Catherine's final transsubstantiation is possible through the implicit association of the three significant theoretical 'participants' in the story: Schopenhauer, Barthes and the bird. All three elements have to undergo significant transformations in order to serve John Fowles's undeclared, yet clearly understandable authorial intention, which is to demonstrate that fiction is able and ready to develop forms that make it a potent rival for other forms of contemporary art.

The scarcity of Catherine's direct relationships with the other protagonists is balanced by her symbiosis with the 'participants' of the abstract layer of the short story. John Fowles openly declares her 'meta-fictional' existence on at least one occasion I have already discussed, when at the end of the lyrical interlude he states that Catherine is lying in the sun decomposing and decomposed, writing and being written, she becomes a snake in the erotic section, she looks back to Peter as if she were an accusing bird and death, the veil of Maya, and Apocalypse are comprehensively woven into her character, interior monologue and acts.

To conclude, here are a few words about the, probably, most controversial idea set forth in this paper, namely neo-Romanticism. The term is designed to stress the use of Romanticism as an experiment by John Fowles and other contemporary writers in whose works the myth of the Almighty Author plays an important role. The myth of the Almighty Author is part of John Fowles's Godgame performed with the intention of contradicting current theories of Apocalypse, with particular emphasis on theories about the death of the author, text, fiction et cetera. "The Cloud" does not formulate this intention explicitly although Catherine is envisaged as everlastingly absorbed by nature and able to avoid spiritual death. Yet, the short story is illustrative of the contemporary writer's experiment with Romanticism, his attempt to use fragments of Romantic thought and adapt them to his authorial needs.

Bibliography

Barthes, Roland. 1987. *Image, Music, Text*. London: Fontana Press

Barthes, Roland. 1989. *Mythologies*. Paris: Editions Galilee

Fowles, John.1981. *The Aristos*. Granada: Triad

Fowles, John. 1996. "The Cloud" in *The Ebony Tower*. London: Vintage. 241-300

Fowles, John. (1967) 1987. *The French Lieutenant's Woman*. London: Penguin.

Fowles John. (1967) 1996. "Hardy and the Hag" in *Wormholes*. London: Jonathan Cape. 136-152

Fowles John. (1967) 1996. "I Write Thefore I Am" in *Wormholes*. London: Jonathan Cape. 3-13

Fowles, John and Vipond Dianne. 1996. "An Unholy Inquisition" in *Twentieth Century Literature*. Vol. 42. 12-29

Fowles, John. 1996. *Wormholes*. London: Jonathan Cape

Gasiorek, Andrzej.1995. *Post-War British Fiction*. London: Edward Arnold

Hamon, Philippe. 1977. "Pour un statut semiologique du personnage". in *Poetique du recit*. Paris: Editions du Seuil

Onega, Susan. 1996. "Self, World and Art in the fiction of John Fowles". In *Twentieth Century Literature*. Vol. 42. 29-58

Scruton, Roger. 1984. *A Short History of Modern Philosophy*. London: Ark Paperbacks.

Stevenson, Randall. 1986. *The British Novel Since the Thirties*. London: B. T. Batsford Ltd.

Tóth, Tibor.1999. "Two Hundred Years of Romanticism." In. Veszprém: *Carmina*. 100-121

Waugh, Patricia. 1992. *Practising Postmodernism Reading Modernism*. London: Edward Arnold

"Lie still, difficult old man" – John Montague's Father(-)land

Péter Dolmányos

"My father, the least happy / man I have known" is the low-key beginning of one of John Montague's poems about his father. The title of the poem is "The Cage" and it gives an account of the father's life as a worker in the New York underground. The title immediately evokes various possible associations and the opening of the poem equally emblematically separates happy and man into different lines; with this move the poet indicates that a tentative redemption is to be expected – the troubled life of the father will serve as an explanation and perhaps as an excuse too for all that has, or more significantly, has not been said or done in their relationship.

Montague's oeuvre includes several poems dealing with the figure of his father. The poems are organised into groups in various collections and they allow for the reconstruction of a relationship most readily characterised at the outset by the word uneasy. The poems enact the forming of the relationship as the grown poet reconsiders the phases of their common story – from inherited blood ties through acquaintance to some sort of intimacy. This process is all the more remarkable if one considers Montague's general practice as a poet employing a technique of depersonalising his own experience, as Richard Allen Cave argues (cf. "John Montague: Poetry of the Depersonalised Self").

The father of John Montague, as much as it is possible to reconstruct from the poems, was an exile, a not uncommon position for an Irishman of Republican affiliations, and the story is further complicated by the fact the family is a Northern one, based in County Tyrone. The father chose to leave his native place as the only option available to a person betrayed by both North and South, yet the movement was perhaps not the best calculated one as the time was not long before that of the Great Depression. The chosen destination, New York, however, became the home of the man for about two decades – and the birthplace of the poet too. In the wake of the difficulties of the Depression, the children were sent back to Ireland and the mother also returned, with the father deciding to stay in the United States and to join the

family only after a long time. The children were already adults by that time and that renders the family reunion a different kind of experience than would be implied by the motif itself. The family reunion lasted for a short time only as after a few years the father's death removed him from the family circle, and this separation was final and unalterable.

The interest of John Montague in the figure of his father is motivated on a number of levels. The missing father, not dead but left behind in some distant and perhaps mysterious land is a strange enough figure to explore. The picture is further coloured by the case of maternal rejection – the four-year-old boy was separated from the other brothers and sent to the old home of the father, to be reared by aunts. This painful experience of rejection turns the mother into an equally unknown figure and she becomes perhaps even more of a mystery (and more of a hurt too) as the seven miles separating the place of the poet's upbringing from the rest of the family are certainly a more manageable distance than the ocean between Ireland and the North American continent. This complex and in many ways confused background renders the search for the father (and the mother too) a part of Montague's quest, "the self-conscious search for a real (emotional) and imagined (cultural) home" (Dawe 7). The father's figure is even more of a haunting one as Montague's placing of himself as the "missing link of Ulster poetry" (quoted by Dawe 8) capitalises on the absence of poetic fathers – and the physical absence of his father is a fitting (albeit painful) complement to this situation.

By having been sent to the old family home of the father, the young John Montague shares with his father the place of upbringing. This motif certainly lends some sort of intimacy to the two persons – despite obvious personal differences the place shaping their natural sensibilities is the same. In addition to this father and son also share a physical feature: a scar on the forehead, the memorial of an old car accident. Strangely enough, both of them are marked by a scar of the same origin in the same place, which is seen by the poet as their common "fault" (cf. "The Same Fault", CP 42), the physical manifestation of their shared unfavourable features.

Montague's seminal collection, *The Rough Field*, begins with the section entitled "Home Again". On the title page of this section a short poem introduces the reader to the initial stance between father and son:

> *Lost in our separate work*
> *We meet at dusk in a narrow lane.*
> *I press back against a tree*
> *To let him pass, but he brakes*
> *Against our double loneliness*
> *With: 'So you're home again.'* (CP7)

The short poem sets the scene in a tight-lipped but at once revealing manner. The time and the place, the dusk setting in a narrow lane provides more than a background to the experience of the meeting of two adults related to each other by family ties yet not really knowing what to say to or expect from the other – the setting *is* the relationship between them: little light and necessary physical proximity lock them into an inescapable encounter. The speaker intends to remain subdued, pressing against a tree but the father slows down to address him: this happens "against" their "double loneliness', just as the speaker's action of pressing back is "against a tree" – violence is done and violence is the answer. The cunning choice of the father on bicycle allows a comment on their loneliness as well: "braking" can be replaced by 'breaking' to offer a chance for a closer relation, and emblematically it is the father who breaks the silence and thus takes the first step forward, since the speaker/son's step was "back against a tree'. The conclusion, "So you're home again" is an ambivalent closing point for the short passage since much depends on the meaning of "home" in the context of such a scattered family as that of the poet – the father's long absence and the child 'farmed out' to aunts away from the mother and the brothers set up a problematic context for the idea of home and the picture is further coloured by the 'background' of the North of Ireland.

The section entitled "The Fault" opens with the poem "Stele for a Northern Republican'. As the title indicates, the poem is intended as a memorial to the father; though not carved into stone as a stele is supposed to be, the words stand perhaps even stronger in the face of passing time due to their nature as words. The poem recounts the story of the father or, more precisely, what is familiar of that story to the speaker, and the account is framed by the recurring motif of the visits of the ghost of the father, lending a Hamlet-like air to the scene. The speaker admits the limitations of his knowledge of the father's "struggle" (CP 40) but the repeated visits of the father's ghost, "free of that heavy body armour / you [the father] tried to dissolve with alcohol" (ibid), make him do the mental reconstruction of the old man's part played in history, his part "in / the holy war to restore our country" (ibid).

The reconstruction, however, is done "hesitantly" (ibid) and the Republican rhetoric is overwritten by a more balanced point of view as the "holy war" consists of missions "to smoke / an absentee's mansion, concoct / ambushes" (ibid). The actual weight of such a war becomes tangible when a wounded policeman ends up in the kitchen of the house – it is a bleeding human body in the family home and not simply a shady item of gossip heard in the street. The general comment on the strangeness of this guerrilla warfare is followed by a reference to the father's being away on the

particular occasion when the policeman was shot – providing an alibi for the father and saving him from the charge of murder. The words of the father, perhaps remembered, perhaps uttered by the ghost, offer yet another comment on the irrationality of the war:

> Locals were rarely used for jobs:
> orders of the Dublin organizer,
> shot afterwards, by his own side. (ibid)

The fierce 'logic' of the War of Independence disappears in a relatively short time but the implications are somewhat ambivalent:

> A generation later, the only sign
> Of your parochial struggle was
> When the plough rooted rusty guns,
> Dull bayonets, in some rushy glen
> For us to play with. (ibid)

The seemingly peaceful situation resonates with embarrassing overtones: the "rusty guns" are juxtaposed with the peace-evoking "glen", and the guns are unearthed by the peaceful yearly routine of agriculture, though often a struggle against nature in the North, to become 'toys' for the children – and from the perspective of the time of the writing of the poem in the early 1970s, the children certainly appear to have learnt from their games. The poem marks this inherence of violence in the Northern context; and though it is never embraced, it is accepted as an explanation for the father's decision to leave for another life in another land:

> […] But what if
> you have no country to set before Christ,
> only a broken province? No parades,
> fierce medals, will mark Tyrone's re-birth,
> betrayed by both South and North;
> so lie still, difficult old man,
> you were right to choose a Brooklyn slum
> rather than a half-life in this
> by-passed and dying place. (CP 41)

The "Brooklyn slum" suggests an economically desperate livelihood yet the state of being a stranger in a foreign land preserves something of the

dignity of the Northern Republican – at least he is not compelled to bear the shame of being a stranger in a country that is his home only in its name.

The short poem "The Same Fault" dismisses the historical perspective to descend on the plane of family relations: the scar on the temple of both father and son becomes a more than emblematic tie between the two people. The scar becomes visible when the speaker is "angry, sick or tired" (CP 42), to provide a set of common features with the father – "anger, impatience, / A stress born of violence'(ibid). The shared motif of the scar is the symbol of "the same fault" (ibid) running through the family – and the association with the geological meaning of "fault" is not far from the context: a fault is "a fracture in rock along which there has been an observable amount of displacement" (Dictionary pp 166-7) – the tough Republican exile with his dispersed family neatly fits the situation.

The next poem of the section, "The Sound of a Wound" enlarges the wound of the previous piece into an image of the history of the North as seen from one particular perspective – the literal gives way to the figurative as the scar of the car accident becomes the apropos of a deeper and perhaps never healing wound of historical circumstance. The persona's return to his childhood home in County Tyrone is an occasion for the old wounds to tear open as the healing distance of space and time is reduced to nil by the actual location and the power of memory, and the poem evokes this "music", at once brutal and deeply humane.

The enquiry of the opening stanza is disturbing in its phrasing as the question "Who knows / the sound a wound makes?" (CP 42) can produce a variety of answers from the scale of possible characters ranging from no one to everyone. The tearing open of wounds is accompanied by imaginary music played on broken instruments, "the torso of the fiddle / groans to / carry the tune" (ibid) to a "pastoral rhythm" (ibid) that is lost, similarly to the world which it once evoked, and the account of that world is provided in brackets to suggest that it has passed. The poem turns more self-consciously rhetorical as the speaker weighs his fatherly inheritance of a divided world of Celt and Saxon with a more than 'troubled' past. "I assert / a civilization died here" (ibid) is an *actual* experience for the persona:

> it trembles
> underfoot where I walk these
> small, sad hills:
> it rears in my blood stream
> when I hear
>   a bleat of Saxon condescension,
> Westminster

> to hell, it is less than these
>   strangely carved
> five-thousand-year resisting stones,
>   that lonely cross. (CP 42-43)

The father's figure appears as the source and origin of this feeling – the general Irish inheritance of cultural dispossession is complemented by the father's 'gift' of the reaction to it, the more particular Northern Republican stance with its acute memories of colonial exploitation and the subsequent view of the province as a perpetual battlefield:

> This bitterness
> I inherit from my father, the
> swarm of blood
> to the brain, the vomit surge
> of race hatred,
> the victim seeing the oppressor,
> bold Jacobean
> planter, or gadget-laden marine,
> who has scattered
> his household gods, used
> his people
> as servants, flushed his women
> like game. (CP 43)

The particular context of Jacobean planters is widened into a general description of the colonial divide and the present perfect form in the account of the wrongs implies at once an emphasis on the unalterable present outcome of past events as well as the fact that the period is not yet closed down.

The father's presence in this poem is brief and tentative, he is only mentioned as the immediate origin of the general Northern Catholic feelings of dispossession and disinheritance. As if to balance the account, the next poem entitled "The Cage" is a return to personal history but in another form than in the first poem of the section. This time the scale is purely that of the family and the individual, the historical dimension is evoked only by oblique references to the father's being a "traditional Irishman" (CP 43). The opening of the poem, with its structural wedge between "happy" and "man', situates the father's figure in his underground work, this time purely literal, in Brooklyn, and the second stanza supplies the other regular element of the life of the man, that of drinking – with its destination in a kind of second

home, "the only element / he felt at home in / any longer: brute oblivion" (ibid). The lost Brooklyn alcoholic, however, is quickly restored in his forgotten nobility and dignity as work compels him to enact a daily resurrection:

> And yet picked himself
> up, most mornings,
> to march down the street
> extending his smile
> to all sides of the good,
> (all-white) neighbourhood
> belled by St Teresa's church. (CP 43-44)

The fourth stanza opens a new perspective as the setting is changed – the return of the father to Ireland finally allows for a 'normal' family relation:

> When he came back
> we walked together
> across fields of Garvaghey
> to see hawthorn on the summer
> hedges, as though
> he had never left; (CP 44)

The intimacy of country walks by father and son is suggested just to be refuted shortly after as the account continues into the next stanza and the "as though" intrudes between the two men as an archetypal necessity in the wake of long-lasting absences:

> But we
> did not smile in
> the shared complicity
> of a dream, for when
> weary Odysseus returns
> Telemachus should leave. (ibid)

The concluding stanza of the poem is an abrupt jump into the present, and the section is closed by a return to the ghost of the father:

> Often as I descend
> into subway or underground
> I see his bald head behind

> the bars of the small booth;
> the mark of an old car
> accident beating on his
> ghostly forehead. (ibid)

The descent into the modern Hades recruits the ghost of the father and the occasion offers a complementary type of meeting between the father's ghost and the son – in the first poem of the section it is the ghost visiting the son, at the close it is the son searching out the father, which implies a wish for making up for the lost time between them. This marks a shift in their relation from the mutual early shyness of meeting again of the untitled short poem through the benevolent ignorance of "Stele" to the loving and understanding stance of "The Cage'.

The volume *The Dead Kingdom* is a collection of poems written on the occasion of the death of the mother of the poet, partly with the intention of forging a more intimate relation with the mother to replace the painful actual one of early rejection. Though the focus of the collection is on the mother, there inevitably are instances of treating the figure of the father as well, as part of the imaginative, and in many ways imaginary, reconstruction of the family circle, or perhaps, of *making* it finally a circle.

'Intimacy" is a tracing of the formation of a close relation between mother and son, with the son acting as a kind of husband-substitute, taking the mother to the cinema to romances as "films about real life" (CP 163) are not encouraged by the mother. The unspecified "some sad story of Brooklyn" (ibid) as a choice for a film quickly recalls a specific Brooklyn story of "Young love, then long separation" (CP 164). The picture of family reunion is provided by the speaker:

> After our drive across Ireland,
> my father stood in the kitchen,
> surrounded by his grown sons
> and the wife he had not seen
> for almost two decades, spirit
> glass in hand, singing "Slievenamon'
> or *Molly Bawn, why leave me pining*,
> his eyes straying in strangeness
> to where she sat, with folded
> hands, grey hair, aged face,
> *Alone, all alone by the wave*
> *washed strand*, still his Molly Bawn,
> wrought by time to a mournful crone. (ibid)

The family 'idyll' of both parents present in the company of grown children, the father with glass in hand singing for the family could look happy if it were not for those "almost two decades" intruding between them. The time spent away from the wife recalls the Odysseus-father figure of "The Cage" and the homecoming evokes the Tennysonian "aged wife" image of Penelope – yet the persona goes even further by declaring the mother not only a figure of "grey hair, aged face" but a "mournful crone" as well. The implication of these lines could normally be blame for the father yet the subtle manipulation of tone makes it difficult to assess the exact relation of the speaker to the father – the words do not radiate anything else but the observation of the inevitable and unalterable fact of spent time.

The family (re)union does not last long: "Six years later, he was gone, / *to a fairer world than this*" (ibid) and the relation of mother and son returns to that later formed intimacy. The scale, however, changes from cinema outings to television evenings at home, which calls for a number of possible explanations for the situation: those "six years" make the mother more reluctant to go out both for her years and for, perhaps, the memory of the husband. Despite the long absence, she is "still his Molly Bawn'. The poem immediately following "Intimacy" is "Molly Bawn', the story of the mother up to the moment of emigration to Brooklyn. The father is evoked in the context of their courtship and wedding, and the Republican destiny of "Emigrating anywhere" building a "real lost generation', with the mother following him "making sure to land in / good time for the Depression!" (CP 165) The story thus is one of the tragicomic kind though in the reverse order – the happy beginning is followed by more sober events to culminate in the anticlimactic move of emigration to New York just before the economic collapse of the world.

Some of the events of the years in America are recounted in the poem "A Muddy Cup" – the most important events perhaps from the point of view of the poet, as this poem tells the story of his begetting. The muddy cup of the title becomes emblematic of the situation itself – the mother's refusal to drink from it is at once a literal action and a metaphorical one of the rejection of the reduced life of the emigrant treated as not even existing. Her arrival in the New World is a surprise to everyone – the woman with two "grown sons" (CP 166) is a riddle to the landlady of the father as he 'forgot' to let her know the fact that he was married, and as the "Father staggers back" (ibid) her presence is an unexpected situation. The event escalates to a fight between them and the reconciliation brings forth a palpable result: they "made another child, // a third son who / beats out this song" (CP 167). The last three stanzas of the poem turn on the mother's return to Ireland with the children and the refusal of the smallest child, the poet, to be reared in the

family home – and this last "episode" is mentioned in brackets to suggest the feeling of being a later and negligible addition to the family.

Even such unusual families have their own memories of holidays and feasts. "A Christmas Card" is not a traditional and common place greeting to an acquaintance but a tableau of one of the few Christmases spent together by the whole family. The initial scene of "Christmas in Brooklyn" is peaceful as "A man plods along pulling / his three sons on a sleigh" (CP 168). The closing semicolon, however, indicates the temporary illusion of the situation – the later perspective on the scene provides the context for the experience and the context is that of a disappearing family: "soon his whole family / will vanish away" (ibid). The simple inevitability of "will" would be enough to set this stanza apart from the rest of the poem and make for a separate and self-contained image, yet the speaker has other aims beside simple illustration. The next image is that of the father alone, "trudging home through / this strange, cold city', without work, "living off charity" (ibid). The only home of the man is "brother John's speakeasy" (ibid) yet the family does not suffer neglect as he "found time / to croon to your last son" (ibid).

That Christmas remains a special one as the father found a job to end the miserable life on charity yet the shadow of drinking remains with the figure. "Not a model father" (ibid) is the verdict but the father's words to the son, "I was only happy / when I was drunk" (ibid), reflect an awareness of this on part of the man himself. The son-speaker, however, finds a note to express his admiration of his father – though certainly not for this but the strength of the man to struggle on without his family:

> Still, you soldiered on
> all those years alon in
> a Brooklyn boarding house
> without your family
> until the job was done;
> and then limped home. (ibid)

The poem offers an instance of communication between father and son yet the distance is not reduced easily. Proper intimacy is reached only after an experience in which the son uncovers himself in the context of a broadcast. "At Last" is the breakthrough, the stepping over into a world where the dreamed-of intimacy is no longer a dream but something possessed and tangible. The story is that of the homecoming of the father yet this time there are no epic overtones, the returning figure is a "small sad man with a hat" "carrying a roped suitcase" (CP 169). The persona's reaction is

ambivalent: "something in me began to contract // but also to expand" (ibid). The situation is one with no easy way out, the embarrassment of meeting a figure supposedly intimately familiar yet in reality as strange as anyone else leaves little space for manoeuvring and there is actually little of a family meeting in the scene:

> We stood,
> his grown sons, seeking for words
> which under the clouding mist
> turn to clumsy, laughing gestures. (ibid)

The journey of the "small sad man" is not over with the meeting, they are to move on to the North. The crossing of Ireland functions as a prelude to the crossing over between father and son as there is a stop on their way "to hear a broadcast" of the poet (ibid). The really important event of the day is what comes after the recital as the initial strangeness of the experience gives way to something long hoped for:

> Slowly our eyes managed recognition.
> 'Not bad," he said, and raised his glass:
> Father and son at ease, at last. (ibid)

"The Silver Flask" recounts an emblematic family moment, that of reunion at Christmas time after almost two decades. The poem is composed of images which appear static as most of the stanzas lack proper syntactic structures – instead of finite verb phrases non-finite forms dominate, lending a notebook-like appearance to the text. The occasion is a symbolic one, the family circle is restored in the context of a particular holiday suggesting a new beginning and, perhaps, the promise of salvation after such a long time of painful endurance.

The opening two lines, "Sweet, though short, our / hours as a family together" (CP 169), make no room for illusions, the speaker is fully aware of the preciousness of the experience which lies principally in its shortness. The family members travel by car to Midnight Mass and the intimacy of the occasion, both of the mass and of the physical proximity in the car, creates a warm atmosphere. The father's singing allows a reference to the emigration years as a former legend of a tenor in "dim bars of Brooklyn" (CP 170) but the time scale is expanded even longer back to locate the father in "the valleys he had sprung from" (ibid), to indicate the moment of homecoming. In the church the unusual presence of the *whole* family extracts a rare

reaction from the mother as she is sitting beside her husband "sad but proud, an unaccustomed / blush mantling her wan countenance" (ibid).

The return journey is silent under the weight of the experience and it is in the family kitchen that the initial atmosphere is restored, and that atmosphere is an all but usual one:

> The family circle briefly restored
> nearly twenty lonely years after
> that last Christmas in Brooklyn,
> under the same tinsel of decorations
> so carefully hoarded by our mother
> in the cabin trunk of a Cunard liner. (ibid)

The mother's gesture of carefully saving the decorations of the last Christmas together finds its fulfilment in the recorded moment when the family is finally reunited. The past participle indicates the deficiency of this reunion, however, as the exact time reference is not included in its structure, as if the 'was', 'is' or 'will be' has been lost together with those missing years of potential family happiness.

"Last Journey" is an enigmatic account of a train ride of father and son yet neither the time nor the destination is mentioned by the speaker. The two figures are first seen "on the windy platform" (CP 171), before they get aboard the train. Then the train arrives, they take their seats and the journey begins. The only reference to the itinerary is a number of place names "across this forgotten / Northern landscape" (ibid). The implication of the title and the subsequent 'story' is a journey in which the notion of destination is either too obvious or totally irrelevant. As a "last journey" the emphasis is on the shared moment of the two characters and from this point of view the silence about the destination is an assertion of the wish to have no such point. The subtitle "*I. M. James Montague*" suggests a journey with no end – perhaps in the context of *this* existence it has one but the father lives on in the poems and in that "same fault" inherited by the son.

