

CROSS- INTER- MULTI- TRANS-

Proceedings of the
13TH WORLD CONGRESS
of the International Association
for Semiotic Studies (IASS/AIS)

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Editor in Chief

Dario Martinelli

Editors

Audronė Daubarienė

Simona Stano

Ulrika Varankaitė

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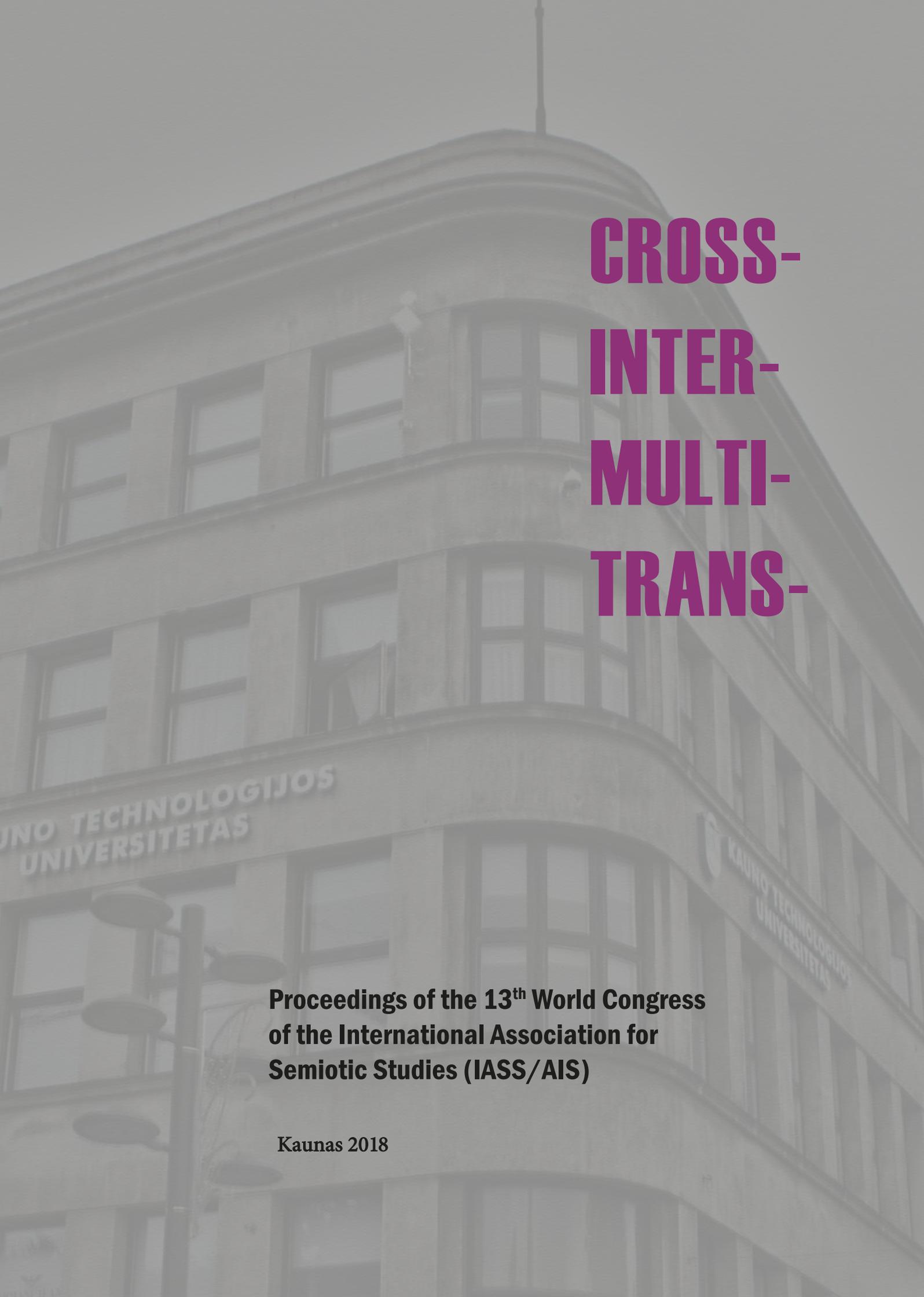
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Semiotic Studies (IASS/AIS)**

Kaunas 2018

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INTRODUCTION

The 13th World Congress of Semiotics of the International Association for Semiotic Studies (IASS-AIS) took place in Kaunas, Lithuania, from the 26th to the 30th of June 2017. It was hosted by the International Semiotics Institute (ISI), within the premises of the Faculty of Social Sciences, Arts and Humanities at Kaunas University of Technology (KTU). Along with IASS-AIS, ISI and KTU, the chief organizers of the event, the congress enjoyed the cooperation of Baltic Conference Partners, the A. J. Greimas Centre of Semiotics and Literary Theory and the Nordic Association for Semiotic Studies (NASS).

The most important scientific event for the international semiotic community, the congress has been organized since 1974 (in Milan), and it has been hosted in years by Italy (twice), Austria, Spain (twice), US, Mexico, Germany, France, Finland, China and Bulgaria. This was the first edition to take place in Lithuania or in the whole Baltic region. As ISI, we have been of course very proud of this, but most of all we have seen this event as an opportunity to expand the semiotic map, and add another significant pin to it. Among other things, this was the second time that ISI organized a World Congress, the 2007 edition having taken place in Finland, in Helsinki and Imatra, where ISI had its home before it moved to Kaunas in 2014.

Along with the congress as such, and the related activities pertaining to the functioning of IASS-AIS, we were also very happy to host important events like the 10th Conference of the Nordic Association for Semiotic Studies (NASS), the 13th Symposium on Semiotics and Translation SemTra 2017, and, in cooperation with the Greimas Centre, the celebrations of the 100th anniversary of Algirdas Julius Greimas, one of the crucial theoreticians of the whole discipline, and the most important Lithuanian semiotician.

Thanks to the commitment of all the parties involved, the response to the call for papers has been great, and very much in line with the last few editions of the congress, where ca. 500 participants from all over the world joined the event. This edition had nearly 50 countries represented, from every continent of the world. Of all the participants, a bit less than 100 are represented in these selected proceedings, with a variety of topics that covers most, if not all, the thematic areas touched during the various sessions. The theme chosen for this 13th edition of

the congress was “CROSS-INTER-MULTI-TRANS-”. The idea was to employ semiotic scholarship to face the challenges and the opportunities in today’s world in terms of “relations”. Regardless of modes, times and places, indeed, the keywords of nowadays all imply the importance to establish/nurture/understand/reinforce relations: CROSSculturality, INTERfacing, MULTImedia, TRANSgender, CROSSover, INTERspecies, MULTIethnic, TRANSdisciplinary... Via these keywords we describe social changes as well as explain technological innovations, we implement our research paradigms as well as hope for a better world. Due to its very epistemological identity, semiotics seems to be naturally-inclined to be in the frontline of such discussions. This is why the mascot we chose for the event was a platypus, the “Cross-Inter-Multi-Trans” species by definition. You will see this cute monotreme popping up in all the celebrative posters we created for the congress, and that you will see reproduced in this volume.

While the modern academic world, with its seemingly-unstoppable process of “corporatization” of its activities and interests, seems to devote less and less attention to publications like proceedings (i.e., the infamous “points” assigned to dissemination work), we remain convinced of the importance of books like this, not only for their intrinsic scholarly insightfulness, but for the value they bear of witnessing the large assembly of hundreds of members of the same academic community, qualifying by all means for the title of “historical event” within the field in question. Edition after edition, the World Congress of Semiotics has retained its identity and integrity, going hand in hand with the development of semiotics as a whole.

In conclusion, a foreword would not be a foreword without its fair share of acknowledgments. First and foremost, in the specific of this volume, I am thankful to Audronė Daubarienė, Simona Stano and Ulrika Varankaitė for their invaluable editing work. In the midst of various important traditions that the congress has been carrying out throughout the years, there was one I was quite happy to break: the idea that, as scientific director of the congress, my name had to appear basically everywhere as “the main one” – regardless of how much (or how real) an effort I had put in any given activity. This congress was a team performance. The three editors of this volume, all parts of ISI staff, have played crucial roles in it: they deserve adequate credit.

And not just them: I wish to express my sincere gratitude to the colleagues of all the associations and institutions involved, with a particular mention for Paul Cobley and Kristian Bankov, President and General Secretary of IASS-AIS, and my friends and colleagues at ISI, especially the two general secretaries of the congress, Aušra Berkmanienė and Audronė Daubarienė herself. My gratitude goes also to the colleagues and the volunteers at KTU, who helped in various ways, and to other colleagues, outside KTU (and in most cases outside Lithuania too) who offered additional and precious assistance: impossible to name them all, but – my friends – you know who you are. Thank you.

By welcoming you to the 13th World Congress of Semiotics, we have welcomed you to a celebration of interactions, contaminations and relations (and vegan food, as you certainly remember: I hope you have forgiven us, by now). With these selected proceedings, we hope to give the readers a fair idea of what that celebration meant in terms of research and scholarship.

Dario Martinelli

13TH

WORLD CONGRESS

OF

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INTERNATIONAL ASSOCIATION FOR SEMIOTIC STUDIES
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KAUNAS UNIVERSITY OF TECHNOLOGY

JUNE 26-30, 2017 - KAUNAS CITY, LITHUANIA

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**10TH CONFERENCE
OF THE NORDIC
ASSOCIATION
OF SEMIOTIC
STUDIES**

DESIGNING SCANDINAVIA: A CULTURAL SEMIOTICS APPROACH TO DIALOGIC IMAGE-MAKING

Gunnar Sandin

Lund University, Sweden
gunnar.sandin@arkitektur.lth.se

Abstract

Evaluation of other cultures is a strong force, not only in cultural dialogue but, consequently, in a culture's formation of itself. Cultures are formed in encounters that include domination, conflict, and dismissal as much as appreciation and smooth exchange. In this paper, the construction of cultural identity is discussed, in relation to a Scandinavian Theme Park proposal that was made in cooperation between American consultants and a local Swedish design team. The image production in this design proposal shows that "Scandinavia" appears as a dialogic construction that adopts mainly ready-made cultural identities, or cultural *clichés* as it were. Scandinavian (or Nordic) culture is represented in the visualised proposals by stereotypes such as Vikings, trolls, or element from old Nordic mythology. American (or rather USA-based) values are rather indicated in the project by the way the economic calculus was made, as well as by the choice and style of images in the project, both aspects being strongly influenced by the way Disney parks had been physically realised as amusement areas with attractions building up a world of its own. In a semiotic account of this architectural decision-making, models of culture are here discussed, where the tripartition of culture into Ego culture, Alter culture and Alius culture (Lotman 1990; Sonesson 2000; Cabak Redei 2007) can be seen as a basic abstracted backdrop to what we mean by cultural difference. It is here suggested that this general tripartition, in order to account for the uneven reciprocity that shapes it, could benefit from input from post-colonial studies, and the terms of "mimicry" (Bhabha 1984) and "subalterity" (Spivak 1988), i.e. additions from studies in the particular type of cultural relationships where dominance, or the reciprocal balancing of dominance relations, is fundamental. In a graphic, diagrammatic, representation and devel-

opment of these thoughts on culture formation, it is here suggested that grouped exclusion (as pacts between two “equal” parties kept together at the cost of a third “neglected” party) as well as uneven reciprocity (as pacts between two cultures in situational, but not mutually equal need of each other) is well suited to cast light on the mechanisms of cultural interchange. This means that not only is otherness, curiosity and neglect acknowledged, but also mimetic behaviour and lack of voice, as strong forces in cultural interchange. Such an intercultural approach, based on semiotic capabilities, supports here an analysis of what is sacrificed and what is kept, when images of cultures are created, hence when cultures are formed.

1. Cultural encounters and cultural affairs

Seminal post-colonial views on cultural encounters, such as those of Bhabha (1984) and Spivak (1988), foregrounded what could be called uneven reciprocities of culture, showing how mutual dependence may constitute cultural relationships, and the tactics needed to keep this common world, this situated culture, together. To (pretend to) do as the other — as in mimicry — or to not (be able to) perform the will of the other — as in subalterity — are two facets of cultural formation. Post-colonial situations are often seen as being a matter between two parties, colonizer and colonized, but as was clear already in Spivak’s (1988) seminal text on subalterity, the cultural contract was actually tripartite, consisting of: a colonizing tradition, a local tradition, and the voiceless victim of tradition-making. Also the branches, such as Sonesson’s (2000) and Cabak Redei’s (2007), of cultural semiotics that continued Lotman’s (1990) idea of a culture that incorporates other cultures into its sphere, have worked with a tripartite relationship as a basis: an Ego-culture turns with a friendly, even admiring eye to an Alter-culture, at the same time as disregarding Alius-cultures being not even worthy of consideration. Both these theoretical traditions, one grounded in analyses of geo-political difference, one aiming to structure meaning-making in general terms, have taken notions such as reciprocity, appreciation and disregard as the main driving forces in how one culture is perceived by another.

When it comes to architecture and design, the empirical matter of this text, reciprocal forces and cultural influences are usually present in the daily apparatus of dialogue, sketches and image-production that supports the envisioning of new environments, but they are seldom analysed in architectural theory as important in themselves, perhaps because they do not describe the result, they are rather mechanisms in the processes behind the effectuation of new houses, new cities or new facilities for human action. Sometimes, however, the production of “culture” is the explicit objective in design, such as in the case addressed in this paper, where a proposed Scandinavian Theme Park, envisioned as located in Malmö close to the bridge to Copenhagen, will cast light specifically on the production of cultural otherness. The theme park vision here addressed was produced and sketched collaboratively between Swedish planning authorities and globally working American design consultants, starting in 2002. The park idea existed as a projective possibility, discussed for more than ten years, but the project was eventually dropped as in 2013, officially due to lack of managerial interest. The preliminary proposals and sketches of attractions reveal that American (or rather USA based) culture is conveyed through a promise of robust amusement design, while Scandinavian culture is represented by images of Vikings and other stereotypes (Figures 1-3). The images serve here to ask what it means to visually construct a culture. The cultural construct in this case was as a joint venture between a Swedish group of visionaries and the American design consultants BRC Imagination Arts and ERA (Economic Research Associates).

As we shall see, the images produced in this cross-cultural dialogue cast light on more than one type of visual production of “otherness”, thus implying that otherness is both a multiple entity, and a necessary part of cultural interchange.



Figure 1. “Viking” theme park attraction (Image: Eksploria Edutainment).



Figure 2. “Gods and Heroes” theme park attraction (Image: Eksploria Edutainment).



Figure 3. “Scandinavia Map” theme park attraction (Image: Eksploria Edutainment).

The promotion images convey a set of attractions within the designated area, a density that reminds us of modernist theme parks with a promising, initially seemingly never-ending amount of attractions, but at the same time they give a generic impression, conveying a kind of “placial emptiness”. Emptiness of everyday life is the normal case, and for representational reasons essentially so, in architectural proposals, but in this case it is also partly due to the lack of “real” life in the images. Placial emptiness, or “non-place” was for a long time part of anthropologists’ way of regarding the “social facts” (Durkheim 1895) of modern places, or rather, a way to label the insufficient diversity of social facts traditionally defining a place (Relph 1976; Augé 1995). Such emptiness, it can be argued, is actually partly a “false” disciplinary production of emptiness, created by anthropologists sceptical to new places such as airports, shopping malls or themed places. With “falsity”, I mean here a quite longstanding view (Relph 1976; Augé 1995) that seem to forget that as soon as new architecture is established there are also new activities established that start to anchor the place meaningfully (Sandin 2012; Lazzari 2012). The theme park proposal in Malmö was however truly impaired by a non-place anxiousness, in the sense that it conveys an over-scrupulous urge to engage people. However, this urging is done through obsolete traditional means of attraction, within a limited physical location, hence the effect is reverse from the intended one. The visual rendering could therefore be said to convey a kind of reverse anthropological emptiness (empty despite architectural and population density). The emptiness present in these images is due to the pictorial elimination of activities other than the obligatory ones that are traditionally given as amusement park activities.

David Kolb (2008) points to the fact that every themed place has to be consciously and continuously put forth as such, thereby suggesting an anchoring in a lived reality beyond — or behind — the theme itself. There is, according to Kolb, always a reality acting to produce the theme, a reality virtually lacking in design renderings. The general habit in architectural visualisation — of reducing away “unnecessary” stuff for the sake of keeping visionary focus — risks however, if we trust people’s ability to judge images, to become unbeneficial for the project because the content may be perceived as too typified, too ignorant of the lived world.

2. Designing cultural encounters

The fact that images appeared in the proposal representing an already existing theme park-oriented style of BRC’s was completely in line with the clichés of ERA’s preliminary list of preliminary sub-themes and attractions: “Scandinavian Kingdom; Viking World; Five Worlds/Holy Wood; Human Factor/Fantastic Factory; World of the Car; Film/TV Studio Tour; Music/Music; Other Attractions (Sky Tower, UN Plaza, Sculpture Park, World Train, International River)” (ERA 2002). Both the images and the list of themes seem to emanate from the success of mid 20th century animation technologies originally made in relation to the Disney film industry. The images of this project were however not made by the sole hand of the design consultant BRC, but were produced in a dialogue between the American firm and the Swedish group of entrepreneurs, visionaries and politicians. Thus, a common cultural construction was made for the purpose of selling a concept about a region to an extended regional audience. But what about the local population? Was it heard?

The amusement stereotypes were here not a result of ignorance, but were actually desired, conceptualised as the “familiar” and “well-known” qualities aimed at catching the interest of an audience and, in the first instance possible financiers (ERA 2002). On the whole, these depictions, like visions in general, are not images made to present as true as possible a culture, not even as true as possible a representation of the actual future amusement environment, but they are ultimately made simply to sell amusement. They are, just as most visionary architectural imagery, and every depiction of an apartment for sale, made to arouse a certain desire as part of the place rendered.

But the campaign in Malmö also had an objective to find examples with a typically Scandinavian figuration, and in accordance with the presumed commercial end objective, they went for a well-known, even clichéd, cultural figuration, instead of for instance a slightly less known, or completely unknown heritage — which could have been another point of departure. Theoretical attempts at describing culture and cultural traits are several, and they virtually go hand in hand with how disciplines within the humanities, and to some extent the social sciences, form themselves as disciplines. The languages, the literature and the art works of a culture are often thought of as what define cultures. Explicit theorisation on what constitutes cultures, and how they work and build themselves, as found in anthropology, organisation theory, or biology, depends more on who, or what, it is that form a certain common interest, or set of rules, that defines the culture of a population. While several of these disciplines regard their subject as a “positive” one, in the sense that the matter studied simply defines, or reflects, the culture surrounding it, late modern theorisation on cultures, including post-colonial studies and cultural semiotics, has been more concerned with seeing those traits as conditioned by relations between *different* cultures. They have been more occupied with how cultural difference and cultural exchange can be modelled, giving some explanation to how appreciation, conflict, and dismissal not only appears in politics, in regional controversy and in cultural history, but how such affective and value-based mutual regard of one another, is the actual decisive force of culture.

3. Mimicry, subalterity and cultural dependence

The basic figures of thought in early post-colonial theory concerned how essentially differing cultures (colonizer and colonized) are involved in mutual but uneven sharing of interests, and how silently accepted agreements or silenced voices (Spivak 1988) regulates a daily living together. Forced (and sometimes fake) reciprocity as well as simulated likeness between members of differing cultures can be seen as hiding patterns of dominance in their relationship (Bhabha 1984), but such mimicry also makes joint cultures get along on a daily basis, thus avoiding completely disrupting conflict (or even cultural death). Even if these figures of thought emanates from severe living conditions and cruel upholding of cultural roles, they will here lend themselves to cast some light on our case of specifically architectural co-production of cultural image making.

Mutual dependency is a decisive force in cultures’ definition of themselves (Bhabha 1984). Mimicry, or the tendency to imitate cultural behaviour and artefacts, can on the one hand be seen as a desired will from a dominant culture, enacted to eliminate unproductive difference towards the dominated culture. On the other hand, mimicry can also be a (counter-)strategy from a dominated culture to align to a certain degree with a dominating culture. Mimicry — seen this way — is “at once [an act of] resemblance and menace” (Bhabha 1984). Mimicry, or the tendency to imitate the other’s behaviour, values and taste, is not as a straightforward communicational tool, but always works by retaining a certain difference. Elimination of difference is — for both parts — essentially a semblance, since difference in such mutual situations is the very fundament for co-existence. It is a matter of almost same, but not really (Bhabha 1988).

Mimicry, as a tactic to reach an advantage, or to survive, is possible only if you have the position to be part of the deal. Some groups in societies, and as here, in design dialogue, are not even heard. And the subaltern — those who are not only other but moreover do not have opportunity to speak their voice (Spivak 1984), are in the contemporary land use and planning business a category that is actualised when the designs are not aimed for the real users to take part in, but only concerns them as stereotyped economical figures invented to fit the ideas developed between the two main business interests. In our case the subaltern are the abstract and demographically defined visitors talked of in the interest of city branding and entertainment design.

In the Scandinavian Theme Park case subalterity was not only an effect of factual lack of user participation, but a subaltern category was also actively created already in the initial descriptions, formulated by ERA, when they — ironically in what they regard as an educational effort — try to induce their preferred feelings and response into the wills of potential users, announcing in public what the visitor wants. This kind of inducement is an intervention completely different from the kind of “subject-engagement” Spivak (2012) seeks in political-aesthetic activity.

4. Otherness in semiotic modelling of culture

Branches of cultural semiotics that see culture as a matter of exchange of values and information (Lotman 1990; Sonesson 2000) often take evaluation of another culture as a starting point, viewing appreciation as well as disregard for the other as main driving forces in how culture is perceived, modelled and construed. Reciprocity is a fundamental feature of the notion of “semiosphere”, launched as a concept earlier by Jurij Lotman (1971; 1976; 1990) with the aim of capturing a perceiving culture’s exchange of meaning and substance with familiar cultures (inside the sphere) or unfamiliar cultures (outside of it). The idea of a semiosphere (containing known languages, behaviour, concepts and values) helps us understand what happens when the borders between cultures are violated and partially dismantled. Lotman (1990) also launched the idea that it is in the act of circulating a cultural product to other cultures, or extra-cultures, and getting it in return, that we see our own cultural act again in a new light. Lotman called this process auto-communication, or activation of an I-I channel. This type of circular communication, if we look at it from different angles, actually contains several types of otherness, or “extra-quality”. We could name four of them as: (i) the quality of circulation into other media that reflects the message (“extra” in the sense an outside quality); (ii) unforeseen secondary communicational effects (“extra” as a surplus quality); (iii) advanced communication with high-evaluated recipients (“extra” as having a prominence quality); and (iv) understanding that certain impossibilities are present in communication (“extra” as an unreachability quality) (Figure 4).

Hence, following this model, we have in circulation of cultural matter “extra-quality” ap-

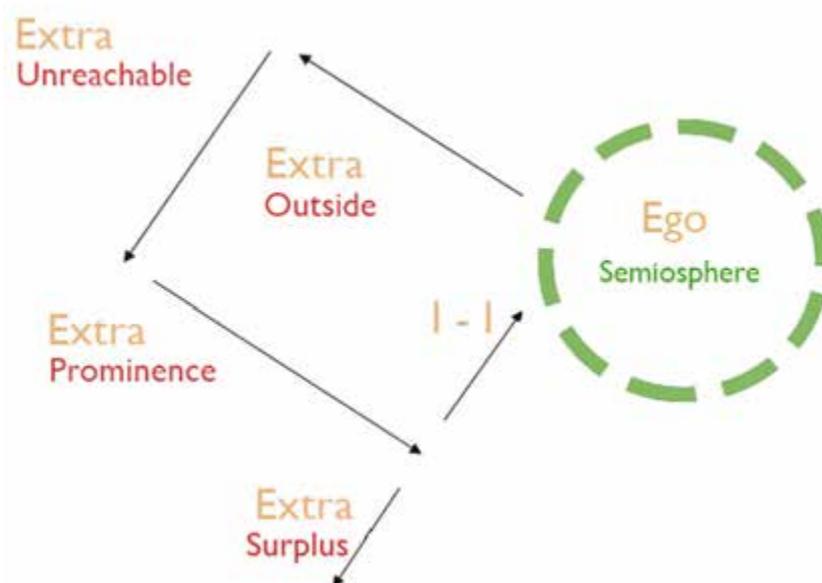


Figure 4. Various aspects of “Extra-quality” in cultural dialogue, in a diagrammatic interpretation of Lotman’s concepts of “auto-communication” and “semiosphere”. Black arrows symbolize the circulation of a cultural product (or “text” in Lotman’s terminology).

pearing as outsideness, surplus, prominence and unreachability. This multiplicity fits well with design thinking, and with the idea in design thinking of a reflective practitioner. Nevertheless, this kind of multiplicity is forgotten in design cases where specific ideas are too confined from the start, and where a mono-idea is therefore put forth.

In the line of thought that follows Lotman (1990), the act of getting to know an unknown culture is a matter of bringing it into the semiosphere of the well-known culture. This branch of cultural semiotics builds partly on the dichotomies of known-unknown, and liked-detested, i.e. dichotomies that in many cases are too simple to make real sense. In semiotic theory this model has therefore been refined, either through modalizing cultural complexity into “degrees of semiotization” (Posner 2004), or by problematizing the notion of “other” by introducing the double character of “alter” (neighbouring) and “alius” (unknown) cultures, standing in radically different positions to the “ego” culture (Sonesson 2000; 2014; Cabak-Redei 2007). These interpretations and extensions of Lotman’s model take into account cases where the “foreign” culture is appreciated/understood but also ignored/depreciated. In the case of design, and as here in a theme park project that deals explicitly with the design of a (Scandinavian) “culture”, these semiotic theories introduce the idea that cultural constructs have to include varying modes of cultivation, such as when a growing knowledge about the construed culture is the case. This kind of semiotic thinking is a way of making more transparent how incorporation and rejection appear in cultural dialogue.

Each cultural encounter, and each realised mutual cultural modelling also has temporal features. When one culture approaches another, different aspects and qualities may be approached simultaneously, in a synchronic process, and other aspects need successive encounters, a diachronic process, to slowly make something become familiar. We can look closer into this familiarisation by applying some thought from Peirce.

In the processes of cultural reciprocity here accounted for, Peirce’s basic constituents of representation can be seen as activated: iconicity (resemblance) appear as an instant recognition of something; indexicality (proximity) works to incorporate our impressions of the other culture into our known world; and symbolicity (habit) is activated when we find the common ground against which we can articulate a new cultural construct (Ståhl & Sandin 2011). These three representational faculties are, in line with contemporary interpretations of Peirce (Sonesson 2013; Colapietro 1989) always present in human exchange of meaning, to a varying degree, and importantly, in varying order. In meaning making — or semiotic — processes in general we assume, in line with Peirce, that the three main forms for representation: icon, index and symbol, appear on the one hand simultaneously (synchronically) and on the other, in a way where they need each other to mature (diachronically). If we apply these Peircean figures of thought into the landscape of cultural semiotics, it is not a far fetched hypothesis that synchronic assimilation is more prevalent when Ego assimilates Alter, whereas diachronic processes would be more likely to appear when Alius is sceptically regarded from the point of view of Ego. Even if both types of temporal processes are part of both types of cultural exchange, we may assume that when a foreign culture is approached it is more often done in successive steps. The first impressions and recognitions of sounds and forms are followed by intuitive connections to other things, only to be followed in their turn by a more reflected symbolical understanding of what it was that was recognized in the first place. We have in other words, when we meet a foreign culture, a sequence much aligned with how Peirce imagined how impressions mature into full signs (Ståhl & Sandin 2011). Cultures we already regard as familiar, are generally approached with a larger immediate reliance on, and understanding of, the impressions, links and habits that we meet, whereas the foreign cultures will likely need a more substantial measure of trial and interpretational effort. The latter is also more likely to lead to neglect or misunderstanding, since for instance language

and habits are different. If we accept this basic difference between approaches towards known and unknown parties in cultural interaction, we get a description of cultural semiosis where the *Ego* culture establishes a temporally, conducted difference between an *Alter* culture and an *Alius* culture (Figure 5).

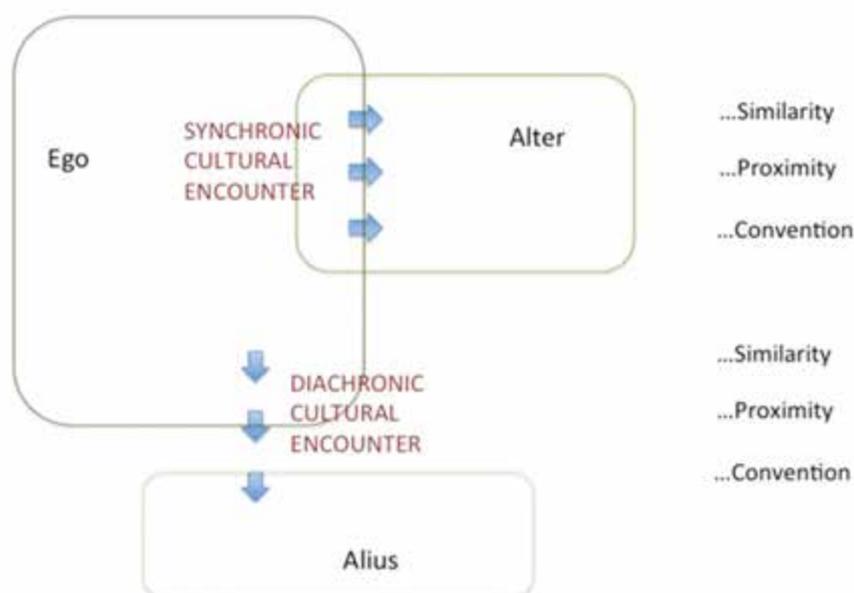


Figure 5. A model of the separations that an Ego culture makes between an Alter culture and an Alius culture, including how these two types of “otherness” are constructed temporally, and containing three types of representational (Peircean) principles. This model extends on semiotic divisions previously made by Sonesson (2000) and Cabak Redei (2007).

This semiotic difference appears as a temporal factor simply because the representational stages need each other to mature, and this is done differently in approaches towards known and unknown cultures respectively.

5. Conclusion

Cultural constructions including the repressive forces of cultural encounters, here rendered through both post-colonial theory and semiotic accounts, can apart from being vital parts of cultural modelling in general, also assist reflection on actual constructs, or as here designs, of cultural artefacts. In the case of the theme park proposal here accounted for, but also in the general case of cultural production, the modelling of culture, as argued in this text, could introduce thoughts of diversity as a vital part of the resulting cultural “product”. A semiotic view that emphasises temporality and the stages of conceptualisation needed in recognition of each other’s culture has a possibility to model what happens in human encounters as these go on. We have seen here that the formation of joint constructs of culture contains mimicry — mutual imitation of manners, tastes and procedures — that assists the progress of projects. These mimetic processes are general mechanisms in the making of culture, as it goes on. In line with such a process-oriented view we have also seen here, in reflection of cultural encounters and co-cultural production, that cultural analysis gains from making temporality an explicit part. This was done here by reflecting on the one hand on the multiple “extra” effects that may be generated by auto-communicative acts, i.e. acts where the return of a concept alters the self-view

of the sending culture. We have also seen that both successive and simultaneous building up of semiotic meaning can add new aspects to what it means to approach and understand another culture. Reciprocal constructs of culture are silently present in the image-production that supports the envisioning of new environments in general. Not only in the here rendered case where the production of “culture” is an explicit architectural task and the actual objective of the design, but in any co-operated image-making, reflections on the multiple forces in cultural reciprocity is needed in order to make cultural production trustworthy. And not only in the case here addressed, with explicit visualisation of the forming of cultural futures, but in any situation where there are two or more agents that have an interest related to identity (of for instance commercial, political or projective type), a common view is often wished for, and often presented as such, but in reality seldom truly common, or negotiated on equal terms.

A more reflected recognition of the reciprocal alterity that appears whenever cultural exchange is at hand, has here been argued to inform semiotic modelling in general, but also planning procedures as they form societies. A modelling of culture based in reciprocal alterity makes it possible to encompass more representational aspects, and thus portray cultural encounters more accurately. Such a perspective should also stand a chance to respond to a more diverse account of voices in the daily practice of planning and design. This latter practical aspect does not mean, of course, that spatial negotiation and architectural design should be schematized, or that it necessarily has to follow certain dialogical procedures, just that there are in fact models at hand, based on analysis of dialogue in cultural encounters, that may serve as enlightening and supporting resources.

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ENCYCLOPEDIA AND SEMIOSPHERE

Mattia Thibault

University of Turin, Italy
mattia.thibault@gmail.com

Abstract

This paper aims at drawing a link between Echiian and Lotmanian semiotic theories and, in particular, between the concepts of encyclopedia and of semiosphere. These two concepts have been indicated as akin, but, we argue, there are some key differences.

1. Eco and Lotman

Italy has been one of the most receptive countries to the innovations brought to semiotics by the Tartu-Moscow Semiotic School and, especially, by the works of J. M. Lotman and B. Uspenskij. There are several Lotmanian semioticians in Italy and many works of the Tartu-Moscow School have been available in Italian since the Sixties. This led to an intense, and often productive, dialogue among the major semiotic schools in Italy, namely French-tradition semiotics, and in particular the works of A. Greimas and the Italian branch of interpretative semiotics, established by the works of Umberto Eco.

I would like, here, to focus especially on the latter, which promoted an early dialogue with what, at the time, was known as “Soviet semiotics”. Umberto Eco himself, along with translator Remo Faccani, has been the editor of one of the very first Italian book dedicated to “Soviet structuralism”: *I sistemi di segni e lo strutturalismo sovietico* published by Bompiani in 1969, containing articles by Ivanov, Revzin, B. Uspenskij, Toporov, Lekomcheva, Lotman and many others.

In particular, Umberto Eco’s interest in Lotman’s works has been consistent all along his life. It is not a case that Eco wrote the introduction to *the Universe of the Mind* in 1990 where he praises Lotman’s ability of going beyond structuralism:

Lotman has managed to fuse the structural method (which takes a synchronic approach, that is, the description of a culture system at a given moment in time) with his vocation as historian* a historian interested in explaining how a culture is formed and how different culture systems, distant from one another in time, can be compared (Eco in Lotman 2009: xi).

Eco, in fact, integrated in his theories several concepts both from Lotman and from other Tartu-Moscow scholars. In *A theory of semiotics* (1976) and then in *Semiotics and philosophy of language* (1986) he mentions both Juri Lotman and Boris Uspenskij several times. In particular, he commits to the idea of an articulation between *primary* and *secondary* modelling systems, and he borrows some concepts from Lotman's and Uspenskij's works on the typology of cultures — namely the distinction between grammar-oriented and text-oriented cultures, that he renames hyper-codified and ipo-codified cultures. These few lines should be enough to demonstrate the level of intellectual exchange that existed between the two semioticians and their respective schools.

In this paper, then, I wish to propose an overview on the similarities and differences between two of the more popular concepts from the two semioticians, respectively: Lotman's idea of the semiosphere and Eco's semantic system based on an encyclopedic model. The research question arises because the two concepts have often been mentioned as akin, if not indicated as being basically the same thing. These claims, however, are generally done *en passant* and certainly require more investigation.

2. Differences and similarities

Let us start, then, from the semiosphere, probably the most popular theory from Juri Lotman. The semiosphere was initially theorized by Lotman as the semiotic analogous of Vernadsky's *biosphere* and defined as “the semiotic space necessary for the existence and functioning of languages, not the sum total of different languages; in a sense the semiosphere has a prior existence and is in constant interaction with languages” (Lotman 1990: 123-124).

His first conceptualisation outlines an omni-comprehensive semiosphere, which encompasses all texts, languages and modelling systems of human kind — outside of it there can be neither communication nor language. Lotman, however, abandons quickly the universalistic version of the theory of the semiosphere and uses this term to indicate a smaller object:

At the same time, throughout the whole space of semiosis, from social jargon and age-group slang to fashion, there is also a constant renewal of codes. So any one language turns out to be immersed in a semiotic space and it can only function by interaction with that space. The unit of semiosis, the smallest functioning mechanism, is not the separate language but the whole semiotic space of the culture in question. This is the space we term the semiosphere (Lotman 1990: 124-125).

Here, the term is used to refer to the semiotic space of *a single culture*, built around a central natural language. From this point of view, there are several semiospheres separated by boundaries. We have thus a passage from “the” semiosphere to “a” semiosphere. This double articulation should not be seen as contradictory: it is based on the fractal structure of culture. For this reason, Lotman also employs the term “sub-semiospheres” to refer to the semiosphere of a single language or even of a single text. These smaller semiotic systems share the same structure, feature and dynamics with the larger semiosphere encompassing them.

It is probably also because of this duality that Lotman often uses metaphors in order to hold his readers figure what he means. Interestingly enough, Eco quotes a rather long definition of the semiosphere in his introduction to *The Universe of the Mind*, taking it from the book itself and presenting it as its favourite take on the topic: the metaphor of the museum.

Imagine a museum hall where exhibits from different periods are on display, along with inscriptions in known and unknown languages, and instructions for decoding them; there are also the explanations composed by the museum staff, plans for tours and rules for the behaviour of the visitors. Imagine also in this

hall tour-leaders and visitors and imagine all this as a single mechanism (which in a certain sense it is). This is an image of the semiosphere. Then we have to remember that all elements of the *semiosphere are in dynamic, not static, correlations whose terms are constantly changing. We notice this specially at traditional moments which have come down to us from the past (definition by Lotman quoted by Eco in Lotman 1990: 126-127).

He probably liked very much this quote as he will mention this entire paragraph again in his book *From the tree to the labyrinth* (2014), several years later. Nevertheless, Eco proposes also another metaphor, this time his own, and describes the semiosphere as a forest:

If we put together many branches and great quantity of leaves, we still cannot understand the forest. But if we know how to walk through the forest of culture with our eyes open, confidently following the numerous paths which criss-cross it, not only shall we be able to understand better the vastness and complexity of the forest, but we shall also be able to discover the nature of the leaves and branches of every single tree. This book gives an indication of both the vastness and the allure of the forest and helps us to understand the form and the colour of the leaves and branches through which the forest lives (in Lotman 1990: xiii). The picturesque idea of a walk in a forest as a representation of interpretation is, of course, the same that we can find in his 1994 book *Six walks in the fictional woods. Tout se tient*.

If the semiosphere was born from a parallelism with biology, Eco's idea of "encyclopedia" arose as a criticism to the semantic models organised as trees, that he refers to as "dictionaries" (see Eco 1976, 1986, and especially 2014). The main fallacy of these models, he argues, is the idea that there can be a set of "primitives": a series of meaning-bearing unities that determine the meaning of all other signs. However, either the primitives cannot be interpreted, and therefore it would be impossible to explain the meaning of a term, or they can and *must* be interpreted, and thus cannot be limited in number. Following the second possibility, then, the structure of the semantic model cannot be a dictionary, but it becomes that of an *encyclopedia*.

The encyclopedia is a rather Peircian concept, as it is founded on the idea of unlimited semiosis: every semantic unity is only explained by other semantic unities, without ever arriving to a "source" of meaning, but continuing in an endless process. As interpretants are always interpretable, there is no bidimensional tree that can represent the global semantic structure of a culture. This representation, described by Eco (1976) as the "Model Q", is only a semiotic postulate, a regulative idea that takes the format of a multidimensional network. In other words, then, the encyclopedia is used to indicate the architecture of human knowledge and, by extension, the ensemble of all human knowledge altogether.

This formulation led several scholars to see the encyclopedia as rather akin to Lotman's semiosphere, so much that in 2014 it will be Eco himself, in a footnote of *From the tree to the labyrinth*, that will deal with the similarity of the two concepts:

It has been suggested that the concept of a semiotic encyclopedia corresponds to Lotman's idea of the semiosphere (...). In point of fact Lotman's semiosphere would appear on the one hand to be still vaster than a Maximal Encyclopedia because it also contains the private and idiosyncratic notions of the individual visitors; on the other hand, it is, so to speak, regulated by someone (the organizers) and therefore appears rather to be the territory of a culture that has set up rules to distinguish a Median Encyclopedia from the Specialized Encyclopedias (Eco 2014: 73, note 39).

Eco mentions here two dimensions where the encyclopedia and the semiosphere differ: their extension and their structure. Lotman dedicates quite several pages to the structure of the semiosphere. He describes it as having a centre and a periphery, which are characterised by an inner dynamism and a series of hierarchies and, most importantly, he insists on the importance of the borders between different semiospheres (seen as permeable spaces of translation).

On the other hand, Eco's encyclopedia has a *rhizomatic* structure, that of a labyrinth where every point is united to every other point by countless possible paths. Rhizomes, however, don't have centres and neither do encyclopedias, at least according to D'Alambert (in Eco 2014: 83). If the labyrinthine nature *per se* wouldn't be too problematic for a parallelism with the semiosphere (Lotman insists in its criss-crossing nature), the centre is indeed one of the core elements of Lotman theory and cannot be disregarded without losing epistemological soundness. Nevertheless, Eco appears to recuperate the idea of a "centre" when he speaks of *median* and *specialised* encyclopedias:

Median Encyclopedia (shared in the present case by both the naturalist and the common native speaker) and on the other an unmanageable plethora of Specialized Encyclopedias, the complete collection of which would constitute the unattainable Maximal Encyclopedia. Accordingly, we could imagine the states (or strata) of what Putnam has called the social division of linguistic labor by hypothesizing a kind of solar system (the Maximal Encyclopedia) in which a great many Specialized Encyclopedias describe orbits of varying circumferences around a central nucleus (the Median Encyclopedia), but at the center of that nucleus we must also imagine a swarm of Individual Encyclopedias representing in sundry and unforeseeable ways the encyclopedic notions of each individual (Eco 2014: 72).

We are clearly facing an opposition which is rather similar to that of Lotman's centre and periphery, only fixed in a sort of astrophysical immobility. This lack of dialogue between encyclopedias, which could be problematic, is however only apparent: despite the metaphor used by Eco in this case, his understanding of the encyclopedia is that of an absolutely dynamic and diachronically complex structure.

As for the extension, Eco claims that the semiosphere appears to be larger than the Maximal Encyclopedia because it includes the "visitors" — i.e. the human beings that are part of a said culture. Eco describes the Maximal Encyclopedia as an encyclopedia that:

Is not content with merely recording what "is true" (...). It records instead everything that has been claimed in a social context, not only what has been accepted as true, but also what has been accepted as imaginary. It exists as a regulating principle: yet this regulating idea, which cannot constitute the starting point for a publishable project because it has no organizable form, serves to identify portions of encyclopedias that can be activated, insofar as they serve to construct provisional hierarchies or manageable networks, with a view to interpreting and explaining the interpretability of certain segments of discourse (2014: 72).

This description seems to account of the two ideas of semiosphere implicitly present in Lotman's work. On the one hand for the "universal" semiosphere — the one that Lotman theorizes as similar to Vernadsky biosphere and encompassing the whole world — and on the other hand the cultural semiospheres — those endowed with internal hierarchies and borders between them and that are typically related to a single culture.

The difference, then, seems to be limited to the presence of the so called "visitors of the museum": the inhabitants of the semiosphere that are excluded from the encyclopedia. The presence or absence of these "visitors", however, may be symptomatic of a far greater difference between the two models.

Eco's encyclopedia, being a semantic model, has no presence in the physical world. It can be mirrored by a text, or by a practice, but its dimension is purely abstract and deals only with interpretation. The semiosphere too has a semantic dimension, but it is deeply rooted in its material manifestations: the texts and the anthropic organisation of space. In other words, going back to the metaphor of the forest that Eco used to describe the semiosphere, we can say that

while Lotman, with the semiosphere, describes the forest itself, including the people that walk in it, Eco's encyclopedia deals with the infinite paths that one can walk through the "*forêt de symboles*" (as Baudeaire would call it) that can be travelled through like a rhizomatic labyrinth.

3. Conclusions

We can conclude, therefore, that while simply equating these two models would be a mistake, the similarities of the two models are not fortuitous: they are the result of a sort of parallel evolution of the description of two different aspects of the same semiotic phenomenon. The integration of these two models, then, might be desirable.

For example, if Lotman describes in detail the movements and dynamics of texts and modelling systems inside the semiosphere, he recognises that the inhabitants of the semiosphere have a ubiquitous presence in it: "In the mind of modern man there mingles Newtonian, Einsteinian (and even post-Einsteinian) ideas with deeply mythological images as well as persistent habits of seeing the world in its everyday sense" (1990: 203). Eco's encyclopedia, therefore, offers a model — the rhizomatic one — that explains this ubiquity and describes how individuals move through the semiosphere.

On the other hand, we can claim that the hierarchies and dynamics of the semiosphere apply also to the encyclopedia. This might not be particularly interesting if we deal with collective encyclopedias, but may be rather intriguing if we think about the *individual* ones. This would allow us to outline a sort of semiotic of individual knowledge that sees the latter isomorphic with the semiosphere. Every individual, therefore, would have its personal "centre" and its "periphery", and, of course, would be separated by other people by intellectual borders.

These two examples, that need still further development, are nevertheless telling, as they show us the possible benefits of integrating these two theories.

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INDEX AS GATEKEEPER TOWARD DIALOGIC REASONING: PEIRCE AND BEYOND

Donna E. West

State University of New York at Cortland, USA
westsimon@twcny.rr.com

Abstract

This inquiry capitalizes on the relational character of Peirce's index. Its evolution from object finder in the physical world, to enhancer of communication between minds, to modal/perspectival coordinator is examined. Its relational character organizes events into episodes, and obviates perspectival alterations in dialogic reasoning. This shift demonstrates Peirce's last word regarding Index: a sign intrinsically dialogic, whose interpretants increase levels of consciousness, and advance communicational interaction by commanding self/others to believe/act in novel ways.

Its power to coordinate specific, vivid images provides index with the means to suggest novel propositions, assertions, and arguments. Peirce memorializes this relational role by characterizing index as PHEME, and as DICSIGN (1904: 8.334-9; 1906: MS295: 26; 1908: EP2:489-90). Ultimately, index integrates the logical with the phenomenological and the empirical with the semiotic – when it deploys relational operators to trace event templates and to predict participant's perspectives. As such, interpreters restructure thought and action and recommend sound courses of action for diverse event participants.

1. Introduction

This account provides Peirce's ultimate perspective regarding the function of index, initially serving as “zoom” agent to orient attention of interlocutors to physical objects in the here and now, later orienting them to the logicity of propositions and assertions, and finally becoming a modal operator to facilitate habit-change (cf. West 2016). From these three functions, four operations of index are posited: attention securing, integrating individuals with the continuum, expressing propositions and assertions, and serving as modal operator.

When Index acquires DICSIGN status (with the emergence of linguistic forms of pointing) the element of Thirdness begins its energizing work (cf. West in press). At this stage, Index

graduates from “asserting nothing,” to asserting logical meanings. The PHEME constitutes Index’s transition from command to Dicisign, having a more subjunctive effect. Peirce demonstrates that Index can bring assertions before others’ minds via imperatives, interrogatives, or declaratives. The PHEME operates primarily as an imperative; and the representamen can constitute: a gesture, a word, or a fact of culture/nature. But, Index’s graduation to Dicisign, raises it to the status of implied argument, in that beyond its attentional and compulsive powers, Index can recommend alternative assertions, thereby altering others’ reactions, and habits of mind.

2. Early attributes of index:

Peirce introduces Index as a sign promulgating attention to simple propositions, implicit in gestural performatives (cf. West in press). At this point in Peirce’s development of it, Index does not possess any assertory power – in fact, it “asserts nothing” but “takes hold of our eyes” and rivets them to “a particular object of sense” (1885: 3.361). Here Peirce showcases the imperative nature of Index in forcing sign users to focus on a particular subject of discourse. As such, its purpose is not primarily to indicate, as many semioticians claim, but to orient sign interpreters to the conditions/contingencies critical to the sign event – coordinating its pulse, temporally, spatially, and participatorily.

Indicating alone does not characterize the unique attributes of Index; In fact, “indicating” is often used synonymously with “signifying,” which is the work of all signs; otherwise signs would fall short of a triadic character, lacking the component of Thirdness. Rather, index’s unique function is to direct emotionally and cognitively, supplying orientational qualities. It ultimately coordinates spatial and temporal features of experienced and future events for speaker and listener. To have an orienting effect index must “mesmerize” the event participants, imposing both physical and psychological force -- limiting the subject of discourse and facilitating sign interpretation.¹ Index “takes hold of our eyes,” (1885: 3.361), and directs will, action, and thought, in order that speaker and listener have a “common place to stand” (1908: MS 614).