A much later poem in another collection approaches the father from another perspective. "Sunny Jim" is a poem in invocation to the father, across that final divide between life and death, to evoke his spirit again in the hope of help for the poet's work. The distance in time is greater, the perspective is that of more profound reconciliation as the earlier poems have reconstructed the father's figure and reclaimed him for the son, and now the father is called upon as a long-time intimate relation. The wish of the poet is not simply a need for assistance but for another time together marked by that intimacy which is normally associated with the relation of father and son.

The apostrophe to the father, "Sweet Drunken father" (STP 77), reflects a loving relationship and he is called on to supply his energies for a constructive purpose: "guide my pen finger; / forget your anger!" (ibid) The invocation is immediately followed by a memory of the aftermath of a "double hangover" (ibid) and the father's words about the legend of the meeting between Simon of Cyrene and Christ on the Via Dolorosa, with the burden of Christ becoming an analogy for the father's sufferings. The image of the father on his "second last bed" (STP 78) becomes one of a near miracle as a magic transformation, though not unlikely in the closeness of the final moment, reshapes the face of the old man:

> All the ravages
> of those Brooklyn years –
> old nickel pusher,
> rough bar hunter –
> smoothed suddenly away
> to Dante's bony visage. (ibid)

The fairly disillusioned phrases of "nickel pusher" and "bar hunter" suddenly give way to the noble comparison with Dante, in many ways an equally bitter man and a fit analogy for politically induced exile. The moment is the right one for the wish to be formulated even if there is no full harmony between the worlds of the two men:

> Your faith I envy,
>
> Your fierce politics I decry.
> May we sing together
> someday, Sunny Jim,
> over what you might
> still call the final shoot-out:
> for me, saving your absence,
> a healing agreement. (ibid)

Reconciliation is finally completed, the father has fully been received into the son's imaginative world of the family, and has reached that position of which a father is certainly proud – he is called for singing together, a leisurely situation to share with carefully chosen companions.

John Montague's attempt to reconstruct his father's figure in his poetry is not an unusual choice for a poet. The complicated family background, however, makes the job a more than usually difficult one. Prejudices and

stereotypes easily threaten the enterprise yet the honesty of the poet's persona remains unchallenged in the final analysis. The troubled situation of a Northern Republican choosing to emigrate to the United States shortly before the Great Depression is further complicated by the arrival of a third child – the poet himself. The return to Ireland of the family without the father, the maternal rejection and the nearly two-decade-long absence of the father have left their marks on the poet, yet the rejected youngest son struggles on to reclaim his father – in many ways it is the demonstration of the strength inherited from the father, an inheritance found more than worthy of enquiry.

Curiosity is a motivation but there is more at work in these poems than potentially effective poetic raw material. The distant memory of the father's crooning to the infant son is a proof for the grown poet of the love of the father, and almost against all odds he leads a journey of discovery into the field of intertwined family and communal history and into that incomparably more dangerous world of the psyche of the old man. The unbearable pain of the lost years, the eternal mystery of the what-could-have-happened-if situation lead to an often disillusioned but never disheartened stance – the hurt of absence is a wound that never heals but there is a determination to make a fresh start, to build a relationship while it is still possible. The position of the poet's persona is a deeply humane one – it is characterised by the ability to forgive and love in spite of all those circumstances crowding between them, working for an intimacy as if to prove that this is something he has a right to possess – and by this move he turns his father finally into a father, restoring to him what history denied through impersonal circumstance. The son redeems the father and what was a dream only in life becomes some sort of a reality afterwards: "lie still, difficult old man", your son has made you a place to call home.

References

Cave, Richard Allen. "John Montague: Poetry of the Depersonalised Self". In: Kenneally, Michael (ed.) *Poetry in Contemporary Irish Literature*. Gerrards Cross: Colin Smythe Limited, 1995. pp. 216 – 237

Dawe, Gerald. "Invocation of Powers: John Montague". In: Corcoran, Neil (ed.) *The Chosen Ground. Essays on the Contemporary Poetry of Northern Ireland*. Bridgend: Seren Books, 1992. pp. 15-32

Montague, John. *Collected Poems*. Loughcrew: Gallery Press, 1995

Montague, John. *Smashing the Piano*. Winston-Salem: Wake Forest University Press, 2000

Whitten, D.G.A., Brooks, J.R.V. *The Penguin Dictionary of Geology*. Harmondsworth: Penguin, 1372

Human Quest in Saul Bellow's Novels
Henderson the Rain King and *The Adventures of Augie March*

Daina Miniotaite

American fiction (…) in one of its large, vivid strains, opted for the territory ahead; for a verbal world elsewhere; for a perpetual reconstitution of romance within the novel; for pursuit of the true IT… the self in its wholeness. Whatever else the Great American Novel may be, it has been, throughout its history, a fiction zestfully committed to motion and to the free transcendent individual. (Janis Stout quoted in Hassan 26)

Great American writers have always been disposed to different forms of quest in their works as one of their main preoccupations is with the nature and the creation of the Self. Quests recover essential things to human life in encounters between cultures, with alien surroundings, people, animals, nature, or the Other; namely, the waking of individual in the knowledge of himself, knowledge about others, the world, and the meaning of life. American novels of quest lay emphasis on the nature of human freedom as the heroes of quest novels more often than not balance between their fear of being entrapped into some fixed forms of existence and that of having an amorphous identity or no identity at all. The present article focuses on Saul Bellow's (1915-2005) novels *Henderson the Rain King* (1959) and *The Adventures of Augie March* (1953) in an attempt to trace the development of Bellow's characters,- their efforts to understand themselves, establish their true identity and achieve spiritual maturity. Moreover, it tries to reveal the educational nature of the writer's works.

Contemporary American literature may be said to have taken two main directions: postmodern literature or "the literature of exhaustion" which reveals a nihilistic attitude to individual existence and life in general and considers humanist values useless in a world devoid of absolutes. The humanist wing representatives of which argue that the novel has not been exhausted and defend its moral humanism and educational power. Bellow, one of the most erudite and intellectual writers of the second half of the

twentieth century, belongs to the latter direction as he is a unique spokesman for humanitarian values and ideals in American literature. In the Nobel lecture delivered in Sweden the writer stressed the role of art saying that it should emphasize the unity of man: "Art attempts to find in the universe, in matter as well as in facts of life, what is fundamental, enduring, essential" (quoted in Dutton 9). The educational, instructive character of Bellow's fiction first of all manifests itself in his positive, affirmative, optimistic approach to existence and individual whom he treats as a "subangelic" figure, i.e., man is created in the image of God, but he is a little lower than the angels. In his essay *Distractions of a Fiction Writer*, Bellow observes the following: "There is a man's own greatness, and then there is the greatness of his imbecility – both are eternal" (15). The writer refuses the wide-spread idea of the twentieth century accepted by many modern artists that humankind has reached its terminal point. Bellow is convinced that a human being can justify his existence, that he has a sufficient power to overcome his ignominy and to complete his own life. His suffering, feebleness, servitude then have a meaning. Here the author stresses the role of man's imagination in defining his own self and completing his life. Bellow affirms that in choosing, man expresses his humanity through imagination. According to the author, it is not external reality - social forces or other people – but man himself who determines his own destiny. Bellow's heroes may grieve, complain, lament, but they never despair about the future. They are always on a spiritual quest for meaning in life, their own human essence believing that man is free to choose and that he can become better. And in most cases he succeeds.

In his novels (e.g *Dangling Man* 1944, *The Victim* 1947, *Seize the Day* 1956, *Herzog* 1964 as well as the novels under discussion), Bellow deals with the phenomenology of selfhood, emphasizes the plight of man. He considers the vital questions of what it means to be human, what a human being should be like, how to become better and gain a complete fulfillment without alienating from society. Bellow's heroes are never static, they always aspire to something better in flight from their inner chaos and confusion, from the inhuman, superficial, and false. Therefore, a hero in quest is the pivot of Bellow's all novels. In his illuminating study *Selves at Risk*, the American literary critic Ihab Hassan argues that in contemporary quest in literature, which shares features of myth, epic, romance, the literature of travel and adventure, and autobiography, we discover "the hero with a thousand faces": an ontological voyager, a doer, sufferer, over-reacher, at once an alien and founder of cities, another version of ourselves. He then goes on to claim that "contemporary quest reacts against the postmodern assumptions of "exhaustion", finding in certain re-membered

forms, re-newed values, the sources of its own "replenishment" (Hassan 31). Bellow's heroes are always on a spiritual quest for "something beyond." In this way, the writer provides a critique of the existing values which regulate people's behaviour to each other in everyday life.

Bellow's novels *Henderson the Rain King* and *The Adventures of Augie March* can be rightly called Bildungsromans, Novels of Initiation or character formation as they deal with the protagonists' moral and spiritual crisis, their wandering and search for identity, the development of their character and their final maturity. Thus, the works are also novels of quest or quest-romances. To quote the Canadian mythologist Northrop Frye, "translated into dream terms, the quest-romance is the search of the libido or desiring self for a fulfillment that will deliver it from the anxieties of reality but will still contain the reality […] Translated into ritual terms, the quest-romance is the victory of fertility over the waste land" (quoted in Hassan 23). In other words, Bellow's heroes' chief preoccupation is how to learn to resist societal norms and moral values and dogmas without alienating from this society. "How can one resist the controls of this vast society without turning into a nihilist, avoiding the absurdity of empty rebellion?", asks Bellow (quoted in Harper 18).

The two heroes Eugene Henderson and Augie March are representatives of post-war America with its growing materialism, consumerism, conformity, and mass culture. The English literary critic Malcolm Bradbury claims that these negative phenomena taken together "threatened the liberal self" (28). The novels represent the dialogue between alienation and accommodation, the battle of determinism and free choice, the coalescence of selflessness and selfhood. The heroes face the problem of how to create a unique self within a mechanical money-oriented mass society which exerts a levelling influence on an individual, and where individual undergoes his personal effacement and consequent degradation.

Frye singles out four phases in the hero's of a quest-romance life journey: conflict, death struggle, (provisional) dismemberment, and recognition of a newborn world (quoted in Hassan 23). These stages can be traced in Henderson's life journey. At the first stage, he is shown in conflict with himself and society. Henderson recounts his life and reflects on the reasons of his going to Africa: "What made me take this trip to Africa? There is no quick explanation. Things got worse and worse and worse and pretty soon they were too complicated" (HR 3). He admits that he is very rich as he has inherited three million dollars from his "old man" but has always behaved like a bum. He was a bad student at University and was not thrown out only because he was his father's son. To please his father he got an MA and married a girl of his social class who he "gave a terrible time"

and later divorced. Henderson describes himself as "moody, rough, tyrannical, and probably mad" (HR 4). The hero's life in a society of material excess leads to hidden depression, rage, and finally to the conclusion that he is not fit to live among people. He seems to hate both society as it is and himself for not being able to oppose it by becoming better. Henderson argues unreasonably with his second wife Lily, alienates his son and daughter, refuses his tenants heat during the winter, fires a gun at their cat, raises pigs from which his only pleasure comes from is their annoying presence to family and neighbours, harrasses in a dozen other ways his family, friends, acquaintances, and community. All these examples prove him to be a spiritual impotent, - he perceives himself to be a failure, understands that his behaviour is irrational and unacceptable but is unable to put any effort to change it to the better. At this stage of his life, Henderson has no inner strength to resist the negative influence of society upon him, reject its values because he has absorbed its features, and is therefore at war with himself. The hero suffers a "poverty of the soul." Again and again, he hears an inner voice that makes its demand: "There was a disturbance in my heart, a voice that spoke there and said, **I want**, **I want, I want !** It happened every afternoon**,** and when I tried to suppress it it got even stronger" (HR 24). Later the hero asks himself: "So what do you do with yourself? More than three million bucks" (HR 24). Here Bellow is concerned with the spiritual malaise in an environment of sufficiency in "a life of plenty." Society Henderson lives in cannot satisfy his spiritual needs. He realizes the corrupt, pestilent nature of society and the world. He feels that "the entire world has set itself against life and is opposed to it" and that he, Henderson, is alive and finds it impossible to go along with it.

The second phase in Henderson's existence is his direct confrontation with death when because of his fault Miss Lenox, an elderly family maid, succumbs to a heart attack and passes away. The woman's death caused by him is that momentous event which suddenly illuminates his past, present, and future life. Now Henderson perceives that he is on the verge of his personal degradation, his spiritual downfall. He realizes that he was a destroyer, a wrecker – and if he does not change, "[d]eath will annihilate [him] and nothing will remain, and there will be nothing left but junk" (HR 40). Henderson admits that he just could not continue as he was where he was and that "something could be and had to be done" (HR 188). Thus, it serves as a turning point in his life. It is a characteristic feature of Bellow's heroes to affirm life over death, the need for life to move in the face of its limits. Therefore, the hero leaves for Africa to find a remedy for his situation, to "burst the spirit's sleep" (HR 76), to leave certain things behind

until all the bad is burned out of him. This is Africa of the mind where values can be reconsidered and reality subjected to new perspectives.

The third stage of Henderson's life is his account of his experiences with the natives of the Arnewi and the Wariri - his desperate attempt to "become better." In Africa Henderson returns to the primal bases of life and feeling, in nature, culture, and the animal kingdom. The hero has "grun-tu-molani", a native term indicating that you want to live, not die. With his "grun-tu-molani", his will to live, his belief that truth comes in blows, he journeys into the complex places of consciousness. Henderson is longing to perform a benefit, has a great desire to do a disinterested and pure thing – "to express his belief in something higher"(HR 188), "to work the right stitch into the design of [his] destiny before it was too late" (HR 186), "to complete his own life." The Arnewi are cattle raisers. When Henderson enters their village, he finds them in tears and sadness, because their water supply has been contaminated by the mysterious appearance of frogs. Henderson couples his desire to live with the necessity to eliminate the frogs from the cistern. He is now eager to start on what he considers his personal project. The remedy is a home-made bomb which he fashions with childish enthusiasm. The hero is overcome with frustration when he fails, - he blows the frogs out of the water, the end of the cistern is also blown out, and all the water escapes into the arid soil. Henderson cannot understand his everlasting failure to achieve something of value. At this point, the hero experiences "dismemberment": "I wish it [cf. the bomb] had gone off in my hands and blown me to smashes […] This was how I left in disgrace and humiliation, having demolished both their water and my hopes" (HR 111-112). Robert Dutton offers a good insight into the reasons of Henderson's failure saying that technological and scientific achievement persuaded man of his godlike abilities that he does not possess. Man's misapprehension of his limited potentialities can drive him in spite of good intentions, to destroy the value of life itself. Briefly, Bellow says that man is not God (HR 99-100).

Henderson's adventures in the land of the Wariri marks the fourth and final stage in his existence when he comes to a Great Awakening and welcomes a newborn world. Here the hero undergoes two tests of his personality and learns lessons of life. First, Henderson succeeds in lifting up Mummah, goddess of rain, and is therefore appointed as the Rain King. The hero gains victory because at this moment he relies on himself and trusts his own strength and power to do it. The success is the first move towards "bursting the spirit's sleep": "My spirit was awake and it welcomed life anew […] Life anew! I was still alive and kicking and I had the old grun-tu-molani" (HR 193). Bellow makes a comparison between Henderson's failure with the Arnewi and his success with the Wariri. In the case of Mummah,

Henderson relies only on his own strength, contrary to his exhibition of technical ingenuity with the frogs. Obviously, Bellow is saying that the bursting of the spirit's sleep must be accomplished by individual's own resources.

Henderson recounts the philosophical discussions between him and Dahfu, king of the Wariri and his "guru", concerning man and his destiny. Dahfu serves as the author's mouthpiece for many of his ideas. He says that a human being is his own creator, and he can change the world by changing, improving himself, which is never too late. A brave man will not blame the world for his bad lot, as in Henderson's case, but "will try to make the evil stop with him" (HR 214). Henderson must eliminate fear from his heart, which is "a ruler of mankind" and "as everything originates in the brain" (HR 258). He also has to refuse the philosophy of avoidance. To attain this, Henderson must befriend the tame lioness Atti and achieve her fearless equanimity, unavoidability, learn to act "one hundred per cent within the given"(HR 263), accepting precisely that which one is and no more. To befriend the lioness Henderson has to learn to act the lion, absorb it into himself. When his fear of the lioness subsides, he will be capable of admiring her beauty as "when the fear yields, beauty is disclosed in its place"(HR 262). Man's phobias make him self-recoiled as well as deprive him of his ability to see and enjoy the world's beauty. Learning to stand on all fours in a leonine way will enable him to conceive of the environment: the sky, the sun, the leaves and feel oneness with them, which will help him "rise from a grave of solitude" (HR 226). Roaring will release his negative emotions and teach him to relax. What is more, the lioness will "force the present moment upon him" as "lions are experiences but not in haste" (HR 260). Henderson learns to "seize the day", arrest the moment with its simplest meaning.

The hero recounts his departure for home after he "has come to himself" (HR 328), to an existential illumination, a spiritual enlightenment. He is a changed man who returns to America determined to rebuild his loving relationship with his wife Lily and to accomplish his long-deferred dream to qualify as a doctor. Here Bellow explores the Lazarus theme – a human being may rise from the dead and join the living if he can realize his human potentialities, the possibilities of his humanity which lie dormant within him. Henderson starts feeling kindness and love. Only when an individual becomes aware of and develops his potential and thus achieves harmony with himself can he start appreciating his own life and the life of others. A happy human being can endow the world with happiness.

The primary focus of Bellow's novel *The Adventures of Augie March* is on the battle of determinism and independence and free choice, the hero's

struggle with the deterministic inheritance carried to extremes. The hero is a modern picaro in quest of "a better fate". Robert R. Dutton compares Augie to the American folk hero: he comes from a poor family; he does not know the identity of his father; he refuses to be trapped by fine clothing, social position, or wealth; he admits that he "gives his affections too easily" and that "he has no grudge-bearing power." Bellow has endowed his narrator with the entire list of requisites to a folk hero of our time and culture" (Dutton 48). Augie's life story does not follow the clear cut pattern of Henderson's life-journey. The hero, who is also the narrator, advances through a series of adventures which are relevant to a general life experience. Still, it is possible to discern a few stages in the hero's development of personality: his inner and outer conflict and revelation. At the beginning of the novel, Augie is presented as an individual without any tangible contours, a man without direction, a single purpose of life or any high ambitions. In search of "a better fate", the words he often repeats throughout the novel, and his human essence Augie engages into many kinds of activities which are varied in character: he works as a stock boy in a department store, sells trivia in a railway station, steals and sells textbooks, begins a university education, becomes a coal salesman, enters the underworld, takes care of dogs for the social elite, falls in love twice, becomes a union organizer, trains an eagle to catch giant lizards in Mexico, joins the Merchant Marine, finally he marries and settles in Paris, where he participates in some form of shady international business. The young hero is as he says, "varietistic." Augie claims that the jobs he has ever undertaken "were supposed to lead to something better"(AM 28), to "a better fate". However, in the beginning, his understanding of "a better fate" is very vague and obscure. In the opening lines of Chapter six, Augie exclaims: "What did I, out of all this, want for myself? I couldn't have told you […] I was circling yet […] I know I longed very much, but I didn't understand for what" (AM 84).

Augie does not lack the attractiveness of personality, either: he is affectionate, sensitive and unlike Henderson, is able to enjoy life with its colours and odours, to see the good in all people, take them for what they are. The hero takes to everything that arouses his enthusiasm. However, his fight with deterministic inheritance tends to become an obsession. Augie shuns all kinds of influence if that makes a threat to his free unique self (as he is convinced) and means "becoming part of somebody's world", "justification of other people's existence" (AM 151). In this way, Augie offers resistance to his tenant's Grandma Lausch's efforts to make him a respectable white-collar citizen, refuses his employer's and benefactress' Mrs.Renling's idea to adopt him even if it meant "inheriting dough" (AM 151), his brother's Simon's urging him into marrying a millionnaire. At this

point of his life Augie does not have a unique self - in fact, he is a faceless hero. Augie does not even know where he belongs as he is a friend to people of all kinds: grinds and criminals alike. His problem is that in search of "something better" he leads an uninvolved existence, does not get deeply involved in any experience for long. Augie is an objective observer of life unable to affirm his ideals in life situations that he has to face. Scattering those ideals, Augie fails to find something durable in the family, from his friends, outside the law, within the university, or on the road. In Bellow's worldview, it is exactly human involvement, the coalescence of selflessness and selfhood which create human nobility. The hero confuses his having no commitments – no money, profession or duties – with freedom. It is through involvement that a person can realize his human potential, create his selfhood, define his "self." Evidently Bellow is saying that with or without enthusiasm, some work is to be done, some direction and function assumed. The critic Dutton is right when he points out that "there is no identity, no integrity, no better fate, no creation, of children or anything else, without a social commitment" (51).

After Augie's beloved Thea decides to leave him, the hero has a certain revelation. He realizes that all his life he has had an inferiority complex, was "feeble and poor, some silly creature, laughing and harmless." Therefore, "to come out differently" (AM 401), - to conceal his weakness, to mislead others, Augie played their games. In other words, he has never been himself. The hero makes an attempt at self-examination:

> Now I had started, and this terrible investigation had to go on. If this was how I was, it was certainly not how I appeared but must be my secret. So if I wanted to please, it was in order to mislead or show everyone, wasn't it, now? And this must be because I had an idea everyone was my better and had something I didn't have. But what did people seem to me anyhow, something fantastic? I didn't want to be what they made of me but wanted to please them. Kindly explain! An independent fate, and love too – what a confusion! (AM 401)

In this passage Augie has an insight into his problem. When this realization dawns on him, the hero makes up his mind to quit his pilgrimage. His biggest wish becomes to find the "axial lines" of life, which is the preoccupation of Bellow's all heroes. Augie's great hope, he says, "is based upon getting to be still, so that the axial lines can be found. When striving stops, the truth comes as a gift – bounty, harmony, love, and so forth" (AM 514). The "axial lines" could be discovered in the stability of a person's life, his ability "to arrest the moment", get the most from every experience, foster harmony with himself (Scott 101–149).

Augie learns many truths about himself from other people. Likewise, his friend Clem Tambow tries to prove to Augie that he has "a nobility syndrome" (AM 434) and therefore, he cannot adjust to the reality situation. The hero, as he later finds out, is in search of Man with a capital letter. He discovers that man longs to be more than he is. But life is all there is, it depends on him how he will learn "to arrest the moment", "seize the day", pull himself together to find his niche in life, which would help him fulfil his human potential, as "Man's character is his fate" (AM 3). Saul Bellow's philosophy of life is marked by his affirmation of the worthiness of human existence, a firm belief in man, his ability "to burst the spirit's sleep", his reason and inner strength to be his own redeemer.

Bibliography

Bellow, Saul. *The Adventures of Augie March*. New York: Penguin Books, 1984.

Bellow, Saul. *The Contemporary Writer: Interviews with Sixteen Novelists and Poets*, ed. Dembo L. S. and Pondrom, Cyrena N. The University of Wisconsin Press, 1972.

Bellow, Saul. "Distractions of a Fiction Writer." In *Against "the Dying Novel"*, ed. Granville, Hicks. New York: Macmillan, 1962.

Bellow, Saul. *Henderson the Rain King*. New York: Penguin Books, 1962.

Bradbury, Malcolm. "Saul Bellow and the Contemporary Novel." In *Saul Bellow*. London and New York: Methuen, 1982.

Dutton, Robert R. *Saul Bellow*. Boston: Twayne Publishers, 1982.

Goldman, L.H. *Saul Bellow's Moral Vision: A Critical Study of the Jewish Experience*. New York: Irvington, 1983.

Harper, Gordon Lloyd. "Saul Bellow." In *Saul Bellow: A Collection of Critical Essays*. New York: Englewood Cliffs, 1975.

Hassan, Ihab. *Selves at Risk. Patterns of Quest in Contemporary American Letters*. The University of Wisconsin Press, 1990.

Klein, Marcus. "A Discipline of Nobility: Saul Bellow's Fiction." In *After Alienation: American Novels in Mid – Century*. New York: World, 1964.