Peirce emphasizes this attention-securing purpose of Index at earlier stages in his treatment of it, because of the primacy of Secondness within his semiotic. Nonetheless, Peirce was still short of realizing that, even in the natural world, Thirdness operates in producing potential Secondnesses as forms of pregenerative Thirdness (cf. Deely 2015: 780 and West under review), or in suggesting alternative (future) states of mind. In 1885 when Peirce characterizes index as imperative, an agent of force in the here and now, he prefigures the infusion into Index of increasingly more logical Interpretants: “it [Index] forcibly directs them [our eyes] to a particular object, and there it stops...” (3.361). As imperative, Index induces an effect upon sign receivers, compelling them to notice the relevance of particular Dynamical Objects, and to ascribe new habits of action to those objects. This operation constitutes an elementary form of Thirdness – in raising to another’s consciousness the unique attributes of Dynamical Objects, which otherwise might have been obscured. Consequently, Index together with the dynamical object insinuate themselves upon the awareness, to the degree that the mind of the sign receiver has little choice but to notice (with some scrutiny) additional qualities intrinsic to the object.

In 1897 Peirce extends the pool of representamen which can compel attention -- from purely gestural to linguistic (without including facts of nature and the like), but objects still must be present concurrently with sign production. Like gestures, he grants the same power to words (demonstrative pronouns), providing them with imperative status -- the means to force atten-

¹ “One of these kinds [of sign] is the *index*, which like a pointing finger exercises a real physiological *force* over the attention, like the power of a mesmerizer, and directs it to a particular object of sense. One such index at least must enter into every proposition, its function being to designate the subject of discourse.” (1885: 8.41).

tion to objects in Secondness. Like gestures, words constitute Indices if they refer to present Objects – having the effect of changing the sign receiver’s focus: “... an Indexical word... has force to direct the attention of the listener to some haecceity common to the experience of speaker and listener” (3.460). In extending the representamen of Index to words, Peirce ascribes imperative status to symbols, endowing words with the power to impel attention. In attributing to words the force to alter another’s topic of discourse, Peirce transfers to single word utterances a deictic function -- to individuate in the stream of Secondness/”haecceity.” In short, with the advent of words as pointers, Index acquires a symbolic character; and the influence of the Dynamical Object continues to exert a primary force even when words serve as pointers, despite their benefit to disambiguate when accompanied by indexical gestures. In attributing to words indexical and hence propositional status, Peirce allows the Term, a single word (representing a static event) to imply an entire proposition. Still the word substantially depends upon gestural Indices to disambiguate the intended object, and to hasten well-formed interpretations for other sign users.

Peirce continues to follow this rationale in 1905 (8.335) as follows: “I define an Index as a sign determined by its dynamic object by virtue of being in a real relation to it”. A word, together with a gesture more clearly serves an indexical function – both individuate the same Dynamical Object. The indexes together validate shifts in discourse topics; but, the word has an additional function, to identify the object as a member of a class. It does so by implying similarity relations with like objects – those bearing the same name (cf. West 2013: chapter 2).

3. Index as individual:

Peirce’s second characteristic of Index (as individual) resolves the seeming contradiction in adhering to momentary existence while giving great weight to the continuum. He likewise introduces Index as assertion. In Secondness, Index showcases coherence among all of the members instantiated within the continuum, superseding the single contribution of particular dynamical objects in specific places and at fixed times (cf. West 2015). This coherence of Dynamical Objects to the continuum forms the foundation for building event structures, such that the function of diverse objects in diverse contexts provenates the operation of Thirdness - it foundationalizes the triad’s future instantiations. At the same time, Index is afforded an assertory power. The relations which Index as individual implies constitute the foundation to forge would-be effects of objects upon one another. This may involve altering the placement, orientation, and use of these objects, hence foreshadowing the dynamic character of event templates. The perceived object relations make possible the generation of novel assertions – conjectures as to who is impinging upon what and what kind of events might ultimately transpire, e.g., agentive giving and receiving, or experiencing an unexpected state of being. In making these relation-based suggestions, the individual nature of Index is welded into the continuum – it examines which propositions must be modified based upon composite experience, to establish which propositions speakers/listeners will assert. To this end, Index brings together event frames (cf. West 2014), integrating spatial and temporal components to appreciate time and space travel, the event’s episodic complexion. Index traces event shape by highlighting event features: beginnings, middles, and conclusions/destinations. This translates into assertion-making when directed motion suggests which participants are necessary to carry out the event.

Peirce elaborates upon Index’s unique means to signify moving events, without resorting to spoon-fed resemblance/culturally agreed upon meanings. He constructs the case that no other sign can synthesize particular Seconds with individual features of Secondness (present, past, future) to form assertions. Hence, the unique effects of Index operate: to obviate physical and logical relations, and to make relevant the individual to the continuum. Index does this by

coordinating the stuff of different Secondnesses – orienting sign users to relevant spatial and temporal axes. Peirce illustrates this in the following passage:

Indices may be distinguished from other signs, or representations, by three characteristic marks: first, that they have no significant resemblance to their objects; second, that they refer to individuals, single units, single collections of units, or single continua; third, that they direct the attention to their objects by blind compulsion. ...Psychologically, the action of indices depends upon association by contiguity, and not upon association by resemblance or upon intellectual operations (1901: 2.305).

Here the attribution of contiguity to Index is plain; it serves as relations enhancer, uniting the momentary existence of individuals with the whole of the continuum. Recognition of relations in contiguity operates when Index regulates the association of sign to place and time of an Object's appearance, because it monitors potential changes in the where and when of Objects' instantiation.

In the previous passage, Peirce still requires that Index (gesture, word) be employed concurrently with a present object, but he extends the dynamical object to mental constructs, e.g., images in the mind –allowing temporal distance between the Dynamical Object and Index. This represents a significant semiotic transition. Index can now have as its Object, something mental (an image), which permits sign-object attenuation. This attenuation strengthens the sign, and lays the groundwork for incorporation of time-travel necessary to shape the episodic character of moving events (cf. West 2014). It likewise shepherds the increased influence of the Immediate Object – attributing to the object in question the means to link in the mind similar Dynamical Objects and their meanings/effects.

When Index progresses in semiosis with more elaborated Immediate Objects and Logical Interpretants (illustrated by attenuated uses), it acquires iconic qualities —affording a more informational interpretant: “An Index or Seme ... is a Representamen whose Representative character consists in its being an individual Second. If the Secondness is an existential relation, the Index is genuine. If the Secondness is a reference, the Index is degenerate. A genuine Index and Its Object must be existent individuals (whether things or facts), and its immediate Interpretant must be of the same character. But since every individual must have characters, it follows that a genuine Index may contain a Firstness, and so an Icon, as a constituent part of it. Any individual is a degenerate Index of its own characters. Examples of Indices are the hand of a clock, and the veering of a weathercock. Subindices or hyposemes are signs which are rendered such principally by an actual connection with their objects. Thus, a proper, [a] personal, demonstrative, or relative pronoun, or a letter attached to a diagram, denotes what it does owing to a real connection with its object, but none of these is an Index, since it is not an individual” (1903: EP2:274). Personal, demonstrative, and relative pronouns are indices only when they refer to present objects for the first time, because it is then, and then, only that their principle function is to individuate; in subsequent applications to the same Objects, they are not indices since an association has already been established with that object and a particular interpretant housing iconic or symbolic meanings. In the latter cases, the object has already been singled out from the pool of potential referents (cf. West 2013 chapter 7). In short, in making prominent Index's role as “zoom agent” and tracker of discourse topics, emphasizing momentary shifts, Peirce disqualifies certain Legisigns from having Indexical status. Such is determined by the presence of a Legisign and a Logical Interpretant.

This status is assumed when the classificatory meaning of pronouns/proper names becomes primary. They cannot qualify as Indices, because their designative power is muted by compari-

son based knowledge already present in the Immediate Object. Thus, on the first occasion of use, pronouns/proper names can qualify as Index, since their designative meaning or “zoom” effect is primary; but, once the subject of discourse has been established, these linguistic pointers elicit stored memories, and hence function similarly to common nouns (cf. West 2013 chapter 7). Consequently, when these linguistic pointers serve an indexical function, they can imply assertions; but, when they bring with them classificatory meanings, assertions are inherently built into the interpretant.

4. Index as assertion:

Beyond its attentional function (designating physical objects in relatively undifferentiated space), Index can intimate assertions. In momentarily shifting to any object of focus, or passively attending to the same object as the agent, it is not resigned to “asserting nothing.” As assertion, Index recommends that the interlocutor consider the viability of a claim which the speaker relies upon. “Let us distinguish between the proposition and the assertion of the proposition. We will grant, if you please, that the proposition itself merely represents an image with a label or pointer attached to it. But to assert that proposition is to make oneself responsible for it, without any definite forfeit...” (c.1902-1903: 5.543). The receiver is now not merely required to focus on a subject and predicate (a proposition), but must actively consider whether the statement of the agent has logical merit. In fact, the message to the receiver is that some merit operates in the speaker’s assertion; otherwise he would not have staked his reputation upon it.

Nonetheless, before making oneself “responsible” for the assertion, Index must first identify the subject of discourse. This process entails making icons definite by sharpening their boundaries, such that their identity and application are defined uniquely (cf. 1898: MS 485). Absent this sharpening, little information of an iconic or symbolic character would be contained within the interpretant; and nothing would be asserted. In other words, without the definiteness of icons which Index affords, assertions could not materialize, because the subject and the predicate of the discourse would be insufficiently defined to generate a reliable claim. When Index makes explicit an icon and carries within it information, as in the *Dicisign*, it does, in fact, assert. It is in the *Dicisign* that Peirce most clearly showcases the assertory character of Index. Recognition of Definite Icons are obviated via Index because it establishes and traces peripheries of objects or scenes. It orchestrates this by highlighting the shape of an object’s image on the retina, or by monitoring the direction of events in memory. In this way, Index illustrates event contours, revealing the semantic and syntactic complexion of action schemas. In sharpening icons and in tracing their relations to one another, Index makes explicit the underlying propositions; and the assertive power of the claims is enhanced: “Every assertion represents an illative transformation of an index into an icon to be satisfactory” (1898: MS 485: Alt. 2). Here, Index supplies definiteness and uniqueness to icons, defining the subject of discourse. It is not the pictorial quality which index enhances that qualifies the icon as definite, rather coherence/contiguity – binding elements of the shape. This sharpening of identity further establishes how the topic of discourse pertains to the proposed predicate.

Accordingly, definite Icons (discrete subjects of discourse) materialize when Index highlights shapes of objects and event complexions (icons) by establishing discrete structural identity within figure-ground relations, both within static depictions, as well as for dynamic event relations. Peirce further affirms the need for Index to clarify the icon before acquiring its assertory power in his 1904 *Kaina Stoichea*: “It is remarkable that while neither a pure icon or a pure index can assert anything, an index which forces something to be an icon, as a weathercock does, or which forces us to regard it as an icon, as the legend under the portrait does, does make an

assertion, and forms a proposition” (EP 2:307). In “forcing something to be an icon,” Index acquires assertory status; it compels attention not so much on the present object under scrutiny, but on comparisons with other, previously experienced likenesses. In “forcing us to regard [X] as an icon” possessing informational qualities (EP 2: 275), Index asserts something, and attains Dicsign status (cf. EP 2: 172; Stjernfelt 2014, 2015). In the Dicsign, Index directs interpreters to access already stored like experiences to include in the interpretant.

To further clarify, Peirce’s notion of “assertion” in contradistinction to “proposition” involves a real commitment to the veracity of an ontological issue; as such, the existence of an informational Index (possible via the presence of an icon) within a Dicsign is paramount. In fact, without forcing the recognition of icons (as do Dicsigns), propositions would lack the means to become claims to submit to another, since the subject of discourse would not be sufficiently defined.² The Dicsign, then represents Peirce’s elevation of Index from PHEME or commander of attention to a proposition, to submitter of claims to another mind. To reach muster as assertion, Index must state a claim sufficient to qualify as an argument, with the potential to garner another’s “full belief, ...[or] willingness to act upon the proposition in vital crises” (1898: EP2: 33). “Full belief” is tantamount to settled belief, to the extent that acting upon it to remedy an exigent consequence qualifies the claim as viable. In other words, to own the assumption affirmatively is equivocal to asserting it; one must be committed to its truth value and effects. To do so, interpreters must submit the claim (via Index as implied argument) to make relevant already stored like experiences, and to ensure that claims do not contravene one another.

5. Index as modal operator

When Index expresses anticipatory assertions equivocal to the status of arguments (when it qualifies as a Dicsign), it becomes a prime modal operator. It suggests new states of affairs, and directs complexions of mind and affect accordingly. It does so by submitting future states of affairs packaged in assertions to other minds. These assertions can take the form of: imperatives, interrogatives or indicatives. Accordingly, as imperative, interrogative, or as simple statements of fact, the Dicsign possesses the potency to change other’s modes of consciousness by submitting (rather than compelling) alternative ways to conceive of relations among objects and actors of events. These submissions (packaged in mature Indexes) promote serious consideration of possible event relations, because Indexes as implied arguments reflect the degree of speaker’s commitment to a claim, which strengthens (for receivers) the merit of the assertions contained within the argument.

In short, Index experienced a lengthy ontogeny: from PHEME, to Dicsign as assertion, to Dicsign as implied argument. Peirce’s new taxonomy, especially his substitution of “Delome” for argument, demonstrates Index’s potency as submitter of assertions: “The second member of the triplet, the “PHEME,” embraces all capital propositions; but not only capital propositions, but also capital interrogations and commands, whether they be uttered in words or signaled by flags, or trumpeted, or whether they be facts of nature like an earthquake (saying “Get out of here!”) or the black vomit in yellow fever (with other symptoms of disease, which virtually declare, or are supposed to declare, some state of health to exist). Such a sign intends or has the air of intending to force some idea (in an interrogation), or some action (in a command), or some belief (in an assertion), upon the interpreter of it, just as if it were the direct and unmodified effect of that which it represents” (1906: MS 295:26). In its capacity as PHEME, Index directs others’ thought

² Dicsigns have a double function—one of likeness, the other of direction-contiguity: “...a dicsign is a sign which is understood to represent its object in respect to actual existence...” (1903: EP 2: 292).

germinations and ultimately their assertions through forcing an idea before their mind -- requesting consideration of the plausibility of a future event, or explicitly expressing the novel assertion in an argument.

The introduction of “seme” permits Terms to imply more than subjects of discourse, while “PHEME” for Proposition demonstrates more than an application of a predicate; and later the Dicisign made possible Index’s role as implied argument (cf. Bellucci 2014: 539-540; and West in press). The PHEME supersedes propositional status, approaching an assertory character, when it forces others to consider the veracity of its claims. But, when Peirce folds “PHEME” into the Dicisign, he recognizes the full use of Index as conveyer of information to be submitted for consideration by other minds. As PHEMES, ideas become interrogations; actions become commands; and beliefs rise to the level of assertions.

Nonetheless, Index’s influence does not stop at its command-like character; it is expanded to house the complexion of the Delome, in which the Dicisign permits Terms and Propositions to imply arguments. To do this, Peirce was required to “widen the use of Term and Proposition (alluded to previously):

A familiar logical triplet is Term, Proposition, Argument. In order to make this a division of all signs, the first two members have to be much widened. [—] As the third member of the triplet, I sometimes use the word Delome [...], though *Argument* would answer well enough. It is a Sign which has the Form of tending to act upon the Interpreter through his own self-control, representing a process of change in thoughts or signs, as if to induce this change in the Interpreter (1906: 4.538).

Peirce later continues to affirm that Index constitutes an agent to submit arguments. To this end, he extends Index’s Dynamic Interpretant: “According to my present view, a sign may appeal to its dynamic interpretant in three ways: 1st, an argument only may be *submitted* to its interpretant, as something the reasonableness of which will be acknowledged. 2nd, an argument or dicent may be *urged* upon the interpretant by an act of insistence. 3rd, argument or dicent may be, and a rheme can only be, presented to the interpretant for *contemplation*” (1905: 8.338).

6. Conclusion

Within a twenty-year interval, Index underwent revolutionary alterations, from “zoom agent,” locating objects in Secondness, to a logical travel guide for apprehending episodes. Peirce’s introduction of “Delome” integrates Logical Interpretants into Index, furnishing their ultimate episodic character. Index as Delome directly expresses an assertion, while as Seme and PHEME, it asserts implicitly. This latter form demonstrates Index’s potency to suggest invisible sign-object relations -- to imply new meanings for other minds. The lack of explicit mention of conclusions turns out to be an advantage; it beckons the interpreter to utilize his own inferential powers to determine meaning relations. Reliance upon interpreter’s competence to infer conclusions from the flow of Index-Object relations, demonstrates Index’s influence to fashion new habits of action/thought. Index draws an invisible line to event players, intimating their unique contributions to the episode at large. This flow or directional “pull” of meanings from stark physical contexts is bolstered by attention to iconic qualities, which Peirce ultimately integrates into the Dicisign (1909: EP 2: 496). In the Dicisign, Index becomes “zoom agent” not merely for the self in physical contexts, but to enhance logical relations for interlocutors. They are compelled to arrive at conclusions utilizing the diagrammatic character of Index which highlights definite icons. In short, Index’s ultimate role is to compel interpreters to rely upon nonsymbolic devices to discern triadic relations.

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AN INTER-CROSS UNIVERSUM INTRODUCTION TO ROMAN OSIPOVICH JAKOBSON'S SLAVIC POETRY STUDIES

Neža Zajc

Institute of Cultural History, Scientific-Research Centre
of Slovenian Academy of Sciences and Arts, Slovenia
nzajc@zrc-sazu.si

Abstract

This paper introduces a special analysis of language through biographical acknowledgement as begun by the important the Russian Slavist and well-known language theoretician, Roman Osipovich Jakobson. It will show how his personal engagement as a scholar highly emphasized studies of world languages. His research of the comparative Slavic language reflected the most profound and stimulated statements about the history of poetry that until recently has remained relatively unknown. Through a deep and personal study of the language of (Slavic) poetry he overcame the language borders created by different nations. His career presents an argument for the definition of his linguistic creativity, similar to poetical works. Thus, this article is only the first step to the introduction of the personal poetics of Roman Jakobson.

1. Biographical and linguistic notes

When Roman Osipovich Jakobson (1896-1982) began his affiliation with linguistic research at the beginning of his career as a linguistic scholar, the young Russian intellectual and student of Slavic studies was also a very delicate poet. Between 1908 and 1910, he wrote down and published poems with the following titles that all reflected his interest in word games and semantic features: An Epigram, A Castle in the Clouds, A Fantasia, An Apartment of a Solid Man, and An Imitation of Maxim Gorki. Later, in 1913, in a letter to the poet and Russian futurist, Alexey Kruchenyh, Roman Jakobson explained his poetical attitude. He specified that his lyrics should not be interpreted as *samoizvitoe slovo* 'poetry that is not self-satisfactory'. Additionally, he reiterated that he felt uncomfortable within the laconic style and consequently in arhythmic po-

etry (Jakobson 2011). Certainly, it seems that already in terms of that self-expression, Jakobson expressed the normative of poetical language that should never be treated as a non-complex universe, but should be understood as the highly sophisticated atmosphere of unpredictable relations between the signans and signum (in signatum). Moreover, Jakobson articulated the value of the rhythm in poetry that could connect lyric with personality. Later, in his study *The Kernel of Comparative Slavic Literature*, he defined the foundation that could function as a properly grounded base for comparative studies of the Slavic languages: "If in the Slavic languages diverge as to the relation between word accent and word boundary, and between word accent and vocalic quantity, these divergences are particularly revealing, for they can be analyzed and interpreted against background of numerous fundamental likenesses which continue to unify the Slavic tongues" (Jakobson 1985). In other words, it was in the similarity of sound expressions in different Slavic languages and the resulting aesthetic criteria that he found as an argument for the investigation of the internal similarity for certain groups of Slavic languages. The latter led to Jakobson's important notes on Slavic rhyme that, according to him, "clearly illustrates how essential the similarity of Slavic linguistic material is for the formal devices utilized in the poetry of diverse Slavic people" (Jakobson 1985: 7).

In his lecture in Moscow in 1966 (after many years of living through double emigration, particularly in the USA, where he was engaged in linguistics of the literary form), Roman Jakobson, who at that time took an active part in the 9th International Congress of Psychologists, highlighted that it is important not only to analyze the relationship and interrelation between the signifier and the signified, but that it is also most fruitful (and creative!) to interpret the correlation between the signs of form and meaning. In his (previously mentioned) unique definition of his own poetry, Jakobson also expressed another specific element of his personal attachment to the poetry saying that his poems are "the expressions of the heart that suffers" (Jakobson 2011: 228). Within this, he expressed the basis of a message that should be highly emotional and tending toward the person on the other part of communication.

It has to be mentioned that, in 1911, Jakobson pioneered the first linguistic research concerning the language of the poem of Vassilij K. Trediakovski, a Russian poet of the 18th century, whom Jakobson profiled with the statistical analysis of his poetical language. At that time, he also personally met Vladimir Majakovski at the funeral of the Russian painter, Valentin Serov. By the year 1912, Jakobson had already translated Stéphane Mallarmé's poem, *Unedentelle s'abbolite*, (a commission kindly requested by the Italian author of the manifesto of Futurism, Marinetti) and because of Mallarmé's words that the poet attributed the journal's language to the bourgeois (Jakobson 1987: 287). In 1913, Jakobson also met a surrealist painter named Kazimir Malevich and the poet, Velimir Hlebnikhov, both of whom vitally built up his attitude towards the visual and acoustic concepts of modern art and poetry. It was Hlebnikhov's poetry in particular that was, for the rest of Jakobson's life, one of his favorite forms of contemplation on the poetical effects of Russian creativity in the Avant-garde period predominantly due to the poet's link to old Russian oral (folk) tradition, namely, that it was with a poet's perfect and congenial ability to mimetically re-create or hear the archaic voices that he managed to save them in his poetry as a memoir of old songs in the human mind. Not accidentally, but rather more coincidentally, Jakobson, in a cited letter to Kruchenyh, declared that a linguist must be aware of the magic of invocations (citing the example of the Greek gnostic) which, in a previously cited lecture, he had stressed as the most complex correlations of ethnolinguistic studies (Jakobson 2009: 207). Only later, after the Russian Revolution in 1917, such experimentation with the language of reality by means of encoding it with the non-canonical (Apokrypha) and non-traditional formulas stepped into the path of Russian modernism (Aptekman 2003: 477). At that time, Roman Jakobson also acknowl-

edged Albert Einstein's relativity theory. He continued to publish his poetry under the pseudonym 'Roman Ialiagrov', some of which were entitled *The Farewell of the Words*, *How Many Fragments I Sip Away* and were published in the journal *The Thought of the Pupil*, edited by the Lazarev Institute for Eastern Languages (Jakobson was a part of its editorial board). During the following year (1914), he wrote a letter to Hlebnikhov about experiments in the language of poetry. In his poetry, Jakobson also found a reflection of the previous tradition of Russian poets who willingly formed their verse based on spoken language (Jakobson 1987: 287–288).

When Jakobson entered Moscow University, he struck up a friendship with an ethno-linguist, P. G. Bogatyrev, who later became a one of the first Russian theoreticians of semiotics. When the Russian linguist Filip F. Fortunatov died, Roman Jakobson found a paper by a Russian linguist (of Polish origin), Nikolai Krushevski, among his manuscripts on the basis of which Jakobson built his famous theory about metaphorical and metonymical thought in the perception of artistic and poetic language. At that time, he was 19 years old. In 1915, he had his first public lecture about the language of Tredjakovski, though this was only to be completely published for the first time a half-century later. In that lecture, he first stated some of his crucially important goals concerning Russian folk verse. Moreover, he was awarded for his research of the language of the Russian heroic epic poem called *byline*. In the same year, Jakobson organized the first meetings of the Russian linguistic circle, over which he presided until the year 1920. At that time, he started to study the writings of Helmut Husserl and to read the linguistic studies of dialectics and of the folkloristic approach. In 1916, the famous OPOJAZ (The Association of the Research of the Language of Poetry) was founded by Roman Jakobson, Evgenij Polivanov, Viktor Skhlovski, Boris Ejkhnenbaum and Osip Brik (Jakobson 2011: 229). Among Russian artists at that time, a dichotomy was formed in intellectual thought that produced archaists and innovators, and Jakobson took a semi-place in between them. Indeed, among them Jakobson was the only one who started to investigate Slavic languages from the diachronic perspective and also research languages that were originally not similar to his native Russian language. However, only within these studies did he manage to solve issues in Russian verse that were among the most problematic of the linguistic studies.

In 1920, Jakobson emigrated to Czecho-Slovakia, specifically, to Prague. In 1921, he published a study about modern Russian poetry in Prague, particularly about the poetry of Hlebnikhov. He managed to pass over the limitations of his native language through the active organization of the Prague linguistic circle in 1926 and, finally, in 1930, with a PhD thesis entitled *Über Verbs au der serbokroatischen Volksepen* ('The Poetics of Old Slavonic Serbo-Croatian Verse') thanks to which he gained the title of Doctor of Philosophy at the German University of Prague (Jakobson 2011: 234). Although he received a critical but friendly review for his linguistic comparative study of the poetry of A. S. Pushkin and V. Hlebnikhov by Nikolai S. Trubetzkoy, Jakobson was also the first scholar who was able to connect the verse of Pushkin's problematic cycle entitled *The Songs of Western Slavs* with the structure of Russian verse from the satire *A Second Chorus to the False Sun* by the 18th century Russian poet, Sumarokov, on which Trubetzkoy based his argumentation of the study of Pushkin's verse system in 1937 (Trubetzkoy 1963: 66). In 1928, Jakobson and Jurij Tynyjanov published a famous manifesto in *Novyj LEF* in which they represented an intellectual power in new cultural conditions, but also a connection between Russian and European humanities (Levchenko 2003: 518). In 1931, Jakobson wrote an important article as a reaction to the suicide of V. Majakovski of which Osip Emilevich Mandelshtam spoke "with biblical words" (Jakobson 2011: 235).

On the basis of further investigation of biographical facts, Jakobson also took into very serious consideration the fact that Charles Sanders Peirce had, already in 1868, illustrated his definition with an example of medieval logic. Obviously, Roman Jakobson understood the Slavic Middle ages as more than a dynamic source of the permanence and universal significance of

spiritual values. Moreover, his interpretations reflected how he was truly inspired by the content of old Slavonic poetical material. That is why N. Trubetzkoy's findings in 1937 were among the most important findings of poetical fragments in old Slavonic prose for him, as they further stimulated Jakobson's investigations into Old Church Slavonic. It was not an accident that on October 17, 1938, Roman Jakobson accepted Orthodox confession in the old Orthodox-Catholic church of St. Magdalene's in Prague. All of the aforementioned items resulted in detailed studies of the oldest patterns of Slavonic poetry such as *Saint Constantine's Prologue to the Gospels* (1942) as well as the paper *The Slavic Response to Byzantine Poetry* and Jakobson's studies dedicated to the Czech gothic historical verse. Jakobson continued most of these studies and developed them after his emigration to the USA. It was there that he also published *Condensed Survey of Slavic Languages* in 1955 in which Jakobson marked that, generally, word order in different Slavic languages is still based on the same principles as those of Proto-Slavic; thus, there is one basic pattern and a set of set deviations each of which possesses distinct semantic or stylistic value (Jakobson 1955: 21). His affective research of the oldest Slavic literary forms as historical evidence for the common language impression of poetic forms continued especially in the case of Jakobson's argumentations of the original language of the first Russian folk epic, *The Tale of Igor's Campaign*. It was to the grammatical equivalences between the languages, artistically understood as constitutive devices of the single sequence in the language progress, that Jakobson dedicated his most courageous studies of the verse. According to him, Slavic poetry must be seen through the investigation of the "general Slavic phenomena such as the strong autonomy of word units, their sharp delimitation and their clear-cut opposition to word groups, or the accentuation, division, and intonation of the sentence, are fundamental prerequisites for including the metrical patterns of diverse Slavic languages within the common framework of comparative Slavic metrics" (Jakobson 1985: 6–7).

More than that, it seems that Jakobson verbalized the cultural memorial evidence of the common and metrical rules of human sense for rhymes and rhythm, particularly in the case of his research into the Slavic and Slavonic language features. In a very precise study of the two oldest forms of Slavonic verses presented at the International Congress of Slavists in Sofia in 1963, Jakobson analyzed the two oldest patterns of Slavic poetical effects on a phonetic level, which is the most problematic aspect of Slavic studies, especially in the case of the prehistory of Slavic languages (Proto-Slavic) regarding the appropriate localization of Slavonic linguistic features. In the paper entitled *A Phonetic Approach to the Structure and Evolution of the Common Slavic Prosodic Pattern*, from *Common Slavic* (before its gradual dissolution), Jakobson detected two prosodic features (*long-short* and *acute-grave*) and consequently defined Western as Serbo-Slovenian and Eastern as Bulgarian-Russian types among which, in the former, the long-short opposition survived while the tonic was lost. In the Eastern type, the final establishment of the prosodic opposition *stressed-unstressed* eliminated the long-short difference. However, in his conclusion of this paper in Russian, Jakobson called for radicalism in the selection of methodological approaches in linguistic material to be the basis for Slavic studies (Jakobson 1963: 22). He clearly denied the so-called phonetic rules siting them as fictional, and expressed the fact that the scholar must be cautious when dealing with dangerous grammatical analogies in the field of historical research. Moreover, he claimed that only historical analyses could answer questions of the internal evolution of language forms (the structural connections between new forms). Indeed, because Jakobson believed that "true continuity unites the present not only with the past but also, and most importantly, with the future," as Stephen Rudy said of him (Rudy 1985: XXII), he was also capable of excluding redundant Slavic linguistic material.

It could be said that Roman Jakobson developed his significant Slavic contrastive poetics based not only on his inter- and cross-medieval studies, but also on his interesting observations

about the poetic effect in contemporary poetry, in which he was able to detect the peculiarities of Slavic poetry with a strengthened, self-preserving sense of endurance. The latter stated values of important permanence and universal significance. Jakobson's interpretations of the language of Slavic poetry gained such a level that he was also competent enough to interpret the poetry of a Slovenian poet, Oton Župančič, in a study that Jakobson introduced with the statement that poetical speech lacks its primary effect in every translation by Louise Tesnière (Jakobson 1981: 577). As a result, Jakobson also found, only in the relationship of the poetry, a suitable place for the moment of the translation and the defining of collective memory.¹ However, in a single poem entitled *The Death Bride*, Jakobson was able to recognize the folk and historical features of Župančič's verse that crucially built up the poetical impact of the poet. In other words, Roman Jakobson, in his studies of Slavonic and Slavic poetry, managed to notice such sublime and eloquent poetical effects that were only known to and recognized by native speakers.

2. The science of poetical language

The reason we argue the thesis that Roman Jakobson's definition of poetic function is too narrow to cover the cognitive and emotive aspects of the message connecting the actants (the addresser and the addressee), as Peet Lepik stated when referring to his study of magic forms of culture (Lepik 2008: 105-106), can be found within Jakobson's biography, which speaks of his deeply personal affiliation with his linguistic studies. The biographical circumstances that followed Jakobson's first definition of his own poetry in 1913 were highly emotional. They also confirmed the fact that when discovering the magical signs of poetical language (as early as 1915), having also been introduced to Einstein via his theory functioning as the basis for cognitive contemplation, Jakobson was aware of the language of science. In his first definition of the poetry that touched him, he declared that the language of poetry should be understood as open to all interpretation and consequently to multi-semantic valuation. More than that, Jakobson declared that C. S. Peirce was right when he announced that, even in the case of homonyms, there is no evidence of a firm and stable connection between the *sign* and the *signum* (although every word has a one single meaning - *significatio*). By such direct, but also historical discourse, Jakobson did not exclude the second person, but only the third as a non-direct go-between. Reasonably, Jakobson as the scholar took the responsibility of the researcher and acted at the same time as the interpreter as well as the mediator. As a highly wakeful investigator, he presented the animate actant in the dialogue between the addresser and the addressee. In his previously mentioned lecture in Moscow in 1966, he also noted that one has to pay attention not only to the context, but must also examine the further and deeper fields of personal language by additionally taking into consideration the psychological perspective of the interpreter himself. Again, Jakobson referred to Peirce who, in the communication process, stressed the intrapersonal aspect followed by *internal dialogue*. The latter was found in the important semiotic recognition of the literal structures of a drama (or a drama in a novel), found, for example, in Shakespeare's *Hamlet* defined by Jurij M. Lotman as the *text within a text* (Lotman 1981; Zajc 2015: 60). Furthermore, Jakobson was convinced that an internal dialogue between different phases of ego was a cardinal factor in the network of language, which serves as one's connection with the self's past and future. Therefore, when the scholar (i.e. researcher) takes the place of the mediator, there is no need for a third person. In this role, he was finally able to directly understand the language of poetry as a permanent entry into historical language that activates the oldest human cultural memory (archetypes) and which simultaneously opens up to the sign system's transitional varieties (as Lotman's collective intellect). However, the scholar

¹ That could be seen in Lotman's model of culture in which knowledge is maintained and transferred through time while the actualization of codified information as well as new information is guaranteed (Lotman 1992: 200; Andrews, Maksimova 2008: 264).

should be fully involved (with his emotions and sufferings) in the process of the semiotic discovery of hybrid forms and syncretic formations of idiomorphic systems, which are indirectly related to language (gesticulation, body language, social impact) (Jakobson 1970: 31). By taking an active part in research communication that regarded science as the social universe and, vice versa, communication as the most magical moment of the cultural event that one could imagine, Jakobson realized an entirely aware model of linguistic scholarship. Within such an attitude, Jakobson also managed to improve his own interpretative problem of the immanent and non-immanent interpretation of a literary work that resulted in the poetic text being seen as very autonomous, but not as entirely immanent.

Although, because of his communication model, Jakobson is mostly frequent understood as the creator of sociolinguistics (Torop 2008: 254); more truthfully, with his Slavic studies, he defined the highly introspective investigation of the language that should be an introduction to more specified intrapersonal communication. Consequently, he allowed for the most complex immanent aspect in his work in the treatise of the linguistic level of the literary work and content by which he finally gained the ideal objective valuation of the quality of the literary piece and the critical notes on authors' style. Nevertheless, Jakobson's goal was not an objectiveness, but rather a detailed and profound reading of the poetical material from the linguistic point of view. He introduced the ability of non-reversed analysis of the language of poetry that only permits freedom within one's native language and between languages. It seems that, as a scholar, Jakobson was open to the many other aspects of the science of languages that originate within the limits of national language, but he preferred research that was profiled and immersed and that usually tended towards a direct relationship between the scholar and the topic of his investigation.

However, Jakobson remained an orthodox, but non-nationally oriented linguist who confessed the overwhelming limitations of the national Slavic languages through constant scholarly contributions and the consistent, monophonic answering of the most difficult questions in the history of the Slavonic languages. In this aspect, he was a faithful pupil of his teacher N. Trubetzkoy who warned about harmful cultural egocentrism, especially in terms of Slavic languages, and proceeded the scholar's rejection of the Eurocentric view of Slavic history (cf. Rudy 1985: XII). In any case, Jakobson's linguistics research into the language of poetry (not only Slavic) resulted in his work being understood as poetical and dubbed the *Poetics of the Roman Jakobson* (Ivanov 1987: 22).

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SIGN-THEORETIC APPROACH TOWARDS EXPLANATION OF MENTAL IMAGERY

Jelena Issajeva

Tallinn University of Technology, Estonia
jelena.issajeva@gmail.com

Abstract

The nature of mental imagery is one of the most controversial issues in cognitive sciences. Contrary to the traditional representational theories, which view images as either propositional or pictorial representations, I propose to account for mental imagery using semiotic approach, i.e. in terms of signs and signifying relations. This article reviews two alternative sign-theoretic accounts developed by C.S. Peirce and F. Saussure and analyses what kind of sign theory serves better to explain mental imagery. Brief analysis showed that Peirce's semiotics is better suited to account for the diverse nature of mental images. In particular, I will argue that Peirce's sign theory fulfils four main conditions of a comprehensive explanation of mental imagery. Namely, it accommodates:

- a. heterogeneous and manifold properties of mental imagery;
- b. image's co-relation with the object (intentionality);
- c. image's dependence on the subject, who produced an image and his individual traits;
- d. image's dependence on the context, where the image was produced.

In sum, a sign-theoretic approach towards the explanation of mental imagery, based on Peirce's universal semiotic, could suggest, I believe, a new perspective on the complex nature of mental imagery.

1. Introduction

Since cognitive revolution in 1950-60s, the question about the nature of mental imagery (MI)

became one of the most debated ones in cognitive sciences. Traditionally, two representational theories were proposed – (quasi-)pictorial and propositional – to answer this question. According to the (quasi-)pictorial theory, mental images are picture-like representations in the mind (Kosslyn 1980, 1994; Finke, Pinker and Farah 1989). Proponents of propositional theory, on the opposite, claim that mental imagery constitutes verbal representations or language-like descriptions (Pylyshyn 1981, 2002, 2003; Fodor 1975). However, representationalism towards the explanation of MI encounters serious problems, such as: different results of replicated experiments (Pylyshyn 2002; Slezak 1991; Chambers and Reisberg 1985; Rock, Wheeler and Tudor 1989); multiple interpretations of empirical evidence (Anderson 1978; Pylyshyn 2002; Ganis 2013); and manifold properties of mental imagery, e.g. motor, tactile, auditory properties (Lacey and Lawson 2013; Keller 2012; Pascual-Leone et al. 1995; Richardson 1995; Schimdt et al. 2014). In sum, existent empirical data showed that MI cannot be comprehensively accommodated nor by (quasi-)pictorial, neither by propositional accounts.

An alternative way to answer the problematic question about the nature of mental images is to say that MI is a sign system¹. Indeed, there are several reasons to consider semiotic theory as one of the possible solutions towards proper explanation of MI. Just as a sign a mental image is intentional, i.e. stands for some object that it represents. Next, it also has some ground element or representamen, i.e. something that represents. Similar to a sign, a mental image has a meaning comprehended by the subject. Shortly, it seems that MI shares similar structure and properties with a sign. Thus, semiotic theory might shed some light on the complex nature of MI.

However, what kind of sign theory serves better to explain MI and what conditions a comprehensive semiotic account of MI should satisfy? This article gives a brief overview of the two alternative sign-theoretic accounts developed by Charles Peirce and Ferdinand de Saussure and suggests that Peirce's sign theory is better suited to account for diverse nature of mental images. In particular, I will argue that a sign-theoretic account of Peirce fulfils four main conditions of a comprehensive explanation of MI, namely it accommodates:

- a. heterogeneous and manifold properties of MI;
- b. bimage's co-relation with the object (intentionality);
- c. image's dependence on the subject, who produced an image and his individual traits;
- d. image's dependence on the context, where the image was produced.

In order to show that, I will begin with the analysis of Peirce's sign-theoretic account in Section 1. Then, I will proceed with the description of semiotic theory developed by Saussure in Section 2. Finally, in Section 3 I will analyse both semiotic theories as applied to explain MI. I will try to show that Peirce's sign theory constitutes a more complex and elaborated account compared to its alternative, it satisfies four conditions of explanation of MI and thus suits better to account for the latter.

2. Peirce's sign theory

Peirce's theory of signs or semiotic is a unique account of signification, reference and meaning, distinctive among others for its "breadth and complexity" (Atkin 2017: 1). Central tenets of Peirce's sign theory are the philosophical origin of his account, pansemiotic view of the universe, phenomenology, Peirce's triadic definition of sign and classification of signs.

¹ For detailed justification of why mental imagery can be legitimately seen as a sign system see Issajeva 2015a,b.

To begin with, Peirce's theory of signs has philosophical background. His work was strongly influenced by philosophy of Aristotle, Kant's theory of knowledge and Locke's theory of ideas. In particular, the very term 'semeiotic' was borrowed from Locke, who used it to name a new 'doctrine of signs' (Short 2007: 2). Following its philosophical origins, Peirce's semiotic theory aims at solving general and universal problems of knowledge and being, i.e. those questions that are philosophical by nature. In this vein, Nöth rightly noticed that "Peirce's semiotics aims at epistemological and even metaphysical universality" (Nöth 1995: 39).

Philosophical origin, epistemological and metaphysical universality of Peirce's semiotic give rise to his pansemiotic view of reality. Peirce claims that man, cognition and reality can be interpreted in terms of signs: "The entire universe is perfused with signs, if it is not composed exclusively of signs" (Peirce 1994, CP 5.448). In particular, Peirce claims that human cognition, our thoughts and the man himself are semiotic by nature. He clearly states, "man is a sign" (Peirce 1994, CP 5.314; Peirce 1998, EP 1:54) and "we think only in signs" (Peirce 1994, CP 2.302). Based on this view, a whole human life is interpreted as a historical sequence of signs. Thus, semiotics for Peirce is a universal science. It is the science that equally explains cosmological processes, physical events, mental and cognitive states and makes rigid conclusions about them using the method of logic. In his letter to Lady Welby on December 23, 1908, Peirce writes: "It has never been in my power to study anything [...] except as a study of semeiotic" (Peirce 1977: 85), thus clearly stating that whatever discipline is under investigation, it will eventually lead us to the study of semiotics. This universality of the scope of Peirce's sign-theoretic account makes his Semiotic distinctive among other theories and sets the stage for his triadic definition of sign and sign typology.

Next essential trait of Peirce's semiotics is his system of categories. Peirce singled out three main categories, based on which he developed a complex phenomenology of human cognition. Three categories are firstness, secondness and thirdness. "Firstness is the mode of being which consists in its subject's being positively such as it is regardless of aught else" (Peirce 1994, CP 1.25). Firstness is the category of unreflected feeling, mere potentiality, and possibility of that, which is immediately given (Peirce 1994, CP 5.66-68; CP 1.531). Secondness involves the relation of the first to the second (Peirce 1994, CP 1.530). This is the category of reaction and action, facticity, reality and experience in time and space (Nöth 1995: 41). "Category the Second is the Idea of that which is such as it is as being Second to some First, regardless of anything else [...] That is to say, it is *Reaction* as an element of the Phenomenon" (Peirce 1994, CP 5.66). Finally, thirdness is a category of mediation; it brings second into relation to a third. "Had there been any process intervening between the causal act and the effect, this would have been a medial, or third, element. *Thirdness*, in the sense of the category, is the same as mediation" (Peirce 1994, CP 1.328). Following Peirce, all the phenomena that we experience, feel, live through, react upon can be analyzed in terms of firstness as the category of feeling, secondness as the category of reaction and thirdness as the category of mediation. Peirce's sign theory can be properly understood only in the context of this system of categories.

In general, Peirce's pansemiotic view of reality, philosophical traditions and system of categories comprise the unique context of his sign-theoretic account. So what is a sign, according to Peirce? Following his triadic system of categories, Peirce, claims that sign has triadic structure and consists of three main relata or three basic elements – a signifying-vehicle or representamen, an object and an interpretant – and is characterized by dynamic, context-dependent semiotic relations between them. All together, they – a set of sign-elements and semiotic relations – constitute an interconnected network that works together

as a whole and constitutes a sign. “A sign, or *representamen*, is something which stands to somebody for something in some respect or capacity. It addresses somebody, that is, creates in the mind of that person an equivalent sign, or perhaps a more developed sign. That sign which it creates I call the *interpretant* of the first sign. The sign stands for something, its *object*” (Peirce 1994, CP 2.228). Schematically the structure of a sign could be depicted in the following way:

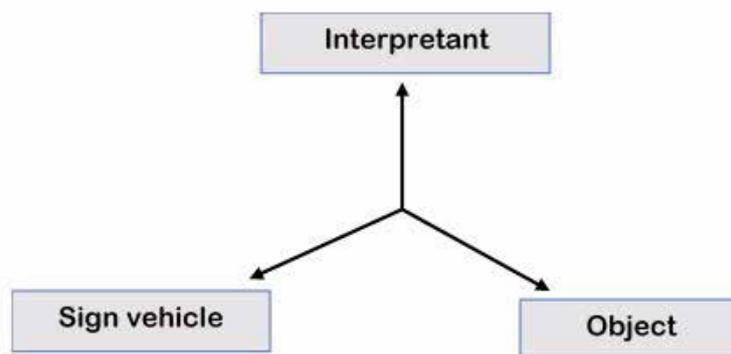


Figure 1. Peirce's structure of a sign.

This definition uncovers two main aspects of a sign:

1. Peirce views sign as consisting of three relata – a signifying vehicle or representamen (as Peirce sometimes calls it), an object which the sign stands for, and an interpretant as the meaning of the relation between signifying vehicle and its object;
2. He defines sign through its participation in semiotic or signifying process (i.e. semiosis).

According to Peirce, the sign, its structure and nature is about the semiotic relations between its three elements. Thus, Peirce's sign theory has a distinct relational and functional character (Nöth 1995: 42). It is the relations between sign-elements, i.e. semiosis that defines the nature and function of a sign. By 'semiosis' Peirce means “an action, or influence, which is, or involves, a cooperation of *three* subjects, such as a sign, its object, and its interpretant, this tri-relative influence not being in any way resolvable into actions between pairs” (Peirce 1998, EP 2:411). Strictly speaking, semiosis is the subject of Peirce's semiotic study and analysis.

According to Peirce's semiotics, relations between elements of the sign are dynamic and context-dependent. Dynamics of signifying relations means that they continuously develop and change their characteristics dependent on various factors. As Floyd Merrell (2001) puts it: “signs simply cannot stand still” (Merrell 2001: 37). Context-dependence corresponds to the changes in the environment that influence both the relations and characteristics of the sign elements significantly (Peirce 1994, CP 2.265). Thus, Peirce's theory accounts for sign in terms of three sign relata and dynamic, context-dependent relations between them.

Based on three universal categories and triadic structure of a sign Peirce elaborated a comprehensive typology of signs, which became the significant part of his sign theory. According to Peirce, each of the three sign elements – sign-vehicle, object and interpretant - is divisible on three sub-types.

signs are divisible by three trichotomies; first, according as the sign in itself is a mere quality, is an actual existent, or is a general law; secondly, according as the relation of the sign to its object consists in the sign's

having some character in itself, or in some existential relation to that object, or in its relation to an interpretant; thirdly, according as its Interpretant represents it as a sign of possibility or a sign of fact or as a sign of reason (Peirce 1994, CP 2.243).

Peirce calls the first of the three trichotomic divisions – Qualisigns, Sinsigns and Legisigns (Peirce 1994, CP 2.244), the second – Icons, Indexes and Symbols (Peirce 1994, CP 2.247), and finally the third division – Rhemes, Dicisigns and Arguments (Peirce 1994, CP 2.250). Thus, if we analyse each of the three sign elements and their features, then we can get ten various classes of signs. Later Peirce postulated sixty-six classes of signs. A comprehensive analysis of classes of signs was one of the Peirce's main interests of study.

To sum up, Peirce's semiotic has distinct features. First, it has philosophical origin. Second, Peirce's sign theory aims at epistemological and metaphysical universality that gives rise to his pansemiotic view of reality. Next, an essential feature of Peirce's semiotic is his phenomenology and three universal categories – firstness, secondness and thirdness. Finally, Peirce gives a triadic structure of a sign and elaborates a detailed classification of signs. All together, these elements comprise the core of Peirce's sign-theoretic account.

3. Saussure's semiology

An alternative sign theory, elaborated independently by Ferdinand de Saussure, is the so-called 'semiology'. In contrast to Peirce's semiotic, Saussure's sign theory has linguistic heritage. As being the father of modern linguistics and precursor of structuralism, Saussure embedded his semiology in linguistic studies. His primary focus of interest is, thus, on linguistic signs, such as words: "Saussure focused on the linguistic sign and he 'phonocentrically' privileged the spoken word" (Chandler 2007: 16). For Saussure, the spoken, acoustic words comprised a primary sign system, whereas the written words were seen as "a separate, secondary, dependent" sign system (ibid.).

Focusing on linguistic signs, Saussure defined a sign as being composed of a 'signifier' and a 'signified' (Chandler 2007: 14). The signifier is the form of the sign. Saussure defined the signifier as a 'sound pattern', i.e. hearer's auditory impression of a sound or '*image acoustique*' (ibid.). The signified is the concept, to which the signifier refers. It is more abstract and general element of a sign.

A linguistic sign is not a link between a thing and a name, but between a concept [signified] and a sound pattern [signifier]. The sound pattern is not actually a sound; for a sound is something physical. A sound pattern is the hearer's psychological impression of a sound, as given to him by the evidence of his senses. [...] The sound pattern may thus be distinguished from the other element associated with it in a linguistic sign. This other element is generally of a more abstract kind: the concept (Saussure 1983: 66).

The relationship between the signifier and the signified is called signification. A sign, according to Saussure, is then the whole that results from inter-connection between signifier and signified (Chandler 2007: 14-16). Schematically the Saussurean model of a sign can be depicted as follows:

Noteworthy that in contrast to Peirce's sign theory, Saussure suggests a dyadic structure of a sign. A sign consists of two elements – signifier and signified. Saussure compares bilateral structure of linguistic sign with the two sides of a sheet of paper: "Thought is the front and the sound is the back; one cannot cut the front without cutting the back at the same time" (Saussure 1916/1969: 113). This simile of diadicity of the sign clearly shows that two elements

of a sign are inseparable from each other and together constitute a “two-sided psychological entity” or a sign (ibid., p. 66). Along the lines, Chandler rightly notes that Saussurean sign

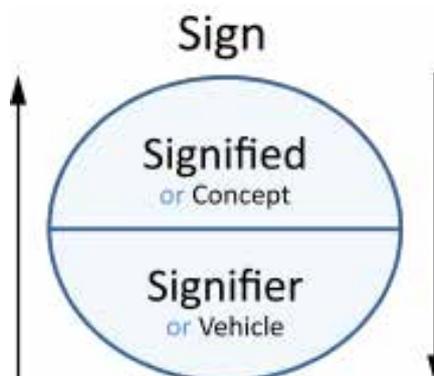


Figure 2. Saussure's structure of a sign

must have both elements to count as a sign: “A sign is a recognizable combination of a signifier with a particular signified” (Chandler 2007: 16). In the same vein, Short states that according to Saussure “sign is a two-part entity, consisting of a material signifier (*signifiant*) coupled with a signification (*signifie*)” (Short 2007: 17). Thus, contrary to Peirce, he does not elaborate the third element of a sign – an interpretant – a meaningful reaction of one's mind towards the process of signification.

The latter circumstance yields further the lack of phenomenological explanation of signification in Saussurean semiology. Despite the fact that for Saussure both ‘signifier’ and ‘signified’ are purely psychological, ‘non-material’ entities (Chandler 2007: 14-15; Nöth 1995: 60), he does not develop a comprehensive account of the mind to explain them. Quite on the contrary, his explanation of what is going on between ‘signifier’ and ‘signified’ remains vague (Short 2007: 18). In particular, Saussure admits the notion of intentionality of thought and language, but fails to give clear explanation of how thought and language manage to be about the world. Along the lines, Short states that Saussure makes the intentionality of speech dependent on intentionality of mind, but still fails to account for the latter (Short 2007: 18).

Next, Saussurean semiology employs different to Peirce's structure and notion of the sign. Peirce sees a sign as being essentially a part of the world, which “is perfused with signs” (Peirce 1994, CP 5.448). As being such a sign is context-dependent, i.e. continuously develops dependent on the changes in the environment in which a sign is produced and used. Shortly, Peirce's sign interacts with the world. In contrast, Saussure claims that sign is independent of the world, its relation to the world is arbitrary (Saussure 1983: 131). Saussure did not deny the existence of world independent of language. But his semiology establishes a relative autonomy of the language from reality, which it stands for. Thus, Saussure embraced the mentalistic conception of a sign (Nöth 1995: 60). Such notion of ‘arbitrariness’ of a sign supports the structuralist idea that language constructs the world, rather than reflects it. In the same vein, Charles Ogden and Ivor Richards (1923) criticized Saussure for “neglecting entirely the things for which signs stand” (Ogden and Richards 1923: 8). This makes semiological account of a sign independent of any extralinguistic influences.

The arbitrariness of a sign implies also the closed structure of the sign. If a sign and its elements – signifier and signified – are independent of the external world, then they are completely determined by intralinguistic system. Hence, Saussure's semiology operates totally

inside the sign system, i.e. inside the relations between signified and signifier, and thus is closed to any other influences and changes. In comparison, Peirce's semiotic presupposes dynamicity of relations between its sign elements. Peirce's sign is opened to the world, since it is indispensable part of the latter. Saussurean sign is not the part of the world as such, rather it arbitrarily structures formless mass of reality, i.e. constructs the world. Here is the place for Saussurean linguistic structuralism, which constitutes the background for his semiology. In the same vein, Sturrock rightly noticed "since we come to know the world through whatever language we have been born into the midst of, it is legitimate to argue that our language determines reality, rather reality our language (Sturrock 1986: 79). Thus, Saussurean semiology constitutes a structuralist theory of sign rather than a phenomenological-cosmological one as was proposed by Peirce.

All this yields to the relative narrowness of Saussurean theory of signs. Indeed, Saussure clearly deals just with linguistic signs, abstracted from their particular uses, natural signs and the users' responses to them (Short 2007: 19). In contrast, Peirce aims at universal explanation of reality in terms of signs, and hence investigates various classes of signs; grounds of signification; as well as thoughts, feelings and actions as responses to signs. Such difference in applicability of sign theory in Peirce and Saussure appears to be one of the reasons that caused semiotics to be favoured over semiology (ibid.).

To sum up, Saussurean theory of signs differs significantly from that of Peirce. Firstly, it has linguistic origin and focuses on investigation of linguistic signs. Secondly, Saussure defines a sign as a purely mentalistic dyadic structure comprised of signifier and signified and relation between them. Finally, the scope of Saussure's semiology is also different. He abstracted the sign from reality and focused on the structural analysis inside the sign system of language. As a result, the phenomenological explanation, intentionality of a sign, grounds of signification, as well as its pragmatic uses remain either undeveloped or vague.

4. Sign-theoretic account towards the explanation of mental imagery

So, where does the previous discussion lead us? The main question of this paper is what version of sign theory can better explain the complex nature of MI? In other words, which sign-theoretic account, if any, can fulfil main four conditions to explain comprehensively mental imagery?

Firstly, heterogeneous and manifold properties of MI can be easily accommodated by Peirce's semiotics. Various grounds of signification allow applying his semiotic to natural signs, images, linguistic signs etc. The detailed classification of signs suggests an explanation of manifold sign properties. The context-dependence, flexibility and dynamics of Peirce's conception of sign allow to comprehensive explanation of the process of signification, signifying relations and factors that influence the latter. All this yields that Peirce's sign theory can give a proper explanation of heterogeneous properties of MI.

In contrast, Saussurean semiology encounters serious difficulties with explanation of divergent properties of MI. The major focus of his semiotic investigation is a linguistic sign. However, not all images contain verbal properties. Other manifold properties of mental images remain unattended by Saussure's semiology. Thus, he fails to account for wide diversity of imagery properties. He also fails to discern among different grounds for signification, putting arbitrary relation as the only signification ground. In addition, Saussurean account abstracts the concept of sign from their particular uses, natural signs and the users' responses to them. All this makes his account hardly applicable to investigate heterogeneous nature of MI.

Secondly, image's co-relation with the object (intentionality) was sufficiently investigated by Peirce. He developed an interesting phenomenological account that underlay his sign theory

and suggested a comprehensive explanation of how signs can be about the world and what relations there are between internal signs and external objects. Contrary to Peirce, Saussure remained ignorant to the problem of intentionality. Although, he admitted that signs are somehow connected to the world, Saussure fails to properly account for the latter.

Next, image's dependence on the subject, who produced an image and his individual traits, is clearly manifested in Peirce's sign-theoretic account. The triadic structure of a sign proposed by Peirce includes an interpretant element, i.e. a subject's cognitive response to the sign. According to Peirce, feelings, emotions, thoughts, memories and even actions – all can count as an interpretant, i.e. as internal part of a sign. Thus, he clearly incorporates a subject inside his sign system. To compare, Saussure quite differently abstracts the sign from its particular uses as well as from area of individual influences. Saussurean model of sign is dyadic and lacks an element that would represent subjective differences inside the sign system. On the contrary, Saussure tries to abstract the sign from all subjective elements and analyse the sign intralinguistically.

Finally, the explanation of image's dependence on the context, where the image was produced, can also be given by Peirce's semiotic. His sign-theoretic account embraces the context-dependence of a sign. The latter corresponds to the changes in the environment that significantly influence both relations and characteristics of a sign (Peirce 1994, CP 2.265). Peirce's semiotic takes into account different influences and contextual changes and adapts them inside the sign system. In contrast, Saussurean semiology neglects contextual/circumstantial changes as being influential upon sign system. His sign theory tries to analyse the signification process and the sign structure outside of any changes in context.

To sum up, it occurs that Peirce's theory of signs can give a better and more profound explanation of MI compared to that developed by Saussure. In particular, Peirce's semiotic satisfies all four criteria of comprehensive theory of mental imagery. It explains:

- a. heterogeneous and manifold properties of MI;
- b. image's co-relation with the object (intentionality);
- c. image's dependence on the subject, who produced an image and his individual traits;
- d. image's dependence on the context, where the image was produced.

In contrast, the alternative sign theory developed by Saussure is dedicated to the investigation of linguistic sign, lacks the universality and breadth inherent to Peirce's semiotic and thus can hardly explain all characteristics of mental imagery.

5. Conclusion

To conclude, this article suggests a sign-theoretic approach to explain the problematic nature of mental imagery and analyses what kind of sign theory serves better to explain MI. Based on the divergent empirical data four main conditions of a comprehensive account of MI were singled out:

- a) heterogeneous and manifold properties of MI;
- b) image's co-relation with the object (intentionality); c) image's dependence on the subject, who produced an image and his individual traits; d) image's dependence on the context, where the image was produced. Thus, a full-scale explanation of mental imagery should accommodate these characteristics of MI.

Two alternative sign-theoretic accounts developed by Charles Peirce and Ferdinand de Saussure were analysed in order to check whether any of these accounts can satisfy all four conditions and thus suggest a comprehensive explanation of MI. The above-stated analysis has shown that Peirce's semiotic is better suited to account for diverse nature of mental images compared to its alternative and that is for the following reasons:

1. Peirce developed a more profound, detailed and wide-scaled theory of signs. His semiotic has philosophical origin and aims to solve general metaphysical and epistemological questions;
2. Peirce's semiotic is universal (pansemiotic), it accounts for the (external) reality and explains the co-relation between object and the sign;
3. Peirce's sign theory includes subject inside the semiosis. It accounts for subjective differences, influences and reactions, i.e. his semiotic is phenomenological as well;
4. Peirce elaborated a detailed and flexible account of sign and semiosis. Peirce's triadic definition of sign and sophisticated classification of signs can give a full-fledged interpretation and thorough analysis of any sign.

Based on these characteristics, it appears that Peirce's sign theory fulfils four main conditions of a comprehensive explanation of MI and can be legitimately applied to explain the latter. Whether studies about MI can benefit from the sign-theoretic approach and semiotic methods of investigation is the issue for further research. So far, it seems that the complex nature of mental images needs another perspective. In addition, perhaps Peirce's detailed and universal semiotic could suggest a new look on a very old problem of the nature of mental imagery inside human mind.

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**FROM THE SESSION
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DES EXERCICES PRATIQUES AU SERVICE DE LA THEORIE : LE MAUPASSANT DE GREIMAS

Heidi Toelle

Université Paris III – Sorbonne Nouvelle, France
toelle.heidi@gmail.com

Abstract

L'article expliquera d'abord les raisons qui ont poussé Greimas à procéder à des exercices pratiques en analysant *Deux Amis* de Maupassant. Il précisera ensuite les procédés de Greimas concernant le séquençement du texte, enfin, insistera sur les effets produits par ces exercices pratiques sur la théorie alors existante : confirmations et corrections de celle-ci concernant le schéma narratif, théorisation novatrice de la dimension cognitive autonome, démonstration de l'appartenance de Maupassant au symbolisme et non pas au réalisme.

1. Introduction

C'est entre 1972 et 1975 que Greimas, constatant ce qu'il appelle une « crise de croissance » (Greimas 1976 : 8) de la sémiotique, procède à l'analyse de *Deux amis* de Maupassant, livre publié en 1976 sous le titre *Maupassant, La sémiotique du texte : exercices pratiques* et, enfin, — soit vingt cinq ans après que cette traduction avait été projetée — traduit en lituanien grâce à Saulius Žukas et Kęstutis Nastopka. Mais pourquoi revenir à un texte publié il y a une quarantaine d'années, vous demanderez vous ? La raison en est simple. En effet, le but affiché des « exercices pratiques » de Greimas est de servir à la fois d'exemple et de leçon aux apprentis sémioticiens en train de construire la théorie (Greimas 1976 : 9-10).

2. Les symptômes d'une crise de croissance de la sémiotique

Qu'est-ce donc que Greimas appelle les symptômes de la crise de croissance en question ? Premièrement, la projection sur divers textes littéraires du schéma proppien dont il constate que la

vertu heuristique s'épuise, ce qui ne sert ni à augmenter les connaissances des organisations narratives, ni à rendre compte de la spécificité des textes étudiés. Deuxièmement, le choix de textes modernes et hautement élaborés qui conduisent souvent à n'émettre autre chose que des points de vue sur le texte, ce qui n'a rien de sémiotique. Troisièmement, la fascination provoquée par la richesse de certains textes et parallèlement l'impuissance d'en rendre compte qui conduit à une forme de démission, en arguant qu'il faut construire une grammaire pour chaque texte ou que chaque texte est susceptible d'une infinité de lectures, ce qui pour Greimas est « une belle excuse de se dispenser de toute lecture, toujours, fastidieuse » (Greimas 1976 : 9). Bref, Greimas constate que l'outillage méthodologique dont dispose alors la sémiotique ne correspond pas encore aux exigences de l'analyse de textes littéraires complexes. Or, cette inadéquation entre les moyens et les besoins ne permet, selon lui, ni d'incriminer l'outillage, ni de discriminer des textes soi-disant réfractaires à l'analyse (Greimas 1976 : 9).

3. Comment procéder pour construire la théorie

Greimas indique que la sémiotique littéraire, en sa qualité de théorie scientifique doit toujours se confronter aux textes, et ce à travers une analyse minutieuse qui tienne compte de tous les aspects et niveaux de ceux-ci et en partant de textes relativement simples pour aller progressivement vers des textes de plus en plus complexes au lieu de sauter, comme se fut alors souvent le cas dans le séminaire, du conte populaire à des romans fort complexes. Seule, une telle analyse minutieuse permet, selon lui, de confirmer la validité de la théorie d'ores et déjà existante et de procéder, le cas échéant, à la généralisation de celle-ci. Et, seule, une telle analyse est susceptible de conduire à une correction et à un élargissement de la théorie, si le texte analysé infirme ou complexifie telle ou telle partie de celle-ci, voire comporte des éléments textuels pas encore pris en compte par elle.

4. Des exercices pratiques en guise de leçon

Il s'agira donc pour nous, à partir de quelques exemples pertinents, de démontrer les résultats de ces deux fonctions des « exercices pratiques » de Greimas, la confirmation de la validité de la théorie déjà existante, d'une part, et la correction et l'élargissement de celle-ci, de l'autre.

4.1. De l'utilité du découpage en séquence

Commençons par attirer l'attention sur la minutie avec laquelle Greimas découpe le texte en séquences, puis multiplie les critères de segmentation : sont à prendre en compte les critères spatio-temporels, les disjonctions d'ordre logique (Greimas 1976 : 19), les récurrences textuelles (Greimas 1976 : 68), l'opposition entre description et commentaire (Greimas 1976 : 135), entre discours continu et dialogue (Greimas 1976 : 136), le comportement des acteurs discursifs, les apparitions et les disparitions d'acteurs (Greimas 1976 : 67), le passage du faire cognitif au faire pragmatique qui le suit (Greimas 1976 : 120), enfin, l'intercalation, terme que Greimas préfère à celui d'« enchâssement » (Greimas 1976 : 40) et qu'il définit comme « une procédure formelle d'organisation discursive permettant, sous la forme simulée d'un rejet de contenus hors du texte, d'intégrer ceux-ci plus intimement dans un discours unique et cohérent » (Greimas 1976 : 42), et ce par des procédures de disjonction temporelle et spatiale et des mécanismes de débrayage et d'embrayage. Ces procédures de segmentation permettent de voir plus clair dans l'organisation discursive du texte, de repérer des récurrences même très éloignées les unes des autres et de faciliter ainsi la reconnaissance de la paradigmatisme du récit qui invite, le cas échéant, à des rétro-lectures (Greimas 1976 : 224) et permet l'identification des anaphores et des cataphores (Greimas 1976 : 50). Greimas attire en outre l'attention sur le fait que « la multiplication

des critères de la segmentation fait apparaître [...] la non-concordance terme à terme entre les séquences textuelles et les syntagmes narratifs » (Greimas 1976 : 69).

Il souligne également l'importance et les significations des jeux proxémiques, à savoir l'utilisation des mouvements, attitudes et gestes du corps humain qui, en tant que signifiants, rendent compte des relations interactorielles, tout en soulignant qu'une théorie à ce sujet reste à élaborer (Greimas 1976 : 221).

4.2. La complexification du schéma narratif

A l'époque, le schéma narratif que Propp avait élaboré à partir du conte merveilleux russe (Propp 1970) — schéma que Greimas avait développé — existait déjà. L'analyse de *Deux Amis* confirmera du reste dans ses grandes lignes la validité de ce schéma pour le conte littéraire, tout en obligeant à le complexifier. En effet, contrairement à ce qui se passe dans le conte populaire où le conteur, le destinataire et le sujet-destinataire partagent un seul et même système de valeurs, dans le conte de Maupassant on assiste au dédoublement de ce destinataire, l'un individuel, l'autre social, destinataires qui s'avèrent en outre axiologiquement incompatibles. Greimas note que ce dédoublement des destinataires fait éclater le schéma spatial élaboré par Propp et Meletinski (1970) qui opposait un espace familial à un espace étranger, puisque, pour le sujet « deux amis » il existe deux espaces familiaux — le bord de l'eau et Paris — l'un commun au sujet et au destinataire individuel, l'autre commun au sujet et au destinataire social (Greimas 1976 : 97). Ce dédoublement du destinataire entraîne en outre l'instauration de deux types de contrats : au contrat injonctif qui prévaut dans les contes populaires où c'est le destinataire qui prescrit et/ou interdit un programme, vient ici s'ajouter un contrat permissif où c'est le sujet qui prend l'initiative et s'adresse au destinataire social pour lui demander de l'autoriser à réaliser le programme qui lui a été inspiré par le destinataire individuel, demande que le destinataire social est susceptible d'accepter ou de refuser (Greimas 1976 : 91-99).

Toujours dans le cadre de l'instauration du contrat entre le sujet et le destinataire, Greimas détecte l'existence de ce qu'il appelle « les décepteurs ». Il démontre que le rôle actantiel des ces décepteurs est important, mais ajoute que la typologie de ce genre d'acteurs reste à faire, tout en proposant des pistes : le décepteur est défini comme un syncrétisme de rôles actantiels en même temps qu'un acteur figuratif, investi d'un ensemble de contenus axiologiques de caractère figuratif. L'une des caractéristiques du décepteur est sa préférence pour des investissements articulés en termes complexes qui lui permettent d'assumer un rôle thématique, destiné à manifester, au niveau du paraître, l'être d'un autre acteur pour lequel il veut se faire passer et d'instaurer ainsi l'espace de l'illusion. Et c'est au sémioticien qui analyse le texte qu'il appartient de découvrir l'acteur pour lequel le décepteur désire se faire passer (Greimas 1976 : 85-89).

Enfin, deux autres complexifications du schéma narratif sont à signaler. Dans la première partie du récit, à savoir le programme « pêche », les épreuves qualifiantes, bien qu'occupant conformément au schéma proppien l'espace para-topique, se déroulent non pas sur l'isotopie de la « pêche », mais sur celle de la « guerre », qui occupera la seconde partie du récit : en effet, lors de la première de ces épreuves, pour ne citer qu'elle, il s'agit pour le sujet de vaincre la peur que lui inspire une éventuelle rencontre avec l'anti-sujet, victoire qui se déroule sur la dimension cognitive et volitive et non pas pragmatique et dotera le sujet du pouvoir-faire qui lui permettra de surmonter les épreuves auxquelles il aura à faire face plus tard lors de sa confrontation avec l'anti-sujet (Greimas 1976 : 111-114). Autre complexification : l'absence de l'épreuve décisive lors de la réalisation du programme « pêche ». Certes, les deux amis se trouvent, lors de leur « pêche miraculeuse », conjoints à l'objet de valeur « poissons », mais cette conjonction n'est pas une

épreuve, car l'anti-sujet est encore absent. La conjonction avec l'objet de valeur quêté est donc un don, en l'occurrence du non-anti-destinateur « eau ». Parallèlement, les poissons, une fois attrapés, sont remis dans le filet de pêche, puis dans l'eau. On n'a donc pas à faire à une épreuve principale, mais à un don et un contre-don, soit à « une forme de communication participative entre le sujet et son destinataire » (Greimas, 1976 : 126-127), qui dote le premier d'une joie qui frise l'extase mystique.

Je viens de dire que le conte de Maupassant s'articule en deux récits successifs — le premier se déroulant sur l'isotopie de la « pêche », le second sur celle de la « guerre ». Or, l'analyse de Greimas démontre, malgré l'occultation du programme narratif du sujet « deux amis » dans le second récit et malgré l'absence somatique de l'anti-sujet « prussien » dans le premier, « l'existence d'isotopies plus profondes permettant de réunir les deux récits en programmes unifiés, recouvrant pour chacun des sujets l'ensemble du texte » (Greimas 1976 : 264).

4.3. De l'importance de la dimension cognitive autonome

Autre leçon à tirer de l'analyse de Greimas : l'importance à accorder à la dimension cognitive autonome du discours qui se superpose à la dimension pragmatique (Greimas 1976 : 161). Greimas démontre ainsi qu'il existe deux types de faire cognitifs : le faire persuasif et le faire interprétatif qui relèvent de la catégorie modale de la véridiction. Dans ce cadre, il précise que le faire persuasif vise à l'établissement d'un contrat fiduciaire, « comprenant, en tant que contrepartie, l'adhésion de l'interlocuteur », autrement dit « la confiance [...] ou, tout simplement, le croire-vrai que l'énonciataire accorde au statut du discours énoncé » (Greimas 1976 : 197-198). Il s'agit là d'une forme particulière du contrat fiduciaire que Greimas désigne comme contrat énonciatif ou contrat de véridiction puisqu'il « porte alors sur le discours énoncé en tant qu'objet de savoir, valorisé du fait de la modalisation » (Greimas 1976 : 198). Si le faire persuasif se double en outre d'une proposition d'échange et si cet échange se produit sur le plan pragmatique, on aurait en plus à faire à un contrat énoncif (Greimas 1976 : 198).

Cette attention portée à la dimension cognitive permet à Greimas de reconstruire le faire cognitif de l'officier prussien qui assume à la fois le rôle actantiel de l'anti-sujet et de l'anti-destinateur social. En voyant les deux pêcheurs, voici comment se présente ce faire cognitif de l'officier : il veut pénétrer dans Paris ; pour ce faire il lui faut comme adjuvant un mot d'ordre, les pêcheurs doivent en avoir un ; pour l'obtenir il lui faudra donc les accuser d'espionnage et les menacer de mort et, si cela ne suffit pas, leur proposer en échange et en guise de tentation la grâce, enfin, pour ce faire, il faut d'abord qu'il les fasse prisonniers. Et Greimas de conclure que tout programme se construit, comme ici, depuis la fin vers le début, en y insérant au fur et à mesure des sous-programmes censés permettre sa réalisation. Or, le lecteur, quant à lui, en prend, au contraire, connaissance du début à la fin. En effet, dans le récit nous avons d'abord la capture, puis l'accusation d'espionnage et la menace de mort, enfin, la tentation.

Le programme de l'officier échoue, puisqu'il n'obtient pas le mot d'ordre, étant donné le silence que lui opposent les deux amis, silence à partir duquel Greimas reconstitue de la même manière le faire interprétatif et le nouveau programme des deux amis. Dans ses « Remarques finales », il conclut que « la reconnaissance de cette nouvelle dimension » — à savoir la dimension cognitive — « dont, pour l'instant, on voit mal la configuration d'ensemble n'est qu'une ouverture vers de nouveaux champs d'exploration » (Greimas 1976 : 265). Et que « s'il est encore trop tôt pour parler d'une éventuelle typologie des discours non figuratifs, il n'est que plus important d'enregistrer la présence de la dimension cognitive dans les discours narratifs de caractère figuratif » (Greimas 1976 : 265-266).

4.4. L'attention à porter à la structure de l'énonciation

Vient s'y ajouter la volonté de Greimas d'élucider certaines phases du fonctionnement de la structure de l'énonciation dont il affirme qu'elle est fondamentale pour la théorie du discours, mais dont il juge que la connaissance est alors très rudimentaire et dont il théoriserait le fonctionnement dans *Du Sens II* (Greimas 1983). C'est ainsi qu'il tente, entre autres, à partir de l'énoncé constatif « ils étaient bien seuls » — qui intervient au moment où les deux amis, ayant rejoint le bord de l'eau, croient en l'absence de l'anti-sujet — de préciser les opérations complexes en jeu dans ce qui s'apparente au « discours indirect libre », tout en précisant avec modestie qu'il ne prétend pas les avoir mises à jour dans leur totalité. Il s'agit selon Greimas de trois opérations : premièrement d'un débrayage énonciatif, à savoir la projection, par l'énonciateur hors de lui et dans le discours énoncé, de la structure même de l'énonciation ; deuxièmement d'un embrayage cognitif qui consiste pour le sujet de l'énonciation, après avoir reconnu dans la construction qu'il vient d'effectuer, la dimension cognitive du discours, à suspendre la production de l'énoncé prévu et de le prendre à sa charge ; enfin, « de l'utilisation du débrayage énonciatif implicite qui, sous la forme de l'énoncé constatif 'ils étaient bien seuls' réussit à occulter le parcours génératif antérieur et à retirer fictivement la délégation de l'énonciation confiée d'abord à un sujet de l'énoncé » (Greimas 1976 : 122-123).

4.5. Maupassant symboliste et non pas réaliste

Venons-en à l'analyse par Greimas du martyre des deux amis. Les corps de ceux-ci forment, à la suite de la fusillade, la figure de la croix en même temps que les bouillons de sang qui s'échappent de la poitrine de l'un d'eux rappellent la figure de Jésus crucifié. Mais à la différence du martyre de Jésus, ce martyre humain se dresse face à un ciel qu'il nie : en effet, l'un des deux amis, « tombé sur le nez », tourne le dos au ciel, tandis que l'autre se retrouve le « visage au ciel ». Le ciel que toutes les représentations dans le texte font considérer comme un lieu vide assume, par ailleurs, au niveau axiologique le rôle actantiel du non-destinateur des deux amis tant et si bien que leur position — dos et face au ciel — en même temps que les bouillons de sang qui sont, eux, des hyponymes du soleil, destinateur axiologique des deux amis, signifient à la fois l'affrontement du non-destinateur et le rejet des valeurs qu'il représente (Greimas 1976 : 236-238). Et Greimas de commenter qu'il s'agit là « d'une procédure curieuse qui consiste à exploiter des représentations chrétiennes socio-lectales afin de dénier, de manière idéologique, d'autres représentations chrétiennes », à savoir de la production d'un mythe anti- et para-chrétien. A la suite de l'apparition, vers la fin du récit, de cette nouvelle isotopie figurative où l'image de la croix semble faire fonction de connecteur d'isotopies, Greimas va procéder à une rétro-lecture pour voir, s'il est possible de détecter des éléments permettant l'élargissement de cette isotopie à l'ensemble du texte et en trouve un nombre non-négligeable, comme par exemple et pour n'en citer que deux : dans la seconde partie du récit, le silence des deux amis face à l'officier prussien qui rappelle celui de Jésus lors de son procès face à Ponce Pilate, et, dans la première partie, l'isotopie générale choisie par Maupassant qui fait assumer aux deux amis le rôle de pêcheurs, ce qui renvoie à la première communauté des disciples de Jésus, elle aussi, formée de pêcheurs (Greimas 1976 : 238-239). Greimas conclura pour finir que « la lecture proposée par l'énonciateur est donc à la fois profondément chrétienne et sacrilège » (1976 : 261), ce qui l'amène à affirmer que l'œuvre de Maupassant ne relève pas du réalisme, mais du symbolisme.

Certes, un certain nombre d'éléments du récit renvoient implicitement à la débâcle de l'armée française face aux Prussiens à Sedan le 2 septembre 1870, à la chute du Second Empire et à la proclamation de la Troisième République, suivies du siège de Paris qui dura cinq mois du 18 septembre 1870 au 29 janvier 1871. Rappelons que Paris est « bloqué », que c'est en janvier que

les deux amis décident de partir à la pêche, qu'ils ont besoin d'un laissez-passer pour sortir de Paris et qu'ils finissent par être fusillés par les Prussiens qui encerclent la capitale — éléments qui pourraient être interprétés en termes de réalisme. Et cependant, tout le long de son analyse, Greimas montre l'inanité d'une telle lecture, à la fois sur le fond et sur la forme, et attire l'attention sur le caractère symbolique de l'écriture de Maupassant. Il démontre que la guerre est présentée dès le début comme un mal absolu et universel, si bien que l'ancrage historique du texte demeure implicite. Il signale un peu plus tard, sur le plan de la forme, un passage composé de quatre phrases ayant chacun un sujet phrastique différent, tout comme la strophe d'un poème symboliste (Greimas 1976 : 22). Il note, à propos de la joie qui saisit les deux amis lors de leur pêche miraculeuse et qui transforme le sujet en objet conjoint avec le destinataire, sujet de cette saisie, que l'écriture de Maupassant ressemble à celle d'un mystique et que, par conséquent, Maupassant en est un (Greimas 1976 : 131). Enfin, il précise, à propos de la mort des deux amis que « l'exploration du plan figuratif et notamment des figures somatiques pour leur faire signifier les activités noologiques est l'un des traits qui caractérisent le symbolisme du 19^{ème} siècle » (Greimas 1976 : 237).

5. Conclusion

On peut, bien sûr, ne pas être d'accord avec certains résultats de l'analyse de Greimas, mais nous espérons avoir montré que ces *exercices pratiques* non seulement ont une incontestable valeur didactique, mais encore qu'elles ont à l'époque considérablement enrichi la théorie sémiotique et souligné les lacunes à combler. Je ne peux donc qu'encourager tous les apprentis sémioticiens à lire attentivement ce livre de Greimas.

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GREIMAS AND THE SEMIOTIC TRIANGLE OF HISTORY

Juan L. Fernández

PhD History, philosopher, journalist
julufernandez@gmail.com

Abstract

Algirdas Julien Greimas's position in twentieth-century linguistic theory of history deserves of its own right an ample monograph. This paper intends to be a first approach. I will employ my heuristic model called Semiotic Triangle of History (Fernández 2012: vi-xxv), whose vertices are the past, the thought that historians elaborate about it, and the narrative in which they write their conclusions. Within this framework, we analyze Greimas's view on history, and his place in French structural "Clio-semiotics" (a shorthand for "semiotic study of historical knowledge").¹

1. Past, thought, writing

Remains of the past (documents and monuments) are decoded as *signs* of past actuality. Thought then proceeds to a synthesis of these pieces of knowledge. In a further step, by means of symbolization, knowledge is converted into writing, the stable discourse of historians about events. This linguistic product, eventually, enters in a representative or referential relationship as to the whole object of inquiry. This First Triangle (Fig. 1) has been the semiotic presupposition of most historiographical methodologies since Herodotus. However, contemporary philosophy cannot justify it.

Every present, as a result of past events, is, semiotically, a Peircean index or trace of the past (Peirce 1998: 4-10). As we cannot identify indices without some previous knowledge of their links to regularities of the world, it becomes clear that we have no direct access to the past, but only to its signs as identified by our present conceptions. Thus, the signification process in historiography does not really jump from past reality to present thought: it rather goes *from present initial signs to further elaborate signs*.

¹ All quotations in English from original French texts are my own translations.

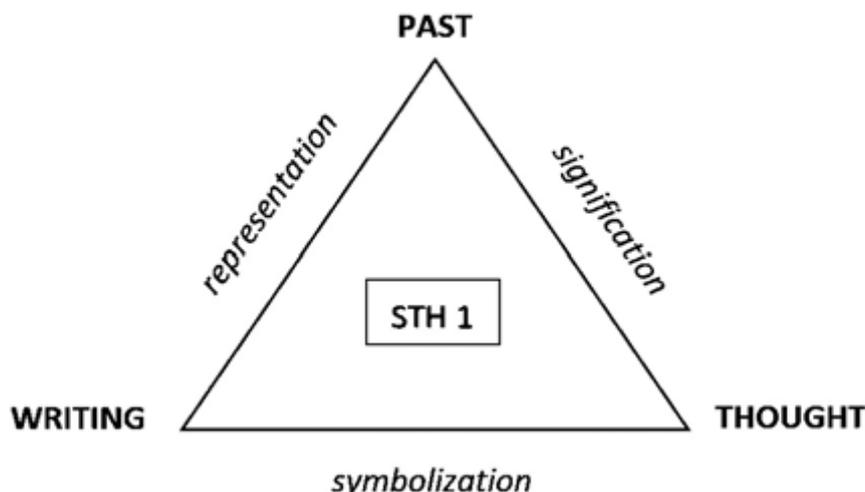


Figure 1. First Semiotic Triangle of History

In ontological terms, we posit a homologous past projected from our idea of a present; such a past is the regulative idea of a historical world that we have not fully discovered yet. As to the transit from thought to writing, their separation is also impossible. The very form of historical thought consists of its development through a discourse. All historical thinking is historical writing. Finally, it sounds strange to say that the historical narrative represents a historical past, once we realize that this past is in part a linguistic construction.

Instead of signification, symbolisation, and representation, we now reach three correlate notions of a Second Triangle (Fig. 2): *dialogical configuration*, *ideal identity*, and *poiesis*. French structuralism played a leading role in this transformation of the theory of historical knowledge.

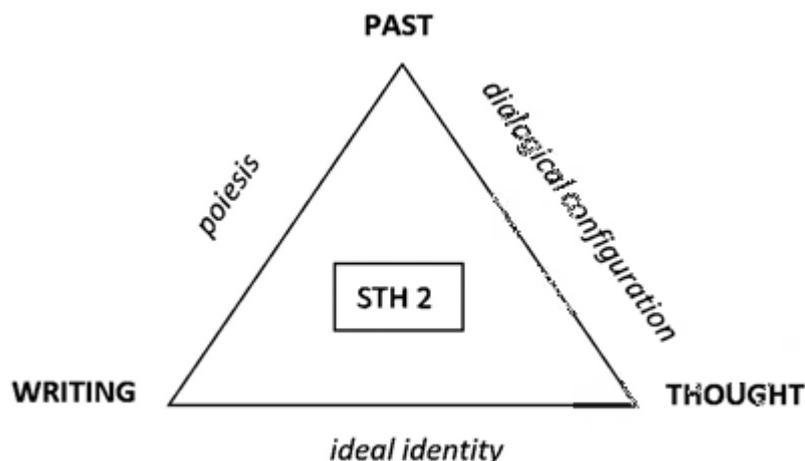


Figure 2. Second Semiotic Triangle of History

2. Greimas's Clio-semiotics

2.1. System and event

Clio-semiotics entered the French theory of historiography through three major streams: Phenomenology, Structuralism and, in the professional self-understanding, neo-Positivism. Thus, its founding references were Edmund Husserl, Ferdinand de Saussure, and Émile Durkheim.

Greimas's line, hegemonic from mid-1960s to mid-1980s, sprung from Saussure's paradigm. In an early article, he contended that structural linguistics was a "general epistemology for human sciences". But conciliation of structural and historical linguistics could only be achieved in the historical dimension. Even though "the living speech is supported (...) by the already instituted language", it is "at the same time the source of every new creation, every historical progress"; linguistic change is to be found in this "to-and-fro dialectic between speech and language" (Greimas 1956).

Greimas's next general considerations on history appeared in *Annales*, the leading journal of France's sociological new history (Greimas 1958). He warned that the mere exploitation by historians of lexicographic analysis did not really imply a methodological rapprochement. Although the emergence of a synthetic history (*histoire synthétisante*) against a history of events (*histoire événementielle*) had driven to a "totalitarian" (*totalitaire*) scope and a priority of the synchronic interpretation over the diachronic one, this was just a methodological preference, but not, as in Saussurean linguistics, a methodological necessity. Johan Huizinga's picture of the late Middle Ages, for example, had been, albeit synchronic and structural, guided by subjective choices of the contents deemed more representative. On the contrary, Saussurean linguistics provided an overall sociological attitude, taking language, a symbolic system, as "the place where history happens" (*la langue, en tant que système symbolique, est ce lieu où se passe l'histoire*). Instead of the typical, we encounter mentality systems. The linguistic bid to history was to achieve a wholesale "new objectivism, no longer atomistic, but totalitarian" (Greimas 1958: 112).

In 1966, Greimas published a major work: *Structural semantics*. We must highlight there: (1) the "actantial" model of myths: subject-object, aide-opponent, sender-receiver; (2) the mediating role of narrative between: structure and behaviour; permanence and history; society and individual. In the first case, Greimas took as an example the Marxist ideological version of history. Man is the subject; society without classes, the object; the universal process of history is the sender; humankind, the receiver; the working class is the aide; and the bourgeois class is the opponent (Greimas 1966a: 181). In the second case, dissecting Russian folktales, Greimas postulates the immanent coexistence of two different models of organization: the constitutional (*modèle constitutionnel*), which presents contradictory, inevitable, and unpleasant axiological poles; and the transformational (*modèle transformationnel*), which offers an ideological solution to the showdown (Greimas 1966a: 212-213). All this favored a semiotic criticism of historiography.

In Jean-Paul Sartre's journal *Les Temps Modernes*, Greimas tried also to extrapolate structural linguistics to an anthropological view including the temporal dimension. Saussure's *language/speech* pair established a relationship between system and history: the structure, "indifferent towards time, was able to produce, in its manifestation, sequences of significations at the same time eventful (*événementielles*) and temporal (*temporelles*); it was generatrix of historical events" (Greimas 1966b: 816). However, since syntax takes the sentence as unity, it cannot articulate the whole speech. The discourse is not the articulation of successive structures, but the redundancy of just one hierarchical structure, the sentence (*énoncé*). Furthermore, from the viewpoint of the receiver,

all grabbing of signification has as an effect the transformation of histories into permanencies: be the question about the sense of a lifetime, or about the sense of a history (or of History), the questioning, that is, the fact of placing oneself before a linguistic manifestation in the attitude of the receiver of messages, has the consequence of presenting historical algorithms as states, that is, as static structures (Greimas 1966b: 816).

Greimas considered that this "fundamental signification" of a history (story, tale, myth) was ever reduced to a simple homological articulation. Time and space were means of the manifestation of meaning, but meaning was neither temporal nor spatial itself (Greimas 1966b: 817).

The key is the opposition between systemic capabilities and restrictive uses: “Just as the atomic structure is easily conceived as a combinatory whose partial actualization the manifested universe is, the semantic structure, imagined after a similar model, remains open and receives its closure from history” (Greimas 1966b: 823). Thus, history is a redundancy and a brake, rather than a motor. It is closure, not overture.

The next question is “the transformation of structures”. Here the passage from the philosophy of history to the science of history has to pay the same price as linguistics had paid earlier: abandonment of general concepts, development of “description models”. Structural transformation is a metalinguistic topic that can only be mastered once the scholar has been able to extract, from usages, the underlying structures, in a typological understanding. Lévi-Strauss’s research on myths was the paradigm (Greimas 1966b: 826).

2.2. Narrative structures

In “For a sociology of common sense”, Greimas laid down the basis for the interpretation of the present as a *connotative* access to past structures. Connotation is a second layer of meaning attached to every semiotic object. The appearance of society and man is expressed through two great connotative taxonomies, one articulating the linguistic community in classes and subclasses (social or geographical, for example), and the other establishing a typology of individuals. Connotation is the result of an inferential code based upon recurrences (Greimas 1970: 101); it generates “an external semiotic space”, where we encounter all kinds of linguistic signs constituting cultural objects, “from words connoted as heavy-sensed or endowed with power, and the proverbs that express eternal truths, to the events that become historical out of simple narrative structures”. Also, a qualitative distinction is made between “simple” and “historical” contents: “simple” means handed down by tradition; “historical” already involves a judgment of pertinence, a selection. Historians normally employ their ethnocentric semiotics of connotation (Greimas 1970: 102).

In “Elements for a narrative grammar”, Greimas pointed to the combination of a deep or fundamental grammar, and a hollow or “surface grammar”. The main feature of the fundamental grammar is that the story, in its deepest level, is a syntax that manipulates classificatory forms, previously inter-defined. Between these forms, there are relationships of union or separation. The syntactic operations are oriented and, therefore, predictable or calculable. The operations are ordered in series, composed of segments or operational units (Greimas 1970: 166). This grammar is essentially conceptual in its semantic articulation. It can bring about stories manifested in a figurative form (where human actors perform tasks, endure challenges...). But Greimas thinks it is necessary still an intermediate level, anthropomorphic but not figurative: the surface grammar.

Greimas distinguishes three types of narrative statements: descriptive (deeds), modal (wishes, powers, knowledge), and translative (transference of a valuable object). He identifies the “performance”, of a polemical nature, as the basic narrative unit composed of a sequence of three narrative statements. In turn, a series of performances creates the story, through an ordered path that can be understood by means of *logical presuppositions*. Every story is an anthropomorphized complex sequence that expresses conceptual abstract relationships of junction and disjunction in the deep structure.

Was it also the structure of historical knowledge? A major analysis came as a contribution to a German metahistorical conference (Koselleck and Stempel 1973: 139-143; Greimas 1976: 161-174). Greimas opposes a “fundamental” or deep history (*histoire fondamentale*) to an event-made surface history (*histoire événementielle*). As a first step, he distinguishes between, on the

one hand, a “fundamental dimension” (*dimension fondamentale*) made of taxonomic organizations and structural transformations in social phenomena, and, on the other hand, the “historical appearing” or “surface dimension” (*paraître historique*), the place of manifestation of historicity through an infinity of micro-events not available for systematic or complete description.

Out of this multiplicity of micro-facts, the historian extracts, in a selection guided by principles of significance, those invested with the dignity of “historical events” (*événements historiques*); these events are later enchainned together in a “series of events” integrated in the historian’s discourse. Therefore, selectivity is a mediation between deep history and surface history. There are two conceptualizations of the fundamental dimension. One of them opposes structures to events, “as different modes of semiotic existence”, and establishes the structural level as deeper than that of events. The other one sees the fundamental dimension as a “puff pastry” (*pâte feuilletée*) of autonomous and stackable levels, being some among them more fundamental than others; thus, in ascendant order: economic, social, and cultural structures. Then, there are three possible ways of understanding the relationship between fundamental and event-made history:

1. Only the upper layer of the set of structures touches and influences the événementelle dimension.
2. Each structural layer would be in independent and direct connection to the *niveau événementiel*. But then the level of events would have to be divided into as many surface types as structural levels.
3. A historical event (or sequence) is in simultaneous relationship to several structural layers.

Greimas equals scientific history to structural history, but without an ontological commitment. He regretted that history was still written, despite Marxism and Annales, much in the same way as in older times, without “homogeneous and comparable descriptions of the different structural levels of societies” (Greimas 1976: 165). The Marxist achronic model, for sure, had raised the problem of the relationship between the constructed pattern and its diverse historical realizations. Greimas endorsed the view that different models of states and levels converge for bringing about the historical event; the area of human freedom lays in the margins of (in)compatibility between models. Historical events become meaningful just through their insertion into wide networks of compatibilities and incompatibilities.

Thus, deep structures obey to a sort of “grammar of history”, whose taxonomic element they constitute; this grammar has “restriction rules” (limits to the possibility of manifestation), and “organization rules” for setting up syntagmatic sequences capable of being inscribed in the historical discourse. While Marxism and Annals permit to guess what the fundamental structures of history would look like, that is not the case of the event-made history. For Greimas, historiographical traditions had tended “to confuse history and historicity, and to consider the inscription of events within space-time coordinates as attributing them the status of historical events, and the procedures for inscription as the criterion of the scientific doing of the historian” (Greimas 1976: 168). But space and time can only be circumstances of the historical event, not its definition.

How, then, are we to establish the historical fact, that is, the “historical referent” (*réfèrent historique*)? While the positivistic tradition takes the historical fact as a denotation of reality, the situation is not so simple. The historical manifestation is never present before the historian, so the historian builds no description, but some “hypothetic construction” (*construction hypothétique*) projected into the past as if it were a “reality”. History cannot be written without linguistic mediation. Its true referents are texts, which stand for the “real” sequences of events that are reconstructed through a “referential projection”. On the one hand, written sources are already the elaboration in natural languages of “somatic programs”; on the other hand, objects and monuments play the same role as the extra-linguistic context in discursive analysis. Now, we

may take two alternative paths: (1) to consider the ways of writing history as diverse syntagmatic forms that deserve “a typology of historiographical narrative structures”; or (2) to consider the historical discourse as a scientific one, in permanent construction and in search of an operative language of its own, departing from the natural language that gave a first access to the object. Greimas defines the historical discourse as a set of utterances describing “facts” and forming chains of succession according to rules. All such statements will correspond to the basic form “someone does something” or, in formula, *F faire* ($S \Rightarrow O$). Thus, statements descriptive of “being” are not historical; and if we restrict S, we might exclude natural history as well (Greimas 1976: 169-170).

What about collective subjects? Greimas examines two different instances. “The Renault factories” are a figurative subject which works as a subject in the whole syntagmatic chain that tells the story of car production; however, a crowd (*foule*) taking on La Bastille in the French Revolution is a complex subject integrated by individual subjective programs and, finally, it is representative of classes of the French people. Its significance comes from its taxonomic value. It emerges, then, the possibility of a “historical syntax”.

Though, we should begin by rejecting the naïve positivism that “pretends to describe a reality already made and previously organized”. The situation is the opposite: reality is *prima facie* “the effect of a lexematic categorization of the world, subjected to cultural relativism”. And such a syntax would not work if it did not keep a constant reference between the two levels, fundamental and event-made: “Indeed, the true goal of the event-made history is its constitution as a historical discourse that can manipulate the canonical historical utterances aided by a discursive syntax capable of satisfying the scientific criteria” (Greimas 1976: 173).

Some features of narrative are misleading. Isolated statements on singular facts create the “illusion of reality”; a sequence of unrelated statements gives the impression of absurdism; and two factual statements in sequence tend to be read as being the former a cause of the latter. And if we take those chains as determined by intentions following a logic of decisions, we shall be assigning to history “an ideological voluntarist coloration”. Greimas preferred the *a posteriori* teleology that biology shows:

From this perspective, the meaning of history would not be read but after the facts, and historical discourse will be, indeed, a reconstruction of history, thus authenticating the historian’s true approach, which has ever been, since the moment of his enunciation, the penetration backwards into the depths of history. A historical syntax searching for the establishment of chains of statements, beginning by the results and not by the starting points of historical programs, would have at its disposition the logic of presuppositions capable of founding the relationships constituting sequences of historical utterances, even if the historian conserved, for his didactic discourses, the chronological order of exposition (Greimas 1976: 173-174).

Anyway, Greimas began to believe that history was one of the fundamental disciplines in semiotics, because “history as a science does not seem possible unless it aims at describing not events, but their sense” (Greimas 1973: 152).

2.3. Inner referent

Greimas dealt more radically with history in his analysis of the scientific discourse in social sciences (Greimas 1976: 7-42). He asked to take science not as a system, but a process, a “scientific doing” that expresses itself through the discourses it produces. The subject of this discourse is a virtual position, the “speaking subject” (*sujet parlant*). It performs a twofold activity: taxonomic selection, syntagmatic-hypotactic handling. Taxonomy is not enough for discriminating

the concept of scientific discourse: its purpose is to tell the truth about reality. This “telling-the-truth” makes it a “veridiction discourse”. The truthfulness of an assertion of existence is always modalized by the knowledge of the speaking subject. When he says “this is so and so”, he means “I *know* that this is so and so”. The truth-value of the utterance is founded upon previous wisdom, in turn based on inner convictions or empirical tests. There is always an anaphorical relationship to other discourses.