Lehan, Richard. *A Dangerous Crossing: French Literary Existentialism and the Modern American Novel*. Southern Illinois University Press, 1973.

Scott, Nathan A.,Jr. "Bellow's Vision of the 'Axial Lines'." In *Three American Moralists: Mailer, Bellow, Trilling*. University of Notre Dame Press, 1973.

Common Design Sources at Canterbury and Esztergom:
A Case for Margaret Capet as Artistic Patron[*]

Matthew Palmer

Introduction

In our recent paper "The English Cathedral: From Description to Analysis" we suggested that Hungarian medieval architecture provides rich pickings for students of English engaged in the study of what is often called Early English architecture.[1] In the pages which follow we would like to test the validity of such a statement by investigating the rôle of Margaret Capet (1158–1198), as elder daughter of Louis VII of France and Constance of Castile, in transmitting artistic ideas into Hungary. That a French princess should be of interest to us here is explained by the fact that Margaret Capet was wife of both Henry (1155–1183), eldest son of Henry II of England, otherwise known as the Young King on account of his being crowned king of England in 1170 in his father's lifetime, and Béla III of Hungary (1148–1196). Her candidacy as a possible patron of the arts is based on the fact that her arrival in Hungary in the summer of 1186 coincided with major building operations at the cathedral and the (royal) palace in Esztergom.

The Gothic Reception in Hungary

Despite the correspondence between the date of Margaret's arrival and feverish architectural activities in Esztergom surprisingly little attention has been paid to the possible active involvement of Béla III's second wife.[2]

---

[*] This paper aims to be the first in a number of case studies illustrating the virtue of adopting an intercultural approach when dealing with certain debates within the domain of British Cultural Studies.

[1] Palmer, Matthew, "The English Cathedral: From Description to Analysis", *Eger Journal of English Studies* (Eszterházy Károly Főiskola, Eger, Líceum Kiadó, 2004), p.82

[2] Building activities at Esztergom are generally attributed to Béla III in the literature. References to Margaret Capet can be found in relation to the reception of the Gothic style in Hungary in Takács Imre, "A gótika műhelyei a Dunántúlon a 13–14. században", *Pannonia*

Indeed, when Margaret Capet is mentioned as a possible transmitter of western artistic ideas such suggestions are usually couched in the vaguest of terms due to lack of concrete evidence.[3] Instead, art historians have tended to trace the movement of ideas to Hungary via other means: the movement of workshops from France via intermediary sites,[4] Parisian-trained scholars,[5] and the influence of the monastic orders.[6] On the issue of patronage, the issue of the possible existence of a "royal workshop" has aroused debate,[7] while the identification of patrons has been pared down to social groups

---

Regia (eds. Mikó Árpád and Takács Imre, Budapest, Magyar Nemzeti Galéria, 1992), p. 23; and Soltész István, *Árpád-házi királynék* (Budapest, Gabo, 1999), pp. 140–141. Tolnai, Gergely in "The Hungarian National Museum's Esztergom Castle Museum Collection", *Two Hundred Years' History of the Hungarian National Museum and its Collections,* (Budapest, Hungarian National Museum, 2004, p. 486) goes so far as mentioning the involvement of an architect in Margaret's retinue in the building of the chapel. He suggests, however, that building activities at the palace were started during the 1170s and proceeded in several campaigns. Entz Géza, in *Die Kunst der Gotik* (München, Emil Vollmer Verlag, 1981, p. 61), suggests the possible involvement of masons who accompanied Margaret to Esztergom, albeit on the instigation of Béla III.

[3] Takács, op. cit., mentions Béla's marriage to Margaret in isolation, attributing the arrival of French ideas to architects from the Ile-de-France and those employed on the construction of the Cistercian abbey of Pilis (founded 1184). While suggesting architects came during Béla's lifetime Takács does not venture to say who invited them.

[4] Marosi, Ernő, in *Die Anfänge der Gotik in Ungarn: Esztergom in der Kunst des 12.–13. Jahrhunderts* (Akadémiai Kiadó, Budapest, 1984, p. 169), traces the arrival of a continual stream of workshops to Hungary from the end of the 12th century in which sites such as Bamberg Cathedral and the Cistercian foundation in Tisnov are seen as intermediary stopping off points in the relentless movement of ideas from Reims. This is a topic Marosi also addresses in "Künstlerischer Austausch", *Akten des XXVIII. Internationalen Kongresses für Kunstgeschichte Berlin*, 15.–20. Juli 1992 (Berlin, Akademie Verlag, 1992, pp. 16–19), where he addresses the question of the transmission of groundplans and building types.

[5] Marosi Ernő, *Esztergom, királyi vár* (Budapest, Tájak–Korok–Múzeumok Kiskönyvtára, 1979), p. 14; Kristó Gyula–Makk Ferenc–Marosi Ernő, *III. Béla emlékezete* (Budapest, Magyar Helikon, 1981), pp. 31–32; Zolnay László, *A középkori Esztergom* (Budapest, Gondolat, 1983), p. 162; Marosi Ernő–Wehli Tünde, *Az Árpád-kor művészeti emlékei* (Budapest, Balassi Kiadó, 1997), p. 41.

[6] On the possible architectural influence of the Cistercians during the late 12th century: Gieysztor, Alexander, "Cultural Interchanges", *Eastern and Western Europe in the Middle Ages* (London, Thames and Hudson, 1970), p. 190. This is not, however, an opinion held by many.

[7] Martindale, Andrew, in *The Rise of the Artist* (London, Thames and Hudson, 1972), notes that one cannot assume that all medieval monarchs had painters in their entourages. While Marosi rejects the idea of a permanent royal workshop in Hungary at this time, preferring to stress the importance of the court and the chapel royal as institutions which both attracted and commissioned artists (in Mikó and Takács, op. cit. pp. 156–7), Zolnay suggests that a whole army of Greek, French, German and Hungarian master builders were working at Béla III's service (op. cit. p. 161).

rather than individuals through lack of written and archaeological evidence.[8] Thus far little effort has been made to test Margaret Capet's credentials as an artistic patron. It is the aim of this paper to make a tentative step in this direction by placing special emphasis on the life of Margaret Capet prior to her arrival in Hungary.[9]

Margaret Capet's Reputation

In the maelstrom surrounding the courts of her father Louis VII, her parents-in-law Henry II of England and Eleanor of Aquitaine, and her first husband, Henry the Young King, Margaret Capet's name is usually associated with the Vexin question (see Fig. 1),[10] and a supposed affair with the leader of her husband's household William Marshal.[11] Her credentials as a possible patron, however, are tarnished by the character of her husband, the Young King,[12] and the reputation of the court of Eleanor of Aquitaine, where she was brought up and where she spent some of her adulthood.[13] Margaret's

---

[8] Entz Géza, *A középkori Magyarország gótikus építészete* (manuscript), Hungarian Academy of Arts doctoral dissertation (Budapest, 1976).

[9] My most frequently used secondary sources are: Hallam, Elizabeth (general ed.), *The Plantagenet Chronicles* (London, Guild Publishing, 1989); Weir Alison, *Eleanor of Aquitaine: By the Wrath of God, Queen of England* (London, Pimlico, 2000) and Karl Lajos, "Margit királyné, III Béla király neje", *Századok* (Budapest, 1910 I. füzet), pp. 49–52.

[10] The County of Vexin, the northern (Norman) part of which was centred on the castle of Gisors, was, like the County of Perche, an important border province standing where Normandy met the French royal lands. In 1144 Geoffrey Plantagenet ceded Gisors to Louis VII of France in return for French recognition of Geoffrey's conquest of Normandy. The rest of Norman Vexin was given to the French in 1151. It was in 1158 that Louis promised Henry II the Norman Vexin as part of Margaret Capet's dowry, something that was to remain a bone of contention throughout her lifetime.

[11] My thanks to Kathleen Thompson, Lindy Grant and Jane Martindale for these observations.

[12] On the Young King's character, Giraldus Cambrensis (c.1146-c.1220/23) says of him that he was "rich, noble, lovable, eloquent, handsome, gallant, every way attractive, a little lower than the angels – all these gifts he turned to the wrong side", while Walter Map (c.1137-c.1209/1210), describes him, "a prodigy of unfaith, a lovely palace of sin". Both quoted by A.L. Poole in *From Domesday Book to Magna Carta* (Oxford, OUP), p. 341. For more on Henry the Young King's character and the company he kept see: Crouch, David, *William Marshal: Court, Career and Chivalry in the Angevin Empire 1147–1219* (London, Longman, 1990), pp. 38–39. However, such guilt by association is presumptious as Henry and Margaret were betrothed aged three and six months in August 1158, and mutual compatability was not an issue. Henry II was more concerned with establishing a dynastic claim on the Kingdom of France, one which was to founder with the birth of Margaret's half-brother Philip Augustus in 1165.

[13] Legend has it that Eleanor's court at Poitiers was a centre of chivalry, patronage and troubadour culture, and a place where courtly love flourished. The Courts of Love over

perceived weaknesses are further heightened by her sharing the fate of those other princesses entwined in Henry II's dynastic intrigues held hostage by the king for longer or shorter periods of time (Fig. 2).[14] But was Margaret really so shallow, so capricious, so powerless, so lacking in culture?[15] Is there any evidence to suggest that Margaret was in fact a cultured person to the extent of being the driving force behind the building operations going on at the court of her second husband?

Margaret's Marriage to Béla III

Henry the Young King died aged 28 on 11th June 1183 in Turenne in Gascony during a dispute with one of his younger brothers, Richard (the Lionheart), over his right as Duke of Normandy to demand the homage and allegiance of Richard as Duke of Aquitaine. The following year, Anna (Agnes) of Châtillon, wife of Béla III, also passed away. Following Young Henry's death Margaret returned to the court of her brother Philip Augustus, who, together with Henry II, then went about deciding what would become of the County of Vexin, which had formed part of Margaret's dowry in 1158 in the marriage agreement made on behalf of six-month-old Margaret and three-year-old Henry.[16] After an initial agreement on 6th December 1183, in

---

[14] Gillingham, John, *The Angevin Empire* (London, Arnold, 2000), p. 122: "If Louis VII had died without a son – as for a long time seemed likely – the crown of France could well have fallen to an Angevin prince, the Young King, husband of Louis's elder daughter Margaret or, if she died, to the husband of the younger daughter Alice whom Henry II kept in his custody for twenty years". Margaret herself was also held captive following the dismantling of Eleanor of Aquitaine's court in Poitiers on 12th May 1174, where she was resident at the time. She was then taken by Henry II, along with his daughter Joanna, her sister Alice, Emma of Anjou, Constance of Brittany and Alice of Maurienne to England, where she was imprisoned with Alice and Constance at Devizes Castle.

which Eleanor has been said to have presided are now considered to have been a literary conceit invented between 1174 and 1196 by Andreas Capellanus. See Weir, op. cit., pp. 181–2.

[15] Soltész also challenges this view, but fails to reveal his sources (op. cit., pp. 138–9).

[16] According to the dowry agreement the dowry was not to be officially handed over until 1164, unless the marriage had been solemnised earlier with the consent of the Church. In the meantime Norman Vexin was kept in the custody of the Knights Templar. In the event Henry was betrothed to Margaret in 1160, shortly after the death of Margaret's mother Constance. The fact that the marriage took place earlier than expected and without his consent, a condition stated in the marriage contract, became a source of grievance to Louis VII, prompting him to strengthen the defences of Chaumont. For his part Henry II sent troops into Norman Vexin, besieging Chaumont and forcing Louis VII and his allies to flee. Henry and Margaret were married in Rouen on 5th November, "as yet little children in their cradles" in the presence of Henry of Pisa and William of Pavia, cardinal priests and legates of the Holy See.

which Henry was allowed to keep the lands based on his claim that he could prove they belonged to Eleanor, a second agreement was made on 11th March 1186, attended by Henry II, Philip Augustus, Margaret's half-sister Mary countess of Champagne and Margaret, when it was decided that Margaret would be compensated financially for the loss of her dowry and marriage portion.[17]

On the death of his first wife, Anna of Châtillon, Béla initially considered marrying the Byzantine princess, Theodora Comnena.[18] Instead in 1185 Béla III petitioned Henry II for a possible marriage to his granddaughter Matilda (1171–1210), daughter of Henry's daughter Matilda and Henry the Lion, Duke of Saxony and Bavaria, who had moved into exile in England in 1180.[19] When Henry II proved loath to provide an answer, Béla's envoys went instead to Paris to ask for Margaret Capet's hand in marriage.[20]

For Béla, marriages to either Matilda or Margaret would have constituted an anti-German alliance,[21] but Henry II's hesitation in the case of the former may be explained by the fact that while Béla III would have borne the cost of supporting Matilda, Henry II would not have gained anything from it politically, something which was the case when she eventually married Geoffrey, count of logistically important Perche in July 1189. Béla's choice of Matilda as a prospective wife had been bold, as she was according to Kathleen Thompson "the most eligible of King Henry's female relations", Henry II's daughters all having been married by this time. Whether a marriage to Henry's widowed daughter-in-law rather than his granddaughter constituted a climb down for Béla III is not clear. On 24th August 1186 Margaret went to Paris to be married to Béla III, an event about

---

[17] Karl, op. cit., p.51; Hallam, op. cit., p. 176; Weir, op. cit., p. 236 and quoted in full by Fejérpataki László in *III Béla magyar király emlékezete* (ed. Forster Gyula, Budapest, 1900), p. 349.

[18] Fodor István in *Mesélő krónikák* episode 61 (Hungarian Radio, 13th June, 2000); Kristó Gyula, *Magyarország története 895–1301* (Budapest, Osiris, 1998), p. 177. Relevant document quoted in Kristó–Makk–Marosi, op. cit., p. 110.

[19] Karl, op. cit., p. 51. Béla III was not Matilda's only suitor, as William the Lion of Scotland also sought her hand in marriage. She eventually married Count Geoffrey III of the Perche in July 1189. See Kathleen Thompson, "Matilda of the Perche (1171–1210) the Expression of Authority in Name, Style and Seal", *Tabularia* (Caen, 2003).

[20] Soltész claims marriage negotiations went on between Béla III, the Archabbot of Cîteaux and the Provost of Paris during their visit to Hungary in 1183 (op. cit., p. 140).

[21] On a deliberately anti-German marriage alliance see Makk Ferenc, *Korai magyar történeti lexikon (9–14. század),* (chief ed. Krisztó Gyula, Budapest, Akadémiai Kiadó, 1994), p. 443; Kristó, op. cit., p. 171. A marriage to a daughter of Henry the Lion would have been deemed anti-German at this time as a result of the quarrel between Henry and Frederick Barbarossa at the end of 1181 which forced Henry to go into exile in England.

which chroniclers record that Béla was capable of competing with Richard the Lionheart in magnificence.[22]

Henry II's rationale in compensating Margaret at Gisors was to get her off the marriage market and clear of a possibly damaging marriage to one of his troublesome sons, who had been in a state of rebellion on and off since 1173. At the same time Henry II was also in the process of stalling Margaret's sister Alice's prospective marriages to his sons Richard or John.[23] According to the Second Gisors Agreement, Henry II would have to give Margaret an annual endowment of 2750 Angevin pounds,[24] but in the event, at a third meeting which took place near Nonancourt on 17th February 1187, Henry failed to pay the promised allowance to Margaret claiming that in remarrying, she had broken the terms of the contract. This, and Henry II's decision not to allow Richard to marry Alice, led Philip Augustus to leave the meeting and prepare for war. It was at this point that the Third Crusade intervened.

Looking at the unrolling events, it appears that Henry II exploited the presence of Béla III's envoys to marry Margaret off to Béla III and that Margaret's cash allowance, which, according to the March 11th 1186 agreement, would be handled by Philip Augustus, would form a "cash dowry" to be taken or transferred to Hungary. That Henry II was being disingenuous in referring to a non-marriage clause in the endowment agreement is proved by the fact that before the Second Gisors Agreement he would already have known of the forthcoming marriage to Béla III. Indeed, it was a marriage he positively supported,[25] something proved partly by documentary evidence that Béla III had sent three hundred marks to Margaret for the saying of an annual mass at the tomb of Henry the Young at Rouen Cathedral on the anniversary of his death (June 11th), a document Fejérpataki dates to between 1st January and Easter 1186.[26] Margaret was therefore deliberately cheated out of her allowance once she was in distant Hungary, and hadn't deliberately forfeited her allowance for a marriage to Béla III.[27] The fact that it was Béla III who financed Henry the Young King's memorial mass suggests that Béla's payment was made at a time when Margaret was short of funds prior to the first half-yearly payment on

---

[22] Takács, op. cit., p. 22. The chroniclers were André de Chapelain and Drouart la Vache.

[23] Henry II held Alice hostage for twenty years and was accused by some of his contemporaries of keeping her as his mistress.

[24] By means of comparison, the Norman revenue for 1180 was 27,000 Angevin pounds.

[25] Karl, op. cit., p. 51.

[26] Fejérpataki, op. cit., p. 352.

[27] Karl, op. cit., p. 51

the fourth Sunday after Easter.[28] One can assume that Margaret left Paris with at least half of her first annual allowance.[29]

Margaret's Dowry

The progress of Margaret's "great train" across Europe would have born similarities to her former sister-in-law Matilda's journey to Saxony on her marriage to Henry the Lion, when the Emperor's envoys arrived in England in July 1166 to escort the eleven-year-old princess to Germany. As Alison Weir writes, using evidence from the Pipe Rolls:

> Her parents had provided her with a magnificent trousseau, which included clothing worth £63, 'two large silken cloths and two tapestries, and one cloth of samite and twelve sable skins' as well as twenty pairs of saddlebags, twenty chests, seven saddles gilded and covered with scarlet, and thirty-four packhorses. The total cost amounted to £4,500, which was equal to almost one-quarter of England's entire annual revenue, and was raised by the imposition of various taxes, authorised by the King.[30]

Although Margaret Capet moved from the epicentre of Plantagenet intrigue to the court of Béla III on the fringes of western Christianity,[31] the kingdom of Hungary was at this time on one of the well-worn pilgrimage routes to the Holy Land. Indeed, it was in 1147 on the Second Crusade that Margaret's father, Louis VII, then married to her future mother-in-law Eleanor of Aquitaine, became Béla's elder brother Stephen's godfather.[32]

---

[28] According to agreement of 11th March 1186 the annual allowance would be paid in two instalments, the first on the fourth Sunday after Easter to the Templars at St Vaubourg, who then had eight days in which to get it to Margaret. The second installment was to be made in Paris on 1st January.

[29] It has been suggested that a 15th-16th copy of a manuscript referring to Béla III's finances was compiled in 1185 on behalf of the Capets in order to prove Béla's financial credentials prior to a possible marriage to Margaret. This a view which has subsequently been rejected. See: Kristó, op. cit., p. 179. For the text itself see Forster, op. cit., pp. 139-140.

[30] Weir, op. cit., p. 175.

[31] Szűcs Jenő, *Vázlat Európa három történeti régiójáról* (Budapest, Magvető, 1983), pp. 10–11.

[32] This was an event reported in a letter sent back to Abbot Suger. The Second Crusade also witnessed Eleanor of Aquitaine's famous affair with Raymond of Provence in Antioch, a transgression which led to her divorce from Louis VII in 1152 and subsequent marriage to Henry II. It is interesting to note that one of the conditions for the marriage agreement affecting Margaret and Henry in 1158 was that Margaret would under no circumstances be brought up by her mother-in-law. Amid the rancour which followed their betrothal, Henry II took Margaret into his household as hostage, where she would be in the care of Eleanor of Aquitaine.

Shortly after her arrival in Hungary, Margaret's former father-in-law was to ask permission from her new husband, on behalf of both himself and Margaret's half-brother Philip Augustus, for safe passage across the Kingdom of Hungary on what was to become the Third Crusade.[33]

Having arrived in Esztergom after a journey lasting in the region of a month and a half Margaret would have continued to find herself in familiar architectural surroundings, despite having slipped from being titular queen of England, duchess of Normandy and Anjou.[34] Taking into consideration the dated (1156) consecration of the Altar of the Blessed Virgin Mary, which lay to the west of the choir, art historians believe that the reconstruction of the cathedral of St Adalbert in Esztergom was a long and slow campaign which was only completed with the construction of the narthex during the period Margaret was resident at the neighbouring royal palace.[35] The archaeological remains suggest a building bearing the same stylistic traits, and using the same acanthus-leaf motifs, as the great contemporary building projects of the Ile-de-France (St Denis, Noyon, Laon /pre 1160/, Sens/pre 1164/, Senlis) and beyond (St Étienne, Troyes /1160s/).[36]

Despite being in her late twenties when she married Béla III, Margaret did not bear him any children, despite the fact that Béla III cut a fine figure.[37] One can read into this what one wants. As Béla already had two male heirs, Imre and Andrew, there was no compulsion to produce more.[38] Margaret had born Henry the Young King a child, William on 19th June 1177, only for the infant to die three days later.[39] Perhaps, one can glean some information on the state of Margaret and Béla's marriage from Margaret's decision after Béla's death to take the Cross and go on pilgrimage to the Holy Land. In doing so she was not only keeping a promise made by her first husband, which he himself had failed to carry out before

---

[33] Published in Kristó–Makk–Marosi, pp. 74-75. Henry II, however, died on July 6th 1189 before he could fulfil his vow. In the meantime his son Richard had taken the Cross without his father's permission at the new cathedral of Tours. He was to sail to the Holy Land from Sicily, via Cyprus.

[34] The calculation for the length of the journey is based on Gillingham's (op. cit. p. 72) observation that the wagons of a household would have travelled at an average 20 miles a day. Although we do not know her exact route, what we know of the routes taken by pilgrims on their way to the Holy Land, suggests she probably followed the course of the Danube, presumably having either crossed northern France, or gone along the Maas and down the Rhine.

[35] Marosi, in Takács and Wehli, op. cit., p. 154.

[36] Marosi, op. cit., 1984, pp. 54–58.

[37] For the appearance of Béla III: Kristó–Makk–Marosi, op. cit., p. 76.

[38] Anna (Agnes) Châtillon in fact bore him four boys: Imre /b.1174/, Andrew /b.1177/, as well as Salamon and István, who died in infancy.

[39] Weir, op. cit., p. 227.

his untimely death,[40] but going some way to fulfilling Béla's unrealised vow to launch an independent crusade.[41] In his will Béla gave his son Andrew II certain castles and large properties as well as an enormous sum of money in order that he could go on pilgrimage to Jerusalem.[42] In the event Margaret proved much more willing to undertake a pilgrimage, leaving almost immediately, while Andrew waited another twenty years. Béla was buried next to his first wife in Székesfehérvár. This parting of the ways suggests that both parties' obligations, and perhaps their hearts, lay with their first spouses.[43]

Margaret in Esztergom

Margaret Capet's involvement in building activities at Esztergom Cathedral and the royal palace complex has not been proved. Where her name is mentioned as a possible patron it is in relation to the palace chapel. This hypothesis is based mainly on the purity of the design of the apse, which bears a resemblence to contemporary northern French designs at Soissons, Laon and Deuil.[44] That her involvement has not been extended to the palace as a whole has been due to an assumption that Béla III was the patron and that building operations elsewhere in the complex began before her arrival.

What are Margaret's credentials as an artistic patron? That Margaret could have been a patron is supported by the dating for the palace in the documentary evidence we have, which tells us that the palace was still unfinished in 1198.[45] The appearance of Archbishop Job, whose pontificate began in 1185, and Béla, who died in 1196, on the Porta speciosa in the narthex of the cathedral, also correspond with Margaret Capet's arrival in

---

[40] Referring to Geoffrey of Vigeois's account, Weir states: "On Saturday, 11th June, the Young King realised he was dying and, overcome with remorse for his sins, asked to be garbed in a hair shirt and a crusader's cloak and laid on a bed of ashes on the floor, with a noose round his neck and bare stones at his head and feet, as befitted a penitent. His conscience was troubling him because he had once sworn to go on pilgrimage to the Holy Land and had never fulfilled that vow, but William the Marshal set his mind at rest by promising to fulfil it for him" (Ibid., op. cit., p. 234).

[41] Kristó–Makk–Marosi, op. cit., p. 20.

[42] Ibid., p. 112.