This way, Greimas postulates an “inner referent” (*référent interne*): the discursive layer that tells the truth (*véridictoire*) appeals to this background plan that becomes its support. Despite its implicit character, it always appears as a referential discourse, founder of the “veridiction” discourse (Greimas 1976: 26). This idea that a scientific discourse, for making valid assertions, has to build its own inner referent came as a shock for positivistic thinkers. But Greimas took as example the naissance of philology and its branching out in linguistics and history. Philology was born as a “science of the referent”: it established the text and, with it, the reality. The historical discourse puts its contents as representations of the non-linguistic referent in the past. A prolongation of the philological discourse in the stage of source criticism, history is even more ambitious: “the reconstruction, with the help of the linguistic referent created by the philological discourse, of the extralinguistic referent—the historical reality”. Therefore, it introduces two novelties: temporality is substituted for achronicity, pretending that the present meaning of a text has a past meaning; and reifying this present meaning through its identification with the external referent of discourse. There are both a “temporal illusion” and a “referential illusion” (Greimas 1976: 29).

So, history must submit to the same conditions as the other social sciences. Every science builds for itself “simulacra” that stand for reality. *The historical simulacrum is the true referent of the historical discourse*. A positivistic realism would dispense history from constructing its own taxonomy. But if historians limit themselves to the lexematic coverture that the studied society has given to itself, they would be unable to account for the synchronic diversity or the diachronic transformations. Only “structural comparatism” could provide a scientific taxonomy for history (Greimas 1976: 30).

The problem arose again when Greimas and Joseph Courtès contended that the expansion of cognitive dimensions in narrative discourses reflects a transition between figurative and abstract discourses. Among the latter, they distinguished three groups:

- interpretative discourse*, such as literary criticism, history as an interpretation of series of events, exegesis, art criticism (painting, music, architecture), and so on;
- persuasive discourse*, such as pedagogical, political, advertising, etc.;
- scientific discourse*, which overlaps with both persuasive discourse (with the subtle game of demonstration) and interpretative discourse (exploiting previous discourses considered as referential discourses), with true knowledge as its project and goal (Greimas & Courtès 1976: 445).

They posited here two kinds of historical discourses: the interpretative and the scientific. Structuralism was unable to overcome this epistemic dualism.

Greimas and Courtès (1979: 159-160) also promoted, along with the “generative trajectory” (*parcours génératif*) as a model for articulating signification through semio-narrative, discursive, and textual structures, the so called “canonical narrative scheme”, made of four stages of actions: manipulation, competence, performance, sanction (1979: 244-247). These structures could have been applied to historical stories, not as a proof of the fictional or “mythical” character of history, but, on the contrary, as showing that myths and folktales are already based upon everyday narrative structures.

3. Greimas's place in French Cliosemiotics

Greimas never took pains in analyzing real historical texts, nor offered a simple unified model for historiographical analysis, unlike Roland Barthes (1984: 163-177). While providing new tools for criticism of historiography, Greimas fell short of explaining how the Second Triangle works. His "inner referent" is rather complex and was not further elaborated: it points to the three vertices of the Semiotic Triangle, as referent-source, referent-explanatory model, and referent-ontological projection.

Greimas is akin to Lévi-Strauss (1962: 140-141) in believing that historical narratives are semantic modelizations. His understanding of stories is also akin to the analysis of action trajectories in Tzvetan Todorov (1966) and Claude Bremond (1966), and of utterance levels in Émile Benveniste (1966: 237-250) and Gérard Genette (2007: 13-20). Benveniste and Todorov provided Greimas with strong arguments for refusing "history" as a process apart from its linguistic foundations. Genette blurred the difference between history and story. Like Lévi-Strauss, Greimas saw the threshold of scientificity in the contribution of anthropological structures to historical discourses. On the other hand, he would have admitted, with Barthes (1968: 27), that, as an interplay of independent structures, "*l'Histoire est elle aussi une écriture*".

Which were greimas's solutions to the semiotic triangle?

As to the connection past-thought, he suggested scales of signification (natural, connotative, deep structures). He also translated this progression into historiographical styles: traditional history, structural subjectivism, new objectivism. As to the link between thought and writing, greimas understood text as a structurally "generated" event with semantic and syntactic levels going from depth to surface and discourse. Underlying the narrative, there is a whole conceptual infrastructure. Finally, writing and past are understood as the re-elaboration of inner referents of historical discourse.

What was left unresolved by greimas's approach?

Above all, the correspondence between narrative logic and logic proper is mostly unclear. It is not apparent how successive generative layers fulfil the logical needs of an argumentative process. The "generative trajectory" does not seem wholly compatible with the duality "veridictive-referential". Besides, greimas never managed to explain how an event can create a structure. Constitutive events are not just expressions of the structure they destroy; they act on behalf of the structure that will become the new normal. Greimas suggested for language an innate tendency to disequilibrium, but this idea would never undergo a full elaboration. Dualism was not superseded. And, while presuppositional logic produces necessary causes, historians more often seek the logic of the sufficient ones (wright 1971: 50-55, 135-139).

The Husserlian stream eventually performed its own linguistic turn and became postmodernism and hermeneutics of history. Jacques Derrida (1967: 42-43) established writing as the condition of history. Michel Foucault (1971) asserted the historicity of discourses and the discursive constitution of historical conscience, thus reshuffling semiotically the Nietzschean outlook. Michel de Certeau (1975: 119) interpreted historical writing as a mix of logic and storytelling with Freudian underground. Paul Ricoeur (2000: 302-367) recognized the presence of writing in every stage of historical method: archive, explanation/understanding, representation. All these phenomenological developments would have been almost unthinkable without the huge influence of Greimas on the theory of human sciences since 1966. On the contrary, the inner link connecting structuralism and neo-Positivism was abandoned about 1990, when neither of the two could deliver on their great promises. Yet Greimas's Cliosemiotics is still a must in the adequate understanding of how historical science works.

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INTERACTION SPACES: SEMIOTICS AND URBAN PERIPHERIES

Pierluigi Cervelli

University of Rome – La Sapienza, Italy
pierluigi.cervelli@uniroma1.it

Abstract

This article is framed in the scope of the semiotics of space, examining the urban periphery and its public space practices (Greimas 1976, Hammad 2003). It is based on a collaboration with an interdisciplinary team of sociologist-architects, anthropologists and urban planners involved in a project for the upgrading of the largest Western-European public housing neighbourhood (about 28.000 inhabitants), located on the outskirts of the city of Rome. The neighbourhood was built between 1983 and 1985, and it is composed of a series of twenty 14-floor towers and about ten other linear buildings of 4-5 floors and of varying in length (up to 1 km). With nearly 28,000 inhabitants, the neighbourhood has a population comparable to that of a small Italian town. Conceived as a “modest” utopian city (i.e. as part of a utopian quantitative program of social housing) meant to introduce order in the Roman periphery (mainly composed by irregular habitation), the neighbourhood quickly deteriorated and it now constitutes one of the areas with the highest crime rate in the city, as well as with most social, economic, and political problems.

1. Practices of empty spaces: semiotics as a method for analysing the use of space by inhabitants

The urban planners, who expected to use the inhabitant’s practices as the foundation for their project of transforming the area’s public spaces, found themselves in difficulty, as this neighbourhood is a paradoxically empty one. The vast open spaces that characterise it are, in fact, very sparsely used, if at all, by its inhabitants. According to them, a sense of *denial of the public space* was evident: in addition to the lack of people in both existing squares, they had noted that, in some of the buildings, the façades “were lived” as behind-the-scenes-parts, whereas the concentration of people, such as the healing/fixing and recovery interventions of the public/collective space and gardens, introduced by the inhabitants themselves, were located in building areas mainly detached from the streets (Fig. 1).



Figure 1. Typical example of one of the main roads of the district

Based on this intuitive observation, I started an ethno-semiotic study (Marsciani 2007) of the neighbourhood's two squares — conducted during a failed re-qualification attempt, in the 1990s — in an attempt of understanding how the meanings were reconfigured through the living of everyday practices in those spaces. I started focusing on the two squares of the district, Largo Mengaroni, and the second, unnamed, both located in the south and the north-western parts of the district. The under-utilisation of the squares was immediately evident.



Figure 2. Mengaroni square.

Largo Mengaroni (Fig. 2) in its 300m is inhabited by 7637 people (the data are provided by the Italian national statistics institute, ISTAT); however, in its internal premises, about 20 people may meet in a given hour, often the same ones, and almost never in groups. The way in which passers-by use that space seems to be significant: they are generally focused in individual paths that cut through the square without stopping in it, a use independent to the adjacent car parks.

The same under-utilisation is noticed in the unnamed constructed square, in the northern area of the neighbourhood: there are over 3500 people living within a 300 meters' radius approximately and yet, never more than 20-30 people are present in the open area at any given hour. In this case, one could also note that:

1. The paths/trails were always aligned to the square's perimeter;
2. There were no significant processes of group gatherings;
3. The crossing was hurried/fast;
4. The gaze of the passers-by was always directed outwards.

One could also notice that the inhabitants of each of the two squares were oblivious to the existence of the other.

In both cases one could notice the absence of people acted as a border in itself, deterring others from approaching, and multiplying the effect of "emptying" the public space. Therefore, it was not possible to understand the use of public space, considering those two squares.

Where would people meet then? The only point of concentration found related to the commercial organisation of the district: a strange hybrid space, facing the square, where the paths of passers-by intersected, formed by a portion of a sidewalk where there were some shops, a lawn, and the exits of two low-budget supermarkets. It is located just in front of the empty square of Largo Mengaroni, and also, if it is not a planned and organised public space, it seems to be the only grouping place of the area. The practices of the public space were re-located in spaces other than those planned and equipped originally.

2. The meaning of the public space: from physical space to interactions

How to define public space in such conditions? I think it is not applicable to choose between practices and physical spaces, as the city is always an "agglomeration of men and things" (Greimas 1976), but it is necessary to introduce another language, i.e. verbal language.

According to the dictionaries (e.g. the Italian dictionary Garzanti 1987 and the online Treccani Dictionary) something can qualify as public if it "concerns the entire community" or "falls within the state interest" or "it is everyone's, and done in front of everyone" (my translation). Similarly, a public place is defined as a place which "everyone can attend". This definition refers to an isotopy of totality and assumes the referral to a universal subject (in the Greimasian meta-language, an actant sender that guarantees its value): the State.

Nonetheless, that does not tell us anything about how the totality of people is articulated inside it: is it a mass, a crowd, a set of groups, or rather a collection of individuals? The definition of public as a noun is from this point of view more interesting: "the people, the mass of the population" (for example a garden/green space open to the public). This definition indicates a change: from an isotopy of totality/entirety, one shifts to the image of a group of people, a group of an indefinite number, but united by something in common, such as "the whole of all who read the newspaper". Therefore, such can be understood as a new type of "togetherness": always a totality, but open, under constant construction (a potential totality, as in the opposition between *omnis* and *totus* in the Latin language).

The online Treccani Dictionary also provides other elements for consideration. The adjective "public" is defined as "the people, the total complex of an indefinite number of persons"; and a place open to the public is "a place to which anyone can have access" (my translation). Such definitions confirm the isotopy of totality but add an element, namely the fact that the

members of the aforementioned totality have to share a characteristic in common: the right to access a certain place. Such implies that, as actants, they have the same competence to act. Therefore, a public space would not be subject to the architectural or urban typologies: any place where an indefinite number of people can meet and be considered (and consider reciprocally) as equals — at least to a certain extent. From a semiotic point of view, this implies shifting from spaces to actors and their interactions. What happens if we consider the practices of public space from the point of view of interactions?

2.1. Interaction spaces in the district?

What spaces belonging to such typologies were present in the neighbourhood? In addition to the above-mentioned meeting point, I wondered if other spaces linked to the economic, political, military and religious isotopies existed — all of which are identified as main social “frames” by Dumezil (1968) and Benveniste (1969).

The first interesting piece of information was a “shift” of religious sites towards the internal part of the neighbourhood, also predominantly controlled by crime, where the members of a religious community took over two abandoned premises, where they would conduct activities with mentally impaired people, and recondition a garden. Both political spaces and paths were absent: the seats/offices of unions and associations were in closed spaces that were not related to the public space of the neighbourhood (i.e. there were no demonstrations, open-air gatherings, celebrations, etc.).

The previously mentioned actions of public space maintenance were carried out everywhere in the area, both by individual citizens and self-organised committees and, through their efforts, a lack of consistency was made visible. And yet, from the political point of view, the large number of maintenance actions made them interesting. It was the case of minor interventions, scattered (not at all coordinated among them) of a fixing and recovery nature, of places developed by citizen committees or individual inhabitants.

When the articulation of places is considered from the perspective of a military isotopy, it became immediately evident that, at least in some parts, the role of military control of the neighbourhood was not performed by the police but, rather, by the criminal organisations. After a few weeks of observations, in fact, I started to notice the squares were being observed, as well as the presence of drug-related crime, with a systematic control system of the territory consisting of fixed stations and observation points, communicating with each other through a whistling-and-yelling code which was widespread around the area. I also noticed that the degradation and the absence of people observed in the squares continued inside the buildings, meaning the use of space was limited to the private space of individual habitation. The deterioration could be observed in all the spaces which represent the access points to individual apartments and in all further general collective areas: the entrances of the buildings, landings, stairs, cellars.

In all these spaces, there were visible traces of drug-dealing and use (e.g. syringes, blood) and, occasionally, one could come across drug addicts. It was in those passage spaces that the crime actors (such as drug dealers) were positioned: invisible, yet present.

The uninhabited spaces became, thus, spaces of uncertainty, in which it would be impossible to establish what the boundaries were, what actors cross them, and at what times of the day. It was, in fact, a sort of “criminal privatisation” of the space, through the occupation of abandoned collective places, the control of the squares, and the traffic of drugs in some of the apartments inside the buildings. Although neglected in design, those transition areas are vital spaces and paths: if one fears to cross them, the house becomes a place from which one cannot get out. Fur-

thermore, if the meaning of a building changes in such manner, becoming linked to activities which make it inhabitable (Eco 1968), then the house itself is transformed into a kind of prison or a place in which the actants' modal competencies are reduced.

In these spaces, the crime was appropriately adapted, with its actions marking a transition from a strategy of programming, in which the district project was initially based; to a regime of risk, following Eric Landowski's (2005) use of the term.

3. Semiotic models for interactions: actor, actants, and modalities

Based on these elements, I used the generative path of the meaning elaborated by Greimas (2007, entry "generative path") to structure a semantic articulation starting from observable practices. The path, nonetheless, starts at the most superficial levels, and not from the deep, abstract semantic structures (Marsciani 1997). In such manner, it is possible to identify two axes, along which the thematic figures of the "rehabilitation" vs "degradation" of space would be placed, which allowed to refine the analysis including the intricacies of two networks of actors (two collective actors) which, for the sake of unpretentiousness, we shall call "citizens" (*political/religious isotopy*) vs "crime" (*economic/military isotopy*).

The modes of action of the two collective actors could be articulated through the very elements that Greimas defined as discursive syntax (i.e. articulation of space, actors and time). By comparing the modalities of action, interaction, and intervention in the places, it could be noted how we were dealing with very differently structured collective actors. Crime operated through privatisation of space: it acted through the control and closure of the space, obtained through by positioning of particular actors (sentinels) in fixed and visible positions (seen as actors who wanted to observe and be observed). From the point of view of time, its objective was to order spaces in a way they remain the same, despite the passing of time. Finally, when examining the relations between actors, crime acted as a collective, syntagmatic, hierarchical actor (Greimas and Landowski 1976), whose elements can be interchanged because they all follow a single narrative program — namely, the drug dealing.

The other collective actor, called "citizens", acted in the opposite way: they operated in the in-between spaces with a reduced size, temporarily removed from criminal control (for instance, through collective cleaning of interior areas of the buildings, gardening, closing of access to cellars and to the entrances); from the point of view of time, they were taking advantage of opportunities (mainly, the temporary lacking of criminal control), and their mode of interaction showed a reduction of the difference between the different actors (a form of denying the hierarchy). What is interesting is that their work didn't aim at closing the restored spaces but, rather, aimed at their returning to a common, non-predefined use (even though, in fact, the same spaces were sometimes destroyed). It was a process of collectivising the space, as opposed to the privatisation enacted by crime.

Even from the point of view of the relationship between the actors in these two networks, there were important differences. On the one hand, crime acted as a highly hierarchical collective actor, whereas, on the one other hand, citizens behaved as a collective actor where the difference between actors was deliberately reduced: the citizen committees were not entirely coordinated, no one was therefore fully aware of the actions of others, and thus no one decided for all. And yet, the uneven actions of this network of actors, in which nobody thoroughly knew the actions of others, produced an overall effect of order.

To understand the meaning of these interventions, thus, it was necessary to ignore the reference level of the spatial practices identified: whoever is performing those activities, is not "only"

creating a garden or a flowerbed, but counteracting, in advance, with another actor, which is an interaction practice of a strategic nature. In fact, those were practices and communication actions aimed at marking their presence in the territory and disrupting the other collective actor, in the process of preventive obstruction of the antagonist's action. In the words of one of the inhabitants, who told me about the upgrading of the entrance to his building, to which he had contributed: "that's how we cut them [the drug dealers] off".

Considered as actants, these networks of actors were qualified as follows: on the one hand, crime as an appointed manipulator, according to the threat that operated through the modalities of obligation; the citizens, on the one other hand, took on the attentive role of the competent subject, who works with the will and the feeling. In fact, the citizens aimed at space-making which allowed others to feel they were the same, by reducing the difference between actors. From this point of view, we could argue that the common spaces — neither public nor private/individual, but produced by the citizens — are the real "public spaces", because they allow an indefinite number of people to feel at the same level. Hence, a neighbourhood re-qualification project could start by creating pathways in large and small empty spaces, both inside or outside the buildings.

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NARRATIVE COHERENCE: INTERACTION BETWEEN VERBAL AND VISUAL IN GAME OF THRONES

Karin Boklund-Lagopoulou

Aristotle University of Thessaloniki, Greece

boklund@enl.auth.gr

Abstract

One of the most successful television series of the last decade has been *Game of Thrones*, an adaptation of George R. R. Martin's novel sequence *A Song of Ice and Fire*. Because the books are still being written while the television series is being produced, it presents an interesting opportunity to examine the interaction and contamination between the written and the visual versions of the story and the effects of serialisation on narrative structure. According to A. J. Greimas, both the syntactic and the semantic structures of a text can be understood as a series of transformations from an abstract deep level to a textual surface level. If the link between the surface textual structure and the underlying semantic structure is lacking, or cannot be perceived by the reader, the result is a feeling that the text is incoherent. This is also true of the syntactic dimension. An endless series of narrative 'events' or episodes that does not appear to lead to any significant change in the narrative, or confer any clear direction on it, results in a growing frustration, a feeling that the text is not 'going' anywhere. The need for continuity between surface textual structure and underlying syntactic-semantic structure will be demonstrated by looking at the narrative and thematic structure of both Martin's novels and their television adaptation.

This paper has its beginnings in my taste for science fiction and fantasy. I like to read science fiction and fantasy literature, and I like to watch films of this kind. However, I like some books or films more than others. This does not seem to depend on the story as such, but on *how* it is told.

A story can be told in many ways, and the way in which it is told has a great deal to do with the enjoyment of its readers or its audience. So in this paper, I want to take a closer look at what it is, in how a story is written or filmed, that affects our enjoyment of it. I will be examining both the syntax of the story (the narrative structure as such) and its semantics, or what could loosely be called its fictional universe.

It was Louis Hjelmslev (1961 [1943]: 109) who first pointed out that “in practice, language is a semiotic into which all other semiotics could be translated – both all the other languages and the other possible semiotic structures.” In other words, a message in any semiotic system can be expressed in natural language. Actually, that statement should be modified: a message in any semiotic system can be translated into natural language, but it may well be less effective, less attractive, and a lot more extensive if it has to be expressed in words.¹

It is also, of course, possible to “translate” or “trans-code” a verbal text into a visual one. There is a whole theoretical field, adaptation theory, about the questions raised by the adaptation of a written narrative to a visual medium, usually cinema. This is not just a matter of substituting visual images for verbal description. Linda Hutcheon, in particular, argues convincingly that successful adaptation from one medium to another involves complete “remediations”, that “translations in the form of intersemiotic transpositions” from one sign system to another involve “a recoding into a new set of conventions as well as signs” (Hutcheon 2006: 16).

However, visual media also have specific qualities that verbal texts do not share. Both graphic images and cinema, unlike verbal texts, have to specify the visual physical environment of the narrative. This can be an advantage, but it is also a constraint. A writer can choose *not* to describe the room where an action takes place, can decide not to give details of the landscape through which the characters move, can avoid indicating what clothes they are wearing and even to some extent what their physical characteristics are. The cinematographer has no choice: the characters of the story have to be represented by physical actors, and the physical environment has to be specified, because it is part of the photographic frame.

The job of creating the fictional environment in verbal texts is done mostly by description (in the wide sense of all the qualities attributed by the text to settings and characters). In cinema, description corresponds to depiction: the fictional world is created by what the director decides to put into the frame. An image, like a verbal description, creates meaning by activating the semantic values given to what it depicts by a particular culture or society.

Whether we are dealing with verbal language or visual media, however, the functions of this process in a text remain largely the same.

The primary function of description is probably to create the illusion of reality, the *effet du réel*. It should be obvious that this effect is indeed an illusion. It is entirely possible to give a very realistic description of something that does not and indeed *cannot* exist. This is the standard technique used by writers of fantasy and science fiction to create for the reader that feeling of reality which is necessary for our enjoyment of the story. In fact, the more completely the writer develops this aspect of the fantasy world, the more willing we are to suspend our disbelief and be carried along by the narrative.

However, interpreting description only in terms of the creation of a “reality effect” is not enough. Description, like action, has to be anchored in the structure of the narrative.

According to Greimasian narrative theory, the structure of a text can be modelled as a series of transformations from an abstract, deep level to a textual surface level. The deep level involves basic semantic choices (values) and their potential logical development (the “semiotic square”). The intermediate level is the level of narrative, where narrative roles (actants) are organised and the value structure of the story is put in place. At the surface or discursive level, actantial roles are matched with characters (actors), the action is situated in time and space, and values are developed into themes (thematisation) which can be given further verbal form in a process which Greimas calls figurativisation.

¹ Anne Hénault makes a similar statement (Hénault 1983: 180-90). Umberto Eco argues for a more complex position in his discussion of the relationship between verbal and non-verbal semiotic systems (Eco 1976: 172-174; for the full discussion, see Eco 1976: 172-217).

Figurativisation is the process by which the fictional world of the text is created and elaborated. In the case of verbal texts, this is done largely through descriptions. In the case of film, it is done through settings, costumes, acting, photography, and all the things that collaborate to create the visual universe of the work.

This is what Greimas calls the “generative process” or model that governs the production of narrative texts.² In inverse, it is also a model of interpretation. Reading a story or watching a film, we encounter the semantic isotopies of the figurative, descriptive language (verbal or visual) of the surface level of narrative discourse, with its characters, settings, actions and episodes. We interpret this surface by working our way downward, through the isotopies of the figurative language and the narrative themes to the basic semantic antitheses which the story sets in motion.

If the link between the surface structure and the underlying semantic structure cannot be perceived by the reader, the result is a feeling that the text is incoherent.

This is even more obvious in the case of the syntactic dimension. An endless series of narrative “events” or episodes that does not appear to lead to any significant change in the narrative, or confer any clear direction on it, results in a growing frustration, a feeling that the text is not “going” anywhere.

This necessary relationship between discursive surface structure and underlying syntactic-semantic structure can be demonstrated by looking at the figurativisation in the books of the series *A Song of Ice and Fire* by George R. R. Martin and their very successful audiovisual adaptation as the television serial *Game of Thrones*.

Game of Thrones is part of a relatively recent development in television production, the so-called “quality” television drama serial. These serials, most of which are produced for the American subscription television network HBO, are characterised by so-called “signifiers of quality”: high production values (enormous amounts of money go into the filming of each episode), a large cast of characters, well-known actors, cinematic filming techniques giving the serial a recognizable “visual style” (Mittell 2004: 25), and above all, complex narrative structures, with multiple, overlapping plot lines and lengthy narrative arcs.³ Martin’s books appear to have been written from the beginning with this format in mind.

The books are overflowing with episodes and characters. There are so many characters that Martin provides a list of them in an appendix at the end of each volume. In the first book, this appendix comprises 18 pages. In the next book, it has grown to 34 pages. In Book III, it covers 50 pages, in Book IV 68 and in Book V 60. It has also acquired several subdivisions. In the first book, only the members of the principal noble houses are given. By the time the story reaches volume 7 (the second volume of Book V), the appendix has been divided into six separate sections, devoted to The Kings and their Courts, Other Houses Great and Small, The Sworn Brothers of the Night’s Watch, The Wildlings or the Free Folk, a section called Beyond the Wall, and a new section on Essos beyond the Narrow Sea, including subdivisions for Braavos, Old Volantis, Slaver’s Bay, The Queen Across the Water, and the Sellswords of the Free Companies. Even considering that Martin is famous for casually killing off his characters, clearly the narrative has grown enormously in the telling.⁴

2 The same model can also account for the production of non-narrative texts, but this is a subject which does not concern the present paper.

3 Virtually all discussions of quality television drama series agree on the central importance of high production values and complex story lines; cf. McCabe and Akass (2007), Edgerton and Rose (2005), Thompson and Mittell (2013), Logan (2016). For the term “signifiers of quality”, see Cardwell (2007: 29) and Pearson (2007: 255). A special thanks to Betty Kaklamanidou for her generous help with television bibliography.

4 There is a fascinating animated graphic depicting the explosive growth in the number of characters in Martin’s books at www.jeromecukier.net/projects/agot/events.html.

Martin's acknowledgements at the end of each volume also make it clear that he is increasingly having trouble controlling the different strands of his narrative. He has promised his readers that *A Song of Ice and Fire* will comprise a total of seven books, but while the second volume of Book V was published in 2011, Book VI has not yet appeared, and Martin's fans are complaining loudly about his procrastination in various internet fan-sites and blogs.

Television audiences, like readers, want a proper ending to the story.

Many television serials never reach closure, as networks simply decide not to renew the show for the next season and leave the story hanging (Newcomb 2005: 31). Many scholars have pointed out the problems of managing complex narratives in such a way that they can be brought to a satisfactory conclusion, and some have argued that the serial format as such is inimical to closure (e.g. Seiter and Wilson 2005, O'Sullivan 2013; see the discussion in Logan 2016).

Nevertheless, the writers of *Game of Thrones* have promised to complete the serial and bring some sense of closure to the narrative.⁵ Since Martin has not completed the books of *A Song of Ice and Fire*, for the last two seasons the writers of *Game of Thrones*⁶ have been relying on a plot outline supplied by him.

However, even though the television serial has drastically simplified the story, eliminating many secondary characters and dropping whole sequences of episodes, it still has to cover a huge multiplicity of interlacing storylines.

This multiplication of storylines affects what we usually think of as "character development". A character in a text is created both syntactically, through the successive actantial roles they occupy in the narrative (in other words, through their actions in the story), and semantically, through the qualities ascribed to them by the text (from descriptions of what they look like to the feelings and thoughts they are described as having). This is a cumulative process: if character A is described as having blond hair in the first chapter, he should still have blond hair 700 pages later, unless he has explicitly changed the colour of his hair in one of the intervening episodes. More importantly, the actions he performs in chapter one of the narrative, and the motives ascribed to him there remain part of his "character" throughout the story.

The multiplication of episodes that results from serialisation, because it involves the same characters in many different situations, means that characters easily accumulate contradictory attributes, which leads to inconsistencies in characterisation. In *Game of Thrones*, for example, Sir Jaime Lannister in the first episode casually throws a child out a window to protect his incestuous love affair with his sister. By the time the narrative reaches Book V, Sir Jaime has become a chivalrous knight and a diplomatic leader of armies. Readers (or viewers of the television serial), if they have not simply forgotten what the same character did in Book I, will have to find some way of interpreting this change in order to maintain the coherence of the text. We can say that the character has "matured", though it is not clear from the story how the maturing of Sir Jaime Lannister has come about. Alternatively, we can say that the characterisation is incoherent.

A similar problem can be observed in the case of descriptions. Martin's books are full of descriptions of all kinds, often very sensual. A sword is "alive with moonlight, translucent, a shard of crystal so thin that it seemed almost to vanish when seen edge-on" (Bk I, p. 8). Cloth is "so smooth that it seemed to run through her fingers like water" (p. 25). Night air is chilly on bare

5 Martin's fans still reacted with outrage when Emily Dreyfuss suggested that he did not need to write the last two books, as the television series would finish the story for him (see readers' comments on Dreyfuss 2017). One reader pointed out that there were many plot lines in the books that are not included in the television serial, and these require to be brought to a close.

6 Writing for a television drama series is a collaborative effort. The principal writers of *Game of Thrones* are presently David Benioff and D. B. Weiss; Martin wrote one episode for each of the first four seasons and comments on other scripts as co-executive producer ("Game of Thrones," *Wikipedia*).

skin (p. 103), wine is “cool fire” as it trickles down your throat (p. 120), unwashed men have “a sour smell” (p. 114), and blood feels “like warm rain” as it sprays across your face (p. 127). The descriptions continue to be vivid and sensual throughout the series. In Book V, a hall rings with “Yunkish laughter, Yunkish songs, Yunkish prayers. Dancers danced; musicians played queer tunes with bells and squeaks and bladders; singers sang ancient love songs.... The air was redolent with the scent of saffron, cinnamon, cloves, pepper and other costly spices” (Bk V, vol 2, p. 145).

Martin’s device of “skin-changing”, where some of his characters temporarily share the consciousness of animals, also gives him opportunities for vivid descriptions of smell and sound: “Where before there had been silence, now he heard: wind in the trees, Hodor breathing, the elk pawing at the ground in search of fodder. Familiar scents filled his nostrils: wet leaves and dead grass, the rotten carcass of a squirrel decaying in the brush, the sour stink of man-sweat, the musty odour of the elk” (Bk. 5, vol 1, pp. 73-74). The section where Arya Stark becomes blind involves 14 pages of narrative (Bk V, vol 2, pp. 66-79) based entirely on sound, touch, smell and taste: “the rough feel of the crust beneath her fingers, the slickness of the oil, the sting of the hot pepper” (Bk V, vol 2, p. 67).

In a cinematic medium, visual and auditory sensations can be presented directly to the viewer, but smell, taste and touch cannot. Instead, in the television serial, the depth of the “reality effect” carried by the descriptions in the books is achieved largely by the high production values, with their attention to details of setting, costumes and photography that create the visual style of the show. *Game of Thrones* has a clearly recognizable visual “universe”, a mixture of luxurious costumes and palace interiors contrasted with dark, grubby, “medieval” scenes of war and violence, persuading us that its fantasy world has a kind of virtual “reality”. In fact, black dominates the visual style of the show to an astonishing degree.

Visual style is essential to the viewer experience. A cinematic environment that is not faithful to the visual style that has been established for the show will interfere with viewers’ “suspension of disbelief” and prevent their participation in the fictional world.⁷

Thus, there is no doubt that the fictional world of Westeros is vividly brought to life, both in Martin’s books and in the television serial. But just as the welter of characters and episodes eventually makes the reader or viewer lose track of the storyline, so the wealth of descriptions in the novels and the visual richness of the television serial ultimately become self-defeating. There seems to be no clear direction to them.

The crucial link between deep semantic structure and discursive surface structure are the *themes* of a text.⁸

Martin’s books have a huge amount of figurative material that could potentially be united into themes, but until he brings the narrative to a conclusion, we do not know which thematic strands, among all the figurative discourses, will turn out to be significant and above all, how they are supposed to interconnect.

Obviously, central to the whole series is the political theme of the struggle for power.⁹ This is the theme that both Martin and the television writers must bring to a satisfactory conclusion if the story is to have any coherence at all. It branches off into several subordinate themes: issues of legitimacy and governance, loyalty to lord or to family, what constitutes chivalrous conduct, even the relationship of religion and the state.

7 For a similar conclusion concerning film adaptation of video games, see Katsaridou (2017).

8 Elliott Logan (2016) has in fact proposed theme as an interpretive strategy for coping with the narrative complexity of another contemporary HBO television drama series, *Breaking Bad*.

9 This is identified as a central theme even in the Wikipedia article about *Game of Thrones*.

A second set of themes, which the narrative originally seemed to promise us, is the story of the Stark family. There is not much left of the Stark family by now, but clearly, the narrative will have to do something with the members who are still alive. A closely related question concerns the parentage of the supposedly illegitimate Jon Snow, which will have to be answered now that he has returned from the dead (the attempt to kill off Jon Snow may have failed due to general outrage on the part of Martin's fan base).¹⁰

We can more or less guess how the writers will manage to connect the fate of the Stark family with the resolution of the theme of power. But the Stark family is also related to the theme of "winter is coming", and to the walking dead who will presumably appear together with winter.

Then there are the skin-changing abilities of Bran Stark. This theme has been carefully developed throughout the narrative and presumably has to lead to something significant. Part of it are the direwolves (at last count, there were still three direwolves alive).

There is one theme around which we might group both many of the powerful descriptions in the books and the visual style of the television serial, a theme that forms the basis for much of their feeling of realism. Martin has a particular fondness for extreme, naturalistic, sensual descriptions – stink, dirt, decay, burning flesh, festering wounds, rotting corpses, etc. This element could perhaps be organised under a heading like "the horrors of war", but it seems to be equally frequent in peacetime, so perhaps we are meant to understand it as the horrid nature of life in general.

This is a very brief and incomplete account of some of the major themes that Martin has set in motion. At the end of the seven substantial volumes published so far, it is not at all clear how the themes relate to each other or to the numerous strands of the narrative.

The television serial has tightened the narrative structure by drastically reducing both the number of episodes and the number of characters. However, the basic problem remains. Thematic coherence has improved only marginally.

In fact, the feeling of incoherence and inconsistency in characterisation, which is largely the effect of the soap-opera narrative structure, encourages the reader to interpret this inconsistency as a theme in itself, a theme that could perhaps be summed up as "the unreliability of human relations". It is interesting to note that many readers and viewers interpret this inconsistency as a form of realism: since people in the real world are not consistent, the inconsistency of characterisation which tends to be inherent in the serial format is a sign that the story is realistic. In other words, readers have noticed that this feature of the narrative cannot be understood on the level of the story itself, and instead interpret it on a meta-fictional level as a kind of comment by the author on the nature of storytelling. This is very similar to the mechanism by which we interpret non-figurative art: a painting by Mondrian can be understood as a statement that art does not need to be pictorial.

The feeling of incoherence is probably also at least partly responsible for the impressive amount of internet activity generated by *Game of Thrones*, and the enthusiastic speculations on what will happen next. Indeed, one could argue that this condition of "undecidability" opens up the fictional world of Westeros to creative audience participation in the manner of postmodern fiction writers such as Julio Cortázar or Alain Robbe-Grillet. There is certainly a huge amount of audience participation (more or less creative), but most of it seems in fact to be focused precisely on issues of coherence and consistency, and the demand for an ending.

¹⁰ Characters who die and come to life again are one of the many narrative tricks that the drama serials have adopted from the older soap operas; see Seiter and Wilson (2005), De Kosnik (2013), Thorburn (2008). But the interaction between television serials and their fans, which has been revolutionised by the internet, and how the networks are trying to manage it, is a fascinating and complex topic that is only beginning to be studied; see Lotz (2007), Scott (2013).

Of course, from the point of view of the author and his publisher, as well as all those involved in the production of the television serial, this is an ideal situation. With such passionate audience expectations, they could go on for years producing new episodes (as they may very well be doing¹¹).

However, the risk is that readers, and viewers, will eventually tire of being constantly frustrated in their attempts to make sense of the story – and ultimately, decide that it is simply boring.

One television scholar, Sarah Cardwell (2007) makes an interesting distinction between what she calls “quality television” and “good television”. We recognize “quality” television by the “signifiers of quality” already mentioned: high production values, large cast, good actors, naturalistic performances, visual style, complex narrative structure. However, for a serial to be “good” television, it also – in addition – has to “be coherent at the level of stylistic integrity. In good television, there is a high level of synthesis and cohesion between stylistic choices and the programme’s ‘meanings’” (30). In other words, the visual and textual “signifiers of quality” have to be integrated with the meaning of the story, creating a coherent whole. It remains to be seen whether the HBO production team will be able to create a coherent whole.

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LA NARRATIVITE GREIMASSIENNE COMME ELEMENT DE STRUCTURATION DU SENS DANS LE CROISEMENT DU FOOTBALL ET LA PUBLICITE AU STADE

Anicet Basilua

Université de Liège, Belgique
anicetbasilua@yahoo.fr

Abstract

Considérée comme principe d'organisation du discours (Greimas et Courtés 1979), la *narrativité greimassienne* semble garder ce statut au-delà des types d'objets sur lesquels elle a été testée à l'origine, par exemple, le système d'oppositions dans les *figures-signes*. Notre étude, consacrée aux *pratiques* du football et de la publicité telles qu'elles se réalisent et se croisent au stade, montre que la *narrativité*, en lien avec le *système tensif*, organise aussi le parcours du sens dans cette interaction. Elle instaure tout un système de hiérarchisation des valeurs à travers une stratégie d'exposition des grandeurs.

1. Introduction

La syntaxe narrative développée par Greimas ([1966] 1986), avec des éléments comme : schémas narratif (schéma de l'épreuve, schéma de quête...), les transformations narratives, etc., semble sous-tendre tout un modèle de structuration du sens ayant cours au stade dans la situation du croisement du football et la publicité. Ce modèle repose sur la mise en place de deux sujets d'énonciation : un informateur et un observateur, dont l'interaction se déroule à l'intérieur d'un processus d'ajustement (Bertin 2007, Landowski 2007) des espaces : espaces du football et espace de la publicité (le panneau). Dans le présent article, nous décrivons ce phénomène. Nous proposons d'abord quelques données observées sur terrain qui manifestent le procès en question (section 1), puis nous fournissons un modèle explicatif de ces configurations qui épingle les outils du modèle narratif de Greimas (section 2). L'exposé s'achève sur une conclusion qui en résume les propos.

2. Les données du terrain

Nous présentons ces données relevées en deux moments caractéristiques du stade de football: stade en l'absence d'une partie de football et stade en présence d'une partie de football.

2.1. Stade en l'absence d'une partie de football : ajustement statique

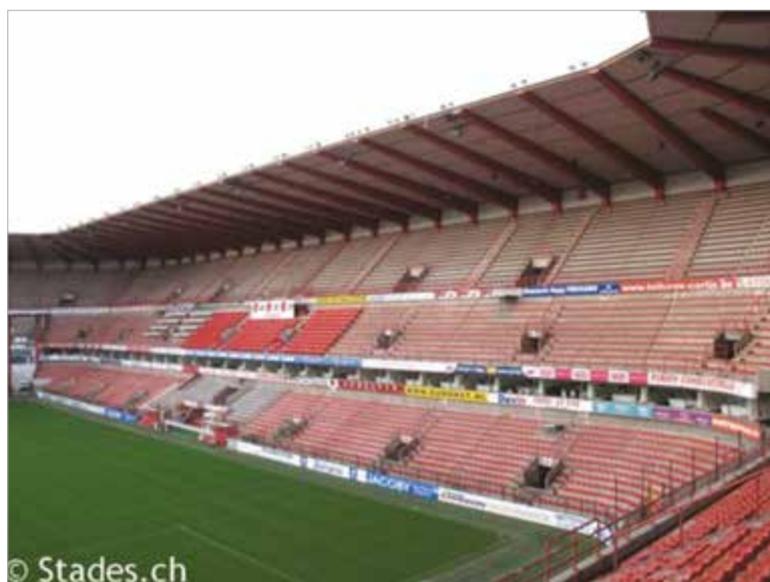


Figure 1. Stade de Sclessin, Liège (source: Stades.ch).

La Figure 1 montre un stade de football en l'absence d'une partie de football. Ce stade de Sclessin à Liège (Belgique) offre la possibilité de voir l'interaction entre le football et la publicité. Nous appliquons une grille de description spécifique qui tient compte de la hiérarchie des niveaux de pertinence du plan de l'expression (cf. Fontanille 2008) pour décrire les éléments de cette figure. De ce fait, nous faisons correspondre le stade au niveau de pertinence *objet*¹. Nous lui assignons la valeur $n+2$. La séquentialité du jeu du football²³ (qui se déroule sur une surface plane) d'une part et la surface des panneaux publicitaires (qui organise des éléments figuratifs, notamment), de l'autre, représentent, elles, le niveau de *texte*. Nous leur assignons la valeur $n+1$ (Groupe μ , 1992). Les expressions figuratives du football (les joueurs, etc.) et celles de la publicité (des éléments eidétiques, topologiques et chromatiques) reçoivent la valeur n et, en fin, aux parties des figures, c'est-à-dire des aspects dits transitoires (cf. Töpffer cité par Gombrich 1996 : 287-8) qui sont des traits permanents qui servent à l'identification des figures, nous assignons la valeur $n-1$. Nous pouvons ainsi décrire les éléments de la Figure 1 de la manière suivante (Tableau 1):

1 *Objet* ici est entendu dans le sens des niveaux de pertinence du plan de l'expression tel que formulé par J. Fontanille : *Figure-signes, textes-énoncés, objets, scènes pratiques, stratégies, formes de vie*. Dans une étude, à paraître (le croisement sémiotique du football et la publicité : éléments d'une grammaire générale), nous saisissons le stade, avec toutes ses composantes : l'aire de jeu, les gradins, les vestiaires..., tout le bâtiment qui détermine notamment sa morphologie et son identité extérieure comme *objet* dès lors qu'il présente bien une fonctionnalité spécifique : c'est l'endroit où l'on joue au football, laquelle en manifeste l'usage spécialisé (cf. définition d'objet fournie par Fontanille 2008 : 23). Il en est de même pour notre saisie du *texte-énoncé* que nous faisons correspondre au jeu qui se déroule sur terrain du football et à la surface du panneau publicitaire, dès lors que dans la situation du stade, ces ensembles signifiants y sont intégrés.

2 Les séquences de but, de passe, de remise en jeu, etc.

3 Nous ne considérons pas encore la présence du jeu du football (séquences sur l'aire de jeu, qui est absente sur l'image).

a) Pour le Football

Niveau <i>Objet</i> $n+2$	<i>Texte-énoncé</i> $n+1$	<i>Figures</i> N	<i>Parties des figures</i> $n-1$
Stade en tant que lieu d'énonciation	Absent	Aire de jeu	Tapis vert + plus marquages blancs au sol
			Peint en rouge (couleur du Standard de Liège)

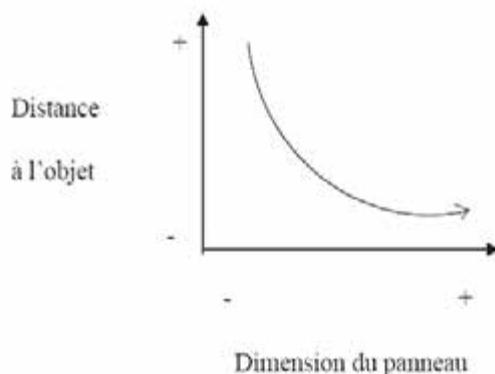
Tableau 1. Description des éléments du football de la Figure 1.

b) Pour la Publicité

Niveau <i>Objet</i> $n+2$	<i>Texte-énoncé</i> $n+1$	<i>Figures</i> N	<i>Parties des figures</i> $n-1$
Stade en tant que lieu d'énonciation	Panneaux alignés en quatre rangées (zone autour de l'aire de jeu et les balcons (frontons) des étages).	Figures linguistiques et plastiques	Couleurs des caractères et des fonds des panneaux (rouge, blanche, bleue, etc.)

Tableau 2. Description des éléments de la publicité de la Figure 1.

Comme on peut le voir, la Figure 1 propose tout un modèle de structuration des panneaux publicitaires. En effet, nous avons des panneaux localisés dans la zone entourant l'aire de jeu et dans trois frontons (balcons) du stade qui proposent, à travers leurs tailles, notamment une hiérarchisation verticale qui va, dans l'ordre des grandeurs décroissant, de bas vers le haut. Ces dimensions fournissent entre autres les conditions d'inscription des objets panneaux au stade. Nous rappelons ici qu'un stade de football est souvent construit sous la forme d'entonnoir : les cercles concentriques en fonction desquels sont placés les sièges des spectateurs s'éloignent du centre de manière horizontale (éloignement latéral) et verticale (de bas vers le haut). Ce modèle propose une stratification des spectateurs selon leurs situations de siège et ce, en rapport avec leurs champs visuels : dans un stade construit avec les étages, comme celui de Sclessin, l'observateur du rez-de-chaussée fait face à un panneau de grande dimension, celui du premier étage à un panneau de dimension moyenne, celui du deuxième étage à un panneau de dimension faible. Nous pouvons saisir cette configuration dans une structure tensives. On considérera, par exemple, comme valence intensive la *distance à l'objet* et valence extensive la *dimension du panneau*.

**Schéma 1.** Structure tensives opérée à partir de la Figure 1.

La corrélation produite par cette structure est inverse : plus l'objet à observer est grand, plus la distance qui sépare l'observateur à l'objet semble faible. Mais, ce n'est pas tout. Cette structuration n'est qu'une vue partielle du procès du sens qui se déroule au stade. Voyons le deuxième moment, celui de la présence d'une partie du football au stade.



Figure 1. Stade de Sclessin, Liège (source : Pro League).

2.2. Stade en présence d'une partie du football : ajustement dynamique

Nous retrouvons (Figure 2) le même stade de Sclessin, cette fois en présence d'une partie du football. Les unités présentes sont les suivantes :

a) Pour le Football

Niveau <i>Objet</i> <i>n +2</i>	<i>Texte-énoncé</i> <i>n+1</i>	<i>Figures</i> <i>N</i>	<i>Parties des figures</i> <i>n-1</i>
Stade en tant que lieu d'énonciation	Jeu (séquence de but marqué par l'équipe du Standard de Liège)	Joueurs	Standard de Liège (habillée en rouge et blanc) Equipe visiteuse, Charleroi, (habillé en bleu et blanc)
		Aire de jeu	Tapis vert + marquages blancs au sol
		Spectateurs	Spectateurs de Standard de Liège, habillés en rouge

Tableau 3. Description des éléments du football de la Figure 2.

b) Pour la Publicité

Niveau <i>Objet</i> <i>n +2</i>	<i>Texte-énoncé</i> <i>n+1</i>	<i>Figures</i> <i>N</i>	<i>Parties des figures</i> <i>n-1</i>
Stade en tant que lieu d'énonciation	Deux lignes de panneaux placées dans la zone entourant l'aire de jeu (une en retrait et l'autre, ayant des panneaux isolés, placée à l'avant plan)	Figures linguistiques et plastiques	Les noms des marques ainsi que les couleurs qui accompagnent es caractères et le fond des panneaux (rouge, orange, verte, blanche, bleue...)

Tableau 4. Description des éléments du football de la Figure 2.

La Figure 2 présente deux espaces énoncés : la partie du football et les panneaux publicitaires. La partie du football découpée par l'image montre un but marqué par le club du Standard de Liège. Il s'agit d'une séquence qui se déroule dans la surface de réparation. Les panneaux publicitaires se présentent en deux rangées : une constituée de panneau électronique occupe la zone qui entoure l'aire de jeu (ce panneau couvre toute la zone entourant l'aire de jeu de l'ensemble du terrain). L'autre rangée des panneaux est constituée des panneaux manuels isolés, placés à l'avant-plan et principalement dans la zone de la surface de réparation. (Ils ne couvrent pas l'ensemble du terrain).