[43] It has been suggested that the decision to be buried next to Anna of Châtillon was due to Anna's producing an heir. Margaret's setting up of a perpetual mass funded by Béla III, in memory of Henry the Young King at his tomb in Rouen, may suggest that Margaret herself saw to it that Béla was buried next to her first wife, before she went on pilgrimage (Ibid. p. 32).

[44] Takács, op. cit., pp. 22–24.

[45] 1198 Imre's document giving tithes and mentioning the unfinished palace published in Kristó–Makk–Marosi, op. cit., p. 108.

Esztergom.[46] One gains some idea of how Margaret settled into life in Hungary from Arnold Bishop of Lübeck's description of Frederick Barbarossa's four-day stay in Esztergom in 1189 on his way to the Third Crusade.[47]

> Margaret presented the Emperor with a magnificent tent covered with a scarlet carpets containing a bed covered with expensive bedclothes and a pillow, together with an ivory chair and a cushion positioned in front of the bed of a refinement, "mere words were unable to express". If that wasn't enough a baby white hunting dog had been left to roam on the carpet.[48]

The event was lavish enough to prompt Frederick Barbarossa's son Henry to include the event in the painted programme depicting the key episodes of his father's life at his palace in Palermo.[49]

The description makes an interesting comparison with the objects mentioned above in Matilda of Saxony's train. It is not impossible that the presents were made up partly of objects Margaret had brought with her from France. One can perhaps gain some idea of the appearance of the textiles from the wallpaintings representing Byzantine cloth in the palace of the chapel.[50] In the case of the ivory chair, we cannot assume that it was made from the elephant tusks imported from Africa and India. Indeed, it is more likely that it was made of walrus tusk originating from Scandinavia of a type similar to the throne fragment currently in the British Museum (London, Trustees of the British Museum, 1959, 12-2,1).[51] Certainly the scroll ornament on the London chair fragment would have merited similar praise for its detail and refinement.[52]

---

[46] Marosi, op. cit., 1984, p. 14.

[47] Arnold, Bishop of Lübeck was in Frederick Barbarossa's retinue. Another account of the visit was made by Ansbert. See Györffy György, *Pest-Buda kialakulása* (Budapest, Akadémiai Kiadó, 1997), pp. 98–99.

[48] Györffy, op. cit., p. 98, describes the white hunting dogs as being woven into the fabric rather than being living animals.

[49] Zolnay, op. cit., p. 161.

[50] Entz Géza, "Az esztergomi királyi kápolna oroszlános festménye", *Esztergomi Évlapjai* (Esztergom, 1960), pp. 5–10. Entz associates the style with a Byzantine influence dating back to the arrival of Béla III's first wife, Anna of Châtillon from Constantinople.

[51] Lasko Peter, *English Romanesque Art 1066-1200* (eds. George Zarnecki, Janet Holt and Tristram Holland, London, The Arts Council of Great Britain), p. 210, 227.

[52] Other objects associated with Margaret Capet include the splendid coronation robes made for the coronation of her first husband, Henry the Young King, which took place at Westminster Abbey on 14th June 1170. In the event she was not crowned with him then because of the predicted difficulties this would have caused with Louis VII of France on account of the prohibition of Thomas à Becket as officiating priest. In the event Margaret stayed in Caen with Eleanor of Aquitaine.

Having presented the gifts, Margaret asked Frederick Barbarossa to intervene in the dispute which had caused Béla to imprison his younger brother Géza for fifteen years. This the emperor did, prompting Béla not only to release Géza, but to make two thousand Hungarians available to the emperor to lead the pilgrims through the country.[53] Having been a "hostage queen" herself it was apt that she should intercede on Géza's behalf. Géza had spent eleven of those fifteen years' imprisonment at the castle in Esztergom.[54]

It is interesting to consider Margaret's motives for acting on Géza's behalf. Had they struck up a friendship which could have got tongues wagging in the same way as her presumed relationship with William Marshal?[55] This seems unlikely. Rather Margaret appears to be engaged in realpolitik over an issue in which Béla appears to have been totally intransigent. Béla had after all spent the early years of his reign putting an end to Géza's claim to the throne, to the point of pursuing him into Austria. As Géza had been a pro-German pretender to the throne Béla III needed to be assured from the emperor himself that the threat to his rule was over.[56]

If one is to believe Alison Weir, Margaret would already have had experience at ceremonial occasions, having stood in for her mother-in-law at royal occasions in 1175 following Eleanor of Aquitaine's fall from grace.[57] This view is supported by the Pipe Rolls which show that her allowance was increased at this time to a level far exceeding Eleanor's. Margaret's handling of Béla III and Frederick Barbarossa certainly gives the impression of a woman who is at home with ceremony and diplomacy.[58]

The departure of Géza for Byzantium would have left the palace with one inhabitant less. Whether this inspired any building work we do not know. It is currently thought that the rebuilding took place during the second half of the 12th century at a similar pace to work going on at the

---

[53] Having accompanied Frederick Barbarossa through Hungary, Prince Géza went on into the Greek Lands where he adopted the name Ioannés (John) and married a Byzantine princess.

[54] It was there also that Prince Andrew (later King Andrew) was to be incarcerated during his struggles with his older brother King Imre. It is also possible that it was in the castle that Andrew's wife Gertrude was murdered.

[55] The accusation of an adulterous relationship between Margaret and William Marshal is made in the verse Histoire de Guillaume le Maréchal written by a certain John, who was financed by William Marshal's eldest son, the second Earl William. It was completed after 1226 and before 1229. David Crouch rejects the accusation of adultery saying that it was "an invention of the author of the Histoire, derived from contemporary romances and maybe subsequent, erroneous gossip" (op. cit., pp. 45–6).

[56] Géza was later to reemerge as a claimant to the throne in 1210 during the reign of Andrew II.

[57] Weir, op. cit., p. 220.

[58] It may be his behaviour during Frederick Barbarossa's visit that leads Soltész to describe Margaret as being "particularly well-educated, extremely refined and quick-witted" (Soltész, op. cit., p. 139).

neighbouring cathedral. [59] This is an issue to which we will be returning. In the 1198 document referring to the incomplete state of the palace, Imre also mentions his desire to pass on the royal palace to the archbishop, with the proviso that the archbishop provide accommodation for the royal family when necessary.[60] This suggests that the unfinished palace had become a burden and that the king was keen to be rid of it and all the running costs that it entailed.

The Queen's Residence?

The wording in Imre's 1198 document suggests that he did not want to use the Esztergom palace as a permanent residence, and that the archbishop should provide the staff. In the event, however, the royal palace only became the archbishop's residence in 1249 [61] replacing the archbishops' former residence on the northern side of castle hill (Fig. 3).

We do know that in 1212 the royal palace in Óbuda was being used on a regular basis,[62] while the palace in Esztergom returned to its function as prison for undesirable members of the royal family, as in the case of Andrew II during Imre's reign, and Andrew's wife Gertrude of Andechs.[63] We would like to suggest, therefore, that the arrival of Margaret's household in the summer 1186 marked a significant change in the way the royal palace in Esztergom functioned, and it was at Margaret's behest that major changes were made to the building with the intention of turning it into a queen's residence.[64]

---

[59] Archaeological evidence suggests that the royal palace on the southern tip of castle hill was built during the reign of St Stephen and reconstructed at the end of the 11th century. It replaced the palace built by Stephen's father Géza on the north of the hill site in the vicinity of the church of St Stephen the Protomartyr. It was in the older complex of buildings, later to form the site of the archiepiscopal palace following the foundation of the archdiocese in the first decade of the 11th century, where Stephen was born.

[60] Kristó – Makk - Marosi, op. cit., p. 54.

[61] 1249 is the date most frequently mentioned, although Tolnai states that Béla IV returned the palace to the church in 1256 following the royal lord-lieutenant Simeon's overseeing of the castle during the Mongolian invasion of 1241-42 (op. cit., p. 479). The Mongolians whilst devastating the town, failed to take the castle. See Zolnay, op. cit., pp. 168-9 for the relevant passage of Rogerius's contemporary account.

[62] Arnold of Lübeck and Ansbert mention Frederick Barbarossa's two-day stay at the royal palace in Óbuda in June 1189, a venue which corresponds with Anonymous's description of "the king's palace" built among the springs and the (Roman) ruins.

[63] Zolnay, op. cit., p. 167.

[64] This is a suggestion that is at loggerheads with the conclusions made by László Gerevich in "The Rise of Hungarian Towns along the Danube", *Towns in Medieval Hungary* (Budapest, Akadémiai Kiadó, 1990), who claims that the "unfinished royal house" mentioned in Imre's 1198 document refers not to the royal complex to the south but to building operations at the

It is also tempting to believe that when the queen moved on and onto her pilgrimage to the Holy Land following the death of Béla III, she was accompanied by her household, leaving a complex more or less bereft of staff. Looking at the make up of a contemporary royal household one can gain some idea of the hole Margaret would have left. In the case of a king:

> This was an elaborate domestic service: cooks, butlers, larderers, grooms, tentkeepers, carters, sumpter men and the bearers of the king's bed. There were also the men who looked after his hunt, the keeper of the hounds, the horn-blowers, the archers. Then there were the men whose work was political, military and administrative as well as domestic.[65]

Although we cannot be sure what Imre meant by "unfinished", we would like to suggest that with Margaret's dowry and the arrival of her household, work on the palace was brisk, progressing at a rate comparable with the rebuilding of Canterbury Cathedral, and that any appearance of incompleteness in 1189 was relatively superficial:[66]

> Moreover, in the same summer, that is of the sixth year (1180), the outer wall round the chapel of St. Thomas, begun before the winter, was elevated as far as the turning of the vault. But the master had begun a tower at the eastern part of the circuit of the wall as it were, the lower vault of which was completed before the winter.[67]

If what was going on amounted to a remodelling, it may be instructive to look at Eleanor of Aquitaine's modernisation of a royal residence also standing within the precincts of a cathedral (Fig. 4), namely the work done at Winchester starting in 1160, when she paid Ł22 13s 2d "for the repair of the chapel, the houses, the walls and the garden of the Queen, and for the transport of the Queen's robes, her wine, her incense and the chests of her chapel, and for the boys' shields, and for the Queen's chamber, chimney and

---

old palace built by Prince Géza, situated among the buildings of the archiepiscopal palace to the north of the cathedral. Gerevich suggests that reconstruction work at the former could have taken place before 1198, while the royal palace was rebuilt in the years that followed (p. 34).

[65] Gillingham, op. cit., p. 68.

[66] This view is at variance with Zolnay's opinion that the palace was far from finished and that its completion may be related to Robert of Limoges, who was archbishop of Esztergom between 1226 and 1239. (Zolnay, op. cit., p. 171). Gerevich also believes the royal palace was built later (op. cit., p. 34).

[67] Gervase of Canterbury, "History of the Burning and Repair of the Church of Canterbury" (1185), *The Documentary History of Art Vol. 1* (ed. E.H. Holt, Princeton, Princeton University Press, 1947), p. 59.

cellar".[68] Apart from giving us an idea how much a project of this nature would have cost, the above description describes a residential building project overseen by a queen going on within a cathedral precincts. Not only that, Winchester and Esztergom were also major governmental centres: the former housing the treasury, the latter the chancellery and the royal mint.

Winchester was but one of many Angevin residences Margaret became acquainted with during her childhood.[69] Having spent three years of her life in the custody of Robert of Neubourg, chief justice of Normandy, from the age of six months until her marriage to Henry, Margaret was then transported around with her mother-in-law, staying in royal residences in England (Winchester, Marlborough, Sherborne, Berkhamstead) and on the French mainland (Poitiers, Le Mans, Angers, Argentan, Falaise, Caen, Bayeux and Cherbourg).

Looking at the groundplans of the two complexes, both contain the same constituent elements: a donjon, a great hall, a gatehouse, and a chapel, and they both form an area walled off from the cathedral precincts (Figs. 4 and 5). From the description one can perhaps assume there was a garden at the palace in Esztergom as well.[70] The remains at Winchester are predominantly from c.1130-40, having been built by Henry of Blois.[71] While the repairs made by Eleanor of Aquitaine appear relative minor compared with those undertaken at the palace in Esztergom, the contemporary description of Winchester Castle gives us some idea how the palace at Esztergom would have functioned.

How extensive were the building activities going on between the summer of 1186 and Béla's death almost ten years later?[72] Art historians like Gergely Tolnai argue that building at the palace started in the 1170s and that building operations continued into the 1190s "over a number of campaigns stretching over several decades". The rebuilding of the palace was started with the construction of a separate building two storeys high on the northern

---

[68] Weir, op. cit., p. 158.

[69] Pevsner, Nikolaus and Lloyd, David *Buildings of Britain: Hampshire and the Isle of Wight* (Harmondsworth, Penguin, 1967), p. 657, who quote H. M. Colvin: "If under the Norman Kings England can be said to have possessed an administrative capital, then Winchester shared that distinction with Westminster. For it was at Winchester that the King kept his treasure, and in the C11 and C12 the King's treasury was the heart of his government." The Domesday Book also was kept at Winchester, and it was in Winchester on 27th August 1172 that Henry the Young King was crowned for a second time, this time together with Margaret. For the Archiepiscopacy, the chancellery and the royal mint see: Zolnay László, op. cit., p. 76 and Dercsényi Dezső–Zolnay László *Esztergom* (Budapest, Képzőművészeti Alap Kiadóvállalata, 1956), pp. 14–15.

[70] Marosi Ernő refers to a "southern garden" in his description of the building (op. cit., 1979, p. 8).

[71] Brother of King Stephen of England, Bishop of Winchester between 1129 and 1171.

[72] Béla III died on 23rd April 1196.

part of the site, the so-called "Little Romanesque Palace". To this a great hall was added immediately to the south at right angles to its western end. The argument for an truncated building campaign is supported by the appearance of the carved details excavated and found in situ on the site of the White Tower at the southern end of the site and the sheer scale of the underpinning and buttressing necessary to support the construction of the tower.[73]

The White Tower was built on the remains of St Stephen's palace and formed the central feature of what was essentially a palace within a palace, with an attached chapel and adjunct concealed behind its own wall. The tower takes a polygonal form common at the time in royal castles in France.[74] Some idea of the appearance of Esztergom Castle in c. 1200 can be gauged by looking at the royal castle in Orford in Suffolk (begun 1165–6), which T. A. Heslop compares with the count and countess of Champagne's donjons at Étampes and Provins.[75]

Based on their stylistic similarities the acanthus capitals in the so-called "Saint Stephen's Chamber" at the base of the tower are thought to be contemporary with the earlier stages of the rebuilding of the cathedral.[76] Designs of a similar kind can also be found on the floor above in the capitals of the two round-headed doors and the western portal into the chapel. On purely stylistic grounds it would be here, with two floors of the donjon complete and work in progress on the western wall of the chapel, that one would suggest a break in building activities, as from henceforth, in the chapel, the acanthus capitals are joined by trefoil features, crocket capitals, zig-zag mouldings, dog-tooth as well as other one-off features.[77] It is this

---

[73] Marosi, op. cit., 1979, p. 6.

[74] George Zarnecki, in Zarnecki, Holt and Holland, op. cit., p. 38.

[75] T.A. Heslop: "Orford Castle, nostalgia and sophisticated living", *Architectural History,* 34, 1991, p. 51.

[76] Tolnai draws special attention to similarities with Lombard, Emilian and Provençal acanthus designs (op. cit., p. 485), while Marosi and Wehli suggest forms originating from the Loire region (op. cit., p.38). The numerous comparisons made by Marosi, including those adopted by Tolnai, spread the possible design sources over an ever larger area and perhaps most significantly for us to Champagne (St Remi, Reims; Notre-Dame-en-Vaux, Châlons-sur-Marne; St Madeleine, Vézelay). See Marosi, op. cit., 1984, pp. 54–59.

[77] The designation acanthus and trefoil is sometimes fraught with difficulties due to the existence of transitional forms which could be treated as either one or the other. This is as true for the western portal into the chapel at Esztergom, as it is in the (northern) transept arm at Noyon, William of Sens' capitals on piers III and V at Canterbury Cathedral and the main choir arcade and northern aisle at St Remi, Reims. Looking at the design of the building as a whole, Marosi detects inconsistencies in the designs of the portals into the chapel and the living quarters in the White Tower and their vicinity suggesting a contrived unity forced by a change in conception rather than a break in building activities, a conclusion he supports with photography dating from the 1934-38 exacavations, showing

change in style which art historians tend to associate with the arrival of Margaret Capet.[78] If this was the state of building activities when she arrived she would have had the opportunity to make her mark on the building in a similar manner to Eleanor of Aquitaine at Winchester.

For art historians looking for French influences, it is the articulation of the apse of the chapel which has aroused most interest. The free-standing piers and the vaults at Esztergom have been compared with similar solutions at St Germain-des-Prés in Paris, Soissons Cathedral, Laon Cathedral and St Eugene, Deuil.[79] While one can discount St Germain-des-Près through lack of sufficient similarities, the tribune level transept ends at Soissons Cathedral, the upper eastern transept chapels at Laon Cathedral and the apse at St Eugene, Deuil do offer us a good opening into discovering the design origins of the architecture. Indeed, the list of possible influences could be extended to the second wall passage of the transept at Noyon Cathedral, the chapter house at Reims Cathedral and the Trinity Chapel at Canterbury Cathedral.

In looking for the sources used by William of Sens and William the Englishman, the architects of Canterbury Cathedral, following the fire of 1174, Jean Bony has produced a taxonomy of details all of which can also be found at Esztergom, namely:[80] complicated mouldings,[81] Soissonais and Picardy dog-tooth,[82] acanthus and trefoil capitals,[83] crocket capitals,[84]

---

unbroken masonry between the west wall of the chapel and the arch of the palace entrance (op. cit., 1984, p. 50–51).

[78] See footnote 2.

[79] For St Germain-de-Prés: Entz, op. cit., 1981, p. 61; Zolnay, op. cit. p. 68 and Soltész, op. cit., p. 141. For Soissons and Laon see Takács, op. cit., p. 23; for Deuil: Takács, op. cit., 1984, p. 24.

[80] Bony, Jean, "French Influences on the Origins of English Gothic Architecture", *Journal of the Warburg and Courtauld Institutes* 12, 1949, pp. 8–9.

[81] Tóth, Sándor, "Architecture et sculpture en Hongrie aux Xie-XIIe siecles", *Arte Medievale 1*, 1983, pp. 81–99. The complicated mouldings at Canterbury are directly related to a group around Soissons, with Ambleny being the closest approximation (Bony, op. cit., p. 8).

[82] Used in the ribs on the tribune chapel in the southern transept at Laon cited by Takács and at Dhuizel (Aisne), by Bony, in a similar way to the aisle ribs at Canterbury, and at other Canterbury-related sites in southern England (Chichester Cathedral, Boxgove Priory, Hardham Priory). The use of dog-tooth in this way, sandwiched between two rolls / scrolls, can be compared with the archivault on the west portal into the chapel at Esztergom.

[83] See footnote 73.

[84] Crocket capitals were taken from the Notre-Dame-de-Paris. Their use at clerestory level in the choir at Canterbury should be compared with the free standing columns in the apse at the chapel in Esztergom.

detached shafts,[85] and twin columns and capitals.[86] The conclusion Bony draws for Canterbury is that both architects used similar sources, using features existing side by side in and around the so-called Arras-Valenciennes-Noyon-Reims quadrangle.[87] What is particularly interesting to us is that unlike the sites mentioned above, Esztergom also incorporates the zig-zag, a feature which can be found at Canterbury.[88] Similar English Romanesque features bearing a resemblence to the designs on the double columns in the infirmary cloister arcade at Canterbury Cathedral, associated with the office of Prior Wilbert and dating from the 1150s, can be seen on the jamb columns of the western portal at the royal palace.[89] These are details which take Esztergom closer to Canterbury than any of the sites previously mentioned.[90]

Other distinguishing features linking Esztergom and Canterbury are the *en delit* shafts which have been worked up into a polish, a feature shared by Tournai Cathedral and the now lost church of Notre-Dame-la-Grande in Valenciennes (begun 1171).[91] The single piers supporting the chancel arch in the chapel at Esztergom, in diverging from the double pier design of the apse, adopt a short and stocky format resembling the "intimate proportions" of the double piers in the apse arcade in the Trinity Chapel in Canterbury.[92] Although the single crocket capitals look disproportionately large, the mouldings on the chancel arch at Esztergom also resemble those at

---

[85] Laon, Notre-Dame-de-Paris, Bagneux, Cambrai, Soissons, Canterbury, Noyon, St Remi in Reims.

[86] Twin columns and capitals (the western bays of the nave at St Remi).

[87] Main sites: Noyon (c.1150?–1185); St Remi, Reims (c.1170-75); Notre-Dame-La-Grande, Valenciennes (begun 1171) – descriptions and drawings tell us it was a replica of the choir of Noyon but with shafts of Tournai stone; Cambrai (c. 1175); Laon (c. 1180-85); Soissons (c. 1185). Canterbury was bang in the middle of this movement.

[88] Marosi suggests the transmission of "Norman" elements via the Ile-de-France (op. cit., 1984, p. 69).

[89] Woodman, Francis, *The Architectural History of Canterbury Cathedral* (London, Routledge and Kegan Paul, 1981), p. 81.

[90] The zig-zag does of course feature elsewhere in Europe, at Bamberg Cathedral for example, a site frequently mentioned in relation to the arrival of Gothic ideas. Ideas arriving from Bamberg, however, are associated with the opening decades of the 13th century rather than the end of the 12th.

[91] Detached (*en delit*) shafts appear in England as early as 1165 or 1170, with the source probably being Tournai. Black Tournai marble shafts can also be found at the churches of the Holy Apostles and St Gereon in Cologne.

[92] Severens K, "William of Sens and the double columns at Sens and Canterbury", *Journal of the Warburg and Courtauld Institutes* (London, The Warburg and Courtauld Institutes, 1970), pp. 307-313. At Canterbury the lowering of the height of the main arcade by William the Englishman was caused by raising of the floor level, and with it the shrine of St Thomas à Becket, while retaining the level of the tribune and clerestory levels in William of Sens' choir.

Canterbury. Although wall arcades similar to those in the chapel at Esztergom can be found in the transepts at Noyon, the ambulatories at Sens Cathedral and at the abbey of Ste Madeleine in Vézelay, the fact that the Esztergom design includes a fitful use of dog-tooth, also points to the round-headed arches used at Canterbury.

The long leaf accompanying one of the two corbel heads in the blind arcade on the northern wall of the chapel at Esztergom can also be found in the north aisle at St Remi in Reims. The trefoil leaves at Esztergom are also in evidence at St Remi and Canterbury. As Canterbury does not contain a rose window it is to the Arras-Valenciennes-Laon-Reims quadrangle that one needs to refer. Applying Richard Pestell's analysis of the transept roses at St Yved in Braine, the earliest appearance of the design seems to be in the window of the Salle de Trésor at Noyon Cathedral (completed by 1185, albeit probably a few years earlier).[93] Marble is a material mentioned many times by Gervase in his description of the building activities, and its presence in the pillars of the new building is listed amongst the features which distinguished it from its predecessor.[94] Marble is also a material much in evidence in Esztergom.[95]

Using this geographical area as a starting point would also resolve the debate surrounding the mosaic work in the narthex of the cathedral. While much is made of Béla III's upbringing in Byzantium at the court of Emperor Manuel in an effort to understand the use of incrustation, less emphasis has been laid on the fact that northern France was in thrall of Byzantine art, something most famously expressed by Abbot Suger in his description of the new building work and the consecration of the Abbey of St Denis:

> XXVII. Of the Cast and Gilded Doors. Bronze casters having been summoned and sculptors chosen, we set up the main doors on which are represented the Passion of the Saviour and His Resurrection, or rather Ascension, with great cost and much expenditure for their gilding as was fitting for the noble porch. Also (we set up) others, new ones on the right side and old ones on the left beneath the mosaic which, though contrary

---

[93] Pestell, Richard, "The Design Sources for the Cathedrals at Chartres and Soissons", *Art History*, Vol 4 No. 1, 1981 p. 5. For illustration of the Noyon rose window see: Seymour, Charles, *Notre-Dame of Noyon in the Twelfth Century* (New York, The Norton Library, 1968), ill. 31.

[94] The other distinguishing features are the height and the number of the pillars, the decorated (rather than plain) capitals, the complex vaults and keystones, the open transepts, the double triforium, the height of the building.

[95] Marble of a colour similar to the red Torna marble found at Esztergom can be found at some of the Canterbury-related sites in southern England, like Easebourne Priory, for example.

to modern custom, we ordered to be executed there and to be affixed to the tympanum of the portal. We also committed ourselves richly to elaborate the tower(s) and the upper crenelations of the front, both for the beauty of the church and, should circumstances require it, for practical purposes. Further we ordered the year of the consecration, lest it be forgotten, to be inscribed in copper-gilt letters in the following manner: […][96]

While we do not know the exact appearance of the mosaics at St Denis, or whether they bore any relation to the incrustation work at Esztergom, which was likewise affixed onto the tympanum, the deliberate decision at St Denis to incorporate a feature which was "contrary to modern custom" (i.e. Byzantine) is clear. Suger was also keen that visitors to the abbey would see in it craftsmanship which could be compared with the magnificence of Constantinople.[97] Master Theophilus, who is presumed to be one of the many learned Greeks travelling throughout Europe at the time tells us where one would be most likely to find the craftsmen best suited for executing a particular piece:

> Should you carefully peruse this, you will there find out whatever Greece possesses in kinds and mixtures or various colours; [whatever in artistically executed enameling and various types of niello Russia manufactures;] whatever Tuscany knows of in mosaic work, or in variety of enamel; whatever Arabia shows forth in work of fusion, ductility, or chasing; whatever Italy ornaments with gold, in diversity of vases and sculpture or gems or ivory; whatever France loves in a costly variety of windows; whatever industrious Germany approves in work of gold, silver, copper and iron, of wood and of stones.[98]

This was a philosophy followed by Suger who summoned artists "from all parts of the kingdom".

The pavement at the Notre-Dame-de-St Omer, often referred to in relation to the incrustation work at Esztergom, continues in this vein, as well as being close geographically to the architectural sources mentioned above.[99]

---

[96] De Administratione XXVII, quoted in Panofsky, Erwin, *Abbot Suger on the Abbey Church of S.-Denis and its Art Treasures* (New Jersey, Princeton University Press, Second Ed. 1979), p. 47.

[97] *De Administratione XXXIII*, quoted in op. cit., p. 65.

[98] Quoted in Holt, op. cit., p. 2.

[99] Marosi compares the designs at St Omer with the floor tiles in the Confessor's Chapel at Canterbury Cathedral (op. cit., 1984, p. 64).

Likewise the wallpaintings in the chapel use Byzantine motifs, although there is nothing to suggest that they did not date from Margaret's residence in Hungary. The correspondence between the origins of the architecture and the decorative features suggests that we are dealing here with a project led, and partly executed, by a group of masters and craftsmen handpicked in northern France, and it was they who built the narthex and the palace and perhaps more besides. If Margaret Capet were indeed the driving force, the choice of craftsmen from that particular region would not be surprising considering how much time she spent in and around Paris from 1174 onwards.[100]

It is tempting to suggest that with the first payment of her Vexin allowance Margaret offered contracts to employ masters specifically with the intention of completing the donjon in Esztergom and turning it into a Queen's residence. The chamber next to the chapel would have functioned as a kind of sacristy for the storage of "her incense and the chests of her chapel", and we know that the smaller of the two round-headed doorways on the first floor of the tower led to a garden offering a view towards the River Danube.[101]

The donjon (The White Tower) on the southwestern corner of the site, where the living quarters were, would have offered superb views of the cathedral narthex[102] and St Thomas à Becket's Hill with its Deanery Church and town district. That there was an intention behind the latter is supported

---

[100] In 1176, we know that with grave misgivings, Henry II refused his son permission to go to Compostela, but allowed him instead to visit King Louis in Paris with Queen Margaret, on condition that the Young King would afterwards travel south to Poitou to assist Richard against the rebels. However, after the briefest of visits to Paris, the Young King hastened to Flanders, where he unburdened his grievances to a sympathetic Count Philip. On 19 June 1177 Margaret of France bore the Young King a son, William, in Paris and on 1st November 1179 she attended Philip August's coronation in Reims. One of Louis VII's deeds before he died was to visit Canterbury with Henry II on 22nd August 1179, where he gave gifts to the shrine of St Thomas à Becket. During her period as titular duchess of Normandy building activities were going on at: St Étienne, Caen; Fécamp Abbey (begun 1168); St Laurent, Eu; Coutances Cathedral; Mortemer Abbey. For common design sources at St Étienne, Caen and Canterbury Cathedral see: Grant, Lindy, "The Choir of St Étienne at Caen", *Medieval Architecture and its Intellectual Context* (eds. Fernie, Eric and Crossley, Paul, London, Hambledon, 1990).

[101] Marosi, op. cit., 1979, p. 8. Tolnay calls it "a smaller enclosed court" (op. cit., p. 485). The area was only roofed sometime during the Late Middle Ages.

[102] The main entrance to the narthex was from the north, and there were smaller doors from the west and the south (see Krey /1756/ill. in Zolnay op. cit., p. 103). There was a staircase which would have led up to a gallery with an opening on to the nave not dissimilar to that at Ste Madeleine, Vézelay. According to the descriptions on Krey's 1756 groundplan, the porch, marked with the letter G, leading into the narthex contained the altars of St Luke and St Nicholas as well as an entrance down into the crypt.

by the fostering of the cult of St Thomas à Becket by the daughters of Henry II in the dominions of their respective husbands: Joan in Sicily, Matilda in Brunswick and Eleanor in Castile.[103] It was a cult which manifested itself in an enamel image of the martyr on a gospel cover in the cathedral of Capua (1175-6?), a mosaic in the cathedral of Montreale (1188-9?) and some fine wall-paintings at Brunswick.[104]

The architectural details at Esztergom point to designs in circulation at about the time of the reconstruction of the choir at Canterbury, possibly a little earlier, and for this reason it is conceivable that Margaret was the patron, and that the similarities with Canterbury are not coincidental. Indeed, the appearance of the palace and the narthex would suggest that Margaret was an educated and discerning patron in the same manner as her half-sisters and former sister-in-laws.[105] Having been brought up in the court of Eleanor of Aquitaine, involvement in a project like that at Esztergom is what one would have expected, particularly with the resources she had available to her when she left France.

One can speculate what Margaret did in the short period of time between the death of her second husband and her departure for the Holy Land. It is tempting to suggest that she was as understanding and supportive as Béla III was, when her first husband Henry the Young King died, overseeing his burial next to his first wife, Anna of Châtillon, at the cathedral in Székesfehérvár. When Margaret and her household moved to the Holy Land, where she died in September 1197, she left behind an all but complete palace which had lost its raison d'être, causing Béla III's successor Imre to load the royal palace off onto an archbishopric which was equally loathe to take the complex on. Margaret's royal place was only taken over by the archepiscopacy fifty or so years later: … *si ipso titulo donacionis illa acceptassent et possidere voluissent*.

---

[103] Poole, op. cit., p. 215.

[104] Matilda was co-foundress of St Blasius in Brunswick.

[105] No one has yet speculated Margaret Capet's possible involvement in contemporary building activities at the Cistercian monastery in Pilis founded in 1183.
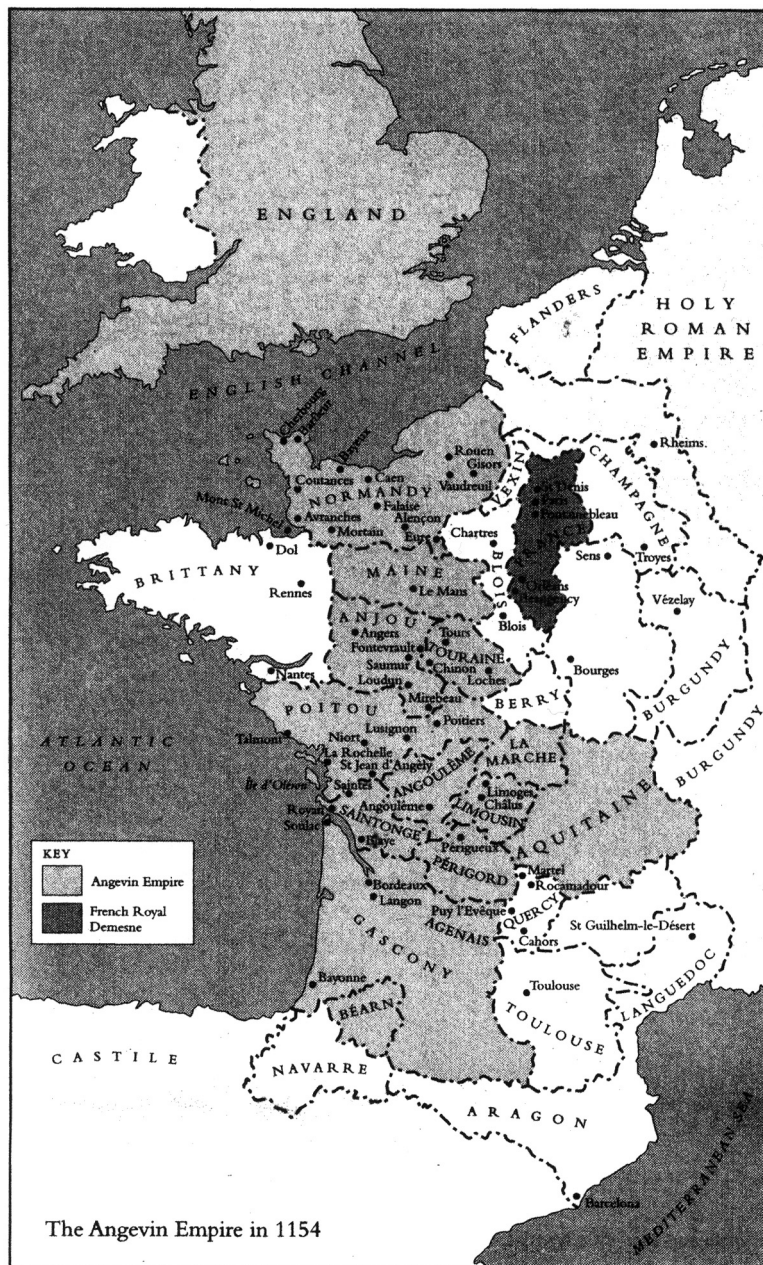
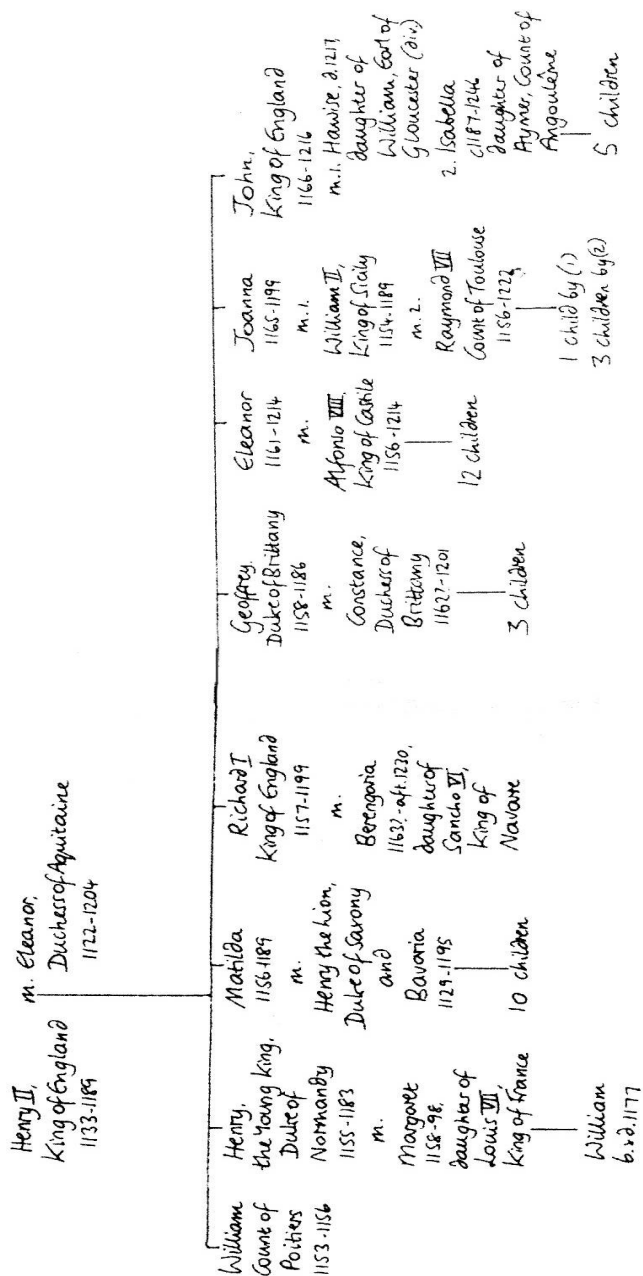*Fig. 1. The Angevin Empire in 1154 (taken from Weir /2000/)*

Fig. 2. The children of Henry II and Eleanor of Aquitaine (Weir /2000/)

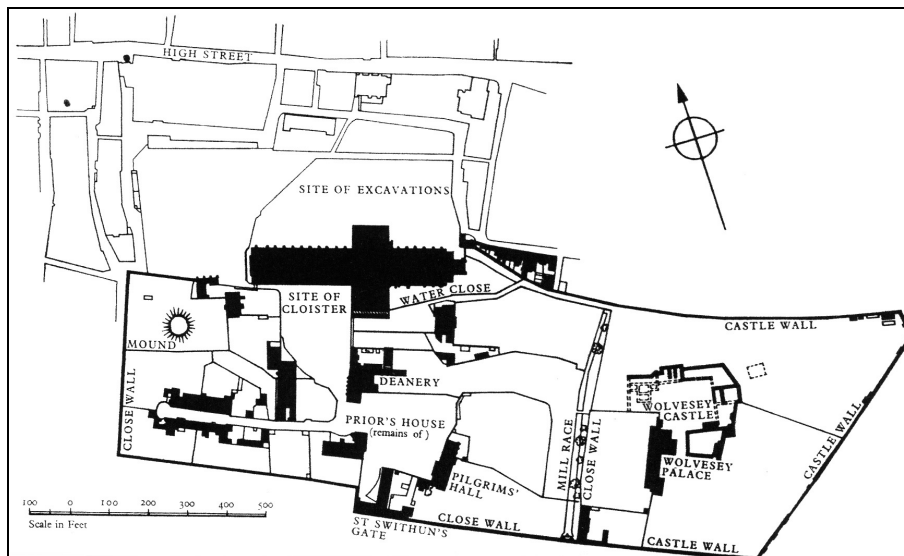*Fig. 3. Castle Hill, Esztergom (Gerevich /1967/)*

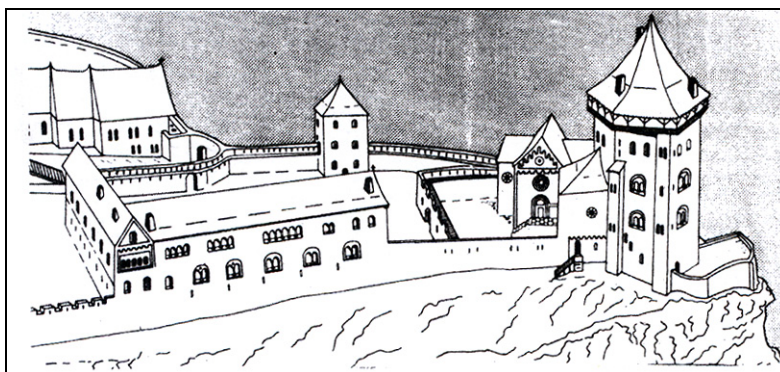*Fig. 4. Winchester Castle (Pevsner and Lloyd /1967/)*

Fig. 5. Artist's impression of the royal palace of Esztergom at the end of the Twelfth Century (István Horváth)

The Revival of Traditional Music and Dance in Ireland and Hungary

Endre Abkarovits

1 Introduction

In our industrialised, urbanised, and globalised modern world the traditional cultures of European nations have been under attack for the last two centuries; a situation that accelerated in the latter half of the twentieth century. Though the pace of this process varied from country to country, and even within the same country from region to region, the tendency appeared to be irresistible. There have, however, always been individuals or social groups (and not only in the last century), who have recognized the importance of preserving traditional culture before it disappears. Others, like some great composers, turned to folk culture not necessarily with the intention of saving it, but to draw on the original sources in order to renew their own art. It was usually urban intellectuals who were in the forefront of saving the nation's cultural heritage in the "final" hour - though it turned out several times it was not the "final" hour yet. In the second half of the twentieth century, particularly from the 60s and 70s, new social and age groups became involved in these efforts, particularly the young.

Ireland and Hungary seem to share some characteristics in reviving traditional culture. It is not only because of the rich heritage of their peasant culture, but it is also due to their historical development. Both countries were in some way at the periphery of the mainstream of European development in the 50s and 60s. Ireland is both geographically at the periphery of Europe, and until recently was one of the poorest European countries. Though geographically at the heart of Europe, but as a result of the decades of Communist misgovernment, Hungary was also a poor country, at least until the 70s when the first tentative economic reforms began, but real change was not possible before 1989. One positive aspect of this economic backwardness was that it created favourable conditions for the survival of rural culture. The slower pace of economic development did not bring about such a radical change in the life of villages in Hungary as in several highly developed Western countries. This was even more so in the case of Romania

where until 1989 an at least two-million-strong Hungarian minority lived (which has decreased to 1.5 million by now), sometimes completely isolated from the world under the Communist dictator Ceausescu.

Though some scientists recognised the importance of collecting, describing and reviving our folk treasure as early as the end of the 19th century and the first half of the 20th century, the fact that from our economically deprived vantage point we could see how rapidly traditional culture disappeared in more developed countries may have contributed to a very conscious approach of trying to save anything of value from this vanishing world, be it a household object or a piece of music. Recently teams of collectors with sophisticated technical equipment have carried out more ambitious preservation programs like the "Final Hour" project in Budapest.

Besides saving the heritage of the past, Ireland and Hungary have also been successful in so far as the result of this preservation has not simply been a collection of "museum pieces', but in both countries, though in differing ways, past heritage has been turned into living tradition. A form of renewing tradition was found which makes almost forgotten music, dances an enjoyable way of entertainment for today's people, and handmade peasant pottery or embroidery a fitting decoration for our modern homes.

Besides some basic similarities between Hungary and Ireland there are also fundamental differences in the way we interpret traditional culture and art - this is what this paper is mainly about. Within the limited length of this essay it is impossible to deal with the fate of the folk cultural heritage of all the peoples of the British Isles. Owing to the slower or faster economic development and geographical isolation there are huge differences between the various parts of Britain. The peoples at the peripheries, who are the farthest from the Continent, seem to have preserved the richest heritage. In particular Irish and Scottish traditions seem to have survived best, and they also demonstrate a lot of similarities, however, I will concentrate mainly on the island of Ireland in this paper, though stressing connections with the rest of the British Isles or the New World will be unavoidable.

But before going into details about the events of the past four decades let us see what we mean by *traditional culture, folk art* in our countries and what other earlier attempts were made at preserving it.

2 Traditional or/and folk culture

The word *culture* itself is a difficult term and it can have very different meanings. Sometimes it is used in a narrow sense meaning only sophisticated things, sometimes as a synonym for "high arts'. But it can also

be used in a very broad sense to cover all important aspects of life, such as housing, schooling, hygiene, dressing, celebrating, entertainment, traditions etc. The same is the case with *traditional culture*. When we speak about *folk art,* for some people it means only the most perfect products, while for others even ordinary household objects, not meant for decoration, may contain aesthetic values, or be representative products of a civilisation.

It is, however, generally accepted in Hungary that by *folk culture, folk art* we mean that of the villages, the traditional culture and art of peasants. This is in direct contrast with the use of the word in England where e.g. a "folk song" often turns out to be the product of a factory hand or a seaman, which is related to the rapid demise of traditional agricultural activities as a result of the Industrial Revolution. In Ireland *folk* also used to be associated mainly with peasantry. For many people the term "folk art" might mean something inferior or prior to "high art". The word was coined in 1894 by Alois Riegl, but by 1898 Hungarian art historian Károly Lyka considered it as art prior to actual art history. "In other words for Lyka the historical objects of ethnography are part of the history of art" (Sinkó 7). A contemporary of his used the word *folk art* only for the most sophisticated pieces of shepherd craftsmanship. Actually, *folk art* applied first rather to folk crafts. As early as 1878 Arnold Ipolyi already warns that Hungarians should rather rise out of their cosmopolitism and pay more attention to the products of the folk of the countryside, since these objects will soon disappear. At that time he followed the German and Austrian official attitudes, according to which museums should collect not what is rare or foreign, but what belongs to the nation's past and identity. This was in direct contrast with the approach of the then director of the National Museum, Pulszky, who thought such a museum should display objects which show the cultural development of the whole human civilization. These examples show that the different interpretations and evaluations of folk art have been around for more than a century, and similarly, also the fears that it might soon disappear.

Béla Bartók said that each folk tune was a model of high artistic perfection and he regarded folk songs as masterworks in miniature, as he did Bach fugues, or Mozart sonatas within the world of larger forms. He held Hungarian folk music in high esteem as early as 1905, even before becoming acquainted with old-style tunes in Transylvania in 1907, which had such a decisive influence on his music, and by 1944 this feeling became overwhelming, as we will see later.

Speaking about *folk art/culture* we have to distinguish two main categories: the material and the spiritual products of the 'folk':

> The concept of 'folk art' (*népművészet*) in Hungarian
> terminology has been gradually extended to include not only
> artefacts but also folk music, folk dancing, and folk poetry. Of
> course, if we use such a general term, we also have to come up
> with additional terms (e.g. *népi díszítőművészet* 'popular
> ornamental art', *tárgyalkotó népmûvészet* 'folk-art design') in
> order to describe the artistic characteristics of the artefacts.
> (Verebélyi 20)

There have been several revivals in the field of producing folk artefacts since the beginning of the 19th century, as there is one these days, which is perhaps best demonstrated by the Festival of Crafts held in Buda Castle around 20th August every year, when hundreds of craftsmen sell their products to thousands of visitors. Not having space here to discuss the revival of folk-art design, I would like to concentrate only on revival movements (especially that of the last decades) of folk music and folk dance.

3.1 The Discovery of Hungarian Folk Songs and Tunes and Their Main Types

Until the battle at Mohács in 1526 Hungary had been a strong state, having about the same population as England. When central Hungary was occupied by the Turks for 150 years, the development of Hungary was stopped. The country had had only Hungarian rulers until then, and Hungarian culture had been able to flourish until 1526, now this was mainly reduced to the principality of Transylvania. The central part of the country was quite deserted, and when the Turks were driven out of the country, in many places foreign ethnic groups settled down. The rulers became the Habsburgs, and as usually, foreign rulers never promoted the cause of national culture. Even much of the Hungarian aristocracy came under the influence of foreign education, they often spoke only German, and they also lost their musical native tongue (Für 120-125). The independence war of Rákóczy against the Habsburgs was also crushed at the beginning of the eighteenth century, but many folk songs from this period still play an important part in our folk music treasure. When nationalism became an important factor in Europe from the end of the 18th century, Hungary was under foreign (Austrian) oppression, and even the Hungarian aristocracy was alienated from their own people and its culture. As Verebélyi points out:

> The discovery of folk culture in Europe largely coincided with
> the formation of nation states. A special interest in folk art
> objects arose in connection with, and in the wake of, the world
> exhibition in Vienna. This interest was frequently driven by the
> goal of teaching domestic but marketable handicrafts to people

in industrially underdeveloped territories, where the peasantry
was unable to make a living from agricultural products. [...] At
the same time, folk art, in particular ornamented folk artefacts,
came to be considered the source and cornerstone of folk
culture. (Verebélyi 21-22)

Similarly, in the Hungary of the 18th and 19th centuries the rise of
nationalism, that is, the quest for national identity drew attention to folk art.
Some leading poets and writers urged the collection of folk songs, and it was
of great merit if a poem of even a famous poet was mistaken for a folk song.
In the middle of the 19th century the first collections of Hungarian folk songs
were published (often in an unprofessional way), at first only the words, but
soon the tunes were also printed, though it was a problem that the collectors
could not always distinguish between folk songs and art songs.