Ces panneaux (manuels isolés) proposent un autre type de hiérarchie : la hiérarchisation horizontale, manifestée par le fait que sur un même plan horizontal, des panneaux publicitaires sont placés les uns derrière les autres, créant ainsi une hiérarchie de valeurs visuelles : les panneaux placés à l'avant-plan peuvent être mieux vus (perçus) que ceux placés à l'arrière-plan. On voit qu'en plus de l'*effet de distance à l'objet*, relevé dans le premier cas, également présent ici par le fait que les panneaux placés à l'avant-plan bénéficient d'une distance d'observation faible par rapport à ceux placés à l'arrière-plan, on remarque un autre effet, celui de la *concentration* des panneaux à un même lieu. Cette configuration à mettre à l'actif stratégique de l'informateur s'appuie entre autres sur la modalité de *ne pas faire ne pas savoir*. Ce qui explique cette configuration particulière des panneaux à cet endroit est sans doute l'attention accrue que ce lieu mobilise potentiellement au cours du jeu (nous l'expliquons dans la seconde section). De ce fait, cette concentration pose la grandeur espace comme un référent de discrimination : l'espace situé derrière les buts présente une valeur narrative et visuelle supérieure à d'autres espaces. Nous traduisons cette configuration sur le plan tensif de la manière suivante :

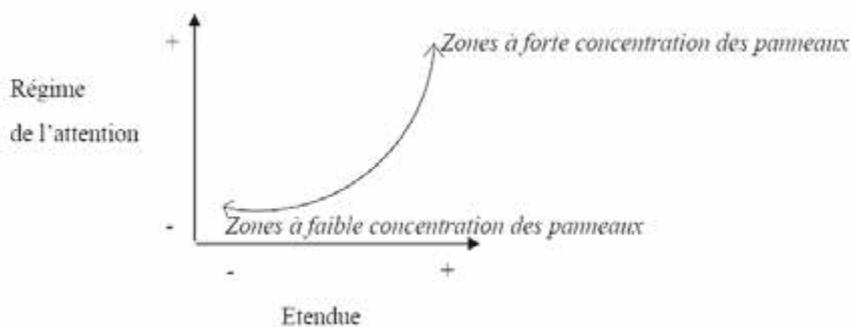


Schéma 2. Structure tensif opérée à partir de la Figure 2.

La corrélation est converse : ce sont des zones à forte concentration des panneaux qui font mobiliser l'attention. Le procès peut aussi se laisser saisir par des oppositions qu'il instaure. De ce point de vue, si nous posons l'*exposition* du panneau comme l'enjeu principal de cette configuration, nous pouvons reconnaître, en plus de l'exposition, trois autres pôles sur lesquels s'articule l'effet du sens dans une telle dynamique de modalisation cognitive de l'espace (Fontanille 1989) : l'*inaccessibilité*, l'*accessibilité* et l'*obstruction*, formés à partir de la combinaison des modalités de l'informateur (le *faire savoir*) et de l'observateur (le *pouvoir faire -pouvoir observer-*). Le schéma tensif proposé ci-dessus montre les régimes sur lesquels s'articule le sens dans la figure 2 : il y a une opposition entre exposition et inaccessibilité et entre accessibilité et obstruction.

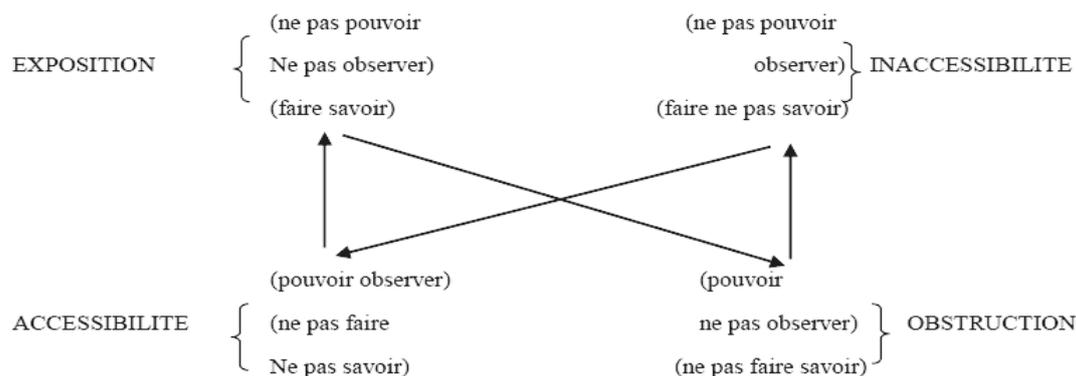


Schéma 3. Articulation des oppositions. Adaptée de Fontanille 1989.

Il y a ici un régime d'accessibilité qui permet au panneau d'être exposé (les panneaux vus ou perçus) et un régime d'obstruction qui rend les panneaux inaccessibles (les panneaux ou parties des panneaux non vus ou non perçus, c'est-à-dire obstrués par ceux ou celles qui sont visibles).

3. La narrativité comme élément de structuration du sens

La configuration du sens présentée dans les deux modèles ci-dessus s'appuie sur un fait important : la séquentialité qui se déroule sur le terrain du football. En effet, le jeu du football qui se déroule sur le terrain exploite deux sujets collectifs (les équipes) engagés dans une épreuve (confrontation). Il traduit une situation narrative caractérisée par la quête d'objets (Greimas 1973), lesquels sont disputés entre les sujets : par exemple l'objet victoire, dont l'acquisition passe notamment par le contrôle de l'objet ballon qui, de ce fait, devient aussi objet de dispute. Chaque sujet collectif développe un programme de domination/défense qui s'affronte à celui de l'autre. Les rapports sujet(s)-objet(s) qui contribuent à la formalisation de ce procès se traduisent particulièrement sur le terrain par des opérations de transformation (changements d'état) des sujets vis-à-vis de l'objet. Celles-ci se réalisent par des régimes de conjonction (acquisition) et des disjonctions (perte) d'objets, créant ainsi des séquences narratives du football. Par exemple, la séquence de passe ou de tir qui transforme l'état d'un sujet conjoint à l'objet ballon en celui de sujet disjoint à l'objet ballon (libération du ballon auquel on était conjoint)⁴ ; celle de la réception de la passe ou de la réception du tir qui transforme l'état d'un sujet disjoint à l'objet ballon en celui de sujet conjoint à l'objet ballon (acquisition du ballon dont on était disjoint), etc. (Il existe quantité de séquences comme ça, celle de l'interception de la passe, de remise en jeu, de faute, de but, etc., qui, toutes, se réalisent sur base de transformation des états). Il se trouve que ces transformations qui se déroulent sur la surface du terrain, et en fonction du temps (90 min⁵ du temps réglementaire du match) modalisent les indices spatio-temporels en instaurant, par exemple, tout un système de hiérarchisation spatiale ou temporelle : une passe ou un tir qui s'exécute en plein centre du terrain, n'a pas la même valeur qu'une passe ou un tir qui se déroule dans la surface de réparation (ici, elle ou il mobilise plus d'attention) ; de même un but qui rentre aux derniers moments du match dans une partie dont le score était jusque-là de parité n'a pas les mêmes effets qu'un but qui rentre dès les premiers instants du match. Cette modalisation spatiale structure l'interaction du football et la publicité au stade : les panneaux publicitaires

4 On retrouvera toute une taxinomie de ces transformations dans Bassilua 2016.

5 Cette durée peut varier selon des situations, par exemple dans le cas des prolongations.

sont ainsi concentrés au niveau de la surface de réparation pour bénéficier de la grande attention que suscitent les opérations narratives du jeu qui se déroulent dans cette zone. Leurs régimes d'accessibilité et d'exposition se réalisent au moyen des modalités de l'observateur de *pouvoir observer* (les panneaux sont bien placés au stade), d'une part et de *ne pas pouvoir ne pas observer* (le fait que les panneaux soient placés sur son champ visuel le plus important). C'est donc en suivant le déroulement du jeu à travers les déplacements du ballon, que l'observateur voit les panneaux⁶. La même logique s'applique sur les panneaux publicitaires (de grande dimension, par rapport à ceux des étages) placés autour de la surface du jeu et dont la distance visuelle est faible vis-à-vis des sujets. Ces panneaux construisent également leurs régimes d'accessibilité et d'exposition en combinant leurs coordonnées spatiales avec les données des séquences narratives qui se déroulent le long des lignes de touche et de buts : une séquence de passe qui se déroule le long d'une ligne de touche fait en même temps voir le panneau placé à côté.

4. Conclusion

L'étude proposée ci-dessus montre que la syntaxe narrative développée par Greimas, loin de se cantonner sur le récit, peut expliquer la construction du sens dans des situations aussi variées comme celle de l'interaction entre discours, entre systèmes, entre procès, etc. Le croisement du football et la publicité qui s'opère au stade, en tant que système et procès, demeure une de ces situations qui montrent la manière dont la séquentialité narrative formulée par Greimas permet de structurer le sens dans la rencontre de deux configurations discursives, celle du football et celle de la publicité.

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6 Ceci s'opère sur tous les espaces du terrain, mais il est plus accru dans la zone de surface de réparation.

SQUARE DREAMING OR, FOUR WAYS OF TRIADIC SIGN-NESS ON TWO SEMIOTIC SQUARES

Herman A.H. Tamminen

University of Tartu, Estonia

herman_tamminen@hotmail.com

Abstract

I would like to express sincere gratitude to my supervisor Silvi Salupere. Semiosis produces signs, which enable the generation of meaning by way of signification which in turn is based on an underlying signifying process consisting of the semiotic and the symbolic. Signification designates a doing or a state provided they are in a “relation of reciprocal presupposition that defines the constituted sign” (Greimas and Courtés 1982: 299). In general terms, semiosis is the meaning generated by the pragmatic relations of syntactic and semantic elements of syntagmatic and paradigmatic units represented in the form of a sign.

Often semiosis is treated either as a process of thought or as a function in the systems of nature or culture. It is only the outcomes of semiosis – meanings – that become known to the interpretant in an infinite series. Though excluded at first, it may be noted that as a term semiosis is “synonymous with semiotic function” (Greimas and Courtés 1982: 285). By exclusion and theorizing over semiosis, I intend to dissect a sign into four dimensions of potential existence and each of which it will be shown to have its peculiar semiotic modes and conditions for sign-ness with regard to the anthroposemiotic awake. Human as we are, this article deals primarily with four dimensions of consciousness and semioses therein by exemplifying their origins.

1. Sign-ness and the four-dimensional triadic sign

Before discussing semiosis, it pays to acquaint ourselves with its produce – sign. Sign as such must have the potentiality to be a sign, i.e. the elements enabling the sign’s meaning to be generated are presupposed entities that exist before the sign itself. Therefore, semiosis as sign-function will be excluded to reach into the four elementary spaces of existence known to us that afford semiosis. In order to do so, I adopt Piatigorsky’s (1974) view in that semiotics should – instead of sign-system or sign – concentrate on the concept of *sign-ness*.

But sign-ness is not the PRIMARY (or ELEMENTARY) concept of semiotics since it is the abstraction of a particular QUALITY, namely, to formulate it in the most general terms, the abstraction of THE QUALITY OF BEING A SIGN, or, in a more expanded formulation, of SOMETHING'S QUALITY OF BEING A SIGN OF SOMETHING FOR SOMEONE IN SOME PLACE. The semantic aspect of the problem is expressed in the words 'to be a sign of something', the pragmatic by 'to be a sign for someone', the communicative by 'to be a sign somewhere'. (The syntactic aspect is not expressed here, since the concept 'sign system' is not being considered.) (Piatigorsky 1974: 185).

We recall that intra- and interspecific boundaries along with the boundaries of more abstract and/or concrete semiotic spaces cannot be experientially transgressed, penetrated into and comprehended in their totality by another. With regard to the meaning(s) afforded by a given sign, it depends on the semiotic subject's modalities and competence as well as its relations to the sign, which "are of a *radically different eidetic type* in the logical and the semiotic universes" (Petitot [1985] 2004: 210). Sign-ness in human *Umwelten* is not necessarily identical sign-ness in nature or other semiotic spaces and vice versa, which allows the presumption that for one sign there must be different dimensions of semiosis.

The triadic sign is an elementary structure consisting of and embedded in a network of relations in which relation alone institutes properties that "serve as determinations for objects and render them knowable" (Greimas and Courtés 1982: 314). Relation as a non-definable concept is the establishment "of relations and of relational networks which ground objects and semiotic universes" (Greimas and Courtés 1982: 262). Sign-ness is what affords the elementary structure of signification to become "a concept uniting the minimal conditions for the apprehension and/or the production of signification" as well as "a model containing the minimal definition of any language (or, more generally, of any semiotic system) and of any semiotic unit" (Greimas and Courtés 1982: 314).

On the level of fundamental semantics, it may be argued that the minimal requirement for any meaning to become is the presupposed existence of signs constituted upon sign-ness as semiotic entity existing "prior to the analysis which will recognize therein a discrete unit" (Greimas and Courtés 1982: 102).

The unit sign consists of three entities, operationally treated here as elements¹ – *representamen* (R), *object* (O) and *interpretant* (I). In theory, all signs consist of these constituent elements and function in a similar manner. Sign(s) as the unit before analysis forms a class which – tri-structurally speaking – are recognized as identical to each other in order to be declared variants of one and the same class; these units, when considered as a class, are "constructed semiotic beings and therefore no longer belong to the objective semiotic system [...] but to the descriptive metalanguage" (Greimas and Courtés 1982: 356). The elements constituting the unit sign forming a class can be treated as prerequisite for the elementary structure of signification based on a simple relation between at least two terms that eventually "can be formulated as semantic categories and can be articulated on the semiotic square (Greimas and Courtés 1982: 275). Alternatively, the categories of all conceivable objects (O) and interpretants (I) as elements of the class sign which, with representamen (R) form a unit that enables the elementary structure of signification and by extension semiosis by way of a signifying process.

It may be noted that Piatigorsky's definition of sign-ness echoes Peirce's definition of sign: "[A] sign, or *representamen*, is something which stands to somebody for something in some respect or capacity" (CP 2.228²). Signs make their way so that "the interpretant is nothing but an-

1 "Generally speaking, the term element designates a constitutive part of a unit which can be broken down" (Greimas, Courtés 1982: 98).

2 PEIRCE, Charles S. 1931–1958. *Collected Papers of Charles Sanders Peirce*. Cambridge: Harvard University Press. [Hartshorne, Charles; Weiss, Paul; Burks, Arthur W. (eds.). In-text references are to CP, followed by volume and paragraph numbers.].

other representation to which the torch of truth is handed along; and as representation, it has its interpretation again” (CP 1.339). The infamous infinite series of interpretants is halted by way of ontologizing the semiotic square and however unorthodox, the triadic sign is projected onto it.

Due to the nature of the semiotic square, the term opposition is used as “an operational concept which designates the existence of any relation between two entities, sufficient to allow them to be considered together” (Greimas and Courtés 1982: 220). Adding the four basic dimensions of existence – awake (A), asleep/dream (Z)³, nature (N) and culture (C) – sign-ness acquires four differing relations.

The diagram in figure 1. is an adaptation of the semiotic square as presented by Greimas and Courtés (1982: 308–311). However, the semiotic square remains a first generation square regardless that the positioning of the dimensions is visually similar to the second generation of terms as in the original. Albeit omnipresent in consciousness, the dimensions belong to different semantic and overall semiotic categories. In the diagram, representamen (R), or sign-ness is placed in the middle because:

- i) no beings have interaction with anything without it being (an interpretation of) a representation, i.e. a sign, and;
- ii) by extension – due to our intersectional consciousness – this argument also applies to nature and culture.³

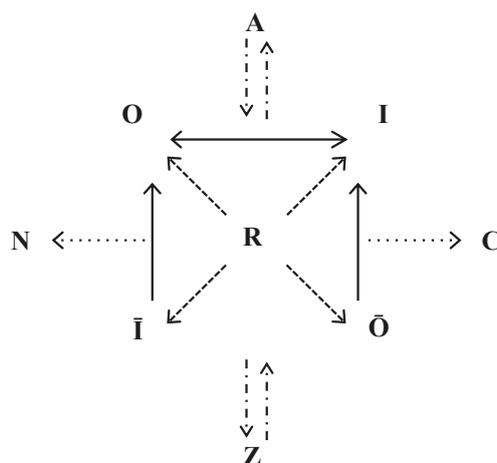


Figure 1. Square of dimensions.

Relations of (R) as projected onto the semiotic square representing triadic sign-ness in four dimensions. In which:

- | | | |
|----|---|--------------------------|
| ↔ | : Relation of contrariety | R : Representamen |
| ↑ | : Relation of complementarity | O : Object |
| ↔↔ | : Relation of contradiction | I : Interpretant |
| ⋯↔ | : Relation of simple presupposition | N : Nature |
| ⋯↔ | : Relation of reciprocal presupposition | C : Culture |
| | | A : Awake |
| | | Z : Asleep/Dream |

³ There are two reasons why the term dream is marked with (Z). Firstly, it is presumed that in a dream anything can be and secondly, it is visually customary to use (Z) to point out that someone is sleeping – the minimal requirement for dreaming proper.

On the axis of contraries, object (O) and interpretant (I) are in opposition. To avoid confusion, it must be noted that this opposition, albeit not a categorical one like left *vs.* right or up *vs.* down is nevertheless a relation between two presupposed entities treated as elements that is sufficient to allow them to be considered together as semantic categories which can be articulated on the semiotic square; in the diagram, representamen (R) is what binds the four-dimensional sign-ness together iconically whereas the predominance of other elements in semioses fluctuates according to dimension. In essence, the context is that of traditional object-subject-relation; I stand behind the interpreting “I” whereas (R) is what mediates and enables signification and brings (O) and (I) of sign-ness together in a signifying process.

In a triadic sign, both object (O) and interpretant (I) are presupposed and “can be present concomitantly [...] they are said to enter into a relation of reciprocal presupposition or which comes to the same thing, a relation of contrariety” (Greimas and Courtés 1982: 309). Were it possible to distinguish a single semiosis in actuality, the interpretant is never the object yet the presence or absence of one presupposes that of the other.

Our acknowledged being as afforded by consciousness by way of signs is depicted on the axis of contraries, where the triad representamen (R), object (O) and interpretant (I) make their way in semiosis in our awake (A) minds. The quadruple “R–O–I–A” may then be said to be our basic dimension of acknowledged being, the existential whereabouts and semiotic elements by which I know “I” am when awake.

On the positive deixis, in addition to representamen (R), there is an object (O) but no interpretant (\bar{I}) – the semiotic dimension of the positive deixis is that of nature (N). Because “no animal ever plays the role of an observer, one may assert that they never enter into relationships with neutral objects” (Uexküll 1982: 28) and so, abstract endowment of meaning therein is diminished; there is less possibility for arbitrary interpretations of objects in nature. It is only in the anthroposemiotic where “the neutral object is transformed into a meaning-carrier, the meaning of which is imprinted upon it by a subject” (Uexküll 1982: 28) proper. Allowing this, it may be said that the quadruple “R–O– \bar{I} –N” forms the semiotic dimension of beasts and organic matter, including our bodies.

On the negative deixis, representamen (R) holds a diminished object (\bar{O}) – interpretation (I) is predominant in culture (C) which, due to its material build-up or structure cannot be said to be conscious of its physical self through senses to receive information via or of objects but only their representations interpreted. “The history of culture is reflected as an evolution of interpreting culture – on one side by its contemporary auditorium, on the other by next generations, including the scientific tradition of interpretation” (Lotman 1999: 39 [Kultuuri ajalugu kangastub evolutsioonina kultuuri tõlgendamises – ühelt poolt tema kaasaegse auditooriumi, teisalt järgmiste põlvkondade, k.a teadusliku tõlgendustraditsiooni poolt.]). Culture interprets itself through representations constituting the semiotic dimension “R– \bar{O} –I–C”; a supra-individual monad.

The axis of subcontraries hosts no object (\bar{O}) nor an interpretant (\bar{I}) but only a representation (R) in and of a physically unreal dimension – dream (Z). Dreaming is “an endogenously mediated perceptual experience occurring physiologically during sleep [...] in a format which the dreamer tends to experience as a participant rather than a mere observer” (Blom 2010: 157). The *Traumwelt*⁴ is a polylingual semiotic space which is immutable by conscious action⁵, the dream “does not immerse us in visual, verbal, musical and other spaces but rather in the space of their

4 traum + welt; from German traum ‘dream’; from German welt ‘world’

5 Occasions of lucid dreaming – a dream where one knows s/he is dreaming and can control their behavior and environment to an extent – are excluded here alongside hypnagogic/hypnopompic hallucinations.

coalescence which is analogous to real space” (Lotman 2009: 145). There is no meta-awareness in dreams and hence there cannot be any acts of semiotic recognition allowing for the “separation of significant elements from insignificant ones in surrounding reality” (Lotman 1990: 58). The dream is singular and accordingly, even more so than awake, “the *form of meaning* articulates a substance which *cannot* be empirically observed” (Petitot 2004: 191).

What comes of the relation of simple presupposition between nature (N) and culture (C) is quite obvious – chronologically speaking culture could not have come to be without nature by way of our bodies and minds whereas nature was and still is well off without the presence of culture. The relation of reciprocal presupposition between awake (A) and asleep/dream (Z) as a physiological necessity is also clear. Their possibility of functional concomitance is based on for example the resurgence of dreams to the awake mind at random which may orientate a given musing in a similar fashion as the semiotic and the symbolic organize our everyday and every night existence.

2. Semiotic Symbolic

The relations of sign elements allow for meaning to manifest “in the form of an articulated signification” (Greimas and Courtés 1982: 187), a process synonymous with semiosis and functionally collocatable with the signifying process that is founded on the intermingling of the symbolic and the semiotic within and beyond the human. In general, the symbolic “designates language as it is defined by linguistics and its tradition, language in its normative usage” (Ponzio 2010: 250) whereas the semiotic “refers to primary processes and to the pulsions that enter into contradiction with the symbolic” (Ponzio 2010: 250).

Together they found the signifying process or “the ways in which bodily drives and energy are expressed, literally discharged through our use of language, and how our signifying practices shape our subjectivity and experience” (McAfee 2000: 14). The semiotic and the symbolic are inseparable in the signifying process; the symbolic affords the human sign-ness represented as sign(s), the meanings of which are organized according to the semiotic both on the cultural level as well as on the level of the subject, respectively. The symbolic in culture pre-dates the individual subject whereas subjective symbolic is ontogenetically organized in part according to the semiotic *chora*.

In the anthroposemiotic framework, the distinction between the semiotic and symbolic is based on the very beginning of a subject and the relations s/he holds with the world and itself. These relations may be presented as topological spaces that facilitate the world in which things are connected via and in the zones of the fragmented body. “This type of relation makes it possible to specify the *semiotic* as a psychosomatic modality of the signifying process; in other words, not a symbolic modality but one articulating [...] a continuum” (Kristeva 1996: 96). The semiotic as part of the signifying process has its origins in the semiotic *chora*, a receptacle of sorts that is based on the rhythms of the body in the wide sense of the word. “The *chora* is not yet a position that represents something for someone (i.e. it is not a sign); nor is it a *position* that represents someone for another position (i.e. it is not yet a signifier either); it is, however, generated in order to attain to this signifying position” (Kristeva 1996: 94).

The (individual) semiotic is chronologically anterior to sign, syntax, denotation and signification, but crosses them synchronically whereas the symbolic subsumes everything that belongs under sign; it labels under itself syntax, signification and denotation – all that is representable to the extent of anthroposemiotic sign-ness. The subject along with all the signifying systems that have been produced by such subjects is always and simultaneously both semiotic and symbolic.

Both are present and each signifying process is always dominated by one of the two tendencies; the subject (or system) is always indebted to both aspects. It is only in theory that such processes and relations may be situated “diachronically within the process of the constitution of the subject precisely because *they function synchronically within the signifying process of the subject himself*, i.e., the subject of *cogitatio*” (Kristeva 1996: 96).

With regard to the *chora*, it may be said that the daily semiotic is diminished during sleep due to lessened proprioceptivity⁶ whereas the relational potential of the symbolic is increased creating *Traumwelten* one can only dream of. The dream is a “semiotic mirror and each of us sees in it the reflection of our own language” (Lotman 2009: 144). The symbolic corresponds to “the semantic universe considered as co-extensive with a culture or with a given human being” (Greimas and Courtés 1982: 114), which can further be divided into exteroceptive and interoceptive properties⁷.

Whilst asleep, the signifying process is less influenced by proprioception of the *chora* or exteroceptive semiotic whereas the (interoceptive) symbolic gains more associational leeway as regards the manifestations of dream-imagery. The fodder for dreams originates in one way or the other from (awake) reality, from both the semiotic – accustomed to order of things – and the symbolic – accustomed to sign-ness. Due to the diminishing of the former, the latter may coalesce in unexpected ways in the signifying process of dreaming and, provided that dreams yield their content and order from reality, the experiencing of reality by a given subject yields in part from dreams which become known only in retrospect when they have already ended and are reminisced awake as signs affording arbitrary/ambivalent meaning – as “signs in their pure form” (Lotman 2009: 143).

3. Modal categories

From the theory of modalities, the concept of “being-able (*to do* or *to be*)” (Greimas and Courtés 1982: 23) is adopted as an operational term to clarify the natures of the above semiotic dimensions. Modality is that which modifies the predicate of an utterance⁸ whereas modalization is “conceived as the production of a so-called modal utterance, which over-determines a descriptive utterance” (Greimas and Courtés 1982: 193).

An infinite process, semiosis can be treated as being that “serves as copula in utterances of state” (Greimas and Courtés 1982: 22) and as such, it is simultaneously a doing. The term “being-able (*to do* or *to be*) can be considered as the name of one of the possible predicates of the modal utterance governing a descriptive utterance of doing or of state” (Greimas and Courtés 1982: 23). Both possible predicates are elementary modal utterances definable by their respective transitive aims and by this the modal structure of being-able can be considered to have “for its object an utterance of doing: *being-able-to-do*” (Greimas and Courtés 1982: 23). Given the continuity of semiosis, it may be endowed only with the modal structure of being-able-to-do, which is also projected onto the semiotic square to bring it into accordance with the above dimensions:

6 “[...] the set of semic categories which denotes the semanticism resulting from the perception which humans have of their own bodies” (Greimas, Courtés 1982: 248.)

7 “[...] appeal can be made to a certain psychology of perception, which distinguishes exteroceptive properties, as coming from the exterior world, from interoceptive data which have no correspondence in that world and which are presupposed, on the contrary, by the perception of the former.” (Greimas, Courtés 1982: 114).

8 “[...] we understand utterance to mean any entity endowed with meaning, belonging either to spoken strings or to written texts, prior to any linguistic or logical analysis” (Greimas, Courtés 1982: 362). Here utterance is adopted so that its definition extends to the abstract category of semiosis as entity.

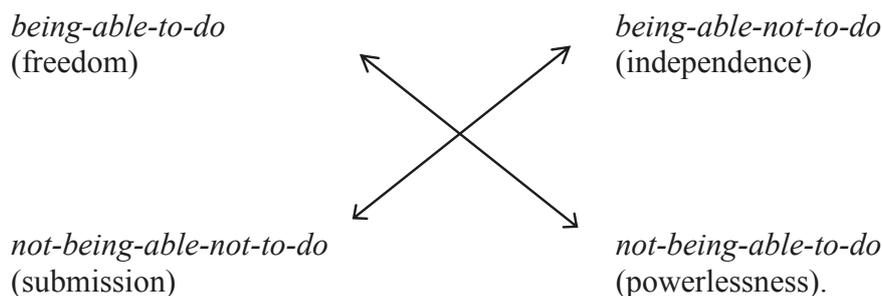


Figure 2. Being-able-to-do projected onto the semiotic square (In: Greimas and Courtés 1982: 23).

In light of the above and general knowledge of semiotics, it may be said that what is received of a sign by a subject is its representamen (R). Strictly, (A) and (Z) are two main states of consciousness available to us but as is obvious, people are part nature (N) part culture (C) and thus, however semiosis occurs in either or both, it is applicable to the human and its intellect in consciousness. Allowing this, and by way of a 45° tilt, an extended adaptation of two semiotic squares with terminological supplementation is presented in Figure 3. The two squares are overlaid to complement the elementary functions of semiosis through being-able-to-do; the values of modal categories along with the explicated sign-relations in different dimensions will be shown to define the mode of semiosis in each.

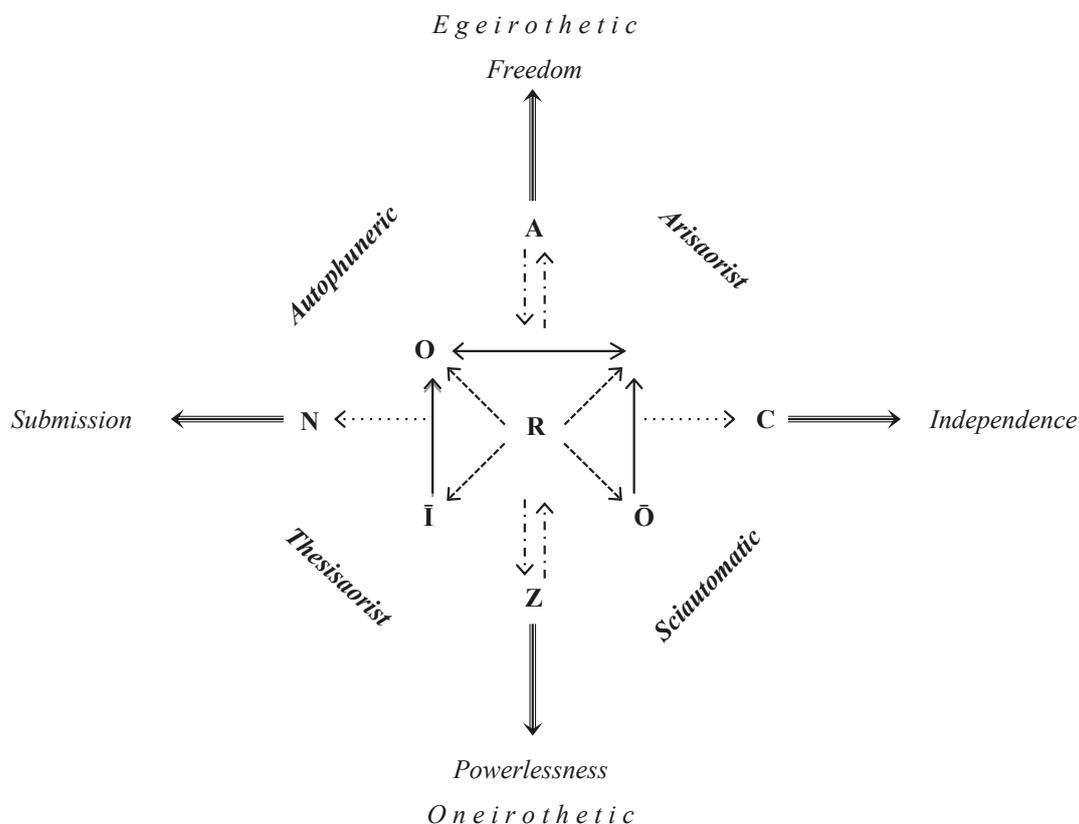


Figure 3. Semeioneiron.

45° tilted square on square with dimensions (N/A/C/Z), functional principles (N-Z / C-A) and elementary mechanisms (N-A / C-Z) of semiosis with proposed terminology.

4. Supplementation and adaptation

Axis N–Z on the positive deixis is the functional principle of the natural world as based on non-interpretations of (representations of) objects. It is void of conscious will and semiosis functions on an “as-is” principle. Semioses unstressed by consciousness or volition may be called *thesisaorist*⁹.

Axis N–A is where the phenomenal, natural world resides and in which (bio-) semioses happen – within the material object of nature without the possibility of interpreting itself as something else – the elementary semiotic mechanism of which may be called *autophaneric*¹⁰.

In essence, thesisaorist semiosis is an unstressed function that is autophaneric in that as a mechanism it represents objects of itself to itself by itself and in itself, excluding conscious interpretation. From the 45° tilted point of view of being-able-to-do, the functional potential of sign-ness in thesisaorist autophaneric semioses is defined according to the value of modal category *not-being-able-not-to-do*, i.e. semiosis is in a position of *submission* due to lack of free interpretation.

On the negative deixis, axis C–A constitutes the phenomenal cultural world, the functional principle of which is based predominantly on interpretation and semiosis functions on an “is-as” principle. Semiosis stressed by consciousness or volition (ultimately by way of humans) may be called *arsisaorist*¹¹. Axis C–Z holds the elementary semiotic mechanism of culture that may be called *sciautomatic*¹² in that culture does not sense but consists of more or less distorted interpretations of something else.

Arsisaorist semiosis is a stressed or guided function that is sciautomatic in that as a mechanism it interprets representations of itself to itself by itself and in itself, excluding objects. From the 45° tilted point of view, the functional potential of sign-ness in arsisaorist sciautomatic semioses is defined according to the value of modal category *being-able-not-to-do*, i.e. semiosis is in a position of *independence* due to lack of objects, which in themselves are not essential to their being.

The dimension of awake (A) along with its constituent parts facilitate conscious thought and acknowledged existence and may be said to be *egeirothetic*¹³. Consciousness in an awake state facilitates the structure “I” and what follows – the world. Strictly speaking, all information from both culture (C) and nature (N) as well as from dream (Z) fall under this semiotic category as objects of knowledge. From the 45° tilted point of view, the functional potential of egeirothetic semiosis is defined according to the value of modal category *being-able-to-do*, i.e. semiosis is in a position of *freedom* due to the presence of sign-ness in totality. All that can be known, can be known to the extent signs can be known.

The dimension of dream (Z) and unconscious thought may be said to be *oneirothetic* due to the absence of “I” or meta-awareness that would enable any semiotic recognition. The dream is not known of beforehand nor during but only in retrospect, hence there cannot be an object nor interpretant in the *Traumwelt*.

Yet, as is known, dreams do serve a purpose in our existence as for example strengthening and/or weakening memory and by this working through the whole “I” and forming it in the process. From the 45° tilted point of view of *being-able-to-do*, the functional potential of sign-ness in oneirothetic semiosis is defined according to the value of modal category *not-being-able-to-*

9 thesis + *aorist*; from thesis (prosody): an unstressed syllable or part of a metrical foot in Greek or Latin verse; from *aorist* (grammar): relating to or denoting a past tense of a verb (especially in Greek), which does not contain any reference to duration or completion of the action.

10 auto + *phaneros*; from Greek *automatos* ‘acting of itself’, from *autos* ‘self’; from Greek *phaneros* ‘visible, manifest’.

11 *arsis* + *aorist*; from *arsis* (prosody): a stressed syllable or part of a metrical foot in Greek or Latin verse; from *aorist* (grammar): relating to or denoting a past tense of a verb (especially in Greek), which does not contain any reference to duration or completion of the action.

12 *scia* + *automatic*; from Greek *skia* ‘shadow’; from Greek *automatos* ‘acting by itself’.

13 *egeiro* + *thetic*; from Greek *egeiro* ‘to waken, to raise up’; from Greek *thesis* ‘placing, a proposition’.

do, i.e. semiosis is in a position of *powerlessness* due to the lack of both object and interpretant, the representations of which are known to us only by memory.

5. Conclusion

Semiosis in each dimension was shown to function according to the values of modal categories that define their states and doings in accordance with the respective sign-relations and sign-ness therein. Culture arose from nature by way of the human consciousness. Our bodies are natural organisms and the structure and function of culture is analogous to the human intellect. The cognitive separation of dream from reality has left us with two experientially indistinguishable spheres of existence. Dreams and the way they come about effect the processes of our awake consciousness and vice versa. Hence, it may be argued that part of our consciousness is based on known/remembered dreams as well as dreaming as such. The known/remembered dream as a semiotic phenomenon was shown to be an autophaneric-arsisaorist state in egeirothetic reality. Dream is the result of dreaming as such which was shown to be a thesisaorist-sciautomatic doing in oneirothetic reality. Both dimensions are effected and in part caused by the other by way of the overlapping of the semiotic and the symbolic both in (awake) signifying processes and (asleep) semiosis, the operation which produces signs.

This implies that what photosynthesis is to plants or what metabolism is to animals; what continuance and unpredictability are to culture, dreams and dreaming are their equivalent to *compos mentis* in human beings. The last trait is derived from consciousness and considering its alleged changes during our phylogenesis along with the fact that we as natural beings are a product of evolution, it may be argued that consciousness as such should not be restricted within the boundaries of human flesh alone.

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**FROM THE SESSION
“TO ALGIRDAS, TO JULIUS,
TO GREIMAS**

ON THE MEANING OF NARRATIVE TEXTS. RECONSIDERING GREIMAS' MODEL IN THE LIGHT OF A NEW SOCIO-SEMIOTIC NARRATIVE THEORY

Antonio Dante Maria Santangelo
Politecnico di Torino, Italy
antonio.santangelo@polito.it

Abstract

This article aims at showing how the teachings of Greimas about his generative model of the meaning of narrative texts can be reconsidered, in the light of the new socio-semiotic narrative theories. What follows is an attempt to show how Greimas' positions can be better harmonized with the sign theory of Saussure and with the researches of Lévi-Strauss about the social and cultural meaning of myths. Introducing some concepts like the ones of system of values, topic and focus, Perspective and Destination Principle, narrative signifier and signified, some small adjustments to Greimas' model are proposed, trying to show with some examples how they can turn useful to understand and describe the sense of a story and the interpretations a story activates in the eyes of their addressees.

1. How to determine the meaning of a story

What follows is an attempt of showing how some of the many important discoveries Greimas made with his generative model of the sense of narrative texts may be reconsidered in the light of a new *socio-semiotic narrative theory*, to improve our way of determining, describing and understanding the meaning of modern stories. The perspectives that will be followed are the ones of Saussure and Lévi-Strauss, as they are elaborated by Ferraro (2001; 2010; 2012; 2015; 2017, in Ferraro and Santangelo eds.: 69-98) and by who is writing (Santangelo 2013; 2013b, in Ferraro and Santangelo eds.: 73-116 and 165-194; 2017, in Ferraro and Santangelo eds.: 41-68).

The first goal of this article is to show how Greimas' model can be *simplified* and brought closer to the most classical semiotic theories about signification, by recurring to the *sign* con-

cept of Saussure, so that it can be easier to comprehend the way we connect signifiers to their signified when we interpret stories. This can be achieved by eliminating some of the *inhomogeneities* of the famous levels of Greimas' model, for example the one that persists between the functioning of the semio-narrative structures superficial level, with the four steps of its "canonical narration scheme", and the mechanisms of all the other levels, which are instead based on some simpler dual differences. The second goal is instead to demonstrate that, in another sense, Greimas' model should be *more complex*, giving up to the idea that a single opposition between two values is at the basis of a narrative text meaning. The notion of *system of values* will be used to replace it, showing that the significance of a story resides in the way many values are *kept together* and in the *reason why* they must be connected. Finally, the third goal is to wonder how a textual semiotic analysis, conducted with a tool like the Greimas' model - even if with the modifications that have just been mentioned - can aspire to go *beyond* the borders of the text, to say something about the social and cultural meaning of it. Here the idea of the existence of some canonical configurations of stories will be recovered. They will be called *cultural models* and it will be demonstrated they have the shape of Lévi-Strauss' differential mythemic matrixes.

2. Some changes to the Greimas' model

In Figure 1 Greimas' model (Greimas and Courtes [1979] 2007: 142) is compared to the model that will be discussed in the following pages.

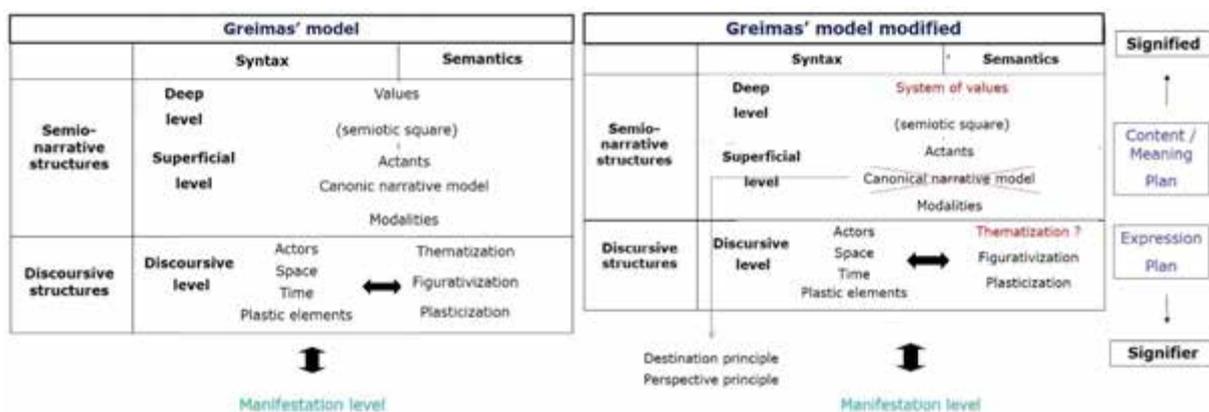


Figure 1. Two narrative models in comparison

As it can be noticed, the first assumption is that Greimas' model in its entirety should not be seen, as Greimas seemed to believe (Greimas and Courtes [1979] 2007: 140-143)¹, as an attempt to describe the functioning of what Hjelmslev (1943) may have called the *content plan* of a story, that is the plan of its *meaning*. On the contrary, only the semio-narrative structures of Greimas' model cover this function, whereas the discursive structures must be considered as a description of the *expression plan* of the story itself, with actors, spaces, times and plastic elements² being what Saussure ([1916] 2001: 84-85) may have called the narrative *signifiers*. The idea is that a story is a text made of *signs* (Saussure [1916] 2001: 22) whose significance is strictly con-

1 But in some parts of his Dictionnaire Greimas seems to change his mind (Greimas and Courtes [1979] 2007: 190-191). Anyway, this is an interpretation of Greimas' theories which is very diffused, as it can be seen for example in Marsciani and Zinna (1991: 32-34).

2 Here we insert the elements of plastic semiotics (Greimas 1984) in the discursive level, even if Greimas does not explicitly do it in his Dictionary, but it is clear that the plastic elements of a story are signifiers connected with the signified of it, as it can be seen in many works about the way of functioning of narrative texts (Corrain and Valenti 1991; Ferraro in Ferraro and Santangelo eds. 2017: 69-98; Lancioni in Ferraro and Santangelo eds. 2017: 129-150).

nected with the Greimas' notion of *value* (Greimas and Courtes [1979] 2007: 375-376), which is represented at the discursive level by some *figures* (Greimas and Courtes [1979] 2007: 122-124) and by some more abstract *plastic components* that refer to it. However, as anticipated, at the basis of a story, even of a very simple one, there are often more than a positive and a negative value. There can be a *system* of many linked values³, posing the question of whether the notions of *themes* and *semantic thematic investments* (Greimas and Courtes [1979] 2007: 353-354) should really be distinguished and separated by the notion of value. This is the reason why in picture one the word "thematization" is followed by a question mark.

In any case, the signs that constitute the bricks of a story must be syntactically connected, following some combination rules. But these are not the ones of the so called *canonical narration scheme* (Greimas and Courtes [1979] 2007: 214-218), also because this does not prove to be universal (Ferraro 2010: 93-101). There are instead some other rules that establish a relationship between what Ferraro (2012: 168-177) calls a *Perspective principle*, based on the values of the protagonist character, and a *Destination principle*, based instead on the values of the other characters being part of the world the protagonist must deal with. These two principles seem to be more general, as far as every story talks of the relationship between a *self* and the *otherness*, this maybe being the universal topic of every narrative. The way the values connected to the Perspective principle and to the Destination one are linked has to do with something more "canonical"- as Greimas would say - than the narrative structure of a single text. In fact, it derives from some typical modalities of constructing stories which depend on the *cultural models* (Santangelo 2013: 27-53) of a certain social context.

3. A system of values to describe the meaning of a story

Let us now try to defend the positions mentioned above. If one reads the newest manuals for screenplay writing, which – from a socio-semiotic point of view – are some of the most interesting researches on present narratives, because they aim at understanding how to construct big stories that are meaningful for a very wide range of people, he finds out that the easiest way to describe how they make sense is to concentrate on their *topic-focus structure* (Bandirali and Terrone 2009: 25-32). The topic is what a story talks about, while the focus is what it affirms, the position it takes on the topic itself. Of course, these concepts are connected, but it is the focus that determines the meaning of a narrative text, being what can differentiate it from another text on the same subject.

Interestingly to Greimasian semioticians, Robert McKee, one of the most famous screenplay manualists, affirms that the focus of a story is "*value + cause*" (McKee 1997: 115). With the word *value* he refers to "the universal qualities of human experience that may shift from positive to negative, or negative to positive, from one moment to the next. For example: alive/dead (positive/negative) is a story value, as are love/hate, freedom/slavery, truth/lie, courage/cowardice" (McKee 1997: 33-34), while with the formula "*value + cause*" he means the *controlling idea* of a narrative, "a single sentence describing how and why life undergoes change from one condition of existence at the beginning to another at the end" (McKee 1997: 115), something which "identifies the positive or negative charge of the story's critical value at the last act's climax, and [...] identifies the chief reason that this value has changed to its final state" (McKee 1997: 115), this reason consisting in the fact that another value has connected with the previous ones, giving birth to a new *system of values* (Santangelo in Ferraro and Santangelo eds. 2013: 77-78). For example, someone could decide to write a story about forming a stable couple (topic) and affirm (focus)

³ This seems very clear, for example, if one reads the analysis Greimas conducted on Maupassant's *Les deux amis* (Greimas 1976)

that between being faithful and unfaithful (values), it is better to be unfaithful because it keeps the desire alive (cause). Hence, accordingly to McKee's theories, the meaning of a story depends on the circumstance that in the story structure two different values (being unfaithful and keeping the desire alive, here) are *linked*. This link, which is at the same time, in Hjelmslev's words, paradigmatic (two dual oppositions are connected) and syntagmatic (there is a causal connection between something that happens before and its consequence), is the core point to determine the sense of the narrative⁴. After all, as Lévi-Strauss used to say, in his studies of myths, the meaning of stories resides in their *grammar*, that is in the rules to differentiate and combine their elements.

The notion of "system of values" can easily be inserted in Greimas' model, because Greimas himself distinguishes between *basic values* and *utilitarian ones* (Greimas and Courtes [1979] 2007: 376), affirming they must be connected by some syntagmatic rules (first comes the conjunction between the Subject character and the utilitarian values, *then* he can reach the basic ones) to describe the generation of a narrative text sense. The values of the example mentioned above – keeping the desire alive and being unfaithful – can be seen in such a way. What Greimas does not seem to do – at least in his most theoretical works, like in the *Dictionnaire*, because in his *Maupassant* (Greimas 1976) there are many hints that this should be the result of a complex textual analysis – is to connect them also *paradigmatically*, in a way that could be helpful to describe the structural form of the content plan of a story. This can be done as in Figure 2 below.

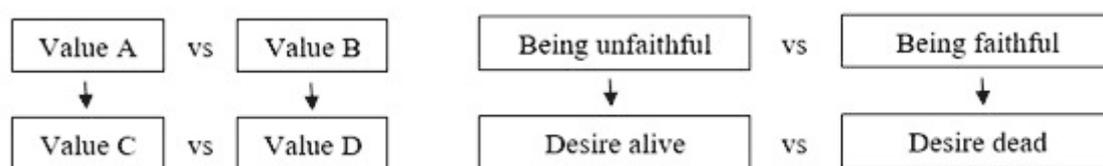


Figure 2. The system of values of a simple story.

As it has been anticipated, a story can be conceived as a reflection on the reason why some values must be kept together when it comes to focus on or, in other words, to take a position on some topics. This position has a lot to do with the meaning of the story and it can be portrayed by the system of values at the core of the story itself. This system, like Greimas' semio-narrative structures deep level of narrative texts, has some paradigmatic and some syntagmatic characteristics, both contributing to generate sense. In other words, the notion of "system of values" is useful to describe the story content plan way of functioning, even if it is not its only element, as it will be shown later, reflecting on the features of Greimas' model semio-narrative superficial structures level.

The more a narrative is complex, the more its system of values is *articulated*. As an example, but without the aim to be exhaustive, the one in figure three is at the basis of *Shrek* (USA 2001), the world-famous animation movie about the homonymous shy ogre who would like to be left alone in his swamp because he is convinced that nobody will never like him, but then meets a talking donkey who becomes his friend and a princess who falls in love with him, accepting to turn into an ogress to be his wife. The story faces two main topics – identity and socialization – and its focus on them is that it is better to be natural instead of being artificial, to be beautiful inside than outside, to be different than stereotyped, to be free instead of being compelled, to express one's

⁴ Some similar reflections can be found in Marks ([2008] 2008: 58), where the core part of the meaning of a story is described as the relationship between a "theme" (topic) and a "thematic intention" (focus), or in Danciger and Rush (2000: 18-19), who talk about a "dilemma" and a "choice in dilemma". But the clearest way to face this problem of the system of values connected with the topic and with the focus of a story is explained by McKee.

own talents instead of repressing one's own inclinations, to be open instead of having prejudices, to give gratuitous affection instead of buying it, because this takes to be in the company of the few right persons who really love us, while the other way of thinking may lead to be accepted by a wider range of people, but not to be truly appreciated. It could be said that *Shrek* is an articulated *narrative discourse* – the metaphor of the topic/focus structure comes from the tradition of the discourse analysis (Van Dijk 1977) – on identity and socialization, which affirms that if someone wants to live a life in the company of the right few people, instead of living it with many wrong ones⁵, then he must follow and keep together the values on the left side of figure three, while avoiding the wrong values on the right side of it.