Though there are some other components of our folk music treasure, the
two most important layers are the old-style and the new-style tunes. Bartók,
who distinguished these two main types for the first time, could hear only
old women sing old-style tunes at the beginning of the 20th century. He could
find a greater number of these songs only in Transylvania, in the Székely
region in 1907. The old-style tunes are based on the five-note (pentatonic)
scale, which is typical of many Asian peoples, but on the European mainland
only the Hungarians used it. While the Hungarian language is a member of
the Finno-Ugric family, our musical language is more related to Turkic
music, or rather, they both relate to some common Central Asian source.
Bartók and Kodály drew a lot on pentatonic music as "its distance from
European music of the period from the 15th to the 19th centuries as well as its
high aesthetic value justify the attraction it exercised on 20th century
composers desirous of evolving a modern art music that broke with
impoverished major-minor tonality. [...] it is a basically melody-oriented
style, marked by broadly arched melodic lines, [...] rich ornamentation and
lyrical words" (Dobszay 12).

On the other hand, new-style tunes, which came into fashion in the 19th
century, are the consequence of Western influences. "In Bartók's view these
refreshing melodies, their vigorous rhymes reflecting changed self-
awareness, were much closer to the spirits of the times than the ancient
tunes, which were sometimes melancholic and often alien in mood" (Manga
15). The new-style tunes spread beyond the Hungarian language area and
flourished among the Moravians, Slovaks and Ruthenians as well. Many of
the new-style tunes make use of the seven-note scales, but pentatonic tunes
also occur among them. New-style songs with their strict, dance-step
rhythms were well suited for dancing slow and quick *csárdás*, which became
the most popular dance forms in villages in the first half of the nineteenth

century. In the twentieth century even new-style songs were losing their vigour and at the same time art songs often turned into folk songs.

A musical type that is still often confused with authentic folk music is the "magyar nóta" (Hungarian song), which has its origins in the 19th century, when patriotic feelings lead a lot of people to compose songs in the style of folk songs. As the composers were not peasants, and they had no real knowledge about the genuine nature of folk songs, the result could not be folk songs, but a kind of popular songs, where popularity also meant simplicity. These popular songs were widely known and recognised as theirs by the middle classes, city-dwellers and the upper strata of village people. As Dobszay says:

> The most effective medium for the spread of the *magyar nóta* was the Gypsy band. Ever since their mass appearance in the 18th century, Gypsy bands had no real repertoire of their own (least of all Gypsy repertoire). They played everything that pleased the merry-making public. [...] The Hungarian part of their repertoire rests on two pillars: *verbunkos* (in which they exhibit the best side of their tradition) and the two main forms of the Hungarian *nóta*: revelling and dance tunes, played with a technique that resembles verbunkos ('*csárdás*') and sentimental sorrowful songs ('*hallgató*' – music for listening). (Dobszay 167)

When Bartók and Kodály began their activity around 1900, the situation was rather hopeless. The most important towns, including the capital, were mainly populated by foreign ethnic groups. Many Hungarian towns were German in character in the 19th century, and the more educated townspeople did not understand, or even despised Hungarian folk culture; rootless cosmopolitism was typical of them (Für 130-132). Unlike literature, leading personalities were missing in the field of music in the 19th century. The fall of the 1848/49 revolution also broke the spirit of the nation. Combined with the feelings of the declining gentry this was reflected by melancholic art songs after 1849, usually composed by dilettanti.

Research into Hungarian folk music instruments also started with Bartók and Kodály, but they considered first only those to be folk instruments, which had been made by the peasants themselves (flute, pipe, zither, Jewish harp, the small, legless kind of cimbalom etc.). The ones made by professional craftsmen were not included, like the fiddle, which was first made in Italy in the sixteenth century, but later became the most important folk music instrument in both Hungary and Ireland. The new kind of cimbalom with legs and metal frame was developed in the 1870s, and the taragot (tárogató) in the 1890s by Józef Schunda in Budapest, which also

became popular folk instruments soon, and not only in Gypsy bands (Manga 56).

A new era in Hungarian folk music research began around the turn of the century. Beginning with field work in 1896, Béla Vikár, though himself not a musician, became the first systematic collector of Hungarian folk music. He made use of the Edison phonograph, because he did not consider his musical training adequate for recording text and music. He recorded 1492 songs on 875 cylinders, the greater part of which was later transcribed by Béla Bartók and Zoltán Kodály. It was, in fact, Vikár's cylinders that induced the two young composers in 1905 to concentrate on folk music research. (Manga 8) By the 1930s 3500 cylinders and 155 gramophone records were in the possession of the Folk Music Collection of the Ethnographical Museum, mainly as a result of the collecting activity of Bartók, Kodály, and László Lajtha. Bartók published his book *Hungarian Folk Music* in 1924, Kodály followed him with his *Folk Music of Hungary* in 1937. In these first works the character of Hungarian folk music was investigated. By 1943 Bartók came to the conclusion that the older-style peasant music is undoubtedly the surviving part of the one-time common knowledge of the whole Hungarian nation, as in earlier centuries there had not been such a huge gap between the music and dances of the ruling class and those of the common people. Bartók writes about their enthusiasm for folk music in 1944: "Our reverence for the Eastern strictly rural music was, so to speak, a new musico-religious faith. We felt that this rural music, in those pieces which are intact, attained an unsurpassable degree of musical perfection and beauty, to be found nowhere else except in the great works of classics" (Suchoff 1976: 393).

3.2 The Antecedents of the Dance House Movement

Before the last big wave of folk music and dance revival, the 'dance house movement', which started in the 1970s, there had been some others in the Hungary of the 20th century. One was the *Gyöngyösbokréta* (Pearled Bouquet) movement between 1931 and 1944, when village intelligentsia organized village dance groups to perform folk dances and plays in Budapest theatres once a year. In the final years the performances were extended to other towns and more occasions. Townspeople were exposed to authentic folk dances in this way, while villagers recognized the value of their culture. "It is a well-known fact that in towns and villages where so-called *Gyöngyösbokréta* folk dance groups were formed in the 1930s and 1940s, the knowledge of folk dances and costumes was, even after World War II, sustained more intensely than in those villages where there was no such traditionalist movement" (Verebélyi 27). When some parts of historical

Hungary were re-annexed to Hungary for a few years during the war, the peasant culture of these regions became known in the Hungarian capital as well. The village Szék, which played such a vital role later in the 70s in the birth of the dance house movement, sent musicians and dancers to perform in Budapest in 1941 and 1943, where also gramophone recordings were made of them, which, along with his fieldwork, served the compilation of 110 instrumental and vocal pieces of the music of Szék by composer László Lajtha, published in full in 1954 (Martin 32). Their participation in *Gyöngyösbokréta* greatly contributed to the appreciation of local tradition at home, and Kodály also visited Szék in 1943. As a result of all these events, it became clear that a rich and highly developed body of instrumental music was also present in Transylvania. Unfortunately, in the following decades researchers seemed to be always more interested in collecting and examining folk songs and folk ballads, presumably because it was easier to note down or record the former than transcribe the various instruments in a band. It was Béla Halmos in the 80s, who developed a new method for the purpose of noting down the instrumental music of a complete band.

The major enterprise in the field of folk music collection in this period was the Pátria series of records. Bartók, Kodály and others invited singers and musicians to Budapest between 1936 and 1944 to record in the studios of the Hungarian Radio. Several of these recordings were later published under the label *Pátria*, released again in the '50s under the title *Hungarian Ethnographic Recordings* (Martin 33, Kelemen 50). But before that new era, after World War II the communist authorities, who ruled in the name of 'the people', required 'the people' to sing folk songs and dance folk dances in an artificial way: "The result: several generations learned to abhor folk art for the rest of their lives. The decline of folk culture in Hungary dates to that time" (Halmos 35). Hungary was worse in this respect than most other Eastern countries, where communism was combined with some degree of nationalism, and the slogan of "internationalism" did not prevent them from being proud of and cultivating their traditional national culture. In Hungary, quite until the nineties, and sometimes even these days, the cultivation of traditional national culture counted / counts to be something suspicious in certain circles. The pejorative word *magyarkodás* was coined to stigmatise the kind of behaviour if someone openly expressed his or her pride in being Hungarian.

A third revival wave of 'folk' dances was the formation of amateur folk dance groups modelled on Soviet folk ensembles in the late 50s. This meant, however, dancing on stage to a learned choreography, and the dances did not have much to do with authentic folk dances. Very few people knew Transylvanian dances, there were only a few mute films available, dancers

and choreographers had no direct contact with people living in Transylvania. The dances were stylised, the music was re-worked folk music compiled by composers, the musical accompaniment came from a band or orchestra which had no visual contact with the dancers (Abkarovits 2003: 121, 138). Later in the sixties choreographer Ferenc Novák described the dance culture of the Transylvanian village Szék in a monograph, but it was only in 1969 that these dances were recorded with modern camera equipment.

A more genuine revival of folk culture, which really had a mass influence, was a television show *Röpülj Páva* (Fly, Peacock) at the end of the 60s, where talented singers, musicians, bands were given an opportunity to show the real values of folklore. Some of the leading personalities of the dance house movement of the 70s emerged out of this talent show. In spite of the rare efforts to save our traditional heritage the situation of folk culture in Hungary was disastrous up until the 70s. Village life had been changed drastically by cooperative farming and forced urbanisation; folk culture all but disappeared. Folk singing became a school subject, most children hating it. Gypsy musicians in Hungary practically stopped playing folk music, it was almost never played. It is no wonder that when I talk to leading dance house musicians these days, they often recall that they used to suppose the music played by Gypsy bands in restaurants in the 60s to be Hungarian folk music. They had no idea that authentic Hungarian folk music was still alive, mainly outside the borders, primarily in Transylvania.

3.3 The Hungarian Táncházmozgalom (Dance House Movement)

The most successful, present wave of Hungarian folk music and dance revival started in 1972. In that year the dancers of four leading Budapest folk dance ensembles decided that they would dance folk dances not only on stage and to choreography, but also improvisationally off stage for their own fun. Later one of these, Bartók Dance Ensemble under the guidance of choreographer Sándor Timár decided to open to the public and start teaching dances to anyone interested.

Several factors contributed to this revival. As the first urban dance house fiddler Béla Halmos puts it: "Something that a few people do for a hobby will grow into a movement only if the particular activity meets the needs and interests of the majority, and if the political and cultural constellation is propitious for its growing into a movement" (Halmos 36). By the seventies the political climate began to "thaw" in relation to the period of severe repression following the 1956 revolution, a relative economic development gave a rise in the standards of living, travelling to Western countries became reality. It was, however, equally important that Hungarian citizens were allowed to travel to Romania, where the largest Hungarian

minority lived, estimated to be at least two million strong at that time. Many people from Hungary "discovered" the almost intact Hungarian peasant culture in Transylvania, which, like the whole country, had been isolated from the rest of the world. Musicians, dancers, folklorists headed for remote Transylvanian villages to study living folk tradition on the spot. Their way had been paved, as mentioned above, by choreographer Ferenc Novák (who collected the dances of Szék from the 60s), composer László Lajtha (who had collected the instrumental music of Szék), ethno choreologist György Martin (who collected dances and analysed them), Transylvanian folklorist Zoltán Kallós (who, among other things, collected folk songs and folk ballads, and could – and still can – give practical advice to anyone that wanted to do some fieldwork in Transylvania). In their wake young musicians of the first Budapest dance house bands (Béla Halmos, Ferenc Sebő, Péter Éri, Sándor Csoóri Jr., Márta Virágvölgyi etc.) and dancers went to see how the living dance house tradition worked in the village of Szék (Sic), formerly a town with rich heritage in all walks of life.

Táncház (dance house) had a double meaning: it was the place and the occasion for dancing at the same time. Though *táncház* was also known in other parts of Transylvania, it was Szék which set a pattern for the urban dance houses of the initial period in Hungary, in which mainly dances from Szék were taught and danced. "It was only in Szék that the various types of melodies and dances already extinct in other regions could be found in their entire original forms" (Martin 34). The cofounders of the first *táncház* band, Béla Halmos and Ferenc Sebő, also began to study the instrumental recordings in Lajtha's Szék collection in 1971, as well as learning the playing technique of peasant fiddlers both in Hungary and Transylvania. As to the dances, a whole cycle of dances was danced continuously for approximately 30-45 minutes in Szék. Such "a couple of dances" meant a sequence of dances that a couple would dance through together, beginning with slower dances, followed by the lads' solo dances (originally at the beginning of the cycle), continuing with faster csárdás dances, ending with dances originating from other ethnic groups (the Saxon 'seven steps' and the Czech 'porka' (polka)). During a set of dances certain tunes were accompanied by the singing of the dancers, while other sections were only instrumental music. There were, however, other types of folk songs (e.g. folk ballads) or other occasions (in the spinning room, when working at home or in the field) when singing was not accompanied by instrumental music. The order of the dances was faithfully learnt and passed on to dance house-goers in Budapest and provincial towns. Similarly, musicians learnt the technique of playing folk music and the old-style tunes. The typical composition of a Szék band was: fiddle, viola and double bass. Although people in Hungarian

towns meant to imitate carefully what the musicians or the dance instructors had seen and learnt in Transylvania, because of the differing surroundings and conditions, a lot of things functioned in a quite different way in the urban dance houses. I would summarize the most important features based mainly on the description of Béla Halmos (Halmos 31-35):

	a typical village dance house in Transylvania	a typical urban dance house in Hungary
location	a room in a private house in winter or the barn in summer	a club or a cultural centre
musicians	a local Gypsy band, or one from a nearby village (exceptionally a band of Hungarians)	Hungarian musicians
status of musicians	semi-professional, they may have other jobs as well	semi-professional, they normally have a job or they may be students.
musical training of the musicians	taught by their elders, they cannot read music	often with some music school training at classical music; they learnt to play folk music from fellow-musicians and village fiddlers just through observation.
organisation of the dance house	by some lads ('underwriters')	by members of the band or dance instructors
dances danced	local dances	dances of various Hungarian regions and those of other countries (normally a dance house is specialised in either the dances of one or several Hungarian regions or in another nation's dances)
musicians' repertoire	the music of the local ethnic group(s) and that of the ethnic groups of nearby villages	they are either specialised in one or two musical dialects or know the music of a wide range of regions in historical Hungary; some Hungarian bands also play the music of other ethnic groups in or outside Hungary, or even specialise in them
dancers	only unmarried people	anybody, but mainly young people corresponding to the age groups of the original village dance houses

dance instruction	not in the dance house, but for children at 'the tiny ones' dances' before it, for grown-ups elsewhere	in the dance house by instructors, who are often a couple of dancers
financing	dancers share the costs	there are entrance fees, but these do not cover the expenses, so a lot depends on state subsidy or sponsors
singing	the band has no singer, only a few exceptionally talented fiddlers can sing while playing; it is the dancing people who sing	many dance house bands have a singer, who sings solo or along with some other members of the band on stage

After the initial period the dance repertoire in Budapest dance houses was soon extended to those of other regions in Transylvania (Kalotaszeg, Mezőség, Küküllő mente, Székelyföld). Though the idea of the dance house originated from Transylvania, the urban dance houses were started there on the pattern of the Budapest ones only with a five-year delay. Some fine bands were set up, two – *Bodzafa* and *Barozda* – excelling. Just like members of Hungarian bands they started their activity with fieldwork, collecting folk songs and tunes in villages, following the instructions of folklorist Zoltán Kallós, the mastermind behind the whole movement. Transylvanian bands were also permitted to release a few records between 1980 and 1984. The Transylvanian dance house movement was, however, short-lived. The growing repression of the Ceausescu regime forced most of the musicians and singers to leave the country by the mid 80s. Only a few remained until the beginning of the nineties, who were employed in showcase dance ensembles, but were not allowed to play in dance houses. Some formerly leading Transylvanian musicians play an important role in Hungary's cultural life, others are scattered around the world, mainly in Germany and Sweden. Only a few remained in Romania, like the best-known singer, Kati Panek, who is a well-known actress in Cluj. Since 1989 some new bands of young musicians were set up from time to time, but the really good musicians (like those of the *Üsztürü*) have tended sooner or later to move over to Hungary. There are some professional Hungarian dance ensembles in Transylvania (*Hargita, Háromszék, Maros*), which try to cultivate dancing and musical traditions in spite of all hardships (Abkarovits 2003: 145–160).

In Hungary musicians recognised in the meantime that traditional music and dances have survived not only in Transylvania, but also in today's Hungary and in other neighbouring countries as well. The music and dances

of Szatmár, Rábaköz, Sárköz, Palócföld, Bodrogköz etc. (all ethnic regions in today's Hungary) have become almost as popular in the dance houses as the Transylvanian ones. The music of the Easternmost groups of Hungarians, that of the Csángó people living in and beyond the Eastern Carpathians in the Gyimes Pass and in Moldava seems to attract a lot of young people. As some of their dances are the most archaic chain dances, and are relatively easy to learn, such dance houses seem to attract more visitors these days than some other Hungarian dance houses where more complicated (cycles of) dances, among them couple dances, are taught. The number of dance house bands is estimated at 60–70, so a few dance houses struggle to survive because of the competition.

The instrumental and vocal heritage of folk music has left the halls of dance houses, and almost from the beginning it has also appeared at concerts and on recordings, which has made the performance of genres other than dance music also possible. Concerts and records provide chances of getting known even for such groups which have no dance house of their own or do not play folk dance music, or it is only part of their repertoire. Unfortunately, the number of concerts is fairly restricted and the distribution of records is far from being perfect. From among the many excellent records very few are seen in record shops, and even those are mixed up with other musical genres. In most music shops sellers do not seem to have any idea of what authentic folk music is.

An important development in the field of saving instrumental music was the 'Final Hour' program. This was modelled on the *Pátria* recording program of the 30s and 40s, and that is why the record series released for the public is called accordingly *New Pátria*. The leader of the original Transylvanian part of the project was László Kelemen, who arranged in 1997 and 1998 for forty-six folk bands to be invited to Fonó ('Spinnery') Music Hall in Budapest, where approximately 650 hours of music were recorded mainly for further research, but a CD from each group is gradually released for the public. As there are only minor differences in the instrumental music played by Hungarian, Romanian and Gypsy bands of any given village in Transylvania, not only Hungarian music or Hungarian bands were recorded. The recordings also testify to the unitary instrumental folk-musical language in Transylvania. In two follow-up projects first the music of folk bands from historical Upper Hungary (today's Slovakia) playing Hungarian, Slovak, Ruthenian and Goral music, then the music material of 'Lesser Hungary' (today's Hungary, plus some other regions outside the border that had not been parts of the previous projects) was recorded (Kelemen 51).

Another favourable development related to the dance house movement is the multiplication of summer dance camps, especially in Hungary and Transylvania, but also in other neighbouring countries. In these camps young people can learn both local dances and music, and sometimes those of other regions, moreover, some handicrafts are also taught in these camps usually. The fact that these camps are attended by young people from all over the world has contributed to the inspiring of the interest and pride in the local dances, and in some villages local people have begun to learn their own dances again. The highlight of dance house events is the annual National Dance House Festival, usually held in the biggest sports hall in Budapest, a two-day extravaganza attracting some 15000 participants from all corners of the Carpathian Basin.

Besides the urban dance houses and summer dance camps there is hardly any folk dancing today. Even in those remote Transylvanian villages like Szék, where the whole movement started from, there are no more regular dance houses and even on festive occasions like weddings, where the whole event used to be accompanied by folk music and the night (often two or three consecutive days) was spent dancing authentic dances, such a celebration has become a rarity in the past fifteen years. Even at those weddings where the young couples are willing to dress up in folk costumes, only some short period is dedicated to the traditional dances for the sake of the elders. Now it seems that urban musicians can master their authentic music much better than some local bands. It was a symbolic event in the 90s when a Budapest band, Kalamajka, consisting of three scientists with PhD degrees in different academic disciplines, were playing music to dancing for two days at a wedding in Szék. The fiddler was the same as that of the first urban dance house band, Béla Halmos.

Singing folk songs outside the dance houses is also rare. Most singers' activity is connected to some dance house band or some professional dance group, even if they also perform solo or with other bands. For example, Márta Sebestyén, the best-known Hungarian folk singer, who usually performs with the best-known band, Muzsikás, also performs with many other bands and has countless recordings. There are a few relatively well-known singers who are not so much connected to one band or ensemble, and they usually do not sing in dance houses (e.g. András Berecz, Katalin Szvorák, Mária Maczkó etc.). There are, however, a number of talented, mainly female, singers who are almost unknown to the wider public: Ágnes Herczku, Ágnes Szalóki, Kata Horváti, Marianna Majorosi, Kinga Hajdú, Ferenc Németh etc.

There are some bands whose leading musicians also started as members of dance house bands, but in the meantime they have changed their styles.

Ghymes or Kormorán, for example, play mainly their own compositions, introducing several new musical instruments while retaining some traditional ones. Their story is the most similar to that of the bands of the Irish revival, with the difference that in Hungary they are not considered to be folk musicians any more, but the music they play is described either as folk rock (Kormorán), or world music (Ghymes).

4.1 Irish Folk Music in the Past Few Centuries

These days we can often see records with titles *Celtic Music* or *Gaelic Music*, though they usually contain songs composed recently by a known artist, sung in English in the majority of the cases, accompanied by musical instruments, some of which were not known even a few decades ago in Ireland. Even an author who uses this term admits: "it's true that a substantial part of the current Celtic 'scene' has little to do with authentic Celtic tradition. Even those who purport to play some form or another of Celtic music seem to have forgotten their roots. Packaging of traditional music is commonplace. Quite often the musical mingling of completely different cultures, such as African or Cajun, seems a bit forced, contrived, artificial. Yet, in the right hands [...] musical cross-fertilization can be a quite healthy and exhilarating experience, for musician and listener, alike" (Sawyers 2). This is true, but the result is not *folk* music. Irish musicians are aware of this and tend to avoid using the word 'folk'; they use 'traditional' instead. Nevertheless, they still call it 'Celtic' or 'Gaelic', which suggests that it must be something ancient, but it is not.

Has 'Celtic' really become synonymous with 'traditional'? To a certain degree yes, though some people claim it is just due to the American usage of the word (Abkarovits 2005: 33). Unfortunately, I am afraid, it is more widespread than that. The use of 'Celtic' has been strongly connected with the singer Enya, whose ethereal voice and enigmatic songs represent a type which might associate these songs with the mysterious Celts, who arrived in Ireland from mainland Europe around the fifth century BC. Besides, Enya comes from an Irish family, she began to sing along with her sister and brothers in the group Clannad, which has been one of the most successful Irish groups for a long time. Her family, the Brennans cultivate Irish traditions and also speak Gaelic; they sometimes also use the Gaelic forms of their names. (Eithne Ni Bhraonain – Enya, Maire Ni Bharaonain – her sister)

There are 6 or 7 Celtic nationalities: the Irish, the Scots, the Manx, the Welsh, the Bretons, the Cornish, and the Galicians in Spain can also be added. It seems that the kind of music coming from their lands and having some connection with their traditions, though often very little, is labelled

'Celtic'. What they have in common is mainly the use of some traditional musical instruments, especially the pipe, and a kind of 'Celtic spirit', which is full of emotions like joy and sadness, sorrow and delight. But it was not always clear even for Irish or Scottish people what they should consider as their own music. As Scottish fiddler Aly Bain puts it: "Music has always given the Scots their identity, but when I was a kid, nobody knew what our music was, so the identity wasn't there. Our identity is always going to hinge on our music and our culture, and if you don't preserve it, then we will just become another European satellite" (Sawyers 5). This is very similar to the thought of Kodály, who emphasised that each generation has to re-create its own national culture, otherwise national identity will be lost. As I have mentioned in the introduction, I will mainly concentrate only on the Irish branch of the Celtic tree in the rest of my paper.

But what happened to the old folk songs and music of Ireland? And, in general, to Irish traditional culture? As the majority of the population do not speak Irish Gaelic any more, those particular musical genres that are very strongly connected to the spoken word have lost a lot. For example, Irish ballad tradition is a mainly English-speaking one, very few ballads have survived in the Irish tongue. As music - instrumental, but, to a certain extent, also vocal music – was not heavily dependent on language, and though it must have gone through a lot of changes, it might still preserve many traits from earlier centuries.