Figure 3. The system of values of Shrek.

As it has been written at the beginning of this article, it is very difficult to say if these values are “deep” or “thematic”, in the terms of Greimas. This is the reason why, in the version of Greimas’ model portrayed in figure one, the term “thematization” has been written with a question mark. It seems also difficult to say if these values are “basic” or “utilitarian”. Of course, the first seven take to the eighth, but in the *Dictionnaire* Greimas writes that for a monkey a banana is a basic value and finding a stick to grasp it is a utilitarian one (Greimas and Courtes [1979] 2007: 376). Now, the values in Figure 3 are of a very different kind than the value represented by the monkey’s branch. As far as the distinction between deep and thematic values, basic and utilitarian ones may also lead to think that one of them is more important than the others, to determine a narrative text meaning that must be shared by anyone, perhaps it is better to guess that a story interpretation may focus on one or more of the many values being part of the system that shapes the story content plan, giving birth to the different points of view on how to read the story itself. But this is a hypothesis that should be confirmed with some empirical researches (Santangelo 2017). What is sure is that when watching a movie like *Shrek* the spectators understand that its significance has something to do with the fact that some of the values mentioned above “stay together” in the *vision of the world* its authors want to convey⁶.

4. A system of signifiers, their signified and their manifestation

If someone wants to convey the vision of the world affirmed in a system of values about one or more topics, it is of course important to *express* it. As anticipated, this can be done recurring

⁵ Something which is like being alone, in the vision of the movie authors, as far as the beginning of the story Shrek lives alone because he accepts the wrong values on the right side of picture three, that are shared by all his neighbours.

⁶ To deepen the idea that the system of values of a story conveys the vision of the world of its author, see Santangelo (2014).

to the elements that constitute the “discursive level” of Greimas’ model (Greimas and Courtes [1979] 2007: 85-89). These elements must be conceived as some *signifiers*, in Saussure’s terms, standing for the values being part of the system, that are their *signified*.

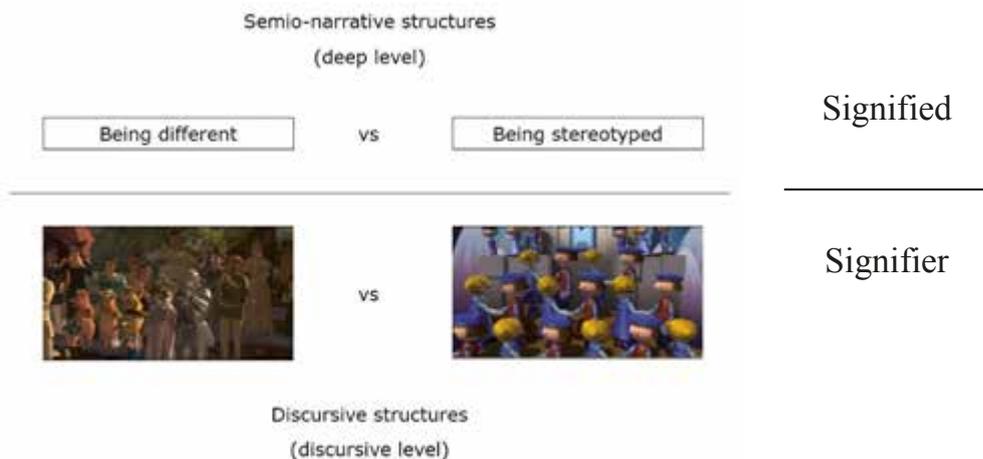


Figure 4. The signifiers of a story.

The oppositions and the connections between these signifiers and their components is the same that persists between the values they represent. In Figure 4, there is an example of it. On the left, there are the guests of Shrek and Fiona’s (his princess) wedding. It is possible to recognize the wolf of the *Red hat* fairy tale, wearing as the granny he has eaten and substituted, who stands next to Pinocchio, the three little pigs, some witches, a soldier carrying an armour and many other people. All of them are very different, maybe extravagant, but they like being together to celebrate the two protagonists of the story. On the right side of Figure 4, there are instead the citizens of the town of Du Loc, which is ruled by Lord Farquad, the “evil” enemy of Shrek and Fiona, who believes in the wrong values of the narrative. The inhabitants of his reign are portrayed in a carillon, welcoming the foreigners that come to their home place and they look all the same, very stereotyped. A plastic and figurative analysis of these images may reveal that the opposition between the values of being different and being stereotyped corresponds to the opposition between the variety and the repetitiveness of colours, or to the visual conflict between fairy tales looking weird figures – animals, sorceresses, living toys – and good looking “normal” human ones. These are exactly what Saussure means for “signifiers”, that is *differential classes*⁷ (Ferraro 2012: 24-26) of elements belonging to the expressive plan of a code – in this case the code of the story – that stand for some concepts, their meaning generating in their relationship with these concepts. The material images being part of the movie and being portrayed in picture four are instead what Saussure would call “acts of *parole*” of a more general “*langue*” (Saussure [1916] 2001: 23), that is something that belongs to the “manifestation level” of Greimas’ model and that is not pertinent to determine the narrative sense⁸.

7 “Variety of colours” vs “repetitiveness of colours” and “fairy tales weird looking figures” vs “good looking normal human figures” are two oppositions between two differential classes of elements. For example, the combinations of colours that can be part of the “variety of colours” class are many, as well as the colours that may be repeated, being part of the class “repetitiveness of colours”. The same can be said for the fairy tales characters that can be part of the class “fairy tales weird looking figures” or for the “good looking normal human figures” that may be portrayed as representatives of the latter signifier class.

8 If in the story code is stated that the protagonist of Shrek must be an ugly green ogre – this is the signifier class the main character of the movie belongs to –, then it doesn’t matter if he is materially represented with a drawing in a comics, with a computer graphics image in an animation movie or by an actor in a theatrical show, because the meaning of the story remains the same.



Figure 5. The meaning of the expressive elements of Shrek.

If the system of values that describes the functioning of Greimas' model level of semio-narrative deep structures is well reconstructed, then the meaning of all the elements constituting the discursive level of a story – that is its expressive plan, in the terms of Hjelmlev – can be easily inferred, as it should look clear in Figure 5. Here it is possible to see some images of Shrek that make sense because of their oppositions and of their connections, oppositions and connections that are at the same time horizontal – with other images being part of the expressive plan of the story – and vertical – with the concepts portrayed in picture three, being part of the story content plan (Volli 2000: 39-41). It is easy to notice that these images also form a system, which can be called the story system of signifiers. For example, in the second couple of shots from the top, Shrek, Fiona and their friend, the talking donkey, are represented running happily in the nature, after having done many politically incorrect things, like enjoying themselves crushing with Robin Hood and his gang in the woods, inflating air in the stomach of snakes to use them as flying balloons, yelling at birds to scare them and then eat their eggs. These images are “horizontally” opposed to the ones that portray the inhabitants of Du Loc, who are instead drawn as some apparently polite puppets, concerned with following the rules of political correctness (their master is a judge showing a sheet of paper with the word “rules” written on it), dressing and looking all the same, happily singing in ordered lines. It is clear this opposition on the expressive plan of Shrek gets its meaning by “vertically” connecting to the oppositions on the content plan of the movie, between being natural and being artificial, being different and being stereotyped, being free and being compelled. The same line of reasoning can be followed to understand the meaning of all the other images⁹.

5. A new vision of Greimas' semio-narrative structures superficial level

Of course, as far as the elements of the expression plan of a narrative text have the function of sketching the characters of a story, the places and the time in which the story is set, their meaning has also to do with the role all these things have in the narrative¹⁰. Describing this role is the goal of the Greimas' model semio-narrative structures superficial level (Greimas and Courtes

⁹ There can be some more simple images that can be read connecting them to a single value and some more complex ones that must be linked with many of the values being part of the system at the core of the story.

¹⁰ Understanding that a character is the good protagonist of a story (the Subject, in the terms of Greimas) and that another one is the bad villain (the Anti-Subject), that the places and times in which they live are good or bad too, maybe having a role in determining their destiny (sometimes they can be their Senders or the Anti-Senders, some other times their Helpers or the Opponents), and understanding the reasons why the narrative structure takes us to interpret them as such is very important to get their meaning.

[1979] 2007: 140-143, 245-246), with the notions of “actants”, of the “actants scheme” (Greimas and Courtes [1979] 2007: 17-18) and of the above mentioned “canonical narration scheme”¹¹.

The actants scheme functioning can be explained with the same logics that has been used in the previous pages for the system of values and for the system of signifiers of a story, as it can be seen in picture six. Here the roles of the Subject, of the Helper and of the Sender can all be connected, firstly one to the other, then to the positive values of the story itself, while the roles of the Anti-Subject, of the Opponent and of the Anti-Sender can be connected again one to the other and then opposed to the former three roles.

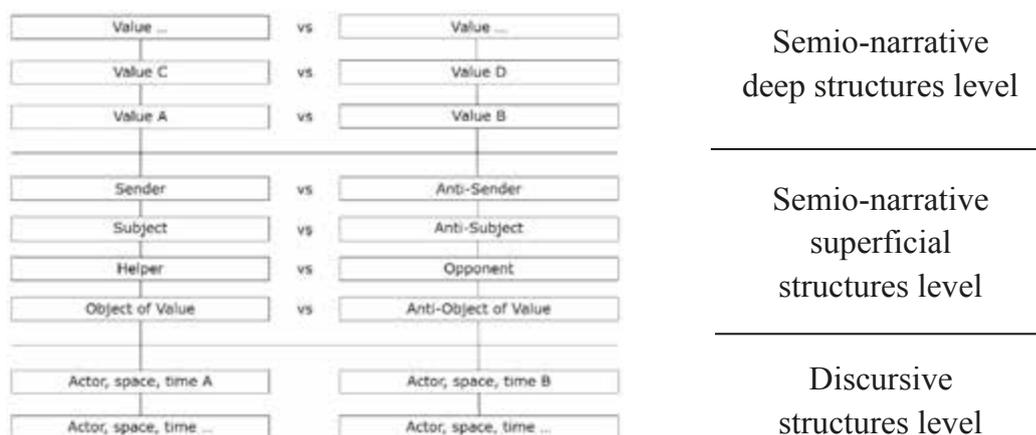


Figure 6. The actants scheme and its relationship with all the other levels of Greimas' model¹².

Greimas is right to affirm that the characters, spaces and times being sketched at the discursive level of his model get their meaning also because of their roles in the semio-narrative superficial level. This can be demonstrated with some examples like the ones taken at the note eleven of this article, but also noticing that most of the times their plastic and figurative features depend on their role and on how this role is connected to the system of positive and negative values of the story, as it can be seen in Figure 7, where the evil Lord Farquard and the good Shrek are opposed and at the same time connected to their friends and servants, or to the places where they live. Here one can notice that Shrek is tall and “big”, of course, because he is an ogre, but also and maybe especially because of his “big” values that make him the hero of the story¹³, that is its Subject, in the terms of Greimas, while Farquard is short because his wrong values make him a “little person”, a villain, that is the Anti-Subject. But it is also easy to acknowledge that the small clearing where Shrek lives is such a nice tiny natural place because of the many values Shrek is connected to in the system of values of the story – especially the ones of being natural and free, and of living with the right few persons –, the same clearing being like a Helper to the protagonist of the movie to be as he wants, while the town of Du Loc is such a big tidy place because the majority of people, in the movie and maybe also in our world, think like their king, in fact it is portrayed as an Opponent to Shrek, being closed by high walls and gates that should keep him outside of it.

11 At this level there is also the modalities theory, but here, due to the small size of this article, this topic will not be treated.

12 Of course, some elements of Picture 6 do not belong to Greimas' tradition, such as the “Anti-Object of Value”, while other concepts belonging to it, like for example the one of the Addressee, are not part of this scheme. Due to the limited space of this article, a discussion about this model is avoided and will be carried on in another occasion. Anyway, its overall resemblance to Greimas' model should look clear, like the reason why it is used here.

13 The authors could have chosen other fairy tales characters as the protagonists of the story.

However, as anticipated, Greimas also affirms that the way the characters, spaces and times of a story, due to their narrative roles, are inserted in the structure of the canonical narration scheme, strongly contributes to their meaning. This scheme directly descends from Propp's studies on Russian fairy tales and even if it is more general, it maintains many connections with Propp's "unitary composition scheme" (Propp [1928] 1988: 31-97). The problem of using it to describe the functioning of a story content plan is that it is very different from all the other elements that constitute Greimas' model, not being purely differential – of course there are some differences between the four phases that constitute it, but these phases are not dually opposed such as the values at the deep semio-narrative structures level, as the actants and as the elements of the discursive level – and being based on a chain of moments that is more complex than the passages that, for example, can take a character to shift from sharing a positive value on a semiotic square to share a negative one ($A \rightarrow \text{not } A \rightarrow B$)¹⁴. Here there are some incongruences, maybe also a certain inelegance in Greimas' model, that can be solved recurring to Ferraro's Perspective and Destination principles.

As it has been written above, in a paradigmatic sense, these two principles are dual and logically opposed such as all the other elements constituting Greimas' model, but they also define the syntactical functioning of stories. As a matter of fact, a story can be conceived as a way to connect a Perspective principle, that is an individual way of seeing things and of giving them a value, and a Destination principle, that is another way of conceiving the world, that may belong to another individual but which is often linked to a whole social context, as if stories were a way of reflecting on how every single person has to deal with the others to be part of a society. In fact, the connection between the Perspective principle and the Destination one has a lot to do with the overall meaning of the narrative. Sometimes it happens that the values of a community become the values of the hero of the story – such as in many of the fairy tales analysed by Propp, where the same hero wants to symbolically marry the daughter of the king –, communicating a sort of a conformist vision of the world, while some other times, for example, the Destination principle of a whole society and of its rulers is in conflict with the Perspective principle of the protagonist, giving birth to some more revolutionary stories. This conflict, such as the way a character comes to share some values, can of course be described syntactically, maybe passing from a narrative phase where the Destination principle and the Perspective one are in junction and then to another phase where they are in opposition, or vice versa, and this has of course to do with the meaning of the story.

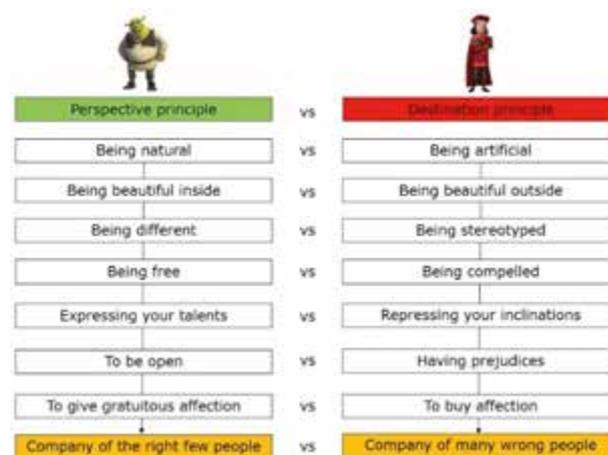


Figure 7. Shrek semio-narrative structures superficial level.

14 See Greimas and Courtes ([1979] 2008: 265-268).

In Figure 7 there is an example of what has just been written. From a paradigmatic point of view, all the good values on the left side of the system the story is based on belong to the Perspective principle of Shrek and of his friends, while all the bad values on the right side belong to Lord Farquad's and to the inhabitants of Du Loc Destination principle. Hence Lord Farquad plays the role of the Anti-Sender, the citizens of his reign are the Opponents, while the ogre is the Subject and the talking donkey, for example, is the Helper. In fact, the Greimas' actants are also linkable to the Destination and to the Perspective principle, as far as the Sender and the Anti-Sender are connected to the Destination principle, while the Subject, the Anti-Subject, the Helper and the Opponent are connected to the Perspective one. But at the beginning of the story the situation is different, because Shrek accepts the Destination principle of Lord Farquad, stipulating with him the most classical of the contracts, that is going to save a princess and taking her back to the king, who sees her as his Value Object. However, during his adventure, the ogre changes his mind, understands that Farquad's values are wrong and that taking the princess to him would mean going against the good values of his own Perspective principle.

6. A socio-semiotic narrative theory

If the overall structure of *Shrek*, as it has been described in the pictures of this article, is compared to the structure of Lévi-Strauss' *mythemic matrixes*, then it is easy to notice their similarities. In fact, Lévi-Strauss, following Saussure's teachings, believes that every myth story is based on an expression plan made of signifiers whose value depends on their position in a *grid* of oppositions and connections with all the other signifiers of the same story, while their meaning depends on their link with the elements of the story content plan, which is again describable with a grid made of oppositions and connections. However, in Lévi-Strauss' perspective, such matrixes are useful to illustrate how a story generates its sense not only because they reproduce its internal structure but, what is more important, because they reproduce some general *cultural models* that give birth to dozens of other stories. These cultural models stand in a relationship with other cultural models which is again *structural*, in the sense that they are connected and opposed in what could be called "the grid of culture" (Santangelo 2017).

If one thinks about the structure of the semio-narrative superficial level of the story of *Shrek* and he compares it, for example, to the one of the fairy tales analysed by Propp, or to the ones of many Walt Disney's classical movies stories, then he finds out that the former is a *transformation* of the latter, always in the terms of Lévi-Strauss (see Ferraro 2001: 197-214). As far as to Lévi-Strauss transformations depend on the shifting of a certain narrative structure from a culture to another, in a socio-semiotic perspective it could be said the semio-narrative structure of the superficial level of *Shrek* is the hint of a huge change in the way of telling stories to our children, because of the cultural changes of the society we live in. Once we used to tell stories on some heroes who shared the values of their communities and succeeded in "marrying the princess", so to become "kings" of their worlds, now we tell stories of people who do not believe in the wrong values of the majority of their fellow citizens and who desire to be left in their own swamp, sharing their little corner with the ones who really love them. If one analyses the narrative structure of many other movies, novels and fairy tales of our age, he can find out that *Shrek* is not an exception, but that it is simply one of the many stories of this kind that circulate in our media system (Santangelo in Ferraro and Santangelo eds. 2012: 191-193).

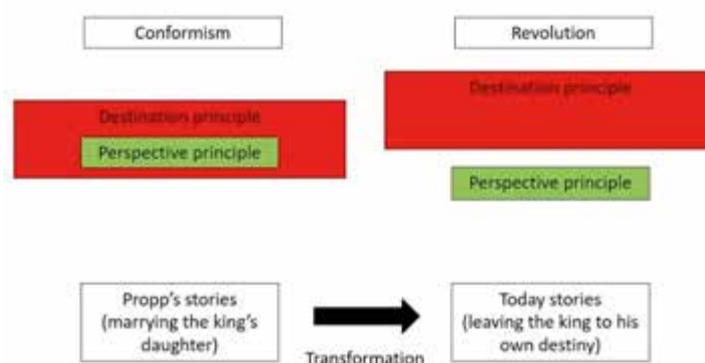


Figure 8. The meaning of the structure of *Shrek* semio-narrative superficial level.

Anyway, it is not only the semio-narrative structure of the superficial level of the story of *Shrek* to look familiar in its opposition to other traditional stories. Considering the discussions raised in the field of feminist studies by the character of Fiona¹⁵, who shares *Shrek's* values marrying him, it is clear she has become a symbol of feminism in the age of our mass consumerist culture, giving birth to argumentations basing on the use of some very similar signifiers to the ones being part of *Shrek's* expressive plan and on their connection with some very similar systems of values. This demonstrates that the model presented here as an integration of Greimas' one can be used to conduct socio-semiotic analyses of narrative texts, to say something about the social and cultural meaning of stories. This paves the way to the development of a truly socio-semiotic narrative theory, without going too far from Greimas' teachings.

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¹⁵ Here Fiona is compared to the character of other winning "ugly" women, like the protagonist of the TV serial *Ugly Betty*: <http://www.repubblica.it/2007/05/sezioni/persone/brutti-vincenti/brutti-vincenti/brutti-vincenti.html>.

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RECONSIDERING GREIMAS' NARRATIVE THEORY: DIFFERENCES THAT MAKE A DIFFERENCE

Simona Stano

University of Turin, Italy, and International Semiotics Institute, Lithuania
simona.stano@gmail.com

Abstract

Contemporary semiotics has largely adopted Greimas' ideas of the "narrative program" and the "canonical narrative schema", which emphasise the temporal dimension of narrative texts (conceived as correlations of a "before" and an "after", an initial situation and a final one). By contrast, rather less attention has been paid to the Lithuanian scholar's conception of the narrative as a tension between a "resolved (or posited) content" — i.e. the final "positive" state of things asserted by the text — and an "inverted content" — i.e. the initial thematic situation whose transformation into a contrary or contradictory situation marks the completion of a narrative sequence (Greimas 1966). Rather than focusing on mere temporal successions and cause-effect relations, such a perspective interestingly insists on the logical and expository structures underlying narratives. Building on these premises we will deal with specific cases of narratives focusing on the process of creation and manifestation of "otherness", in order to show how the subjective-individual level (the "perspective logic", Ferraro 2012) relates to the collective-external dimension (the "Sender level"), and to analyse the implications of such dynamics on narrative structures and functioning mechanisms.

1. Introduction: Greimas' narrative theory between "schemas" and "tensions"

Contemporary semiotics has largely adopted Greimas' (1966) ideas of the "narrative program" and the "canonical narrative schema", which emphasise the temporal dimension of narrative texts—conceived as correlations of a "before" and an "after", an initial situation and a final one. By contrast, rather less attention has been paid to the Lithuanian scholar's conception of the nar-

rative as a *tension* between a “resolved (or posited) content” — i.e. the final “positive” state of things asserted by the text — and an “inverted content” — i.e. the initial thematic situation whose transformation into a contrary or contradictory situation marks the completion of a narrative sequence. Rather than focusing on mere temporal successions and cause-effect relations, such a perspective interestingly insists on the logical and expository structures underlying narratives.

Building on these premises, the following paragraphs will deal with specific cases of narratives focusing on the process of creation and manifestation of “alterity”, in order to show how the subjective-individual level (i.e. the “Perspective principle” [Ferraro 2012]) relates to the collective-external dimension (i.e. the “Destination — or Sender — level” [Ferraro 2012]), as well as to analyse the implications of such dynamics on narrative structures and functioning mechanisms.

2. Alterity and identity: an indissoluble pair

As Greimas and Courtés ([1979] 1982) state in *Semiotics and Language: An Analytical Dictionary*, alterity is “a non-definable concept, which is in opposition to another concept of the same sort, identity: this pair can at least be inter-defined by relations of reciprocal presupposition” (12). After all, the idea that identity is defined by difference is not new: according to Ferdinand de Saussure (1916), the value of a term cannot be positively defined by analysing its content, but only in a negative way, that is, by identifying the relationships it has with the other terms of the system to which it belongs. Claude Lévi-Strauss (1964) then pushed this idea beyond the limits of the Saussurian theory of value, relating it to myths: the value of each mythical element can be defined primarily on the basis of what it is not, or what makes it different from the other elements of its same mythical system. Each element therefore does mean through its own essence, but by difference. Similarly, Jerome S. Bruner, in *Making Stories: Law, Literature, Life* (2003), claims that “Self-making is, after all, our principal means for establishing our uniqueness, and a moment’s thought makes plain that we distinguish ourselves with the accounts that others give us of themselves” (66).

3. Sexual alterity and narratives: analysis of four case studies

The following paragraphs will focus on the analysis of texts where the pair identity-alterity is explicitly showed, with specific reference to sexuality. More specifically, we will discuss four Italian movies dealing with homosexuality and gender-based identity cultures: *Le fate ignoranti* (2001), *Viola di mare* (2009), *Mine Vaganti* (2010) and *Diverso da chi?* (2009).

3.1. *Le Fate ignoranti*

Le Fate ignoranti (*His Secret Life*) is a 2001 Italian drama movie directed by Ferzan Özpetek. The movie opens with a scene shot in the rooms of Centrale Montemartini, an exhibition venue full of Roman statues, where Antonia and Massimo pretend not to know each other and simulate a casual encounter introducing the theme of betrayal, which is the main pillar of the entire narrative. Another artwork (i.e. the painting *The Unknown Fair*) then reveals to Antonia her husband’s “real” betrayal after his death in an accident. Such an accident will completely change Antonia’s life, forcing her to question all the certainties she had before and making her encounter otherness, which is in this case incarnated by Michele and the gay community around him — which is composed of eccentric, nonconventional people, who are very “different” from each other, and above all from the bourgeois society represented by Antonia. So if the first image introducing the woman is her motionless portrait while fixing a statue (metaphorically recalling the immobility in which she lives), the end of the movie rather shows her figure moving through an airport and deciding by herself in which direction is worth moving.

What caused such a change? Surely the inciting incident — i.e. the event that begins the story's problem, thrusting the protagonist into the main action — but especially what followed it, namely the encounter with the so-called “ignorant fairies”, which are described by the same director in a poetry:

“Le fate ignoranti sono quelle che incontriamo e
non riconosciamo ma che ci cambiano la vita.
Non sono quelle delle fiabe, perché loro qualche bugia la dicono.
Sono ignoranti, esplicite, anche pesanti a volte,
ma non mentono sui sentimenti.
Le fate ignoranti sono tutti quelli che vivono allo scoperto,
che vivono i propri sentimenti
e non hanno paura di manifestarli.
Sono le persone che parlano senza peli sulla lingua,
che vivono le proprie contraddizioni e che ignorano le strategie.
Spesso passano per “ignoranti”, perché sembrano cafone
e invadenti per la loro mancanza di buone maniere,
ma sono anche molto spesso delle “fate”
perché capaci di compiere il “miracolo” di travolgerci,
costringendoci a dare una svolta alla nostra vita”
(Ozpetek 2011)

[Ignorant fairies are those we meet and
we do not recognise, but who are able to change our life.
They are not fairy tales, because sometimes they lie.
They are ignorant, explicit, sometimes even heavy,
But they do not lie about feelings.
Ignorant fairies are all those who live in plain sight,
who live their feelings,
And are not afraid to express them.
They are those who don't mince their words,
Who live their own contradictions and ignore strategies.
Often they look “ignorant” because they can be bad-mannered,
And intrusive for their lack of good manners,
But they are also “fairies”
Because they are capable of doing the “miracle” of overwhelming us,
Forcing us to a turning point in our lives.]

But if Michele and his gay community are the ignorant fairies forcing Antonia to a turning point, she also ends up changing their life, and making them question about their certainties as regards to love, truth, lies, prejudices, etc. So, the question is: in Greimassian terms, who is in this case the Sender? And who is the Receiver? If at the beginning Antonia seems to be Subject/Receiver and Michele (and the gay community he represents) the Sender (that comes to positively sanction her after an initial refusal by giving her the keys of Michele's apartment), Antonia in turn increasingly emerges as Michele's Sender, as evidenced in some crucial scenes (analysed in Stano 2013).

It is in this sense that Ozpetek's movie questions the Greimassian theory, teaching us that, for each narration, there is no a single plan for the Sender, nor for the Receiver/Subject. On the contrary, identity and alterity are defined precisely by means of constant oscillations between these two plans, or through their combination. This in turn introduces another crucial question:

who is the “Other” in Ozpetek’s movie? If at the beginning the most obvious answer would be Michele (that is to say “Miss Mariani”, in Antonia’s mind, since she seems unable to realise that her husband’s lover is a man even when she talks to him face to face), the female character soon becomes herself the “Other” for the community living with Michele, with which she is called to compare herself and to conform. As a result, the topic¹ (cf. Ferraro and Santangelo 2013) of the movie could be describe as follows:

Antonia’s home	vs.	Michele’s terrace
Silence		Thunderous polyphony
Composure		Impetuousness
Seriousness		Playfulness
Pain		Happiness
Short-sightedness		Vision
Conformism		Non-conformism
Appearance		Essence
Rigidity/Immutability		Transformation
Atomised Individual		Collective dimension
Surrender		Courage to follow one’s dream
Truth		Lie/Secret

Initially, the movie opposes two apparently antithetical systems: on the one hand, we have Antonia’s world, which represents the level of socially shared values and corresponds to the close space of her house, being characterized by silence, composure and seriousness. Such a world is presented as inevitably leading to pain and loneliness. It is the universe of conformism, immutability and surrender. Yet this same world is described as the place of truth. So, we have a positive value strongly contradicting the dysphoric connotation of the previously mentioned values, and also colliding with the appearance and the short-sightedness characterising Antonia’s life (which *seems* happy, but in fact *is not*, as we discover after Massimo’s death). Likewise, the “ignorant fairies” world, represented by Michele and the terrace that many times, during the narrative, hosts dinners and parties, represents the realm of those who do not fear to welcome others and to be free (therefore adopting a subjective point of view, that is, a Perspective logic) and, for this reason, are happy; nonetheless, such a world is strongly marked by lies (*seeming but not being*) and secrets (*being but not seeming*). A sort of break or dissonant category, therefore, makes it impossible to opt for one position rather than the other, since they both contain both positive and negative elements. Only in the end such a dissonance or break is “resolved”, by making these two dimensions permeating one into the other.

More specifically, the movie seems to opt for *non-breaking* socially shared values: while being able to change her thoughts and behaviours after meeting Michele and friends, Antonia opts for a “conservative” solution, showing us the need of keeping the positive values characterising the first axis of the opposition presented by the topic of the movie (i.e. the level of socially shared values, or Destination level), which are therefore simply moved to and mixed with the others’ ones (pertaining to a more subjective or Perspective logic).

¹ I.e. the matter dealt with in a text, which can be articulated into an opposition of values or logics underlying the narrative structure.

3.2. *Viola di mare*

Viola di mare (*Purple Sea*) is a 2009 Italian romance drama movie by Donatella Maiorca. Its title makes reference to the Sicilian name of *Coris Julis Linnaeus*, a hermaphrodite fish that comes into the world female and, after laying the eggs, becomes male. Similarly, Angela, who was born female, changes her sexual identity for love, becoming Angelo. Also in this case, the narrative seems to oppose two different logics:

Public	vs.	Private
Collective values		Individual values
Culture		Nature
Men		Women
Power		Impotence
Violence		Tenderness
Conformism		Non-conformism
Refusing the Other		Accepting the Other
Male chauvinism		Egalitarianism
Short-sightedness		Vision
Appearance		Essence
Falsity/Lie/Secret		Truth
Fiction		Spontaneity
Immutability		Transformation
Vice		Virtue
Corruption		Pureness

The public dimension represents in this case socially shared values and a culture based on conformism, violence, power, male chauvinism, immutability, and vice, while the private sphere corresponds to individuality, egalitarianism, non-conformism, truth and virtue. Nonetheless, this same dimension is the kingdom of submission and of the impossibility of rebelling against the public dimension’s violence. Angela tries to overcome such an inequality: woman “by nature”, she becomes a man “by culture”, by forcing her body into male clothes, cutting her hair, and even changing her name. However, the movie shows that culture cannot intervene on the substance of natural reality: Angelo still has the menstruation that characterised Angela’s biorhythm, and the society s/he lives in only apparently accepts her change of identity and her union with Sara, never losing an opportunity to manifest their scorn toward them. Moreover, culture shows its limits when the couple decides to have a baby, requiring the intervention of a (naturally-born) man and finally causing Sara’s death. The final scene of the movie therefore clarifies the narrative’s focus:² Angela, now again in a female dress, heads to the church where her wife’s funeral is taking place, holding in her arms the infant that her lover left her. The message of the movie is clear: the identity of the Other can only be fully manifested by completely *breaking* the system of values to which alterity is confronted; Angela tries to agree to a compromise with the values typical of the society in which she lives (that is, her Destination level), but culture proves unable to respond

2 I.e. the “answer” or “resolution” to the oppositions presented by the topic.

to nature's oppositions, leading to a catastrophic solution. Only a complete break, therefore, allows reaching happiness and love, even though the main character discovers it only in the end.

3.3 *Mine vaganti*

Mine vaganti (*Loose Cannons*) is a 2010 Italian comedy movie by Ferzan Özpetek. It develops around the Cantones, a bourgeois family owning a pasta a factory in conservative Southern Italy. One of the two sons of the family, Tommaso, comes back home after his studies in Rome and hopes to take advantage of a family reunion to reveal his homosexuality. During a dinner with some guests, with whom the Cantones are in business, just as Tommaso is about to share his news, his brother Antonio (who knows what he is going to say) interrupts and reveals to everyone that he himself is homosexual. Mr Cantone, the brothers' father, takes the news badly and is hospitalised. Rejecting Antonio, Mr Cantone decides to place Tommaso in charge of the family business. The latter changes his mind about revealing his homosexuality, as he thinks it could kill his father, and accepts his father's decision.

Here (Cantones' hometown)	vs.	There (Rome)
Collective Values		Individualism
Culture		Nature
Conformism		Non-conformism
Submission		Freedom
Male chauvinism		Feminism
Homophobia		Accepting the Other
Classism		Egalitarianism
Appearance		Essence
Short-sightedness		Vision
Ignorance		Knowledge
Richness (money)		Richness (spirit)
Sadness		Happiness
Conforming not to damage other people		Pursuing one's own dreams
Loneliness / No real love		Love

The movie therefore shows us that, in a "here" (i.e. the Cantones' hometown in conservative Southern Italy) marked by socially shared values promoting conformism, male chauvinism, homophobia, and classism, it is impossible to express otherness without a destructive effect: if Tommaso accomplished his own intentions, in fact, he would no longer be admitted among his family. It seems therefore better to lie and pretend to conform to such a collective perspective, accepting to express one's own otherness only in a separate "there" (such as Rome, in Tommaso's case). Therefore, in the final scene, when Tommaso calls his family's attention, it is not for revealing his homosexuality, as one could think; even though he *does not adhere* to the socially shared codes of the "here", he opts for a "non-conformist" position, leaving the direction of his family's factory to his sister to go back to Rome, the "there" where he can be the "Other" he wants to be.

3.4. *Diverso da chi?*

Diverso da chi? (*Different from Whom?*) is a 2009 Italian comedy movie directed by Umberto Carteni. Piero is married with Remo, with whom he lives in a north-eastern Italian city. Here he works as a gay activist, and due to a misunderstanding, he finds himself competing for the local elections, together with Adele, an ultra-moderate anti-divorce politician.

Adele	vs.	Piero
Collective Values		Individualism
Conformism		Non-conformism
Submission		Freedom
Homophobia		Accepting the Other
Classism		Egalitarianism
Appearance		Essence
Short-sightedness		Vision
Closure		Openness
Sadness		Happiness
Conforming		Pursuing one's own dreams
Loneliness / No real love		Love

While at the beginning it seems that no dialogue is possible between the woman and the man, at a certain point they agree on inverting their roles and principles, which will make themselves fall into confusion: the former, Catholic and unable to think of any loving relationship outside of the family, will have a sexual and loving relationship with a man already engaged, as well as gay (i.e. Piero himself); the latter, acclaimed as the “new man” welcoming diversity and promoting otherness, will refuse his own alterity, trying to deny his love for Adele. The only character able to escape such a confusion is Remo, who, working as a chef and enogastronomic critic, is able, in the kitchen as in everyday life, to appropriately mix the various ingredients he comes into contact with, giving rise to new and balanced combinations. He is, in fact, the one suggesting the initial possibility of encounter between Adele and Piero (and the logics they represent); and also the one accepting any kind of diversity and welcoming otherness.

In this case, therefore, the solution presented in the end seems to be different from the ones described in the analysis of the previous cases: alterity does not rely on being “conservative”, nor “revolutionary” or “non-conformist”, but rather on oscillating among different positions and logics, and problematizing them. The only character able to do so is — not surprisingly — a “cook”, since he continually deals with the passage from Nature — that is, raw ingredients — to Culture — that is, the final dishes, obtained through a clever combination of the former (cf. Lévi-Strauss 1964) —, and so is able to grasp the “nature” of the elements with which he comes into contact, “culturally” amalgamating them according to the specific needs of the moment.

4. Conclusion

Drawing on the above-reported considerations, we can conclude that alterity (or the “identity of the Other”) emerges precisely from the relation between the Perspective and the Destination levels, although in a variable way. In fact, the “resolved (or posited) content” — that is, the final “positive” state of things asserted by the text, corresponding to what is generally referred to as *focus* in film studies — does not originate from a simple transformation of an initial thematic

situation (or “inverted content”) into a contrary or contradictory situation — as the common Greimassian model assumes — but rather relies on the problematisation of such situations or contents.

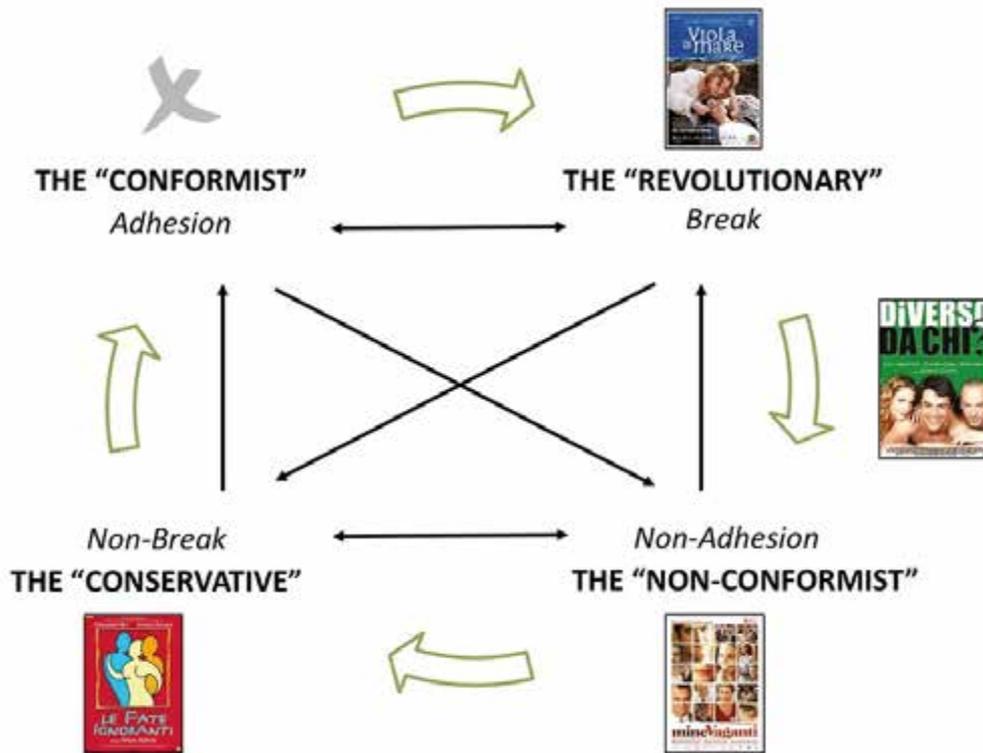


Figure 1. The manifestation of alterity between the Destination level and the Perspective logic

If we exclude adhesion between these two levels (since we are dealing with otherness, which by definition inevitably implies a certain detachment from the Destination logic), we have three main positions: *breaking* is the one adopted by the “revolutionary” Angela in *Viola di mare*, who understands that only totally subverting the Destination logic (therefore keeping her female clothes on and at the same time freely expressing her love for Sara) she can manifest her alterity; *non-conformism* is the solution promoted by *Mine vaganti*, which by contrast shows that breaking is not always possible (since it could damage people), and that only by “non-adhering” to the Destination logic the Other can express his/her own identity; finally, *Le fate ignoranti* opts for *non-breaking*, suggesting that sometimes there is no need to go beyond the Destination level, and it is sufficient to promote a sort of osmotic process between it and the Perspective logic (as the “conservative” Antonia does). However, *Diverso da chi?* shows that real and complete alterity (that is, the capability of being even “diverse from the diverse”) implies continuously moving within the semiotic square (Fig. 1) showing such solutions, adapting to different situations by making this model dynamic and variable. After all, as Jerome S. Bruner (2004) states, “we constantly construct and reconstruct our selves to meet the needs of the situations we encounter” (4); therefore, only by moving among these various positions and combinations of the Destination and Perspective levels, the process of identity-building can take place, both in texts that deal with otherness and in any other form of narrative through which identity is formed.

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APPROACHES IN SEMIOTIC THEORY

SEMIOTICS IN A MARGINAL ISLAND - 37 YEARS OF SEMIOTICS IN JAPAN AND MYSELF

Hisashi MUROI

Yokohama National University, Japan
hmuroi1@mac.com

Abstract

Japanese Association of Semiotic Studies (JASS) was founded in 1980. At that time, there was a kind of boom of the contemporary thought especially focused on French thinkers like Roland Barthes, Claude Lévi-Strauss and so on in Japan. Thus, during several years, JASS got in the limelight but it soon became rapidly forgotten by the end of the 80s.

At the starting time of this society, there gathered various types of people including linguists, anthropologists, philosophers, critics, architects, artists, film directors, computer scientists and biologists.

In Japan, semiotics has not succeeded to occupy any official departments in universities at last, so JASS has been a space for freelancers and a shelter for those who do not like to be bound by a specific discipline. In Japan as a marginal island of East Asia, semiotic studies have survived as a peripheral and marginal science, but I think that it has been playing a different and important role as a tool to connect different kinds of disciplines, areas and intellects.

I would like to talk here about the 37-year history of the JASS and some of the accomplishments that it brought.

1. The place called Japan

I came from Japan. Is there anyone who has been to Japan in your life? What was the impression of Japan? Looking from the current globalized world, Japan is a member of the international community, but at the same time, it is still keeping many non-Western cultural elements. In addition, most of Japanese culture is incompatible and mostly made by Japanese language. Almost all intellectual communication through books and through the Internet in Japan is done in Japanese. I think that it is difficult for foreigners who do not understand Japanese to understand the whole picture of the Japanese culture easily. That is the present condition. It has smaller population than Russia and China, but there is still about 130 million people, twice the population of Italy.

For example, there are Japanese style and Western style on toilet. Western-style toilets have been introduced since the 1970s, but the Japanese style was mainstream before that. Even now,

this toilet is mainstream in general homes and in old buildings in rural areas. In other words, both the globalized aspect and Japan's unique domestic aspect coexist in Japanese society. Such duality is always hidden in the Japanese society and culture.

Since the opening of country in the Meiji era, Japan has mainly imported Western civilization in the form of translation and transformation. A small group of experts specializing in each region has translated civilizations and cultures of countries such as England, France, Germany and Russia. Moreover, once it is translated, discussions in Japanese develops through it. People who can only understand Japanese language would discuss arguments about French literature and German philosophy and they are absorbed into Japanese culture in a unique way - the modern Japan has been formed in such a way.

How about the situation of philosophy or cultural theories in Japan? There were originally the Confucian culture imported from China and the Buddhist culture entered from India via China, and we have the unique culture such as paintings and sculptures. We also have *kabuki* and *ukiyo-e* as the popular culture that evolved in its own way since the 17th century.

However, apart from that, philosophy and art that came from European civilization since the modern day has been widely accepted. The influence of German philosophy was originally strong, but with the boom of existentialism in the post-war ages, French philosophy has become dominant (of course, American philosophy is the strongest now).

In addition, popularity gathered in the post structuralism philosophy such as Foucault, Deleuze or Derrida. However, there are parts that are somewhat suspicious as to whether these thoughts really are rooted in Japanese society; in short, it seems to be an outward pretention as a western style toilet.

I graduated from the philosophy department of Kyoto University in the 1970s in such an era, but Kyoto University was the base for the import of German philosophy before the war in the flow of Kantian philosophy and Heideggerian philosophy. In such an environment, I studied French philosophy and criticism, and from there I turned via Roman Jakobson to Jan Mukařovsky of the Prague School, Russian Formalist, Yuri Tynyanov, and Mikhail Bakhtin at last. I was much influenced by those theories of Slavic schools. At that time, the term "semiology" or "semiotics" was introduced mainly via Roland Barthes. It was not philosophers but the researchers of French literature that introduced those terms at first. However, philosophers, cultural anthropologists, sociologists, and artists also gained great interest in this new language soon and the Japanese Association of Semiotic Studies was born.

2. History of Japanese Association of Semiotic Studies

The Japanese Association of Semiotic Studies (abbreviation is JASS) was founded in 1980. At that time, there was a sort of boom of contemporary thought; especially a wide range of interests was focused on a certain French people such as Roland Barthes and Claude Lévi-Strauss. For that reason, although Semiotics had been attracting the society in the first half of the 1980s, it became forgotten soon in the late 1980s.

At the beginning of the foundation, people from various fields gathered: linguists, cultural anthropologists, philosophers, critics, architects, artists, film directors, computer scientists, biologists, and so on.

In Japan, there was no instituted place for semiotics in the university course, JASS was a place for freelancers, a place of exchange for people who do not like to be trapped in a narrow discipline. That is still the case, even now.

What I have learned by joining the International Semiotic Conventions many times so far, is that in countries where semiotics is incorporated into the institution of universities and those where semiotics is not incorporated, the type of people interested in semiotics and the environments surrounding them are very different. It is extremely important in academic politics to defend the specialized field of semiotics in Italy, Spain, parts of Latin America, and countries where semiotics are included in university education like Germany and Scandinavia.

In Japan, however, there are few semiotics courses in universities, so there are no official “semioticians”. The members of the JASS are members belonging to different academic groups such as philosophy, aesthetics, art history, literary theory, anthropology and sociology. Therefore, JASS is the place for interdisciplinary exchanges. Nobody is going to bring semiotics as a specialized department into the politics of the academic world. In that respect, the situation of Japan is quite different from China and South Korea. Members of JASS love semiotics as a multidisciplinary and free place as much as anything, and we do not think of enlarging it as an institutional academic society. Rather, we only aimed at how we can attract students and young people. Therefore, we have made many innovative attempts that cannot be done by the institutional academic societies.

For example, our academic journal *Semio-topos* has been published as a book for the public sold at the general book store from the first issue. Because the number of JASS members is about 200 to 300, then the publisher does not want to make books only for us. The publishers have been changed four times so far. For that reason, the content is centered on what is attracting non-professional readers in general. So far, popular issues include *Semiotics of Mobile Phones*, *Semiotics of Beautiful Girls*, *Wearing and Removing - Semiotics of Fashion* and so on. In addition to that, the themes such as “photograph”, “computer game”, “urbanity” and so on are popular. Unfortunately, there are issues that did not sell very well.

We hold a national conference once a year, but we also want to call as many people and students as possible, so we chose the theme that the young people will be interested in as much as possible.

Tomorrow we will organize a round table on pop culture, which includes idol culture and games and animation. Of course, we do not intend to lower the level of our research. Instead, we are hoping to improve the ventilation in the academic politics of the university that is increasingly specialist-dominated institution by introducing the semiotic thought.

The first president of JASS was Shigeo Kawamoto, he was the linguist who introduced Roman Jakobson’s works to Japan. We also have Keizaburo Maruyama, a researcher of Saussurian original materials, who has built his own original philosophical thought of life. As the successors, we had Syuntaro Ito who was a science philosopher, Hyakudai Sakamoto who was standing on the Speech Act Theory of Austin and Searle, Hiroshi Kume who is an expert on Paul Ricœur, Joji Mori who introduced Marshall McLuhan and others. My colleague Hiroshi Yoshioka and I also have been the presidents of JASS.

However, the greatest contributor of our association was Professor Masao Yamaguchi (picture 1), a great cultural anthropologist.

Masao also used to be the vice president of the International Association of Semiotic Studies. He passed away in March 2013. He had a close relationship with Umberto Eco, Thomas Sebeok and Paul

Bouissac. Since the 1970s and 1980s, he played an active part in international academic societies.

The main works of Masao Yamaguchi were two books, *Folklore of Clown* (1975) and *Culture and Ambiguity* (1975). He discussed the importance of the role of clown as a “trickster” to revitalize and actualize culture and in *Culture and Ambiguity*, by using the concept of “center and marginality”; he claimed the importance of marginal existence for revitalizing culture.

Yamaguchi’s best achievement, however, is that he himself was an active trickster in the intellectual world. He was interested in various fields and was a person who invaded into various places. The area of his interest was almost everything, such as literature, art, theater, dance, sports and movies. In addition, he appeared in various media includ-



Figure 1. Masao Yamaguchi

ing television and radio, and traveled all over the world. He launched the magazine *Hermes* with some colleagues, but this represents his own way of living as a trickster. Japan Association of Semiotic Studies always respects such Yamaguchi Masao's way of life as an ideal model and hopes to fulfill a role like Hermes as a god of strategy that makes connections of various areas.

I believe that the role of semiotics and our Association lies in these heterogeneous intellectual fields that connect different areas, departments, and intelligence.

3. "Possibility" of Semiotics -- my thought on Semiotics

When I began to be interested in semiotics, I was studying the literary theory of the 20th century. From the so-called structural analysis such as *Les chats de Charles Baudelaire* (1960) written by Jakobson and Lévi-Strauss and *Poétique du récit* (1977) by Roland Barthes, I went back to the Russian formalism as their origin and resource of those works. When I learned such literary theories, I was already aware that in the 1920s the flow beyond the limits of such a static structuralist literary theory existed in Slavic culture.

For example, Yuri Tynyanov was quite conscious of how text interacts with the structure outside the text, and Jan Mukařovsky recognized that the aesthetic value determined by a dynamic interaction between aesthetic norms and aesthetic functions, rather than by reading the fixed structure of text.

Such trend has since been handed down to the "reception aesthetics" of Wolfgang Iser and Hans Robert Jauss of the Konstanz school in Germany, but they simply stressed the readers' active interpretation as an 'act of reading' like Hermeneutics of Hans-Georg Gadamer. It will explain the importance of interpretation, but it will not show us what is going on there.

On the other hand, the Russian thinker Mikhail Bakhtin's "theory of dialogue" that the Estonian Tartu School rediscovered explains that the human culture is an entanglement of various heterogeneous language systems that are alive. Following the principles of dynamic dialogue, it brought us a vision that culture itself is moving like a living thing. There is no single language or symbolic system for Bakhtin. Culture is created in dazzling interactive exchanges where various languages collide, merge and fall apart. In the research of François Rabelais, medieval carnival space or Dostoyevsky's interactive novels, Bakhtin showed us a dynamic space of the dazzling field of signification filled with heterogeneity.

On the other hand, Vilem Flusser who moved to Brazil by escaping World War II and returned to Europe after the end of the Cold War, pointed out that human beings created the sign system - code to experience the world, and that the dominant code among the multiple code systems has changed over time in his books *Toward a Philosophy of Photograph* (1984) and *Kommunikologies* (1998). From the era in which the image code in the prehistoric era and to the era when the linear and logical character codes after the Greek civilization dominated was mainstream, and to the era of technically handled image code after the appearance of photography, he explained the cultural history by the theory of "communication studies" (Kommunikologie) that he claimed, and it seems to be consistent with the recent semiotics as well. Flusser (1998) also classified the type of communication into four models discourses and two models of dialogues. Discourse in this case refers to systems in which existing information is stored, accumulated and diffused, and dialogue refers to systems that creates new information.

In modern times where sign process has become infinitely accumulated inside computers as digital information, Flusser pointed out that civilization is moving from linear and logical thought to image and magical thinking. Indeed, in the present time, where mass media that had been dominant faded and digital information flooded, I think that new semiotic thinking is strongly required.

On the other hand, Thomas Albert Sebeok, inspired by Jakob von Uexküll's concept of the *Umwelt* (environment world), thought that the "semiosis" also existed in the animal world other

than human culture, it became the idea of Zoo-Semiotics (Sebeok 1968), furthermore It became to be arranged as a part of Bio-semiotics of Jesper Hoffmeier.

Bio-semiotics extended the semiotic concepts that have been thought to be effective only for human culture, especially toward the process of semiosis of the whole life phenomenon. There is a current tendency of semiotics to grasp the whole world including the natural world as an infinite process of semiosis called “semio-sphere”. In other words, we are shifting from an epistemological semiotics that treats the world as a fixed sign system or as “structure” to be interpreted, to an ontological semiotics that treats the world as sign process of semiosis unbounded.

I myself have very little interest in the semiotics as a tool to decipher or read the world. Rather than interpreting human culture as a symbolic structure, I think that there is a huge plurality of heterogeneous sign systems that dynamically interact in this world as in the Bio-semiotics and the zoo-semiotics.

I think that the attitude and the stance to grasp the world as *Physis* of Greeks, that is productive nature; *natura naturans* like Spinoza or Schelling’s philosophy is the most important.

Therefore, I do not think that semiotics is a tool useful for a specific scientific methodology or realistic problem solving. Of course, we know that there are some attempts to make applied semiotics such as advertisement semiotics and marketing semiotics, but we do not think that semiotics is useful for something.

When I joined IASS conference in Dresden in 1999 with Mr. Masao Yamaguchi it was the first time to join, Dr. Roland Posner, the president at that time, asked us to hold the next international conference in Japan. As previously explained, JASS was not an institutional academic society but of freelancers, so I thought that we had better to refuse the proposal. Dr. Posner said, on the other hand, there is Nintendo Company in Japan and they would support our congress and said that it would be nice to hold a convention in Kyoto. Dr. Posner seemed to have already been approaching Nintendo via other Japanese colleagues. I was surprised because I think Nintendo would never provide any financial aid. Of course, I knew that Korean colleagues had a certain relationship with a company like Samsung and that there were such cooperative relationships with companies in other countries. However, I thought that Nintendo had no reasons to support us, and there were no executives in Nintendo who were interested in semiotic studies.

At the general assembly at that time, Lyon and Japan were proposed as candidate sites for the next convention, but South American colleagues expressed a strong opinion against going to such a distant place like Japan. As a consequence, the 2004 Congress was held in Lyon.

Since then, JASS has never accepted invitations of the International Congress and has been domestically playing its part as a free place for freelancers in Japan.

I think Japan is a marginal country in the world. Because we keep communication in Japanese at the center of our lives and we do want to protect that. On the other hand, I also think it is important to speak and write in English as I am doing now. I believe it is important to disseminate the essence of Japanese culture not well known outside the country toward the world.

However, at the same time I think that it is quite difficult for Japan to lead the world’s humanities. From now on, it will be increasing for Japanese who are fluent in foreign languages to transmit Japanese culture abroad, or vice versa, foreigners who can speak Japanese very well will translate Japanese texts into foreign languages. However, as usual, all information from all over the world will jump into Japan, but all of them will be finally translated into the Japanese language and inserted into the Japanese domestic context. If the situation with our language does not change, Japan will continue to stand at the margin of the world. However, as Masao Yamaguchi’s “center and marginal” theory shows, I think that there is something we can do because we are the marginal existence.

See the website of JASS: <http://www.jassweb.jp/>.

**FROM THE SESSION
“CYBERSEMIOTICS”**

WHY CYBERSEMIOTIC STAR IS NECESSARY FOR INFORMATION STUDIES

Liqian Zhou

Nanjing University, China
skyzhouapple@hotmail.com

Abstract

The paper first analyzes why the problem of information is hard to solve. Then it critically reviews two classes of prevailing theories in information studies arguing that they cannot succeed because of the assumptions behind. I turn to Peirce's theories of information dug out by semioticians in recent years. As a contemporary development of Peircean theory, cybersemiotics shows a promising way to explain superficially incompatible aspects of information.

Many scholars who encounter the concept of information in their fields have been aware of the fact that the dominant information-processing paradigm is not enough for studying information. There has been a desire ever since the birth of the paradigm in 1948 that to find a theory of information which would be consistent with the folk theory that covers data, meaning, and usefulness of information. Such a theory has been still out of reach until now.

1. The problem of information

The question of "*what is information?*" is annoying. After almost 70 years, the claim made by Shannon that, "It is hardly to be expected that a single concept of information would satisfactorily account for the numerous possible applications of this general field" (Shannon 1993: 180), is still true. No need to say developing a unified theory of information (UTI).

However, no one would disagree with Wiener's well-known slogan that "Information is information, not matter or energy." (1961: 132) Wiener recognizes that any mechanism that processing information must cost certain energy, no matter computer or brain. In both Shannon and Wiener's way, information is defined as the possibility of a state happening in a set of possible states. An information state is an abstract logical state. Information processing is logical operations. However, information has to be implemented by a physical system. The system has physical states to correspond to logical states. Thus, logical operations are mapped to changes of physical

states of the system. All the physical systems implementing information processing cost energy.

The claim raises problems in two aspects: Ontologically, information is not something physical but has physical consequences; epistemologically, information cannot be explained by physical processes. Here we come to the problem of information in general: what is information? As it is not physical, what is the place of information in nature?

I believe that the problems of information, in general, is an empty problem without being further analyzed into subproblems that are easy to explore. It is fortunate that, first, people have sympathy in the claim that information has its place in nature. The problem is how to understand it. Second, we already have several good formulations and mathematic theories of information, which can be our departure towards a complete theory of information if there is one.

Nowadays, there are several taxonomies of information in general: information at technical, semantic and effectiveness level (Weaver 1949); information as reality, about reality, and for reality (Floridi 2010: 30); syntactic/physical, semantic/referential, pragmatic/normative information (Deacon 2010); or in common sense, measurement/quantity, semantic content/meaning, and value/usefulness/significance, of information; etc. It is clear that there is little doubt on defining information as a trinity. Following, I will adopt Deacon's terms, physical, referential, and normative information, basing on the reason he gives (private communication) to discuss the problems of information with respect to his most recent works on information (2007, 2008, 2012).

As we argued above, information processing as logical operations is instantiated by the changes of physical states in which information embodies. More specifically, patterns, forms, or differences, which we think convey information content, are constituted by the physical properties of the information medium. This is so-called physical information. We cannot distinguish physical information from other phenomenon in nature with respect to its physical embodiment. The hard problem of physical information is that how could these physical patterns, forms, or differences convey something non-physical, namely semantic content. The hard problem connects with the next level of information: referential information.

Without saying anything about referential information, we can even say that those formal theories of information actually are not theories about information. Distinguishing from other phenomenon in nature, information, mind and language/sign have the ability to be about, to represent, or to stand for something else. For information studies, what counterintuitive is that, different from physical properties which are intrinsic to signals (physical information), information content is something extrinsic to its physical carriers. Then, the problem is that, how can physical information refer to something extrinsic to it? What is more mysterious, information content is not physical. How can physical information be about something not physical? These are ontological problems of referential information.

We normally call information content meaning. A bit of physical information, or a signal, always has a particular meaning. As philosophy of language raises, what makes signals to be meaningful? How does a signal acquire its distinctive meaning? What is more, a signal conveys certain information content stably and reliably. How could it possible? These are problems of the genesis of referential information.

There is also the causal problem of referential information. Although referential information is not physical, it has physical consequences. Where does the causal power of referential information come from if we follow the principle of physical causal closure?

Information is not just meaningful but also significant. This is the level of normative information. Information can be correct or incorrect, accurate or inaccurate, useful or useless for a specific receiver. What is unusual for information from language is that it has different significance

for different individuals. Then, the problem of normative information are that, why certain signal with physical and referential information has significance for its interpreters? Why are the significance of same information content different for different interpreters who are under different boundary conditions?

We do not lack good theories for each aspect of information. For the measurement of quantity of physical information, we have several good formal theories being sufficient for engineering purpose. For referential information, we have many theories of reference and meaning in the philosophy of language. For normative information, we also have pragmatics in linguistics. However, it is clear that these theories for different levels of information distribute to different disciplines. Although there are some overlaps between these disciplines on information, these theories are incoherent and full of conflicts. It is too bald to say there exists a definition of information that is proper to all these theories and disciplines.

Nevertheless, there are still many endeavours trying to go beyond the limitation and to search for a UTI that can explain physical, referential and normative information coherently. Because many disciplines involving information are in need of a more developed conception of information. Thus, the potential benefits of UTI are alluring. Although the road ahead is rough, many works aiming to explain information in full sense have been done.

2. Methodologically reductionist and fundamentalist theories

In general, there are three classes of theories in contemporary information studies trying to develop full theories of information: methodologically reductionist, fundamentalist and transdisciplinary theories. Although Shannon has explicitly noted at the very beginning of his paper that his theory aims to solve engineering problem and has nothing to do with semantic information, it was unavoidable that there was a tendency to confuse it with semantic information. A notable argument against the tendency is that it confuses what is conveyed and what provides conveyance, or, meaning and the signal conveying the meaning. (Bar-Hillel 1955)

With the distinction in mind, Carnap and Bar-Hillel (1952) develop a formal theory of semantic information. The theory assumes an ideal language system including all semantic statements. The amount of the statements are finite. The quantity of a semantic statement is measured by the probability of the occurrence of the statement in the language system. Less likely a statement happens in the system, more information it contains. However, the theory implies a paradox called Bar-Hillel-Carnap paradox. (Floridi 2004) According to the theory, we cannot decide the quantity of the information contained in a contradiction is infinite or none. Therefore, Floridi (2004) develops a theory of strongly semantic information based on multiple value logic.

Scholars who want to find a theory explaining what information is dissatisfy with those formal theories. Some scholar, Dretske, for instance, thinks that semantic information is unmeasurable. Given the receiver already knows about the possibility of source, only when the conditional possibility of s being F is 1 , can we say that a signal carries the information s is F . Some may argue against that the requirement is too strong to accept. (Collier 2015) Dretske argues that if the conditional possibility is not 1 , then the sent and the received message are two different message qualitatively even with a little bit of difference. In other words, whether semantic information is measurable depends on the purpose they aim to afford.

Actually, the assumption behind those formal theories of semantic information are methodologically reductionism. All the theorists are aware of the fact that semantic information is different from the one handled by the mathematical theories. However, semantic content or meaning is abstract and thus has neither spatial nor temporal extension. Therefore, in order to

measure semantic information, it has to be transformed to something measurable methodologically, namely something has extension. While only physical things have extension. Although semantic information cannot be reduced to physical properties, we can construct something having extension like physical ones but not physical with respect to particular criterions, aka some logical system. With the transformation, semantic content is reduced to something having extension methodologically.

Opposite to the methodologically reductionist theories of information, the fundamentalist theories “treats it (information) as an unanalyzed primitive, and brackets its necessary physicality and efficacy from consideration in order to focus on intrinsic attributes.” (Deacon 2010: 150) Generally, there are four kinds of theories. The mystical theory, Chalmers (1996), for instance, treats information as a basic property of the universe essentially different from other physical properties. Information is not an *explanandum* but an *explanans*. Some may argue that it does not solve but avoid the problem. The pan-informationalist or digitalist theories (Zuse 1967; Wheeler 1989; Wolfram 2002, Dodig-Crnkovic 2011, to name a few) argue that the universe is computable fundamentally. The position has two weaknesses: first, they lack specific boundary conditions under which they are workable and thus are empty (Floridi 2011); second, what we want is a theory being able to solve the problem “what is information?” While the answer they give is that “information is computable.” Stonier (1997) identifies information as organization being a basic property of the cosmos. Then the term “information” is redundant as it is a synonymy of terms like organization, difference, structure, etc. Wu (2005) names a new subfield of the field of being after reclassifying the field as information and based on which develops a philosophy of information. However, what we want to explain is information in common sense rather than to name something metaphysical as information. (Zhou & Brier 2015)

There is a common and stubborn assumption hiding behind the superficial conflicts between methodologically reductionist and fundamentalist theories. Both classes implicitly treat information as something substantial like physical entities, or singularly present. (Deacon 2010) Like water and airflow in which molecular as substantial entities flow from one place to another, it seems that we talk about the flow of information.

Actually, we should formulate information under the consideration of the whole situation of information transmission. (Weaver 1949) Since the situation comes across almost all levels of the world and the disciplines of natural science are arranged with respect to the hierarchy, many scholars think that we should understand information in a transdisciplinary approach. One of the most promising ways in the approach is a conceptual framework developed by Søren Brier.

3. Information in formation: Peirce’s theory of information

In recent years, some semioticians rediscovered an exciting fact that Peirce developed theories of information based on his theory of sign. Peirce not only developed a theory of the measurement of information (Nöth 2012) but also one explaining how signs convey information embodying in semiotics. In the latter theory, Peirce shows how meaning emerges in semiosis or sign process.

According to Peirce, semiosis can be defined as a triadic relation between a sign, its object and its interpretant. That is, sign, object and interpretant are the most basic constitutive elements of a semiosis. No one is reducible to another. However, the statuses of those three are not equal. In a semiosis, a sign is determined by its object and determines its interpretant. Put it differently, an object has an effect on one’s mind, creating an interpretant, through a sign in semiosis. Obviously, the effect upon a mind is not a causal one. What is conveyed from the object to the mind by the sign in semiosis? Peirce says,

...a Sign may be defined as a Medium for the communication of a Form. [...]. That which is communicated from the Object through the Sign to the Interpretant is a Form; that is to say, it is nothing like an existent, but is a power, is the fact that something would happen under certain conditions (EP 2.544, n.22).

It is the form in an object being conveyed to create an interpretant in one's mind by a sign in semiosis. Integrating both definitions of sign, we can define semiosis as a triadic process of communication of a form from the Object to the Interpretant through Sign mediation. (Queiroz and El-Hani 2007) The account of sign as a medium of the communication of a form explains the order of determination in semiosis, too. Peirce clarifies,

As a medium, the Sign is essentially in a triadic relation, to its Object which it is determined, and to its interpretant which it determines. In its relation to the Object, the Sign is passive; that is to say, its correspondence to the Object is brought about by an effect upon the Sign, the Object remaining unaffected. On the other hand, in its relation to the Interpretant the sign is active, determining the Interpretant without being itself thereby affected (R 739: 2).

As Liszka (2016) argues, the communication of a form in semiosis has three phases: first, the object determines the sign by its form; second, the sign determines the interpretant in a similar way in which the sign is determined by the object's form; third, the interpretant affects something in the sign agent in a way similar to how the sign relates to the object. Queiroz and El-hani (2007) argues that the communication of a form is information.

Some may still not be satisfied with the theory. First, it does not provide an account of form. If the term form is in the sense of difference, pattern, or data, it just provides an account of physical information. It falls in methodological reductionism. Alternatively, if it is in the sense of Stonier's concept of organization as a basic property of the universe, then it leads to fundamentalism. Second, as I have argued, the theory seems not to solve the problem of how the telic nature of information emerges in semiosis. Without the solution, we cannot distinguish the communication of form from data processing.

Actually, Peirce has solved both problems in his theory. Form is not a singular thing. Although it is substantially embodied in the matter of an object, it can be conveyed to an interpretant by a sign, which is outside the object. (R 739: 3) It is something expressed as a regularity of its organization, or a habit. In his most recent book, Deacon negatively frames the concept of form, regularity, or habit as the concept constraint. (Deacon 2012: chapter 6) He argues that a representation of sameness and diversities is realized through reducing those states, which would have possible implement, by a constraint. Through such formulation, the concept of form can get off from the trap that treating it as mental products.

The telic nature of information, or semiosis, originates from the personal purpose and "all general purposes flow down from it" (De Tienne 2005: 158). However, with the elaboration in semiosis, a form goes beyond the limitation of a personal purpose and acquires an objectively teleological nature in Peircean kind rather than Aristotelian. "Put briefly, ... for Peirce every symbol is teleological in the sense that, being preoccupied with its own development into new interpretants ..." (De Tienne 2005)

Information as the communication of form is processual. Using De Tienne's term, information is a process constitutes by three dimensions: exformation, transformation and metaformation. The object emanates form for the proximate purpose of attracting attention to it, and for the remote purpose of fueling the semiotic telic engine. This is exformation. Transformation is the process of transmitting the form emanating from the object. "Signing is the art of conveying forms through other forms." (De Tienne 2005) Metaformation is the effect made by the proac-

tive interpretant when influenced by transformation.

As we can see, Peirce's theory of information is neither reductionist nor fundamentalist. The next question is how information manifests at the different levels of the living world and grow into knowledge adapting to different dimensions of the world but is incompatible with each other. This is what cybersemiotics tries to answer.

4. At the center of cybersemiotic star

A riddle cybersemiotics tries to answer is that of how to bridge the gaps between natural, social and human science. Through integrating Luhmann's system theory and Peircean semiotics, especially its contemporary development, biosemiotics, Brier develops a transdisciplinary conceptual framework called cybersemiotics. He believes that gaps between the logical space of nature and of reason can be bridged and thus provides a comprehensive account of information within the framework.

Follows Luhmann, Brier argues that the living world can be modelled as a triple autopoiesis model consisting of three systems: the biological, psychic and socio-communicative system. "Autopoiesis" is a term created by Maturana and Varela (1979) to refer to organizationally closed, self-reproduced and self-identified system. A biological autopoietic system refers to a living system individual which we normally name as a physiological system. However, the description autopoietic system is qualitatively different from the description physiological system in biological science. The former has an agency that is experiential and meaningful while the latter is a subject of natural science from a third-person perspective. A psychic autopoietic system is a description of the living system from first-person perspective. Socio-communicative autopoiesis builds on biological and psychic autopoiesis but is qualitatively different from them. Both biological and psychic autopoiesis are silent in the sense that they are still in biological sphere. Through symbolic semiosis, it breaks through the limitation of individual autopoiesis and builds an inter-subjective sphere.

Brier thinks that Luhmann's system theory is not sufficient unless combining with Peircean biosemiotics. What distinguishes those three dimensions of autopoiesis are the ways of communication of form, rather than their organizations or components. With the contribution of biosemiotics, Brier classifies four types of semiosis works in a socio-communicative system: endosemiosis, phenosemiosis, intrasemiosis and thought semiosis.

Endosemiosis refers to the semiosis that occurs within organisms, particularly those semiotic interactions at a purely biological level among cells, tissues, and organs. Phenosemiosis denotes to our inner states like feelings, perceptions, and volitions in their non-conceptual or prelinguistic forms that are not recognized by conceptual consciousness. There are also internal semiotic interactions between the psyche and the body different from endosemiosis. Brier calls it intrasemiosis. Thought semiosis describes semiotic interactions between the psyche and the language system. It not only makes some inner psychic states verbally expressible but also inter-subjective communication possible.

As we can see, these semiosis bridge gaps between different levels of autopoiesis and different autopoiesis at the same level. Endosemiosis happens between biological autopoiesis. They make up a whole organism with the biological autopoiesis. Phenosemiosis seems to function as meta-patterns of endosemiosis. (Brier 2008: 397) Intrasemiosis bridges the biological and psychic autopoiesis. Thought semiosis bridges psychic autopoiesis with socio-communicative autopoiesis. Every semiosis discussed here can be analyzed as exformation-transformation-metaformation process, also known as information. However, sign games displayed at different levels of semiosis are different.

Endosemiosis consists of chemical signals among hormonal systems, signals in nervous systems, including the brain, transmitters in the immune system, etc. We should not confuse chemical signals conveyed in a living system with physical signals in an engineering communication system. The former help establish a second-order autopoietic system within a multicellular organism. The second-order autopoiesis means that every cell in a multicellular organism is itself autopoietic and the endosemiosis happening between them constitutes an autopoietic system again at a new level. It is an autopoiesis that builds on autopoiesis. While the processes signals delivering in latter are just physical processes. Actually, the emergence of autopoiesis at new levels are a distinctive feature of the living world. Based on the stipulation made above, it is convincible that similar sign games happen at the level of intrasemiosis.

Intrasemiosis is more about instinctual movements. Brier believes that there is a level between instinctual movements and reflexes that is necessary for communication to develop as a significant system with its own organizational closure, also known as socio-communicative autopoietic language games. Cognitive coupling, namely an instinctual movement ritualized and acquired a value for a living system, happens at the level through coordination of coordination of behaviour. He calls it languaging which was coined by Maturana and Varela.

Within evolution and life experience in which a human infant grows, sign games at the preliminary levels develop into language games. At this level, it is linguistic symbols that are displayed. Our psyche is perfused with language.

Semiosis at each level creates a distinctive significantion. Endosemiosis creates structural couplings, intrasemiosis creates instinctual signification, together with phenosemiosis, thought semiosis creates conceptual signification. Together, they create individual signification sphere. Within language games, the communication between individuals creates cultural signification sphere.

The model is at the heart of cybersemiotic star. Four branches of knowledge grow from the heart. Each branch explains a dimension of the world: matter/energy, life/living systems, inner life/consciousness and sense/meaning. Respectively, we divide the knowledge into different disciplines classified as natural, social and human sciences. There has been a metaphysical impulsion since the very beginning of science looking for a unified theory that can consistently and coherently cover all the knowledge. However, it seems that these different branches of knowledge are mutually exclusive. This is the Sphinx Riddle of knowledge. Isomorphically, we can construct Sphinx riddle of information as that physical, referential, and normative information are mutually exclusive but constitute information as a whole.

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**FROM THE SESSION
“HUMANISM AND
HUMANISTS WITHOUT
BORDERS”**

THE SEMIOTIC SPHERE AND ITS DEMARICATION

Eeva-Liisa Myllymäki

Finnish Semiotic Society, Finland
e.myllymaki@welho.com

Abstract

How we interact with others and the rest of the world is a basic question of intercultural relations in the meaning of crossing the lines and finding new synergies and spaces for positive interactions. The concept of a semiosphere (Lotman 1990) provides a theory of a synchronic semiotic space where interaction takes place between different sign systems and within a continuum of signs. The limits of the semiosphere are the critical point for separation and integration.

The interconnection between cultural spaces has been studied by many authors (Deledalle-Rhodes 1992, Block de Behar 1997). In the positive meaning it is open and seeks multiple channels. Contradictions and opposites add new modes to the interaction process. Recognizing the signs expands our look and the possibility of infinite semiosis (Peirce 1998).

In physical terms, a border forms a division between historically and culturally separate spaces and its meaning becomes simultaneously economic and political. An idea of globalization and of a universe has occupied our minds, which does not mean the vanishing of borders and different signs of demarcation. How do we track these lines of separation in a complex world? How do we interpret the meaning of a “border”? The border as a sign?

1. Introduction

Ten years ago I wrote an article on how the “sphere of Europe” is seen, in an intercultural perspective, mainly from the outside (Myllymäki 2007). The question posed was how we can interact with the rest of the world in the sense of crossing the lines and finding new synergies and spaces for positive interactions. Globalization was providing a new dimension, an opening, a possibility. In today’s world, we need to ask if expanding globalization still means keeping the doors open for people and ideas to come closer or whether there are greater distances and barriers that obstruct the way to better harmony between societies and cultures.

How we define the concept of a semiotic sphere and its limits has become more critical, if the surroundings and milieu are more diverse than they seem. The physical border in Europe

and elsewhere is not a symbol as the flows of migrants are increasing. How do we deal with a variable semiotic system and its sphere? Demarcation can be understood as the act of creating a boundary around a place or a thing, setting or marking of boundaries or limits. It also has a connotation of a separation, a distinction. The delineation comes from within and without.

In physical terms, a border forms a *division* between historically and culturally separate spaces, and its meaning is simultaneously economic and political. An idea of globalization and of a universe does not mean the vanishing of borders and different signs of demarcation. I am focusing on the aspect of the border instead of the interconnections. How do we track these lines of separation in a complex world? How do we interpret the meaning of a “border”? To what extent does the border represent a sign?

The *interconnection* between cultural spaces and the various means of interaction and encounter has been studied by many authors (Deledalle-Rhodes 1992, 2000; Block de Behar 2003). In the positive interpretation, it is open and seeks multiple channels. Contradictions and opposites add new ways into the interaction process. Juri Lotman’s comprehensive concept of a *semiosphere* (1990) provides a theory of a synchronic semiotic space where interaction takes place between different sign systems and within a continuum of signs. Recognizing the signs allows an extension towards and interaction with other cultures and the Other. The *possibility of infinite semiosis* is inherent in the Peircean semiotic theory.

2. Border as a limit

For Lotman (1990), the limits of the semiosphere are the critical point for separation and integration. The boundaries of the semiosphere are “the hottest spots for semiotizing processes”. The notion of “boundary” is ambivalent: it both separates and unites. The boundary belongs to both the frontier cultures, to both contiguous semiospheres. It is a mechanism for translating and the place where ‘the external’ is transformed into ‘the internal’. Even more, it is a filtering membrane so that foreign texts become part of the semiosphere’s internal semiotics while retaining their own characteristics (Lotman 1990: 136-137).

In Europe, a “Hotspot approach” has been introduced for the establishment of joint reception centres in frontline EU member states to identify and fingerprint migrants and refugees to facilitate the return of “irregular migrants”. Officially-designated Hotspots would have the task of relocating refugees from war zones and filtering out people who have crossed the Mediterranean in search of better economic situations.

We can observe real-life hotspots in the European neighbourhood and the construction of border fences around Ceuta and Melilla starting in the 1990s is an early example. To prevent the human flows of irregular migrants, high walls with barbed wire were erected. A study of irregular forms of human mobility in Europe and its Mediterranean neighbourhood and security measures at the EU’s external and internal borders in Calais, the Greek-Turkish border and the island of Lampedusa concludes, however, that there is no way to stop the movement of people. (Kynsilehto 2014: 141-142) Physical concrete walls and other less visible ways to monitor entry at crossing sites is a way of responding. A response, a reaction is always necessary to meet and encounter people coming from elsewhere. The border also becomes a threat but there is always a point of contact – whether one stays or goes back.

The concept of the boundary is central throughout Lotman’s theory of the semiosphere. The function of any boundary or filter is “to control, filter and adapt the external into the internal”. At the same time the notion of the boundary separating the internal space of the semiosphere from the external is just a rough primary distinction (Lotman 1990: 140,138).

3. Border as a divided area

Gloria Anzaldúa describes life in the border culture (U.S./Mexican) as being in a constant state of transition: “To survive the Borderlands /you must live *sin fronteras*/ be a crossroads” (1999: 216). Its inhabitants are the prohibited and the forbidden. Borders as dividing lines, “a narrow strip along a steep edge”, are set up to define the places that are safe and unsafe, to distinguish *us* from *them*. A borderland is a vague and undetermined place created by the emotional residue of an unnatural boundary: “This is my home /this thin edge of barbwire” (Anzaldúa 1999: 25).

In the frontier areas, semiotic processes are intensified because there are constant invasions from outside. The boundary is ambivalent and one of its sides is always turned to the outside (Lotman 1990: 141-142). We can conclude that there is also a two-way flow and penetration across the border. Even if it is not symmetrical, a special border culture becomes its own semiosis, a crossroads with various subsystems. But it functions mainly as a crossroads making links between discrete, autonomous cultural units.

As we take the border as a division, we find dividing lines, binarities and dualisms. We may take a look from the outside or from the inside vis-à-vis those lines. The variables can be opposites and they can be complementary in relation to the idea of a semiotic sphere to filter and adapt the external into the internal.

We may distinguish ambivalent variables when balancing the *outside – inside* binarism:

history – unpredictability, definition – indefinition, open – closed, inclusion – exclusion, peace – conflict, collective – individual, hope – fear, tolerance – control, answer – doubt, crossing – retreat, access – rejection, opportunity – challenge, bridge – wall, fiction – reality, new – old, communication – silence

When we think of divisions, be they physical or imaginary, we are dealing with opposites that are somehow incompatible in character. Still, we can try to identify a point that makes each a rupture and a link, keeping in mind any opportunity for connection and conversion. Being at the border grants us a chance to look at both sides. Being on either side is a closed position where contradictions seem real unless we find a way out.

4. Around the border: possibility of dialogue

Assuming the existence of the borders, we may turn to the realities around the borders circling various subsystems. Again, there are differing perspectives to defining those spaces that facilitate interaction and eventual dialogue. Demenchonok (2014) expands on this: cultures have boundaries or border zones as areas of contact and interaction with other cultures. Leaning on Bakhtin, the life of cultures takes place at the boundaries, an idea that is central to the concept of transculture. Thus, on the transcultural principle, they can transcend their borders. Furthermore, boundaries play a certain constructive role in protecting the uniqueness of each culture and in resisting the homogenizing intrusion of globalization (Demenchonok 2014: 125-127). The idea of transcending borders, however, would need closer scrutiny to be verified or if it is more a utopia in the complex reality in which we live.

Transculture should not be an abstraction. Lois Parkinson Zamora (2006) approaches “transculturation” by referring to the processes by which meanings are produced from the contact of distinct cultural systems over time. Transcultural conceptions of the visual image condition present ways of seeing in Latin America, and these ways of seeing condition contemporary fiction. She studies inordinate relations which “are *not* co-ordinate relations; inordinate points are *not* deployed in ordered relation, as are coordinate points, but in irregular, decentered, asymmetrical relation” (Zamora 2006: xxii). She proposes the metaphor of the inordinate eye as an

alternative to the “gaze” to recognize a reciprocal relation and exchange to encompass inordinate transcultural processes (Zamora 2006: xv, xxi-xxiii). Facing the other culture involves many angles and choices. Looking, seeing is an inevitable element of intercultural approaches as an entrance to comprehension, before other steps are taken.

5. Dualistic reconciliation

Is there a possibility of reconciliation, a chance of mediation instead of conflict? How do we close the diverging gaps that separate, distance and hinder the communication?

response <-> resistance, proximity <-> remoteness, love <-> violence, stability <-> chaos, humanity <-> hostility, choice <-> no choice

A contact, an exchange is the first step to meaningful communication. If we manage to create dialogue, we may take a step towards interaction and meaningful understanding.

Lotman (1990: 143-144) finds dialogue mechanisms in which the elementary act of thinking is translation and the elementary mechanism of translating is dialogue. There are still conditions for dialogue as it presupposes asymmetry, to be seen in the differences between the semiotic structures (languages) used by the participants in the dialogue. Asymmetry also assumes a degree of invariancy. Another necessary condition is the concern of both participants for the message and their capacity to overcome the inevitably arising semiotic barriers. The need for dialogue, *the dialogic situation*, precedes both real dialogue and even the existence of a language in which to conduct it; the semiosis situation precedes the instruments of semiosis.

Lotman recognizes that the schematically outlined cycle may not be fully realized in the actual process of cultural contact. It demands favourable historical, social and psychological conditions. The process of ‘infection’ needs certain external conditions to bring it about and it needs to be felt to be necessary and desirable. As with any dialogue, a situation of mutual attraction must *precede* the actual contact (Lotman 1990: 145). Binarism and asymmetry are the laws binding on any real semiotic system. The boundary is the crucial unifying factor for the unity of the semiotic space of the semiosphere, dividing the internal space of the semiosphere from the external, “its *inside* from the *outside*” (Lotman 1990: 124, 130).

Dialogism is present in Bakhtin’s philosophy in relation to human communication and relationships. Dialogic relationships form the very foundation of all human activities, from the personal level to the most general level of dialogue among cultures. To Bakhtin, the life of cultures takes place on the boundaries and contact between cultures should be a dialogic encounter. Edward Demenchonok (2014: 85-88) describes this philosophy of dialogism as personalist: it is inseparable from the human persons between whom dialogue takes place. Dialogism is intimately related to the concept of the other and to I-other relationships, to “otherness”. Dialogical relationships between I and the other constitute the structure of Being, understood as an “event”. Dialogism thus combines diversity and co-existence. The principal borders lie inside the dialogic space. Another key concept in Bakhtin’s dialogism is outsideness. It is only in the eyes of another culture that the foreign culture reveals itself fully and profoundly.

Laas poses a further question as to how the semiosphere, as a model for studying semiosis in complex systems, would function when resting on different kinds of dialogical foundations — comparing Peirce, Lotman and Bakhtin. Dialogue is a fundamental ontological feature of the semiosphere: internal relations between the subsystems and external relations with its environment are dialogic. A semiosphere based on Peircean dialogues would be an open system that exchanges information with its environment and co-evolves with it. This has implications for

the semiosphere's binarism as its opposition with the environment is no longer clear-cut, nor is the nature of its boundaries. Translation mechanisms might be graded, vague and susceptible to temporal change. For Peirce, semiosis is a gradual progression toward a complete understanding (Laas 2016: 488-489). Thus we have an open-ended process to facilitate interaction under varying conditions. The level of understanding and the expectation of reaching understanding varies depending on the comprehensiveness of our own perspective on the process of signification.

6. Still a continuum: translation and other means

The border does not exclude the possibility of an indefinite semiosis. We just need to find those *tools and means of dialogue that facilitate our interaction*. In broad terms, translation is necessary even if it is complicated. To Ludwig Wittgenstein, "the limits of my language mean the limits of my world" (1922), but where are those limits? And what is the language? The contact between different semiospheres, a constant exchange, a search for a common language (Lotman 1990: 142) taking place on the frontiers is of paramount importance.

There is no empty space between cultures. The process of interaction continues even if it takes new forms and channels. Where do we track the points and surfaces of contact of a cultural interface? It is not yet an act of understanding the other but it is a condition and an existential situation in which the experience of understanding "the Other" is possible through crossing a line. It is a concrete communicative situation in space and time. From the semiotic viewpoint, it is the gradual convergence that is in focus in the search for the perception of the real nature of the Other's representation.

Even if our interest focuses on the process of convergence and continuum, there are also hints about limits in Peirce's texts. Emerson's verse "Of thine eye I am eyebeam" (The Sphinx, 1841) is used as a quotation in Peirce's explanation about symbols that grow. A symbol produces an endless series of interpretants. But every endless series must logically have a limit (Peirce 1998: 10, 323) By this logic of a limit Peirce means "an object which comes after all the objects of that series, but so that every *other* object which comes after all those objects comes after the limit also" (in Peirce Edition Project 1998: 538-539). "Thus the series of whole numbers is an increasing endless series. Its limit is the denumerable multitude" (in Peirce Edition Project 1998: 539).

7. Identity and alterity: fundamental for understanding

The concern for otherness brings us another, more intimate aspect of being related to others and overcoming our own closeness and self-reflection. Arthur Rimbaud's "Car je est un autre" (Lettre du voyant, 1871) symbolizes the amplitude of choices of how to see and hear the other.

Julia Kristeva deeply analyzes the question of identity and alterity precisising more the relationship: "Mon malaise à vivre avec l'autre — mon étrangeté, son étrangeté — repose sur une logique troublée réglant ce faisceau étrange de pulsion et de langage, de nature et de symbole qu'est l'inconscient toujours déjà formé par l'autre" (1988: 269). Her definition "l'étrange est en moi, donc nous sommes tous des étrangers" (Kristeva 1988: 24) constitutes "a semiology of uncanniness". It originates in the Freudian concept "unheimlich" (Friedrich Schelling) joining to the instant where something that is familiar to us becomes foreign and frightening. Here Kristeva (1988: 269-275) brings forward the idea that the sign is not arbitrary but has real importance. So the moment of recognizing the strangeness is an awakening and an opportunity to know more. It can occur at a personal level but we may interpret it in a more universal way in intercultural situations.

The same question about being elsewhere, feeling strangeness is presented by Lisa Block de Behar:

On ne peut voir de loin ni de près autrement qu'au travers d'écrans, de filtres qui rapprochent l'ailleurs et font du proche quelque chose d'étranger: du déjà-vu, du jamais-vu, indécidable. Où est ailleurs? Où n'est-il pas? Qu'est-ce qui est étranger? Qu'est-ce qui ne l'est pas? (1997: 86).

It is a moment of revelation which is relevant for understanding differences and combining the internal and the external. It is the look that determines but we have different ways of looking. Is there an inordinate eye that sees behind the look — and is it me or the Other who is looking? Finding a synthesis of signification with its intersections can make a continuum possible in a way that would transform seeing into being. Crossing the line(s) is the act of determination that always becomes more important than the division.

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**FROM THE SESSION
“SEMIOTICS AND
SEMIOTICS”**

ON CONNOTATION AND ASSOCIATION IN THE WORK OF MICHAEL GIBBS (1949–2009)

Marga van Mechelen
University of Amsterdam, Netherlands
m.k.vanmechelen@uva.nl

Abstract

Connotative semiotics as it is introduced and developed by Louis Hjelmslev (1873–1950), became known to a larger audience thanks to Roland Barthes (1915–1980). One of Barthes' admirers was the British-born visual artist and poet Michael Gibbs (1949–2009), who wrote about Barthes and made systematic relations and the concept of connotation central to his literary and visual work. Contrary to most semioticians in the Saussurian tradition, he was not so strongly opposed to the use of psychological concepts, such as "association" and "suggestion". In this essay, Marga van Mechelen argues that his application of "connotation" and "association" is depending on certain factors. In general, when the production of a 'text' as a conscious and orchestrated act is involved, the concept of connotation is used, while considering the position of the receiver, "association" is the more common term. It is the right term to stimulate the individual and personal creation of meaning. In addition, to counterbalance the structuralist and all too defining approach that Gibbs as an artist fears. Indirectly, Gibbs supports the structuralist idea that there is, or should not be a fixed meaning, as well as Barthes' thesis that denotation is not the first meaning, but the last of connotations.

1. Michael Gibbs, poet and performance artist

In early January 1980, I attended for the first time a performance by the British-born visual artist and poet Michael Gibbs (1949–2009) at the de Appel art center in Amsterdam. Gibbs had moved to Amsterdam five years earlier. I knew him personally and we shared not only our involvement in performance art, but also in concrete and visual poetry. What I did not fully realize at that time was that we also had academic interests in common: word and image relations and several semiotic issues. His background was in Fluxus, though he was of a younger generation than the founder of the Fluxus movement George Maciunas, called "Mr. Fluxus" by Gibbs

(Gibbs 1998). In Amsterdam he belonged to an international circle of artists who met each other regularly at the In Out Center gallery, the bookshop Other Books & So, owned by the Mexican artist Ulises Carrión, or at de Appel. Roughly at the same time Gibbs moved to Amsterdam, de Appel opened as a center for performance and situation art (later called installation art) (Van Mechelen 2006). He became a regular visitor, publisher of reviews of the events at de Appel in his magazine *Artzien* and a contributing artist.

In 1980 he did his first performance in de Appel, entitled *The Name of the Game* (1980). What I remember is a slender man, with straight half-length hair and a beard, looking older than he was at that time, who moved through space without paying much attention to the public. He carefully arranged sheets of paper onto a large sheet of glass that lay on three trestles. A little girl, together with Gibbs, piled up bricks onto the sheet of glass. Slides were projected, forty in total, with a single word on each slide and a tape recording that played spoken texts. These were constructed from the same words as those on the slides. The performance was very well orchestrated. Numbers played an important role: the sheets of paper in five rows of seven, the exact number of 60 bricks and 40 slides etc. Still, at the same time “chance” was also a factor. The sheet of glass had to break, but when and how? Not immediately though. The first ten bricks were thrown in the direction of the glass but were not intended to hit it. Much later, I read his notebook. There he writes that to a certain extent he also wanted to prevent the performance from being killed by defining. “Rather, let it be related to, the connotations are what make the work live in the imagination” (Gibbs 1979). Nevertheless, in another note, he reveals his own thoughts, placed between brackets [...]; therein he talks about “virgin pages awaiting the ‘imprint’”, “fragile inviolability”. And when the bricks fell in front of the glass, he sees “the pages tremble in fearful anticipation of violation”. At the end of these notes, he formulates a kind of conclusion, the quintessence of the performance, as it were: “the violation effected – the weight of language proves too great for its supporting surface” (Gibbs 1979).

When I began researching the notion of ventriloquism in his work (Van Mechelen 2015), I encountered the word “connotation,” not only in notes concerning this performance, but also in numerous places elsewhere in his work. It started with the publication of a collection of his concrete and visual poetry, called *Connotations* (1973). On the back flap he wrote: “I’m concerned with the reduction of language in its structural elements – taking it apart to see how it works. Words don’t always mean what they say – their patterns and forms reveal inner processes and events, ambiguous connotations of meaning”. In the preceding years, he studied in Exeter at the American Arts Documentation Centre, which had Dr. Mike Weaver as its director; he was the curator of the first international exhibition of concrete and kinetic poetry in Cambridge, in 1964. At this center, Gibbs wrote his thesis “New Structural Methods in the Contemporary Modern Arts”. Although *Connotations* contained visual and concrete poetry, his ideas about poetry had already shifted shortly after the travelling exhibition *Sound Texts? Concrete Poetry Visual Texts* (1970–1972). Concrete poetry had become too much of an aesthetic game with the alphabet, while he considered visual poetry as more open to “a socially engaged combination of language and image or object” (De Rook 2016: 177). While he had initially described concrete poetry as “the first truly international poetry movement – a universal form of poetry that cuts across nations and languages – the poetry of the global village” (De Rook 2016: 176), he now downplays it as “an aesthetic play with the alphabet” (De Rook 2016: 177). Considering his later activities, publications and performances, he remained intrigued by the alphabet and the history of the relation between typography and avant-garde art. The artists he mentions when talking enthusiastically about juggling with poetry include Stéphane Mallarmé, Guillaume Apollinaire, Filippo Marinetti, Hugo Ball, Raoul Hausmann, Theo van Doesburg and Kurt Schwitters; they

also remained important in later years. The alphabet is given a special place in several activities in which he tries to ruin the alphabet. It began with a booklet called *Extinction* (1974), which contained a series of photographs in which the letters of the alphabet were set on fire. This booklet accompanied the exposition at the In Out Center in the spring of 1974. In the same year, he made a second trip to the Netherlands, this time not to Amsterdam but to Maastricht, where he did a performance in the garden of the Jan van Eyck Academy of Art, on the invitation of the artist-run space Agora Studio. In Maastricht, he set fire to an alphabet of large letters cut out of polystyrene with a hardboard template, which was doused in gasoline, ignited, and put out with a fire extinguisher (Van Mechelen 2016:192). The following year, in which he settled in Amsterdam, he did another performance with the alphabet as its main subject, called *Bloody Alphabet* (Schraenen 2016). And a year later *These Letters are My Flesh and Blood* (Utrecht, 't Hoogt, 1976). In both performances he wrote the alphabet with blood on his fingers.

2. Influences

Michael Gibbs was an admirer of all the artists that are mentioned above. These were writers and visual artists from different avant-gardes, interested not only in typography but more generally in the signifier of their medium as such. Furthermore, he admired John Cage as the composer who draws attention to the *sound* of language, while the others highlighted the *visual* image of language. However, his interest was not limited to binary relations between two “languages” or media, but rather in bringing together all possible media. We might consider his project in terms of a Mallarméan *Gesamtkunstwerk* (Total Artwork). We remember Mallarmé’s *Le Livre* as a form of a book that unites theater, music, poetry etc., which goes against the grain of our linear way of reading and turning pages, one after another; Mallarmé did not manage to finish it before his death. Kees van Gelder, who was asked by Michael Gibbs to contribute to his art magazine *Artzien*, mentions Mallarmé and Gibbs’ mutual interests (Van Gelder 1982), stressing that Gibbs had more media at his disposal than Mallarmé ever did. There are many other performances and publications that can be placed in the context of this major project, called by Van Gelder *The Book of Books*. For instance, *The Oracle*, a live video performance from 1980, and *The Absent Words* (1980), which was the most elaborate performance, installation and exhibition of that year. The title is important as it refers to the famous book by Edmond Jabès, *Le livre des questions*, published in 1963 by Gallimard, some parts of which were published in English a couple of years earlier (*The Book of Questions* in 1976 and *The Book of Yukel/Return to the Book* in 1977). In the seventies, Jabès was considered to be the most important French poet since Mallarmé, in particular within the circle of *Tel Quel*. Both Jacques Derrida (1930–2004) and Maurice Blanchot (1907–2003) wrote about him and contributed to the dissemination of his poetry.

There is more to say about these ancestors and the role they played in the life of Gibbs. From today’s perspective, we could consider Gibbs’ enterprise as a form of artistic research, in which academic and artistic questions are intertwined. During that time, however, as can be derived from the title of his thesis and from the introductory lines in *Connotations* (1973), Gibbs considered his efforts above all as a form of anarchistic academic research. Compared to more traditional academic research in humanities, his approach contained different forms of testing and, anticipating later developments, the acceptance of irrationalities, paradoxes, irreconcilable phenomena or real contradictions. These irrationalities were simultaneously examined with a structuralist or semiotic eye and engagement. Though it might seem a somewhat extreme way of looking at things, it was consistent with the discourse of that time, in particular the intellectual tradition of the French poststructuralism of the late sixties and early seventies. It is the reverse side, if you want to use that phrase, of structuralism that came to dazzle in the writings of the *Tel Quel* group, in which Michael Gibbs took a special interest.

Instead of working consistently on his larger project, Gibbs often chose an unmethodical approach that reveals itself through giving space to chance, humor, mockery and relativization, as if the achievement of *The Book of Books* (or *Le Livre*) is an idealistic goal in which one should never stop believing, though not presenting it too seriously either. In *The Absent Words* project, these two different ways of looking were both visible. Here, Van Gelder (1982) recognizes the influence of both Jacques Derrida and Roland Barthes (1915–1980). While Derrida formulated the Peircean idea of an unlimited semiosis and endless references in order to argue for the unattainability of a destination, Barthes argued for a recognition of the para-doxa and the acceptance of unpredictability (Van Gelder 1982). This background partly explains why the concept of connotation is so important to Gibbs and why it is accompanied by an adjective like “ambiguous” or by the psychological term “association”. Here he touches, probably unintentionally, upon a never-ending topic in semiotics.