Irish music has its roots in the bardic tradition. The bards' activity was still encouraged when the Normans went to Ireland in 1169, and the aristocracy patronized bards. The bards had to memorize heroic literature, but they also wrote original verses. First they were accompanied by musicians, but later, from the seventeenth century, the two roles merged and the bards themselves accompanied the poems on harp. Irish was a literary language and a lingua franca between the Irish and the Scots from the 13th to the 17th century. Only men could be bards, but women also composed poems and folk songs. The Normans appreciated Irish musical traditions and also influenced them through the courtly love songs of the troubadours. There were intermarriages and also a cultural intermingling between the Irish and the Normans. The Welsh historian Giraldus Cambrensis, who did not have otherwise a good opinion about the Irish, wrote in the 12th century:

> I find among these people commendable diligence only on musical instruments, on which they are incomparably more skilled than any other nation I have seen. Their style is quick and lively. It is remarkable that, with such rapid fingerwork, the musical rhythm is maintained and that, by unfailingly disciplined art, the integrity of the tune is fully preserved

> throughout the ornate rhythms and the profusely intricate polyphony. (Ó hAllmhuráin 23)

The continual English invasions, however, changed this in the following centuries as there were efforts from the 14th century onwards on the part of the English to restrict Irish language and customs. In 1366 the Statute of Kilkenny prohibited the Normans from using Irish laws, language and customs. "There could be no alliance between Norman and Gael, either by marriage, fostering of children or concubinage. It also became an offence to entertain native bards, pipers and harpers 'since they spy out secrets'" (Ó hAllmhuráin 24). Later the Tudors, fearing that Catholic Ireland might ally with Spain, began to bring Ireland to its knees. Elisabeth decreed in 1603 that bards and harpers should be executed 'wherever found' and their instruments be destroyed. "Two musical cultures coexisted under English denomination: the music of the native Irish-speaking community and that of the colonial ruling class – essentially the music of Western Europe. The Gaelic heritage found expression in its folk songs and tunes, the Anglo heritage in European music, perhaps epitomized by the performance of Händel's Messiah in Dublin in 1742" (Sawyers 22). In the 18th century these laws became less stringent, and it was even possible to organize the Belfast Harp Festival in 1792, which gave an opportunity to Edward Bunting to transcribe the airs played by the last Irish harpers, and compiled one of the most important collections of Irish tunes to this day. Unfortunately, the same happened what we have seen in connection with 19th century Hungarian collectors: Bunting was not really versed in authentic transcribing because of his different musical education. His training in classical music did not enable him to note down the closely connected rhythms of Irish music and poetry. Bunting visited all the harpers in their home after the festival and took down more music. Some of the pieces came from the most famous harper Turlogh O Carolan (1670-1738), who was a blind musician, as most of the harpers at the Belfast Harp Festival were.

Besides the harp, traditional musical instruments in Ireland are the tin whistle, the uilleann or union pipe, the fiddle, the bodhran, and the flute. The flute is a woodwind, and has a warm tone. The tin whistle is older in Irish traditional music than the flute, and is said to be the most democratic instrument as it is very cheap. The uilleann pipes emerged in the eighteenth century and completely replaced the original mouth-blown pipes by the end of the nineteenth century. It takes years to master this instrument, and it has a broader range than the Highland war pipes of Scotland. It is hard to believe that this most Irish of musical instruments was threatened with complete disappearance at the beginning of the twentieth century. "The fiddle, being well-suited for dance music, was popular throughout Ireland by the

eighteenth century. Indeed, much of Irish dance music was composed by fiddlers. Scots fiddle music also had a great influence on Irish fiddling tradition [...]" (Sawyers 59). It is said that you can recognize through the style which region a fiddler is from. Donegal, which is perhaps the biggest stronghold of Gaelic traditions, is said to use less ornamentation and a loud, driving technique. It is similar to Cape Breton in America, where Irish emigrants have also preserved an old style. Other traditional music instruments in Ireland are the melodeon, the concertina, and the accordion, which are also called free-reed instruments.

> Despite Continental influences, though, traditional Irish music never really died. The people of the countryside continued to keep it alive over the centuries with their love songs (the most common), vision poems (called *aisling*), laments, drinking songs, and work songs. [...] During the changeover from Irish to English, many songs were lost, and other songs lost their distinctive Irish qualities. Still, they retained much of the Irish character in both their subject matter and their robust sense of humour. (Sawyers 7)

As leading Irish musician Andy Irvine told me in an interview last year, it is mainly the ornamentation and the rhythm that distinguishes the music of one nation from the others (Abkarovits 2005: 34). Ornamentation can apply to songs and tunes, which is very important in Irish music: "When applied to singing, *ornamentation* means slightly varying the notes or stopping or prolonging them. The singer may stretch certain syllables. [...] In traditional Irish songs, it is the words that are of paramount importance. *Sean-nós* is a distinctive Irish singing, highly ornamented and owing much to the ancient bardic tradition, when poems were transmitted orally from generation to generation" (Sawyers 7). "*Sean-nós*, or old-style singing, as it is called, is sung a capella and tends to stress the lyrical over the narrative [...] the decoration of *sean-nós* bears a striking resemblance to Arabic music" (Sawyers 100-101). "There is no display of emotion or dramatics in *sean nós*. The singer is expected to vary each verse using improvisation, an implicit musical skill which requires subtle changes in rhythm, ornamentation and timbre" (Ó hAllmhuráin 12). When the old Gaelic order collapsed in the 17th century under English power, the demand for these songs diminished, but they did not completely disappear.

Like throughout Europe, ballads have also been popular in the Celtic lands. They are narrative poems, which are usually sung. Folk ballads were sung by ordinary people, and the more popular a ballad was, the more variants it had. They were meant to be entertaining, they had topics accordingly: tragic love, murder, betrayal, unrequited love, adultery etc. Irish

folk music – just like Hungarian – falls primarily into two categories: songs and dance tunes. It is estimated that there are more than six thousand dance pieces including jigs, reels, and hornpipes. The jig is the oldest surviving dance music and has three main variants: the single jig (6/8), the double jig (6/8) and the slip jig (9/8). Most Irish jigs are native, but some of them were borrowed from England. Many reels, played in 4/4 time, come from Scotland. Hornpipes are also played in 4/4 time, but at a slower pace than the reel: "The vast majority of the airs and tunes we know today were composed during the last three hundred years, most during the latter half of the eighteenth century and the early years of the nineteenth. [...] The earliest instrumental music dates back to the sixteenth century" (Sawyers 9).

Of course, certain instruments had been in use before that. The harp players, for example, had a professional status from the eleventh to the sixteenth century, harp music was the art music of Ireland's Gaelic culture. After the Tudors' decrees, however, harpers became travelling musicians turning from court musicians into folk musicians, struggling to survive. Traditional singing was usually performed unaccompanied. Though the musical traditions of Scotland and Ireland are in many ways alike, there are song types (waulking – working – songs) and dance types (strathspay), which are typical only of Scotland. Also the musical instruments are somewhat different (uilleann – elbow – pipe in Ireland, bagpipe in Scotland). It is also interesting that much of traditional Celtic music is pentatonic, which, as already mentioned, is otherwise a living tradition only with Hungarians in Europe (Sawyers 14).

Classical music has been around in Ireland at least since the 18th century, and just as it has been the case in many countries, classical composers have often turned to folk music to renew their art. For some composers Ireland's isolation was rather an advantage than disadvantage. Composer Patrick Cassidy writes: "For two centuries we were a peasant nation [...] For me as an Irish composer now, that's almost an advantage, because there is so much unexplored territory: I think it made it a lot easier for me to find a voice than if I had been born a German composer, or an Italian composer, with the weight of all that tradition bearing down on me!" (Sawyers 40)

4.2 Dancing Occasions until World War Two

While history has left a lot of accounts of music in pre-Norman Ireland, we have none of dancing. There was not even a native Irish word for dancing. The two words for dancing, *rince* from English *rink* and *dahmsa* from French *danse,* were not used in Irish until the sixteenth century. The earliest

written evidence for dancing dates from 1413. (Ó hAllmhuráin 26-28) It is, however, not likely that there was no dancing before this.

As to folk dancing, in later centuries it was done on domestic grounds, in the house, or the barn, or the courtyard, depending on weather. The more ancient (18th century) dances we know about are those corresponding to the dancing tunes of jigs, reels and hornpipes; more recent, "foreign" dances are polkas, mazurkas, waltzes, and others. But perhaps the best-known Irish dance in the world is step dance, which may have reached Ireland from Scotland in the 18th century. At that time dancing masters appeared in Scotland and Ireland, who behaved like gentlemen of the countryside. Travelling around in their own district in the company of a musician (a piper or a fiddler), for a while they stayed with farmers and taught dances in houses or at crossroads. In the seventeenth century Irish dancing tended to be of a communal nature – the group dancing or the country dancing of the countryside. In the eighteenth century, though, an altogether different type of dance emerged – the solo, or step dance – which changed the face of the Irish dancing tradition and became, in the words of journalist Sam Smith, "the single most important development in the history of Irish dance" (Sawyers 49). Bodies had to be kept rigid, motion was restricted to the hips down. This dancing ideal – minimal body movement with fancy footwork – remained the model until Riverdance's revolution in 1994.

In the 19th century the Catholic Church began a campaign against dancers and musicians. Priests kept breaking up cross-road dances and house parties. The situation was not better in the first half of the 20th century either as during an anti-dancing hysteria in the 1930s the Gaelic League also banned set dancing and encouraged only solo competitions (mainly for girls). A law in 1936 declared dancing not only sinful (as the Church did), but also illegal:

> House dances, the breeding ground of authentic Irish music, were outlawed in most areas of rural Ireland. Thus the only legitimate venue for dancing was the church hall. [...] Many traditional musicians chose to emigrate to England or, more often, start all over again in America. Another consequence of the Dance Halls Act and the clergy-controlled dance halls was the founding of the ceilidh (or ceili) bands, a sort of compromise between church-sanctioned oppression and the people's love of good time. (Sawyers 53)

One of the few advantages of these big bands was that they kept a lot of musicians employed. The dance was also called ceilidh dancing and the bands played all kinds of popular songs of the day. Sometimes several

thousand people were dancing in a hall, but this did not have much to do with folk dance.

4.3 The Revival of Traditional Music from the Sixties

In the late 50s a new kind of music was being performed throughout Britain: called *skiffle*, it combined elements of folk and jazz and was based on and inspired by American music. After a short time, skiffle splintered into folk on the one hand and rock on the other; moreover, folk clubs were also beginning to form. Though the American influence did not stop, singers began to be interested in their own culture while the songs often had a political charge. Scottish singer Ewan McColl played an important role in this folk revival. This was a grassroots (ordinary people's) revival, unlike some earlier 'academic' revivals. Another key figure was American Woody Guthrie, who wrote a lot of protest songs, and used traditional melodies for his lyrics. He influenced an entire generation of singers from Pete Seeger to Bob Dylan, from Donovan to Joan Baez. But when the acoustic guitars were replaced by electric ones, and when the Beatles started their career, the folk boom was over and folk began to merge with rock. Many musicians, however, went on experimenting with combining musical genres, traditional and electric instruments. The short-lived, but influential Irish *Sweeney's Men* was an electric folk band, also playing traditional ballads.

The first really important group of the Irish traditional music revival, *Planxty* was formed in 1972, the same year when the Hungarian dance house movement started. They combined traditional music with their own compositions and they remained primarily acoustic. The band's members (Andy Irvine, Liam O'Flynn, Christy Moore, Paul Brady, Dónal Lunny) have ever since remained outstanding representatives of Irish revival in various other formations. The leading personality of the group, Christy Moore, was a folk singer committed to tradition. But they played both traditional (bodhran, uilleann pipe) and new (guitar, bouzouki, mandolin) instruments. "In essence *Planxty* gave tacit permission for later generations to experiment and explore within the previously confined box of traditional music. [...] With their fresh approach [...] *Planxty* changed forever the way Irish music was heard and the way people, especially younger generations perceived it. No longer would it be the music of an older generation; rather it became a living and vibrant music of Irish youth" (Sawyers 225). Andy Irvine told me in the above mentioned interview that a few decades before it would have been unthinkable that a traditional Irish fiddler would have accepted bouzouki accompaniment, which turned out to be one of the sources of their success (Abkarovits 2005: 35).

Another important group was *The Bothy Band* (1975-1979). They also mixed traditional and modern musical instruments: the melody section being traditional (pipes, flute, whistles, fiddles), while the rhythm mainly modern (guitars, bouzouki, along with traditional bodhran). Among the members of their first formation and in the later line-ups, we can find such leading musicians as Matt Molloy on flute, Dónal Lunny on bouzouki, Donegal fiddler Tommy Peoples and another fiddler, who joined them later, Kevin Burke. Both *Planxty* and *The Bothy Band* helped popularise Irish folk music by introducing a minimum of electric instruments (electric keyboard with *Planxty* and electric clavinet with *The Bothy Band*) and innovative arrangements. Later on some members of these two groups (Irvine, Burke, Lunny), complemented by further outstanding musicians, formed another supergroup, *Patrick Street*, which has been active until the present day. A series of young singers, especially females, as in Hungary, have emerged in the past decades: Dolores Keane, Mary and Frances Black, Karen Matheson, Maire Brennan, Maura O'Connel, Maighread and Triona Ni Dhomnaill, Niamh Parson etc. Many of them also sing in Gaelic, and there are singers, like Ireland's top female singer Mary Black, who sings at least as many songs of other genres as traditional ones.

The group that millions of people worldwide associate Irish traditional music with for four decades has, however, been *The Chieftains*. Its origins go back to another group. Before the sixties traditional music in Ireland was rather a solo art. In 1963 composer Ó Riada composed the film soundtrack of *The Playboy of the Western World.* He had put an ensemble together some time before it, the *Ceoltoiri Chualann*, who were to play the music for this film. He combined traditional with classical instruments, and his aim was to return traditional Irish music to the people. Some of the members of this group formed the basis of *The Chieftains* (uilleann piper Paddy Moloney, fiddlers Seán Keane and Martin Fay). They were joined later by harper Derek Bell, bodhran player and singer Kevin Coneff and flutist Matt Molloy. Since 1979 their line-up has not changed, which may be one of the secrets of their success. They have attracted fans not only from the Celtic corners, but musicians of other genres from Mick Jagger to Paul McCartney. By 1979 they had become so popular that they performed before an estimated crowd of 1.35 million in Dublin (Sawyers 253). The leading personality of the band, Paddy Moloney managed to make *The Chieftains* not only the best traditional Irish band in the world but also the best known. They were the first Western group to perform on the Great Wall of China, for example and in 1989 they were named Ireland's official musical ambassadors.

In the 80s and 90s a new generation of Irish musicians emerged. Among those which look for the traditional roots, *Altan* is generally acknowledged

to be the best group. Their flute and whistle player Frankie Kennedy died at an early age, but his wife Nairéad Ní Mhaonaigh, a native Donegal fiddler, who also sings mostly in Irish, has proved to be an outstanding leader of the band. This ongoing experimentation over the years has created a cross-fertilization between musical genres. At the same time it is more and more difficult to recognize what is traditional. A chart for *world-music* was first introduced by Billboard in 1990 and by 1995 two-thirds of toppers were Celtic. The term *Celtic music* now functions as an umbrella just like *world-music.*

It is, however, a bit misleading if we examine the development of Irish music only through that of bands that have become internationally famous. They have only a few musicians in their line-up who can play or sing in the traditional way. In *Planxty*, for example, Liam O'Flynn plays the uilleann pipe in the traditional way, and Andy Irvine can sing in the so called Anglo-Irish traditional manner – that is Irish songs in English, which would have made their appearance from the 18th century onwards when the Irish language began to be suppressed. But until the 60s there had not been any harmony and accompaniment to traditional instrumental music, which were then introduced. Nevertheless, not all groups and solo musicians have followed their way. There are far more excellent fiddlers, uilleann pipers, flute and tin whistle players nowadays than there were ever before, and this is largely to do with the popularity of bands like *Planxty*, *The Bothy Band*, *De Dannan*; so, they have functioned rather as catalysts. Liam O'Flynn and Paddy Keenan on the pipes, Sean Keane, Frankie Gavin, Tommy Peoples, Kevin Burke and Paddy Glackin on the fiddle and Matt Molloy on the flute could be mentioned as the best examples of musicians preserving traditional music.

While there had been a lot of experimenting in the field of traditional music since the sixties, traditional Irish dance remained unaltered until Jean Butler and Michael Flatley turned it into a freer, more sensuous performance in the seven-minute interlude of the Eurovision Song Contest in 1994. It was a very successful combination of traditional step dancing and American tap dancing (which is also often traced back to Irish dancing) accompanied by Bill Whelan's fantastic music. Michael Flatley conquered the world with his dance shows *Lord of the Dance* and *Feet of Flames:* "Michael Flatley's theatrical extravaganza *Lord of the Dance* derives much of its material from the formulaic step dancing initiated by Gaelic League revivalists in the late nineteenth century" (Ó hAllmhuráin 13).

The worldwide popularity of Irish traditional music is also due to the great number of Irish people in other countries; some forty million Irishmen live abroad, mainly in America. This means a huge market as well, which

can finance the travellings, recordings and performances of many Irish bands. Irish Americans have always influenced the musical fashions in America, so many Americans of no Irish origin are also ready to buy Irish music. And what is fashionable in America will be fashionable in Europe sooner or later. Ireland itself has also become an attractive target for tourists with its pubs, beer and music. Though it is not authentic folk music that the tourists get, but rather drinking songs, such encounters might lead to a deeper interest in traditional Irish music.

5 Conclusions

If we look at the history of the folk music and dance of Hungary and Ireland, we see a number of similarities. Both nations had a very rich folk culture, with some elements going back to ancient times, though the majority of the surviving folk songs and dances date from the last three centuries. In both countries there is an older layer, which is called old-style. This old-style music is pentatonic, which seems to have been wide-spread in various ancient civilisations around the world from China to the North American Indians, but which has survived only in these two countries in Europe.

Folk music used to be interpreted in both countries as that of the village communities. This interpretation has not changed in Hungary, but in Ireland it is usually replaced by the term *traditional* these days, and the content of that is quite different. Folk music used to be vocal and instrumental. It seems it was more common in Ireland than in Hungary that singing was not accompanied, and it was not usual either that a whole band of various instruments played together. It was usually just a piper or a fiddler who played to the dance. In historical Hungary it was, however, quite common that bands, usually from some lower layer of society, played for different ethnic groups living together. Initially there may have been many Hungarian bands, but in time it was mainly Gypsies (sometimes Jews) who made up such bands. It often happens as a result that songs or tunes of one ethnic group survive in the hands of another; e.g. a Hungarian song already forgotten among the Hungarians lives on among the Gypsies. As the whole Carpathian basin has musical dialects of different nationalities which are very close to each other, in some villages where e.g. Hungarians, Romanians, Gypsies live together, it is sometimes very difficult to separate the music of one ethnic group from that of another, especially for non-professionals. For instance, when you listen to the excellent Transylvanian *Szászcsávás Band*, Romanian tunes can easily be mistaken for Hungarian ones, or the other way round.

In Ireland the mixing of various ethnic groups was not typical, as there was normally just one. The Irish, living on the fringes of Europe, preserved their Celtic/Gaelic traditions for a long period and it was mainly the other Celtic nation, the Scots who influenced their music and dances, especially through the contact which was provided by the seasonal fieldwork of many Irish people in Scotland. When the English occupied Ireland and the Irish ruling class impoverished or left the country, Irish culture became the exclusive property of the common people. It was censured from time to time, sometimes it was completely forbidden to use folk music instruments or to dance folk dances. In the nineteenth and twentieth centuries the Church of Ireland and the Gaelic League also prevented Irish people from cultivating their own folk culture. In Hungary this was not the case, and it was only industrialisation and urbanisation, which made the intelligentsia fear that folk culture might disappear. From the nineteenth century the collecting of folk songs and tunes was started in both countries, but, unfortunately, usually not by experts, but by enthusiastic patriots. Later musicians and composers also recognized the importance of this. Hungary excels in the whole world in this respect, namely the way how folk music was saved by great composers like Bartók and Kodály, who also used folk tunes in their own compositions. Kodály's famous music instruction methods are widely known all over the world.

In the sixties and seventies, though both countries were still underdeveloped in relation to some leading countries of Europe, there was a real danger of the extinction of folk culture. This lead to the revival of folk music in both countries, but the approaches were quite different and the result similarly. In Ireland the internationally best-known groups rather used folk music to renew popular music, and an experimenting of mixing old and new began, which is still going on. They had bands of various folk music instruments for the first time in the sixties and most bands have had traditional instruments along with new, foreign ones ever since. They have played both traditional songs and their own compositions while many singers have sung in both Gaelic and English, but the latter is more common. Unlike Hungary, the revival of traditional music was not accompanied by that of dances in urban areas in Ireland: the songs have often been written in jig time, but they are almost never danced to. The Irish revival of folk music did not trigger other folk arts (crafts) either.

Hungary was in a more favourable position in several respects. On the one hand the technically advanced collecting of Hungarian folk songs began at the end of the nineteenth century, and was carried on systematically by such genii as Bartók, Kodály and Lajtha. (Lajtha also compiled a collection of the instrumental music of Szék and Kőrispatak). On the other hand,

Hungary had rich resources outside its present borders, especially in Transylvania and Moldova, where old-style, archaic folk music has been preserved until the present day, but at the moment it is vanishing rapidly. At the beginning of the seventies young folklorists, dancers and musicians from Budapest recognised the great opportunity. As it was likely that folk music would disappear in villages as soon as the peasants were in a position to improve their living conditions, and their isolation came to an end, it was a brilliant idea on the part of the initiators of the first Budapest dance houses to transplant the village dance house into an urban setting. The historical situation was also favourable for this as the regime did not dare to ban this new movement, which had the character of a slight political protest by emphasising the national in a communist environment based on internationalism. Furthermore, young people did not have such a wide range of opportunities for entertainment at that time. So, they were happy to dance our national dances to live music in the company of like-minded youngsters. However, it has recently become a problem for many dance houses that young people are distracted by so many other entertainment opportunities from them. For the musicians and the dancers the aim has been from the beginning to reproduce the dances and the music of villages as authentically as possible. Though there have always been bands which have experimented with blending different musical genres, they have never been in the mainstream. The focus of the revival has always been the urban dance house, where bands play authentic music on traditional folk music instruments, and where mainly the folk dances of the various regions of historical Hungary are taught, though there are some Irish, Greek, Serbian etc. dance houses as well. Bands that have swapped folk instruments for modern ones and play mainly their own compositions are also popular, but their music is no longer referred to as *folk*.

Works Cited

Abkarovits Endre. "Ír sztár Magyarországon – Beszélgetés Andy Irvine-nal." In *folkMAGazin*, 2005/3. Budapest, 2005.

Abkarovits Endre. *Táncházi portrék*. Budapest: Hagyományok Háza, 2003.

Carson, Ciaran. *Irish Traditional Music*. Belfast: Appletree Press Ltd., 1999.

Dobszay László. *A History of Hungarian Music*. Budapest: Corvina, 1993.

Für Lajos. *"Ne bántsd a magyart!" – Bartók és Kodály történelemszemlélete.* Budapest: Kairosz, 2004.

Halmos Béla. "The *Táncház* Movement." In *Hungarian Heritage*, Volume 1. Budapest: European Folklore Institute, 2000.

Kelemen László. "The 'Final Hour' Folk Music Project." In *Hungarian Heritage*, Volume 1. Budapest: European Folklore Institute, 2000.

Manga János. *Hungarian folk songs and folk instruments.* Corvina, Budapest, 1969.

Martin György. "Discovering Szék." In *Hungarian Heritage*, Volume 2. Budapest: European Folklore Institute, 2001.

Ó hAllmhuráin, Gearóid. *O'Brien Pocket History Of Irish Traditional Music.* Dublin: The O'Brien Press, 1998.

Sawyers, June Skinner. *The Complete Guide to Celtic Music*. London: Aurum Press, 2000.

Sinkó Katalin. "Changes in the Meaning of the Concept of 'Folk Art' between 1852 and 1898." In *Hungarian Heritage*, Volume 5. Budapest: European Folklore Institute, 2004.

Suchoff, Benjamin ed.. *Béla Bartók Essays*. London: Faber & Faber, 1976.

Verebélyi Kincső. "Does the peasantry have its own art?" In *Hungarian Heritage*, Volume 5. Budapest: European Folklore Institute, 2004.

Book Reviews

Michael Rundell. Macmillan Phrasal Verbs Plus. Oxford: Bloombury Publishing Plc. 2005.

Éva Kovács

Phrasal verbs are a colourful and challenging aspect of the English language, and familiarity with a wide range of these verb-particle combinations and the ability to use them appropriately are among the distinguishing marks of a native like command of English. Thus a good dictionary of phrasal verbs is an indispensable source for ELT learners.

Macmillan Phrasal Verbs Plus is not just another dictionary on the market of ELT publications but it has unique features in comparison to other dictionaries devoted to phrasal verbs from the major ELT publishers, Oxford, Longman, Cambridge and Harper Collins Publishers. The examples of phrasal verbs in the dictionary are based on up-to-date information derived from 200 million words of English which make up the World English Corpus. Consequently, it reflects English as it is used today.

Besides phrasal verbs used in general English, it also includes coverage of the ones which occur in business (***bank with*** *~ have a bank account with a particular bank,* ***bottom out*** *~ reach its lowest and worst level before starting to improve or rise again (prices, economy),* ***bounce back*** *~ improve or rise again after being at a low level,* ***credit to*** *~ add an amount of money to a bank account),* Internet (***be/get bumped off*** *~ can no longer use the Internet because the connection with your computer is suddenly broken,* ***dial up*** *~ get connected to the Internet on your computer by using a modem or a telephone line*) and computing context (***back up*** *~ make a copy of information on your computer,* ***boot up*** *~ start working and is ready to use,* ***close down*** *~ a computer program stops operating and disappears from the screen,* ***copy to*** *~ send a copy of an e-mail to someone,* ***hack into*** *~ use a computer in order to connect to someone else's computer secretely and often illegally****, load up*** *~ put information or a program into a computer,* ***log on/off*** *~ start/stop using a computer system.*

This excellent dictionary deals with all the factors that make phrasal verbs seem difficult. First of all, it explains their meanings using uncomplicated language to make it easy to understand. As a unique feature,

polysemous phrasal verbs in this dictionary have a 'menu' at the top to make it easier to find the particular meaning we are looking for.

Furthermore, it gives an easy-to-use description of their syntactic properties with special attention to the place of the object, for example *see through sth* ~ *recognize that something is not true*, *see sth through* ~ *continue doing something until it is finished*, *see sy through sth* ~ *make it possible for someone to continue to the end of something*.

Like other dictionaries, it also gives guidance on register – the types of context they seem to be most natural and appropriate –, for example informal (*haul in* ~ *earn a lot of money*, *knock back* ~ *drink alcohol quickly or in large amounts*), formal (*allude to* ~ *mention someone or something in an indirect way*, *extricate from* ~ *get someone out of a difficult or unpleasant situation* or impolite (*piss about* ~ *behave in a silly way that annoys other people*, *eff off* ~ *go away*) or very offensive (*fuck up* ~ *spoil or damage something completely*).

There is also reference to the peculiarities of usage in the National Standards of English, such as British English (*cash up* ~ *count and check all the money that a shop has received on a day*, *fit up* ~ *equip*), British informal (*bodge up* ~ *do sth badly*, *hot up* ~ *become more lively or exciting*), American (*buck for* ~ *try hard to get sth, especially in your job*, *lay over* ~ *stop somewhere for a short time during a journey*), American informal (*futz around* ~ *spend time doing silly or unimportant things*, *plunk down* ~ *pay a particular amount of money for sth, especially when it is expensive*).

In addition, hundreds of synonyms (*give in = hand in, elbow out = ease out*) and antonyms (*team up ≠ split up, warm up ≠ cool down*), coverage of related words, i.e. nouns (*follow-through, mix-up, output*) and adjectives (*knockdown prices, broken down machinery, outgoing mail*) derived from phrasal verbs, lists of collocations (*die down* ■ *applause, commotion, excitement, fighting, fuss, laughter, noise, protest*) and reference to phrasal verbs used in idioms and other fixed expressions (*keep up appearances, start off on the wrong foot*) help to build students vocabulary and to speak and write more naturally.

As the word *Plus* in the title suggests, this dictionary has a wealth of additional features. One of its merits is its 26 page long Language Study section, which covers all the important aspects of phrasal verbs, namely the syntactic behaviour of phrasal verbs, metaphor and phrasal verbs, phrasal verbs and other 'phrasal' vocabulary, register and phrasal verbs, learners and phrasal verbs, pronunciation and phrasal verbs and 'new' phrasal verbs.

The most exciting among them is the section on metaphors which can be of great help for learners to understand and remember the meanings of phrasal verbs. Consider, for example, *away*, the meanings of which are as

follows: 1. moving (avoid getting near sth: *stay away, keep away* or disappear gradually or make sth disappear: *die away, eat away*) 2. making sy or sth move (stop sy from getting close or being involved in sth: *push away, frighten away* or remove or separate sth or become removed or separated: *brush away, give away*) 3. continuous action: *beaver away, work away*.

This section is closely related to the detailed semantic analysis of the 12 most common particles: *around, away, back, down, in, into, off, on, out, over, through* and *up*. Diagrams and tables with numerous examples show how the meanings of these particles are connected, and how the figurative meanings depart from the literal ones.

Another novelty is the index of single-word equivalents at the end of the dictionary, which lists over 1000 English verbs giving one or more phrasal verbs that express roughly the same meaning, for example *rebuke ~ tell off, tick off*. It is pointed out, however, that there is often a difference in register. For example, the phrasal verb may be more informal than the single word-verb or the meaning of one word may be more limited than that of the other.

Clear organization is essential if the dictionary is going to serve its purpose well. In the present case, layout is admirably clear with the most frequent phrasal verbs highlighted in red and graded with stars to show at a glance how important they are for students to learn. For example, *pick up*✶✶✶, *sort out*✶✶✶, *fall through*✶✶, *bump into*✶✶, *dash off*✶, *peter out*✶. Last but not least, mention must be made of one more unique feature that makes this dictionary really user friendly, namely the 100 striking two-colour cartoons that illustrate the meaning in a witty way.
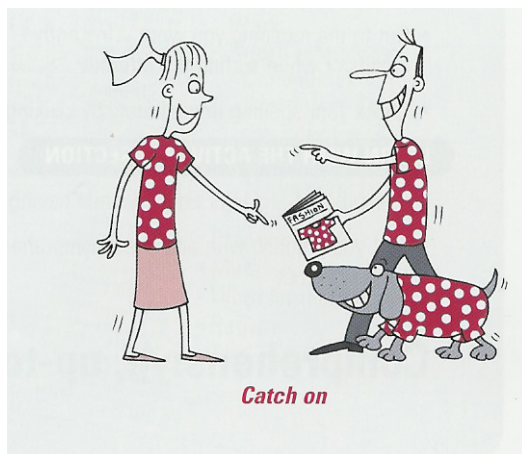
Catch on

Barge in

I am convinced that as an invaluable reference book this dictionary will take pride of place on the bookshelf of all ELT learners and help them to lose their fear of phrasal verbs and to start using them more confidently.

Miller's Aporia of Reading[1]

Éva Antal

Joseph Hillis Miller (b. 1928-), the distinguished professor of English and comparative literature, is the author of such famous theoretical collections as *Fiction and Repetition*, *Ariadne's Thread* from the 80s, or *The Ethics of Reading*, *Versions of Pygmalion, Victorian Subjects* and *Theory Now and Then* published in the 90s – to mention only the recent ones. Regarding his theoretical approach, he belongs to the 'Yale-gang' together with Harold Bloom, Geoffrey H. Hartman and the late Paul de Man; moreover, the list of the boa deconstructors should be completed with Jacques Derrida, the 'stepfather' of American deconstruction. Although deconstruction is still haunting in the textual analyses and the influence of the first great generation is still tremendous in literary criticism and philosophy the Yale-gangsters are gradually losing their convincing strength. Unfortunately, we should admit that it is especially true with regards to Miller's present work.

The editors of the "punchy, short, and stimulating" *Thinking in Action* Routledge series – namely, Simon Critchley and Richard Kearney – asked Miller to write a book 'on literature' so as to make the readers think about its real meaning and importance – with the help of a well-known and famous literary critic. Actually, in 1999 in another Routledge series, the New Critical Idiom, Peter Widdowson was asked to write a book titled *Literature*. However, "[one's] little book on Literature"[2] sounds rather narcissistic and blatant the latter is a scholarly work while the former is rather haphazard. Besides the great number of annoying printing mistakes, Miller's *On Literature* is a mixture of quasi-banal statements and brilliant but fragmentary ideas. Reading the work, we cannot forget that exactly Miller, speaking about 'the ethics of reading' and good (deconstructive) readers,

---

[1] The present paper is a review on J. Hillis Miller, *On Literature* (London and New York: Routledge, 2002)

[2] Peter Widdowson, *Literature* (London and New York: Routledge, 1999), p. x.

asks us to pay attention to every detail in a text; especially, to those moments when the author is interpreting his own ideas.[3]

The unbalanced structure of the work follows the old-fashioned though practical pattern of 'what is-why to-how to' with relation to reading in six chapters, each with several – sometimes – quite awkward subheadings. In the first chapter titled "What is Literature?", Miller summarises the short history of the term 'literature', and he connects "the modern Western concept of literature" not only with the invention of the modern sense of the self but also with "the appearance of the modern research university"(4). Moreover, emphasising its dependence on printing, he foresees the gradual disappearance and transformation of literature and deals with the new media and the changed conditions of teaching. He clearly sees that today a young person's 'ethos' is not fundamentally formed by literature taken in its original sense, but by other forms of multimediality: films, popular music, computer and television.[4] In few pages he highlights several exciting problems without elaborating on them but, as we are still in the very first chapter, these can be thought to be his introductory ideas. By the end of the 'introductory' chapter Miller, referring to Kafka's idea, defines the power of literature that it creates a world out of words, it can generate a *virtual reality*: "A literary work is not, as many people may assume, an imitation in words of some pre-existing reality, but, on the contrary, it is the creation or discovery of a new, supplementary world, a metaworld, a hyper-reality" (18). Then he gets obsessed with this idea expressing the power of literature *in* the abundance of metaphors: literature is secular magic, a work of literature is an abracadabra, or a book is a portable dreamweaver. He introduces Lewis Carroll's Alice books and (rather akwardly) a childhood reading, *The Swiss Family Robinson,* as his favourite and frequently used examples.

The second chapter, "Literature as Virtual Reality", *opens with* the importance of the opening sentences in literary works. According to Miller, these radically inaugural words work like the magical "Open Sesames" and each one should be regarded as a miniature genesis. Then, at random, he quotes several stored famous openings from his 'hard-drive' – from Milton,

---

[3] See in J. Hillis Miller, *The Ethics of Reading* (New York: Columbia UP, 1987) and *Theory Now and Then* (Hertfordshire: Harvester Wheatsheaf, 1991).

[4] He expresses the same opinion in his interview made and recorded by István Adorján in Pécs in 2000 - see in *The AnaChronisT* (2002) 297–302. In *Theory Now and Then* he also says that a new attitude is needed at institutions of higher education, which, working on new MA and BA programmes, we should accept. According to Miller, for instance, the chairs of English departments should react to the change in literary canon, consensus and multimediality by adopting themselves to the new situations – instead of being a rock becoming a rocking chair? (203)

Kafka, Faulkner, Yeats or Dostoevsky. Discussing the effect of these beginnings, he calls the attention to the 'pleasurable' violence of literature: "the irruptive, transgressive violence of these beginnings is often proleptic or synecdochic, part for the whole, of the work that follows" (27). The wildness of literature is rapture-like (Nietzsche) which means that reading a literary work, one is being drawn forcibly out – that is, enraptured – into another world inhabited by ghosts.

After this ghostly opening, in a subchapter titled "Literature's Strangeness", Miller attacks criticism claiming that it is likely to deal with literary works in standard ways depriving them of their monad-like (Leibniz) singularity. He says that the different schools of literary criticism spring from the fear of the strangeness of literature and he gives the most striking metaphor of a literary work. Opposed to the Heideggerian notion, namely, in literature the universal truth of Being is revealed (cf. the Greek truth, *aletheia*), Miller accepts Derrida's idea that each work has its own truth and resembles a hedgehog rolled up in a ball. Derrida, in the essay, "Che cos'è la poesia?", deliberately keeps the Italian word for the hedgehog, *istrice*, protesting for the idiomatic truth and against the 'true' translation of a given literary work. Derrida says that a poem is like an *istrice* that in its habit of self-defence rolls itself into a ball and bristles its spines, that is, it is a text spiked/*hedged about* with difficulties. As Miller comments on this image: "For me too, each work is a separate space, protected on all sides by something like quills. Each work is closed in on itself, separated even from its author" (35).

This section is of crucial importance and some remarks should be made. On the one hand, as Miller says, literary theory and criticism, due to its fear of literature, contributes to the death of literature theorising about it (see the discussed work, *On Literature*). On the other hand, the deconstructive reading practice paying delicate attention to the rhetorical figures and devices of a text is on the way to become a piece of literature itself (see again the discussed work or the present review). Moreover, about the 'prickly' metaphor I should say that as a ghost it appears in Friedrich Schlegel, the early Romantic German critic's works where he uses exactly the same image to describe his favourite form of writing, the fragment. The Schlegelian hedgehog becomes really appropriate in Miller's fragmentary argumentation where the figures of speech, the haunting literary phantoms, are frequently emphasised.

In the third chapter ("The Secret of Literature") seven secular, or literary dream visions are displayed so as to support the central idea "that each literary work gives news of a different and unique alternative reality, a hyper-reality" (80). Miller discusses works written by his allies, the chosen

members of 'a Motley Crew' – as he calls them using the name of a glam
rock band (!): Dostoevsky, Anthony Trollope, Henry James, Walter
Benjamin, Proust, Maurice Blanchot and Jacques Derrida. Although the
starting point cannot be regarded as Miller's greatest insight in the
fragmentary analyses he really provokes further thinking on the reader's
part. For instance, in six pages, he gives the key to understand Trollope's
vivid literary worlds discussing how the novelist transformed his practice of
daydreaming into novel writing. Or in the James-section referring to the
prefaces to *The Golden Bowl* and *The Portrait of a Lady*, he praises the
novelist's practice of re-reading and revising his own works, which is
connected with Benjamin's ideas on translation. According to Miller, both
practices aim at reaching the perfect: James's grasping the Absolute,
Benjamin's glimpsing at "pure language". Paradoxically, while every work
and each translation should be taken as the fragments of this wholeness, in
its purity being undifferentiated, the Absolute is empty and meaningless,
since meaning depends on differentiation (63). The Millerian parallel raises
several questions, for example, about the autonomous totality of a fragment,
or about the discussion of Benjamin's *translated* ideas of translation, but the
critic fails to conclude, which becomes his (and her) reading practice in the
present work.

In connection with Proust's *À la recherche du temps perdu*[5], Miller
emphasises the importance of lies that help to make the virtual and potential
(*virtuel*) realities 'come true' – allowing us "to multiply and diversify our
lives immeasurably" (67). While Proust like other artists shows us the way to
alternative universes Derrida 'invites' the reader to the experience of 'the
wholly other'. Miller refers to – as in two and a half page we cannot say, he
analyses – Derrida's definitions of literature in his thesis defence "The Time
of a Thesis, Punctuations" and in two essays titled "Passions" and "Psyche:
Invention of the Other". Unfortunately, perhaps due to the complexity of the
question, these sections on Proust and Derrida are the least developed and
detailed ones. In the best part of the chapter Miller deals with Maurice
Blanchot's "The Song of the Sirens: Encountering the Imaginary", where
again the idea of the fragment and the fragmentary human experience of
totality is in the centre. This subchapter is connected with James's Absolute,
Benjamin's pure language and Proust's pure time. In Blanchot's description
of the episode when Ulysses is enchanted by the Sirens' song, Miller finds

---

[5] Regarding the English translation of the title, Miller remarks that the traditionally used
Shakespearean phrase, *Remembrance of Things Past* does not really provide a glimpse at
pure language. We can admit that with the Hungarian *Az eltűnt idő nyomában* we are given
the possibility hidden in the French *recherche* to find lost time, and also to have a tentative
look at language in its purity.

the allegory of reading, the encounter with the literary, or the literal (truth). Here Miller, claiming that the version of his concept of literature is closest to Blanchot's, summarises his argument: "Most of the other writers I have discussed in this chapter, and I too, think of the actual literary work, the words on the page, as the material embodiment of events that exist in some imaginary realm in all their richness of detail, waiting, perhaps indefinitely, to be incarnated in words" (70).

Similarly to the Sirens's song, more exactly, to the promise of 'the song of songs' about which they are singing to their victims, reaching the 'pure' meaning of a text is always ahead, waiting to 'come in its otherness' (Derrida). Accordingly, the twin Sirens' island as the origin of the song can be associated with the silence of the sea, or the silence of 'pure language' and 'pure time'. Miller also calls attention to Blanchot's another exciting idea about the origin of the novel. Distinguishing two kinds of protagonists, Blanchot says that there is the storyteller, who survives the encounter with the imaginary, for instance, as Ulysses tricks the Sirens to listen to their voices and get away with it. The other type exemplified here by Ahab in *Moby Dick*, dies, or is swallowed up in the imaginary, consequently, only a survivor can tell Ahab's story. This idea connects our reading with Trollope's *ars poetica*, who having given up his self-deluding daydreaming, became a survivor-storyteller.

After the what is–chapters, in the fourth "Why Read Literature?" a brief history of literary criticism is given. Basically, Miller differentiates two groups on the basis of what they think about the importance of virtual realities, that is, the imaginary in human life. Before contrasting the views of the two, he deals with the Bible, which is truly shown as the 'book of books' providing models for the genres of secular literature.[6] It can be guessed that the activity of the first group warning against the dangers of literature starts with Plato, who was afraid of poetry for two reasons. On the one hand, he questioned the divine origin of poetry, on the other hand, he regarded it as an imitation of imitations (of the ideas). However, as a good reader, Miller remarks that while Plato shows his distaste for poetry and imitation, he does it playing the role of his master, Socrates. The Platonic list of the thinkers condemning literature is obviously short. After the mentioning of Kant's aversion to novel reading which "weakens the memory and destroys the character" (94) and Bentham's utalitarianism, Miller rather deals with the (romantic) anti-Platonic and Aristotelian group. He mainly discusses

---

[6] Certainly, Miller does not regard the Bible as literature (see the title of the subchapter, "The Bible is not Literature") though he mentions that in the sense of being written in letters it can be called 'literature'. He delicately balances between his previous ideas on the imaginary and the absolute authority of God's word here.

Aristotle's defence of poetry praising imitation due to its beneficial effects on man (cf. pleasurable, cathartic and instructive), and he adds the vague notion that in several periods literature is taken as socially and pedagogically useful.

On the whole, in the 4th chapter, instead of detailed analyses, the reader is rather given Miller's enthusiastic outbursts about the merits of literature. He confesses that his "pernicious escapism" exemplified by his hobby-horsical *The Swiss Family Robinson* "was the beginning of a bad habit that has kept [him] in lifelong subservience to fantasies and fictions rather than soberly engaged in 'the real world' and in fulfilling [his] responsibilities there" (96). The question of responsibility comes up again in the last subchapter where Miller basically deconstructs Austin's distinction between the constative and performative speech acts with relation to literary works. As he argues, although the writer has the power to tell the truth (cf. constative language) and maybe he is true to his own virtual reality he is much more likely to manipulate the readers to believe in a piece of fiction (cf. performative language). We cannot forget – as Austin and the rhetorical readers, de Man, Derrida and Miller think – that words work on their own, whatever their utterer intends; that is, "the literary work is self-authorizing" (113).

In the last two chapters, "How to Read Literature" and "How to Read Comparatively", Miller deals with the practical question of teaching reading and reading itself. In Anglo-Saxon literary criticism there is a long-lived tradition discussing the theory of reading, starting with the close reading of New Criticism in the 1940s and 50s. In this sense deconstruction and the rhetorical reading practice is closely related to the pedagogical nature of American criticism. In several of his recent publications Miller writes about 'the new ethics of reading' which is related to the teaching of reading. It is obvious that the pedagogical aim is a key issue but for Miller "the primary ethical obligation of the teacher of literature is to the work of literature".[7] That is, teachers before starting to teach should be(come) good readers so as to teach others how to read. However, a good reader is a mystery and Miller only prescribes that a sense for irony is required (115). He is quite sceptical as he calls teaching reading a mug's game and he says that good reading cannot be taught. Nevertheless, he offers two antinomic methods that should be used together, which results in the aporia of reading.

One way of reading is taking it as *Schwärmerei* – the term is borrowed from Kant (but could have been from Nietzsche as well) in the sense of enthusiasm, rapture or revelry. That is, we should believe what we are reading in "an innocent, childlike abandonment" (119), or, not without some

---

[7] Joseph Hillis Miller, *Theory Now and Then*, 338.

sexual connotations, reading is said to resemble a love affair. Opposed to this 'fanatically innocent' way, there is the 'educated and experienced' reading when the reader pays more attention to 'the art of fiction'. Here Miller, like an exorcist, seems to accuse his own gang and their rhetorical close reading and cultural studies of the demystification of reading. The two ways also differ in their right tempo as the critical reading is slow (*lento*) while the other one is fast (*allegro*), and, definitely, the two tempos cannot be followed at once. A reader cannot read a work in rapture and pay attention also to its 'artificial' details and mechanism, since they prevent each other from working, which leads to an aporia - in Miller's reading.

In these chapters it becomes overt that Miller tries to save literature praising its merits (e.g. its magical power), and tries to give back its pleasure getting away from dry theorising. In the most shocking section, citing only the last lines of two literary works (*Jane Eyre* and *Women in Love*), he calls them "simply silly" as they fail to open new worlds. It can be said to be 'simply silly' to judge a work on the basis of its last words which are actually used to close that virtual reality. Here he sounds like the disappointed scholar, who getting tired of the great works of canon, analyses a children book, his childhood reading. He tries to read the novel in the two different ways, which is not at all convincing. In the 'slow' reading of *The Swiss Family Robinson,* instead of discussing its problematic narration, language and ideology, he deals only with the origin and the different versions of the work. Due to the lack of his points of analysis, he can only show the reader how he likes to read – and write about - this particular book giving him fun. Maybe the reader does not want to read about Miller's having fun reading this book and thus feels guilty not being a good reader, as she cannot become a little child "to read literature rightly" (120). With this 'insight', Miller resembles those criticised teachers who say to their students that they "got the poems wrong" (117).

Finally, in the last sixth chapter titled "How to Read Comparatively", his favourite children book is compared with such great works as Defoe's *Robinson Crusoe*, Coetzee's *Foe* and Carroll's Alice books. We should admit that the critical demystified reading is much more fruitful though the ideas are still fragmentary and we cannot escape Miller's recollection of his Baptist upbringing in a Virginian farm. His analysis is still quite 'airy' but at least the basis of comparison – cf. these are atypical Robinsoniads - is given which can provide the reader with some critical ideas on killing, imperialism, sexism, racism, and nationalism. Moreover, analysing a chosen section in the different, the early and later German and English versions of *The Swiss Family Robinson,* Miller shows his strength as a good deconstructive reader. But in the conclusion, he again writes in defence of

innocent reading referring to Adam and Eve's enraptured happiness contrasted with Satan's envious resistance in Milton's epic. Although here he does not compare Satan's cynicism to critical reading in an earlier passage, besides the father of the rhetorical mode of reading, Nietzsche, Milton's Satan is named as the prototypical demystifier (125).

"Strange things happen when someone reads a book" – confesses Miller in another work.[8] Having read almost all of his writings, the reviewer, as a good reader, *should* read the present work rather as Miller's memoirs (*allegro*) than one of his great critical writings (*lento*). And if we forget about the intention of the editors we can enjoy reading quite a subjective book about what literature means not to the critic but to Miller, the reader. More exactly, in *On Literature* we can read about Miller's literature, or simply, about Miller's reading.

---

[8] J. Hillis Miller, *Versions of Pygmalion* (Cambridge: Harvard UP, 1990), 21.

Contents