3. Semiotic issues

I already mentioned that Gibbs and I shared an interest in word/image relations and semiotic issues, but let us make that more precise now. One of these issues is the notion of connotation and semiotic traditions in the twentieth century in which this notion was introduced, but also the broader context of the elimination of psychological terms from semiotics. An elimination that was not entirely successful (Van Mechelen 2013) and that Gibbs would never have accepted. As we have already noticed, in his performance *The Name of the Game* (1980) Gibbs oscillated between a structural approach and careful way of organizing his materials on the one hand, and a discourse that included not only the notion of connotation, but also a couple of psychological terms on the other. For example, his regular use of words like “suggestion” and more particularly “association”. Here he implicitly touches upon an old problem in semiotics, namely the two axes of language, one axis being a class of linguistic elements that can be *associated* because of certain similarities – the paradigm or paradigmatic relations – and the other axis, the syntagm or syntagmatic relations, consisting of a relation of terms, this time not in absentia but in praesentia. As we know, Ferdinand de Saussure (1857–1913) still spoke about associations or associative relations, while after Roman Jakobson (1896–1982) paradigmatic became the generally accepted term, applicable to all different kinds of sign systems. Paradigmatic relations operates on both the level of the signifier and the signified. More so than syntagmatic relations, paradigmatic relations put the reader, listener or viewer to work. It requires the act of comparing and contrasting each of the signifiers that are present, with all relevant signifiers that are absent but imaginable. A single choice makes one aware of the significance of making choices as such, and consequently the construction of meaning. It makes no difference if it concerns relations of form, style, genre, medium, images, sound or words. This – condense – characteristic contains elements that are interesting to artists, not only Gibbs. It appeals to the creativity of both the artist as the producer and the observer as the receiver of his work. Likewise, it seems that Gibbs often deliberately zigzags between the categories just mentioned.

The reason why semioticians after Saussure replaced the term association with paradigmatic relation was the psychological nature of the word “association”. Obviously replacing just one term was not enough to remove the psychologism from Saussure’s approach. The question is however: is this purpose desirable at all? Surely not from Gibbs’ perspective, and neither from a psychosemiotic point of view (Van Mechelen 1993). How important was it actually to semiotics? Let us focus very briefly on how Roman Jakobson, Louis Hjelmslev (1873–1950), Roland Barthes, but also Algirdas Greimas (1917–1992) dealt with this issue. It is clear that the first three names made connotation central to their semiotic theory and structuralist analysis (Gar-

za-Cuarón 1991). However, as Garza-Cuarón showed in her book *Connotation and Meaning*, Greimas also contributed to the reflection on “connotation” with his “Semiology of Common Sense”. Interestingly, in his (and Joseph Courtés) *Semiotics and Language: An Analytical Dictionary (Advances in Semiotics)* (1979) he first states that the process of connotation is hard to identify, which he explains by referring to Hjelmslev’s effort to define a class of connotative semiotics belonging to the type of non-scientific semiotics. Greimas’ explanation points to a number of features that are already mentioned above, such as the fact that connotations are connected to both the plane of content and the plane of expression. His conclusion is that semiotic connotations undoubtedly exist. He adds, “Their importance has been clearly shown in the work of R. Barthes” (Greimas and Courtés 1982: 53). For Barthes, whose starting point was also Hjelmslev, connotations are associations made by the subject as a text within its own system (Barthes 1970: 14–15). While his main purpose was to approach and understand connotation as correlations that are immanent in the text, Greimas opened the common sense practice of connotations, distinguishing between social and individual connotations. Consequently, by attaching such importance to connotation, the three of them, but I could mention a couple of other scholars too, made not only the separation of connotation and association less distinct, but also the distinction between denotation and connotation less self-evident. That is to say, a distinction between a literal, denotative meaning on the one hand and connotations on the other. Barthes even argued in *S/Z* that denotation is not the first meaning, on the contrary: it is the last of the connotations (Barthes 1970: 16). Still, as we know from every introduction in semiotics, denotation remains the point of departure, also in art history. Erwin Panofsky, for example, in his writings about iconography, stated that denotation is defined by the basic recognition and naming of visual images; that which all viewers generally recognize immediately. This is another interpretation of the idea of common sense. In comparison to this understanding of denotation, or as Panofsky called it “factual meaning,” connotation is obviously more dependent on contexts and aspects, such as culture, time, social class etc. Panofsky takes the denotative level for granted, unlike the semioticians after him that I mentioned. The interest in connotation drew Jakobson, Greimas and Barthes away from Saussure and Hjelmslev, whose models focused on denotation as well as on *langue* and written language, rather than on *parole*, speech or the use of language.

4. Gibbs’ approach to connotation and association

Like many of his contemporaries, Gibbs was interested in Roland Barthes, both the structuralist and the poststructuralist, mainly because of his focus on language and other sign systems as manifestations in the real world. What helped was that both Jakobson and Barthes wrote extensively about other semiotic practices besides language, such as cinema, music and fine arts (Barthes 1977). In his very noteworthy “Graph of photography” (Gibbs [1989] 2016), Gibbs brings together Derrida and Barthes. In the essay, he starts by saying that, “photography did not so much introduce ‘new ways of seeing’ as institute new ways of describing” (Gibbs [1989] 2016: 46). Photography is not a transparent medium, but a graph, “a trail that leads not to a reality that can be captured, but simply something that ‘marks the passage’” (Gibbs [1989] 2016: 50). These last words refer to Barthes, while graph and trace refer to Derrida. Denotation does not make photography transparent; it is only a sign of something that *has been*. Consequently, in discussing Barthes’ “The photographic message” (1964), Gibbs’ main goal is to demonstrate the lesson of Barthes that the photographic image is a product of human labor and a cultural object suffused with historical meanings. “Their ‘graph’ is scriptural, a panoply of signs and meanings” (Gibbs [1989] 2016: 50).

What I made clear already is that Gibbs used both the words “association” and “connotation”. At first, this seems inadvertently, but after giving the context of the use of these words a second

glance, I noticed that one could discern two positions in which they occur, that of the artist/producer and that of the viewer or listener. He seems to apply the word “connotation” primarily when it is related to artistic production as a conscious and orchestrated act; then he relies emphatically on structuralism and semiotic theory. As onlookers and listeners, we might be able to recognize these connotations, supported by different primary sources and certain codes, certainly, if we are familiar with his work or otherwise have access to it, however there always remain more diffuse and personal *associations*. In his secondary reflections this is noted, not as a shortcoming but rather as a stimulant to his reader and viewer to create meaning. As I said, he wants his performance not to be too defining and that gives room for everyone’s personal associations. For this reason, he thinks codes should not be provided too readily or even not at all. In all the performances of which I am aware, the audience is watching the performance from a distance, and is not actually taking part in it. Nevertheless, the performances give the impression of something like a game, as we are familiar with from Fluxus events. That is to say, a performance with certain rules but also space to apply those rules individually or collectively. Therefore, it feels as if one is indeed involved in the performance. Additionally, here we should point again to the influence of (post)structuralism.

In *Connotations* (1973), he describes his ambivalent position toward a structural approach. He wants to build on structural elements, but at the same time, there is something beyond his control, which we could now identify as the inner processes of association. The Dutch art historian and curator Cees de Boer wrote about a work of Michael Gibbs, called *Ex Libris*, which consists of a large drawing of his own bookcase with all the book titles in alphabetical order (De Boer 2016). He situates this work in the context of other famous fictional libraries. He mentions Michel Foucault and his reference to Jorge Luis Borges in the opening sentence of the preface of *Les mots et les choses* (Foucault 1966). Here, Foucault points to a fictional Chinese list of categories, an encyclopedia in which the animals are divided into nonsensical categories such as “belonging to the Emperor”, “drawn with a very fine camelhair brush” and “suckling pigs” (De Boer 2016; Foucault 1966: 7). Borges’ Library of Babel was inspirational to many authors, not the least of whom Umberto Eco. In his essay, “Some Volumes From The Library Of Babel” (Gibbs [1982] 2016) Gibbs started to write his own historiography of endless galleries of books, which he combines with the historiography of the *Book of Books*, the *Bible* and the *Koran* – two traditions that strangely enough come together in a few Fluxus projects and in his own work. What is interesting in this context is the ambivalent attitude of both Foucault and Gibbs toward categorization and enumeration. There is a continuous play with all the possibilities and even preposterous impossibilities of orderings in the work of Gibbs. A paradigmatic or connotative order supposedly underlies these orderings, but still every individual makes his own story out of it, that can likely go in any direction. Both De Boer and Gibbs draw attention to the similarity between the construction of paradigms in the semiotic sense and a Barthes-like lists of connotations, referring to how a poet starts writing, namely looking for words that have a sound in common or otherwise something on the level of content. De Boer stresses the materiality of words, one of the elements that made artists and writers in the early seventies interested in the circle of Tel Quel and Derrida, besides Barthes and Foucault. Furthermore, he stresses the emphasis on the production of meaning by the receiver, directing the attention to Umberto Eco and his idea of the modern work of art as an open sign. As we know, it is through the *intentio lectoris*, through the interference of the audience, the viewer or reader, that the work of art becomes an open work of art. It is this idea that Gibbs tries to reconcile with his structuralist preoccupations.

Central to my research for a very long time was the relation between semiotics, in particular the Saussurian tradition, and psychosemiotics, mainly the semanalysis of Julia Kristeva (Van

Mechelen 1993 and 2015). In my dissertation I compared, for example, the way Greimasian semioticians dealt with the signifying process and the psychosemiotic approach of Kristeva, after first making a comparison between Greimasian semiotics and art history. How do art historians approach the relation of form and meaning and how is this done by semioticians and psychosemioticians? In fact, I concluded that all these approaches are rooted in nineteenth-century psychological aesthetics with complicated, but still interesting, debates about form and content, and secondly that we should revisit these debates to get a better view on how to approach the signifying process of, for instance, artistic production. This brought me back to the nineteenth-century psychological concept of association and the twentieth-century semiotic concept of paradigmatic relations and connotation. The simple standpoint of semiotics that the concept of association should be eliminated from semiotics and replaced once and for all by paradigmatic and connotation, was something I ultimately did not accept. Primarily because there is a blurring line between the two and this blurring line cannot be negated in our analyses of artworks and the way they are perceived. I even wish to argue – and I hope the description of the performances and writings of Michael Gibbs made this clear – that the oscillation between the two is just one of the more intriguing aspects of artistic production and communication.

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ON SUBSTANCE: FROM LOUIS T. HJELMSLEV TO LUIS J. PRIETO

E. Israel Chávez Barreto
University of Tartu, Estonia
chavezbarretoei@gmail.com

Abstract

The notion of substance plays a major role in structural semiology. However, what is to be understood under such notion can be a matter of discussion. The aim of this paper is to show that Prieto's understanding of substance inasmuch drifts apart from Hjeltslev's, can be very useful to throw light upon current topics about semiotics and cognition, as long as for Prieto, semiotics deals with the *raison d'être* of knowledge itself.

Substance, in Prieto's thinking is much more close to a conception of "material reality", or even to the idea of a mind independent reality. This position supposes that substance will have a major role in determining what kind of form one is able to derive from it. This goes against Hjeltslev's claims, in which substance manifests form.

What is at stake in this discussion is whether an object of knowledge imposes its material features upon the cognizing subject, or if it is the cognizing who imposes formal features upon a given cognized substance.

Following Prieto, we will show that cognitive processes, as long as they are regarded as semi-otic processes, are always in a tension between the cognized material reality, i.e. substance, and the semiotic structure that determines such knowledge, i.e. form.

1. Introduction

The aim of this paper is to show that Luis J. Prieto's notion of substance and the role it plays on a *cognitive act* can throw light on current discussions about the relation between semiosis and cognition. Thus, we will divide the exposition in three parts: first, we will present the notion of substance according to Hjeltslev. This is a necessary step, considering he was a major influence in Prieto's work. Then, we will see to what extent Prieto drifts apart from Hjeltslev by forging his own understanding of the notion of substance. Finally, by examining the way substance relates to cognition in Prieto's theory, we will present some conclusions and prospects for future works.

2. The notion of substance in Hjelmslev

According to Hjelmslev, a sign function is established between the dimensions of *form* of each of the planes of a semiotic structure (Hjelmslev 1954: 171, [1943] 1971: 86-87). It would seem thus that this amounts to substance not playing any significant role in the sign function, for the sign, as far as it is a systemic (functional) unit, remains an *immanent* unit. Nevertheless, it is worth noticing, that in the whole of Hjelmslev's theory, substance is not always disregarded as a completely external factor in semiosis.

Indeed, in *La Stratification du Langage* (1954), Hjelmslev highlights that commutation is the ultimate procedure to determine to which extent substance does play a role in the conformation of a given plane (Hjelmslev 1954: 171). He even claims that a plane is not reducible to "pure form" but it always involves the *selection* of form by substance (Hjelmslev 1954: 172), or to put it in technical terms: a possibility of manifestation (Hjelmslev 1954: 167).

It seems to us that these precisions can be located at an epistemic level of analysis. And thus we would like to suggest that for Hjelmslev, the role of substance in the conformation of a plane is important only in terms of the *analysis* of a given system, not in terms of the ontological properties of such process (cf. Hjelmslev 1971:149).

This interpretation seems to be consistent with Hjelmslev's overall orientation. In his *Prolegomena* we read:

Una teoría, en el sentido que empleamos es por sí misma independiente de toda experiencia. Por sí misma, no dice nada en absoluto acerca de la posibilidad de su aplicación y de su relación con los datos empíricos. No incluye postulado de existencia alguno. Constituye lo que se ha llamado sistema puramente deductivo, en el sentido de que sólo puede usarse para calcular las posibilidades que se siguen de sus premisas (Hjelmslev 1971: 28).

Thus, it seems possible to claim that in Hjelmslev there is no metaphysical, or ontological, commitment to substance as a "real" object. Rather the focus is put into the solely epistemic dimension of substance that results from the analysis of sign systems as strictly a calculus of possibilities (Hjelmslev 1971:29, 149-150). The very definition of form presented in *La Stratification* (1954) seems to support this claim: form is defined as "l'ensemble total, mais exclusif, des marques qui, selon l'axiomatique choisie, sont constitutive des définitions" (Hjelmslev 1954: 172). Accordingly, substance would encompass the rest of features borne by the object that, even if disregarded, would need to be included in order to give a thorough account of the object in question.

But if substance is defined as the other features that do not count as form, then it becomes evident that form and substance are relative terms. What qualifies as form from one point of view can be regarded as substance under another. In fact, Hjelmslev maintains that in order to pursue a scientific analysis of substance, substance should be intellectually grasped in such a way that it becomes form, even if it is a different kind of form than proper *semiotic form* (Hjelmslev 1954: 172-174). This relates to the problem of there being a multiplicity of substances that can manifest a given form. For substance according to Hjelmslev, is always the variable in a manifestation, while form is the constant (Hjelmslev 1971: 150).

It follows that substance is not an absolute term but a relative one. In order to make a distinction between a formed variable and an unformed variable, Hjelmslev calls the unformed variable *matière* 'matter'¹ (Hjelmslev 1954: 174). Moreover, he points out that in order for matter to

¹ This term is also translated as *purport* in English. The couple *matière* and *sens* is used in French, as well as in Spanish, as *materia* and *sentido*. The Danish word originally used by Hjelmslev was *meningen* (Siertsema 1965: 151).

be knowledgeable it must also be formalized in some degree (as substance, that implies a certain degree of formalization).

But it is this latter concept, the concept of matter what we are interested in. Since this concept seems to point to substance in its ontological dimension, without any kind of epistemic implication (*cf.* Siertsema 1965: 152). Mainly, the claim we want to put forward with this suggestion, is that Hjelsmslev's notion of matter coincides with Prieto's use of the term substance. Let us explain this claim.

3. The notion of substance in Prieto: from communication to cognition

In this section, I will try to provide some arguments supporting the statement that Prieto's notion of substance is ontologically rather than epistemically oriented.

On the one hand, Prieto explicitly defines himself as a substantialist, in explicit opposition to Hjelsmslev (Prieto 1975: 127), but it is important to notice that he does so while treating the distinction between *langue* and *parole* (Prieto 1975: 77). This distinction is tackled by Prieto by means of conducting an epistemological analysis of structural phonology, that ultimately leads to an ontological, or metaphysical, based model of cognition (Prieto [1975] 1977: 215).

For Prieto, language is an instrument (Prieto 1977: 247), and as such, it always has a teleological dimension. Language is thus a means to a given end, inasmuch the goal of every communicative act is to act upon the listener (Prieto 1977:181, 247). However, if language can be characterized as an instrument, it follows that there are some operations that can be carried out by means of the language in question. To put it in Prieto's own words, a language, inasmuch it is a semiotic structure, entails a principle of pertinence that correlates the semantic dimension of the content plane with a more broad *intercomprehension* system, which ultimately determines the "utility" of language as a tool (Prieto 1975: 108-109). This is what Prieto calls the noetic field of a language, and it is defined as the field of everything which can be said by means of a given language; i.e. the actual *message* (or *sense*) conveyed by a signal or utterance (Prieto 1966:35). The noetic field is distinct from the purely systemic semantic field, i.e. the field of lexical meanings in the content's plane form. Actually, according to Prieto, it is the double articulation between the noetic and semantic fields in the content plane of a language what renders communication possible (Prieto 1977: 239). Roughly speaking, this is Prieto's main formulation: a given utterance would have a specific linguistic meaning; thus it will point to a given class of lexical meanings in the semantic field; this class in its turn will point to another class of *messages* in the noetic field (Prieto 1977: 239).

Hence, in a communicative act, the receiver will cognize the signal uttered by the emitter as pertaining to a given class in the expression plane, that will point to a specific class in the content plane, which presents the aforementioned double articulation between the semantic field and the intercomprehension system, or noetic field. This model of *linguistic* knowledge will be generalized by Prieto for knowledge in general (Prieto 1977: 205-206). There are always two planes that get correlated by relations of *pertinence*, knowing that one object in one plane belongs to one class immediately makes us know that there is another object in a correlated plane that belongs to another specific class.

It is important to notice that Prieto's approach to knowledge is a generalization of what he identifies as the actual work of structural phonology (*cf.* Prieto 1977: 215). This fact has been already pointed out by Krampen (1998:172) and Fadda (2012:34). The interest in this model depends upon the fact that for Prieto, operating with classes (phonemes) is equivalent to operating with concepts. This is the dimension of cognition he is most interested with: concept formation (Prieto 1977: 204). In his later years, Prieto stated that the ultimate goal of semiology was to explain the *raison d'être* of knowledge *tout court* (Prieto 1991: 9).

Following Prieto then, to cognize something is to recognize it under a certain identity, i.e. to recognize that something as a member of a given class (Prieto 1975:81). In a *cognitive act* the main aim of the subject will be to determine whether the object he is *cognizing* is a member of a class A, or of its complement (i.e. all the other elements in a universe of discourse that do not belong to class A). In *cognizing* an object, then, the subject must be aware of certain features the object bares *in itself*, and by virtue of those features the subject will recognize the object as a member of a specific class. Those features will be *pertinent features*, for they render the object equivalent to all the other objects within the class (Prieto [1986] 1994).

The important point here is that the subject identifies the features in the material (i.e. substantial) dimension of the object. Prieto will state that such features can only be *manifested* and thus recognized as such, in the *aesthesis* of the portion of reality the object constitutes. This *material* dimension of any given object of cognition is what Prieto calls *substance* (Prieto 1975:88).

Accordingly, he says that the identity between two objects is always dependent upon knowledge: “il faudrait dire, non pas que deux objets *sont* identiques entre eux, mais qu'ils *apparaissent* comme tels à la connaissance” (Prieto 1975:83, emphasis in the original). On the contrary, difference is to be found on the objects themselves (Prieto 1985). The main point is that if there is a material feature that gets recognized by a semiotic structure as being a pertinent feature, then it can no longer be ignored in the object as form, and it must have a substantial correlate in the object. For instance, if a language can distinguish between a pair of fricative sounds because of one is cognized as *voiced* phoneme while the other as *voiceless* phoneme, then the phonetically voiced fricative cannot be recognized as the “voiceless fricative” phoneme (*cf.* Prieto 1975: 85 n. 11).

Thus, substance as the material dimension of any given object will play a decisive role in determining the membership of the object to a certain class. But at the same time, the semiotic structure by means of which the subject cognizes the object will determine the pertinence of the features. Hence, following Prieto, in the cognitive act there is a tension between the semiotic structure that models the knowledge and reality in its material dimension, i.e. there is a tension between form and substance.

4. Conclusions and future research

This reading of Prieto's work could offer another point of view in current issues between semiosis and cognition. The difference from Hjelmslev has already been noticed by Badir (2001). Badir notices that Prieto's commitment to the ontological dimension of substance renders Prieto's theory more suitable for a syntactic and semantic description of the “cognitive constructions” (Badir 2001: 12). The main point here being the shift imprinted on the notion of substance made by Prieto. As Badir notes, for Prieto, substance cannot longer be just the “variable in a manifestation”².

And indeed, manifestation, as a Hjelmslevian term, seems to be also affected by Prieto's understanding of substance. As long as Prieto talks about the aesthesis of an object as the initial step in a cognitive act, it would seem that he tries to establish sensation, or sense-perception, as the basis for cognitive activity. However, the fact that he talks of the object of cognition as *manifesting* what can become *pertinent features* calls for an additional component within his theory that can explain how these features are actually grasped by the cognizer. Thus, *manifestation* seems to be no more a relational term between form and substance, but rather amounts to the specific sensorial modifications in the cognizer's sense organs (*cf.* Prieto 1975: 88).

² Prieto's different understanding of substance would inevitably have a consequence in the axiomatic definition of form within Hjelmslev's formal terminology. Thus, it seems possible to suggest that Prieto's notion of form would also have to be different from the Hjelmslevian notion of form. But this problem, however, is outside of the scope of this paper.

I would like to suggest that Prieto's views on cognition might be further expand with the aid of the semiotic notion of intentionality, as presented by Beuchot (1994), and by Deely (2007) after their analysis of Poinso's philosophy. This intentional component would aim to explain the mechanisms by means of which the cognizer's cognitive faculties are specified by the object of cognition (resulting in an immediate union between subject and object in the cognitive act). The realist orientation in Prieto already supposes that knowledge arises at the encounter between man and world.

Our argument can be fleshed out like this: Prieto speaks of the pertinent features of the object of cognition as being *manifested* in the *aisthesis* of the object as substance. Manifestation, in Prieto's sense, is related to modifications in the sensory organs, that is to say: the pertinent features of an object will specify the cognitive faculties and would permit the rise of a formal sign, i.e. a concept, in the subject's mind.

The intentional component in Prieto's theory, if provided, would amount to consider the possibility of taking Prieto's cognitive model as a general model of semiosis, and as such, it would need to be articulated with current biosemiotic understanding of semiosis. This would be our main task for future works.

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TRANSFORMATION OF VERBAL SIGNS AS A RESULT OF THE INTERACTIONS OF LANGUAGE SYSTEM¹

Olga Lesicka

University of Warsaw, Poland

o.lesicka@uw.edu.pl

Abstract

Interlingual contacts foster not only the phenomenon of borrowing verbal signs from a donor language into a host language. This is the first stage of much wider phenomena that is interaction between whole semiotic systems. The transfer of a sign itself from one system to another launches different processes connected with its adaptation in the host system – developing new syntactic structures (adaptation to the grammar rules of the host language), new relations between signs and their designata and new interpretations.

An important role in the adaptation of new verbal signs in host languages plays the pragmatic aspect: e.g., the word *haker* (Eng. hacker) exists in Polish only with negative connotation, although in English it has also neutral meanings.

As a result of interactions between the language systems the very meaning can become a borrowing. The already existing verbal sign in the host language is somewhat ‘contaminated’ with additional meaning which it did not have so far.

The process of semiosis here is the interaction between language systems that results in new meanings (which are actually new signs). The sign is therefore a reaction (according to S. Petrilli and A. Punzio) to the influence of cultural, social, political, economic, psychological and other factors

1. Introduction

Contacts between different national languages foster not only the phenomenon of borrowing verbal signs² from source language (further called SL) into host language (further called HL). This is the first stage of a much wider phenomenon, which is the interaction between whole

¹ Based on the research on terminological borrowings in contemporary Russian language.

² In this article, a verbal sign is understood as a sign in the function of a term – a special type of sign with special (professional) meaning.

semiotic systems. The transfer of a sign itself from one system to another launches different processes connected with its adaptation in the host system – developing new syntactic structures (adaptation to the grammar rules of the HL); new relations between signs and their designata and new interpretations of these signs. The greatest change, however, is the major influx of new signs that are terminological borrowings. However, this phenomenon has a complex nature, going significantly beyond the pure linguistics. According to Susan Petrilli and Augusto Punzio, the sign (here I mean also the borrowed ones) is therefore a reaction (Petrilli, Punzio 2002:13) to the influence of cultural, social, political, economic, propaganda, psychological and other factors. Consequently, the research on this phenomenon has a comprehensive character, as it covers not only the strictly linguistic method, but also the analysis of non-linguistic factors. Thus, the main aim of this article is to show that this multifaceted approach – consisting of analyzing both the linguistic and non-linguistic factors influencing the interaction of language systems – creates opportunities to reveal the causes and extent of this issue, as well as a detailed observation of the dynamic character of influx, adaptation and existence of borrowings in the HL.

2. Factors influencing the changes in language systems

Language borrowings, especially terminological, are the result of mechanisms, conditions, factors and other drivers: linguistic, communicative, historical, psychological, social, psychosocial, psycho and sociolinguistic, cultural, economic, political etc. Therefore, the multifaceted approach which assumes the combination of all possible and essential reasons, processes of forming the final versions of new signs in the HL, grammatical and semantic adaptation and transformations – can bring substantial progress in this research. The careful scrutinizing, in particular, all the phenomena in relation to language borrowings may contribute to a better understanding of the global changes in modern national languages.

The non-linguistic reasons of language borrowings (mentioned by Krysin 1996: 146, Fomina 1990:181, Grinev 1993:161) are the following:

- cultural impact of one language on the other,
- oral and written contacts between the countries with different languages,
- increasing interest in learning the definite language and authoritativeness of the SL,
- historically conditioned passion for foreign culture sharing by certain circles.

The linguistic reasons (according to Krysin and Grinev) are the following:

- the lack of the proper equivalent for a new notion in HL,
- the tendency to substitute the word combination with one word,
- the tendency to reduce homonymy and polysemy,
- the necessity to define the meaning of a new concept more precisely,
- impossibility of creating the derivatives from domestic words (like *товарообмен – бартерный, управление сбытом – маркетинговый, посредник – дилерский*).

The influx of foreign language borrowings into the HL is a major, although not the only reflection of change in the Russian languages for special purposes (further called *technolects*). The research resulted in the conclusion that this leads to further changes having a more profound and diverse character: the complex process of adaptation of foreign language units in the HL on a morphological, syntax and semantic level. Semantic shifts are the result of the adaptation process, intra-lingual translation from one technolect into another or from a technolect into literary language and colloquial speech and vice versa. In the first case, we have to deal with strengthening the cognitive aspect of a literary language and in the second, the appearance of colloquial

units like phrasemes or set phrases in the role of terms.

3. The role of non-linguistic factors in interactions between the language systems

Most of modern languages, which participate in worldwide communication, are constantly being updated to reflect the changes in the modern world. The increased amount of terminology of mostly American English origin is reflected in national languages and is due to the changes in markets and capital resources as well as the development of communication technology. While 200 years ago English was perceived as a language of international trade, nowadays it has also become a language of economy in a wider sense (including economics), as well as the language of aviation (flight control), maritime navigation (in professional and international cooperation) (Ociepka 2002: 38), politics, pop culture, electronics and many others. Taking the above factors into account, the presence of terms of English origin in Russian economic texts causes, to some extent, to 'internationalization' these texts, i.e. it makes them more understandable even for those who do not speak Russian well but are familiar with the professional terminology. Looking through the prism of rationality, the phenomenon of the inflow of English terminological verbal signs into professional texts increases their informative and communicative effectiveness. It also simplifies the activity of mass media considering linguistic diversity as one of the main obstacles to their internationalization (Ociepka 2002: 37).

The influx of new verbal signs into the Russian language is strictly connected to the system transformation in Russia, which began in the second half of the 1980s. This process considerably affected practically all spheres of life in the country, including the language. The lack of native lexical items to name the new concepts and phenomena became a serious problem for many, including politicians (Makosza-Bogdan 1994: 25). With the democratization of political life and democratic elections, Russian politicians referred to advisors (or spin-doctors) of American and Western politicians. In order to encourage citizens to take part in the elections and to overcome their psychological resistance, – a result of the long-term imperative character of governmental system, it was necessary to address voters in a different language, free of ideological overtones. New terms from the sphere of the so-called political marketing and public relations appeared in the Russian language of politics (Makosza-Bogdan 1994: 25), words such as *консенсус*, *легитимность*, *либерализм*, *люстрация*, *федерализация*, *лидер*, *лобби*, *коррупция*, *инновация*, *индустриальное общество* etc. Mass media – mostly press and television affected the increase of foreign notions and terms in the Russian language.

Some processes and psychological changes taking place in the environment of young people were an important factor and aided the new phenomena and concepts to take root. The language of youth is always an interesting piece of material not only for linguistic research. Branch offices of Western companies were keen to employ young educated people as they were open-minded and easily adopted Western corporate models and standards. For instance, in the 1990s new young managers not only adopted the principles and mechanisms of Western businesses but also the language of corporate business. In the advertising business in particular, these young people were mostly responsible for the particular Russian language of advertising, which thanks to the vast number of terms, most of English origin, has become transnational, which can be illustrated by the following terms: *баннер* (Eng. *banner*), *биллборд* (Eng. *billboard*), *бренд* (Eng. *brand*), *воблер* (Eng. *wobbler*), *креатив* (Eng. *creative*), *лайтпостер* (Eng. *light poster*), *призма-вижн* (Eng. *prismavision*), *сити-формат* (Eng. *cityformat*), *сэндвич-мен* (Eng. *sandwich man*), *хард постер* (Eng. *hard poster*) etc.

Original Russian terms in terminological systems satisfied their semantic function. Moreover, thanks to their domestic origin they not only sounded familiar but also were also understandable to the majority of recipients (Makosza-Bogdan 1994: 15). However, in the period

of economic transformation in the 1990s, concepts which had till then been expressed with native familiar-sounding terms were replaced with foreign equivalents; this was because Russians perceived them as obsolete and belonging to the previous economic and political system. New loanwords were considered to better reflect new phenomena in the life of the transforming country. Thus, for example: товарообмен ° бартер (Eng. barter), страхование от потерь ° хеджирование (Eng. hedging), долгосрочное пользование ° лизинг (Eng. leasing), платежеспособность ° ликвидность (Eng. liquidity), подписка на акции ° андеррайтинг (Eng. underwriting), даритель ° спонсор (Eng. sponsor), управление сбытом ° маркетинг (Eng. marketing), руководитель ° менеджер (Eng. manager), квалификационная оценка ° рейтинг (Eng. rating), посредник ° дилер (Eng. dealer) and others. Since a borrowed verbal sign was more precise in determining concepts (coming from a different reality together with the new phenomenon), it was perceived as more professional and quickly adopted in developing professional circles in Russia. For example, the whole banking system in Russia has changed – as a result, an increasing number of new terminological signs have entered the lexicon of bankers. Among these signs, there are a lot of loan words as well as many calques: дисконт (Eng. discount), овердрафт (Eng. overdraft), овернайт (Eng. overnight), валютный корридор (Eng. currency corridor), мусорные облигации (Eng. junk bonds). In the 1990s it was banks (and bankers), among others, that played a crucial role in introducing new signs of English origin into Russian, which made them a kind of “linguistic window to the market economy” (Быкова 2000: 3). Taking part in the process of the internalization of banking systems involved the adoption of specialized dictionaries and lexicons of banking terms, the majority of which derive from English such as: варрант (Eng. warrant), голосующий траст (Eng. voting trust), дилинг (Eng. dealing), форвард (Eng. forward), рычаговый кредит (Eng. leverage buy-out), андеррайтинг (Eng. underwriting), кредит-скоринг (Eng. credit-scoring) etc.

Psychological factors also need to be considered. The question of users' like or dislike in relation to a language, specifically to its native speakers, is formed under the influence of political, social, ideological, economic and sociological factors, e.g. the adoption of western political mechanisms during the process of transformation in Russia; changes in social sphere, which is connected with adopting principles of liberal economics etc. English was and still is fashionable as is the American lifestyle portrayed in pop culture. Western values and institutions appealed to people from other cultural circles because, in their eyes, they were seen as the bedrock of Western power and wealth (Huntington 2004: 139-140).

In an increasingly inter-linked and globalized world, scientific achievements are quickly adopted throughout the world, thereby technical and scientific progress has had an impact on the development of terminological systems. The crucial element of the technical and scientific revolution is the transfer of information, a process that nowadays has reached an unprecedented level. Due to the increasing pace of life – in most spheres of human activity – the time needed for the creation of a new terminological sign as well as the process of its occurrence into the HL and its adaptation has become ever shorter. Both these factors – the ease of entry of a borrowed term into the HL due to modern channels of communications and the pressure of time – result in the fact that borrowing remains the easiest and the most effective means of sourcing new means of nomination. There is also a third factor; as Philin (1977: 22) points out, nowadays the role of linguists in creating terms is unfortunately marginal because the process of their coining and spreading may sometimes have a spontaneous character, without any scientific (linguistic) approach. Therefore, the job of translators and editors, responsible for the introduction and circulation of new terms, like синдром рассказа сказок (Eng. story telling), головная компания (Eng. headquarter), внутрокружной перевод (Eng. Intra-District Transfer), дистанцирован-

ное финансирование (Eng. arm's length financing) is so important.

The occurrence of English terms representing different fields of science in different languages (including Russian) should come as no surprise. For many years, the United States invested vast sums of money in science and held one of the leading positions. While the countries of the post-Soviet bloc were undergoing transformation and economic crisis in the 1990s, the United States took advantage of the brain drain to recruit scientists from research institutes that were facing decline and lack of funding. Today more emigrants than indigenous Americans work in scientific laboratories in the U.S. (Mary Madeiros Kent 2011). It is not surprising therefore that the vast majority of terms in the Russian language (and sometimes whole terminological systems of advertising, computing, marketing, controlling) are of English origin, including the inventions that these terms define.

Many terms have been incorporated into the Russian language together with the concepts invented by their authors, economists, practitioners and theoreticians. These terms usually occur in texts translated from English or American scientific magazines, which describe new phenomena in Western economies and appear with the name of the author, often in the form of a calque. An example of this which has appeared in the Russian language of economy is *чёрный лебедь* (Eng. *black swan*), together with its notion, from the author Nassim Taleb (2007) in his book *The Black Swan: The Impact of the Highly Improbable*; another term *поиск политической ренты* (Eng. *political rent seeking*) – was coined by Ann Kruger (1974) but the phenomena was mentioned first by Gordon Tullock in 1967; the term *экономика бюрократии* (Eng. *economics of bureaucracy*) was created in the theory of William Arthur Niskanen (1994). In a similar way, many terms from the field of new institutional economics were incorporated into the Russian language. This economic perspective has been developed in the U.S. and nowadays enjoys its heyday, inter alia in Russia, where it has been incorporated into the university curricula and widely published (Stankiewicz 2007: 29). Hence the following examples: *отбор худших* (Eng. *adverse selection*), *обеспечение выполнения прав собственности и контрактов* (Eng. *enforcement*), *моральный риск* (Eng. *moral hazard*), *зависимость от предыдущей траектории развития* (Eng. *path-dependency*), *высшая из функционирующих организаций* (Eng. *supreme going concern*).

The increase in the number of terms of English origin in the role of internationalisms is connected with the appearance of new concepts, objects or phenomena that are similar for many countries. The similarity between words, reflected in the semantic proximity of words and word combinations in modern European languages is based on the development of “international semantics”, and as a consequence “the national form of words in many cases reflects international content” (Zhirmunski 1936: 200). The tendency to the internationalization of semantics emerges in the sphere of scientific and technical terminology, which is connected with the progressive integration in different spheres of sciences and technics. The special character of terminology, as a language system expressing special concepts, is because having a ‘national’ form, is intended to be international in its content, due to the inclusive character of the development principles of science and technology (Volodina 1993:6). A similar tendency can be observed (especially in the last three decades) in the case of economic terminology, which includes more and more internationalisms (which are actually Americanisms) and reflects new phenomena in economic life. As an example, the term *аутсорсинг* (Eng. *outsourcing* – *outside resource using*) which is in the early stages of adoption into the Russian language.

The unification of terminology makes the reading of specialized texts simpler and results in a more effective and faster exchange of information. The contemporary Russian language belongs to the group of languages that include a large quantity of internationalisms. In 1972, Valery

Akulenko observed (86) that already in the 1930s, the Soviet Union terminology was developing towards internationalization, whereas, at the same time Czechoslovakia tried to find and create domestic equivalents or words based on domestic derivation. The same occurred in Canada – English terminology was replaced by French (Superanskaja et al. 1989, 4). The number of terms of foreign origin in the Russian language increased significantly at the turn of the XX and XXI centuries due to changes resulting from political and economic transformation. The Russian language still remains under the influence of the Western European region, with the greatest influence from English and French. The common proto-form in Latin and Greek, connecting internationalisms, allows them to be understood by users of many languages. As a result, a Russian acquainted with the English language can understand, from the context, the meaning of the verb *to transform* (*трансформировать*), *to coordinate* (*координировать*), *to corrupt* (*коррумпировать*), even if they are unaware of the existence of appropriate international English nouns (Akulenko 1972, 35-36).

Two or three decades ago, before the spread of globalization, the difference between borrowings and internationalisms was clearer. Borrowings appear as a result of the contact between two languages, while internationalisms are the result of mutual interference of languages in a much broader perspective, which is reflected in the international coverage of their meaning. Several linguists considered that internationalisms derived from Latin or Greek and were created on words from these two languages; therefore, they are deprived of homeland (Akulenko 1972: 37-38, Budagov 1971: 38). However, from the perspective of the last couple of decades the theory that internationalisms are mostly from words of Greek-Latin origin, has to be verified. Thus, the role of internationalisms (or – according to the terminology introduced by Akulenko – language universals) increasingly fulfill the words of English origin, mainly Americanisms. The majority are units (mainly nouns and their derivatives), which proto-form derive from Greek or Latin. However, most language users will identify them with the English language (in its American version), which is primarily a consequence of non-linguistic factors. Many linguists mentioned the English-American origin of internationalisms, e.g. Leonid Krysin (1998), Margarita Kitajgorodskaja (1996), Halina Rybicka (1976) and others.

4. Linguistic changes as a result of interactions between the language systems

The interaction between language systems, triggered by linguistic and non-linguistic factors, results inter alia in variety of the borrowed forms into the HL³. The offered approach considers borrowings to be a much wider phenomenon, not limited to loanwords, which seems much more interesting from the point of view of language functioning and development. Owing to this, it is possible to observe the diversified adaptation mechanisms of the new borrowed units as well as the phenomena accompanying these processes. Therefore, as a result of borrowing the linguistic changes comprise the following units:

- phonetic borrowings – new combinations of sounds which are untypical for the HL, like e.g. *-ейдж* like *блокейдж* (Eng. *blockage*), *-адж* like *бадж* (Eng. *badge*), diphthongs *-ау* like *аутрайт* (Eng. *outright*) or *-ей* like *гринмейл* (Eng. *greenmail*).
- morphological borrowings – morphemes like e.g. suffix *-инг* in words like *даунишфтинг* (Eng. *downshifting*), *баинг* (Eng. *buying*) which becomes productive in the HL word-formation: *костюминг*, *дачинг*, *клубинг*, *отдыхаинг* (slang).
- loanwords – entire verbal units which appear in the HL both in their form and meaning,

³ Due to the limitations imposed on the size of the article, I have to confine the linguistic changes mainly to semantic loans, actually omitting the problem of phonetical, graphical and morphological adaptation as well as derivational changes in the HL.

e.g. *бизнес* (Eng. *business*), *аутсайдер* (Eng. *outsider*), *ноутбук* (Eng. *notebook*);

- semantic loans – the process of borrowing the semantic meaning from the SL to the already existed word in the HL. It results in broadening the range of its meanings – the already existing verbal sign in the HL (equivalent to the word in the SL) is to a certain extent ‘contaminated’ with additional meaning, which it didn’t have so far. As the examples may serve the stock market terms like *бык* (Eng. *bull*) and *медведь* (Eng. *bear*); the political terms *ястреб* (Eng. *hawk*) and *голубь* (Eng. *dove*), and their derivative adjectives *ястребиная* (*политика, позиция*) (Eng. *hawkish politics, position*) and *голубиный* (Eng. *doveish*). Already in existence in the Russian language, the word *банк* (Eng. *bank*) (Witalisz 2007:27) has broadened its meaning and collocability which resulted in new set phrases like *банк данных* (Eng. *data bank*), *банк спермы* (Eng. *sperm bank*), *банк крови* (Eng. *blood bank*), *банк-корреспондент* (Eng. *corresponding bank*), *банк-мост* (Eng. *bridge bank*), *банк оболочка* (Eng. *shell-bank*), *банк-спонсор* (Eng. *bank sponsor*), *банк-трейдер* (Eng. *bank-trader*), *банк-эквайер* (Eng. *bank acquirer*).

The adjective *эпический* (Eng. *epic*) exists in Russian with two meanings “of, relating to, or having the characteristics of an epic” (Merriam-Webster) or the bookish meaning “majestically calm”, like “speaking with epic tone”. Nowadays we can often come across the meaning taken from English “extending beyond the usual or ordinary especially in size or scope” (Merriam-Webster) or extremely large or good (Cambridge dictionary) (e.g. *epic traffic-jams – Сегодня просто эпические пробки в Москве*), which is not considered correct in Russian.

Another example can also be the adjective *драматический* (Eng. *dramatic*): 1. “of or relating to the drama” (Merriam-Webster); 2. suitable to or characteristic of the drama (Merriam-Webster). Because of the influence of English, we can observe an additional meaning, which is not typical for this word in Russian: striking in appearance or effect (e.g. *dramatic grow – [...] это приведет к драматическому росту цен на услуги связи*) (Merriam-Webster), which is not considered correct in Russian as well.

- word formative calques – the result of translation the structural pattern in SL. They can be: 1) full, like *бритоголовый* (Eng. *skinhead*), *трудоголик* (Eng. *workaholic*), *лизингополучатель* (Eng. *leaseholder*); 2) partial, like *промывание мозгов* (Eng. *brainwash*), *наружка* (Eng. *outdoor*), *постепенцы* (Eng. *gradualists*).

- syntactic or structural calques – especially phrases borrowed from SL by literal translation, like *отмывание денег* (Eng. *money laundering*), *эффект стоптанных башмаков* (Eng. *shoe leather effect*), *ценовое плато* (Eng. *price plateau*). The last term may serve as an example of quite unfortunate copy of the whole structure which sounds awkward in Russian, especially in newspapers headlines: *Цены на жилье в Минске: это дно или плато? Все разговоры о выходе нефти на «новое ценовое плато», [...]*. Now the calque with the element *плато* is also used in the technolect of sport (*тренировочное плато* – Eng. *training plateau*) and medicine (*эффект плато* – Eng. *plateau effect*).

- phrasal calques – translation of idiomatic phrases and set expressions. Some time ago the English phrase: *a skeleton in the cupboard* was translated into Russian as a hidden secret: *семейная тайна*. Now it mostly exists as a calque: *скелет в шкафу*. Similarly, the English phrase *Fat cats*, which was previously translated into Russian as *денежный мешок, толстосум* (*sack with money*), now exists as a calque *жирные коты*.

5. Conclusions

The meaning of a sign reflects the way in which its users perceive this definite element of reality (Witalisz 2007: 29). In order to understand this, the study of linguistic changes in the form of new signs from the perspective of the interaction between language systems contemporary

global phenomena will help to determine the ways in which the borrowings appear in the HL, the reasons for this phenomenon and its consequences as well as the stages of their further functioning in this language.

The interdisciplinary approach to research on borrowings has many supporters among researchers of this language phenomenon. One of the eminent researchers of loanwords in the Russian language, Leonid Krysin, considered that research into the process of language borrowings should be conducted within the context of political, economic, social and cultural conditions – in other words: taking into account non-linguistic factors, on which this process closely depends (Krysin 1968: 9). In turn, according to Uriel Weinreich, a strictly linguistic approach to research into language contacts has to be combined with a non-linguistic approach to research into bilingualism and the phenomena connected with it (Weinreich 1979: 26).

Thus, the principle of considering references, links and applications in the global and civilizational context should be applied in research into special type of signs that are borrowings. It can support the traditional lingual analysis and help to discover the new meanings, new connotations and their roles in different contexts.

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**FROM THE SESSION
“TO FIRST, TO
SECOND, TO THIRD”**

SOUNDS, SIGNS AND HEARING: TOWARDS A SEMIOTICS OF THE AUDIBLE FIELD

Ivan Capeller

Universidade Federal do Rio de Janeiro (PPGCI/UFRJ), Brasil
ivan.capeller@eco.ufrj.br

Abstract

In what ways the study of sounds and of the audible field allows a reevaluation of questions regarding C. S. Peirce's semiotics and its implications to the philosophy of language? This essay is an attempt to rethink the relationship between the mimetic and the semiotic elements of language through a research on how the process of hearing relates to sounds and meaning. To draw a map of the audible field, one must follow Peirce's triadic logic (Peirce 1975) in a double articulation of Jacques Rancière's three political orders of sensitivity (ethical, poetical and aesthetical; Rancière 2004) with Michel Chion's three ways of hearing (reduced, causal, semantical; Chion 2005). Peirce's three logical categories (firstness, secondness and thirdness) enables numberless triadic combinations between ways of hearing, orders of sensitivity and the signifier's operations. The audible field unfolds itself according to the following partition: a) reduction to the ethical dimension of a strict regulation of its own volume and pitch variations; b) representation according to mimetic criteria of causal attribution of sounds to its supposed sources; c) linearization into a signifying sequence of organized coded sounds. The final result is a semiotic understanding of the audible field as an organized gap between sounds and signs.

1. Introduction: theory of language and audible field

The purpose of this essay is to rethink the relationship between the semiotic and the mimetic elements present in every language through a set of questions raised by the audible field; what do sounds and hearing may tell us about the correlation between language's codification and semantization processes and the different social forms of seeing things and speaking about them?

The traditional duality that has been established between the verbal and the visual fields (or between the order of the images and the order of the words) not only silences the presence of

sounds and the role of hearing in semiotic non-musical processes, but also overlook completely the innumerable possibilities of inter-semiotic translation inherent not only to the verbal discourse's sphere, but also to all kinds of synesthetic phenomena in which words, images and sounds get together in order to provide some sort of (un)codified meaning.

The audible field finds itself fissured into three distinct possibilities of organizing the experience of sounds that are correlated to the three Peircean categories of phenomenological experience: thirdness is correlated to a semantical hearing capable of activating the required *interpretants* for a verbal or musical message auditive decodification; secondness relates to causal hearing inasmuch as sounds can act as traces or indexical marks of the supposed presence of its real or imaginary sources or *objects*, be them visible or not; and firstness correlates to a special mode of hearing in which the listener's attention is reduced to following the free floating amplitude and frequency variations of sounds (its *representamens*) in their random modulation and environmental propagation.

The correspondence between Chion's three modes of hearing and Peirce's three categories shapes semiotics of the audible field that allows for an understanding of the way the generative component of verbal language covers up this field almost entirely through the invocation of semantical hearing. Nonetheless, the audible field presents a high rate of semiotic instability and a synesthetic mimetic potential capable of acquiring unpredictable counter or post-significant properties. When it doesn't find itself completely tied up to orality and verbal meaning, or to the visual field through different synchronic effects, the audible field is the most resilient counter-significant factor of cognitive disruption: a cry is always a condemnation of orality's ability to convey articulated reasonable speech, as well as a dissonance can always be heard as an open stance against musical harmony while noise is often posited as the last desperate possible opposition to a disquieting silence that gaze sometimes upon the visual realm.

Thus, the formulation of a theory of language articulated to the audible field must rely upon a theory of *mimêsis* understood not only as a supplementary element of meaning, but also as a social process that calls for a cultural and political regulation on a supra-semiotic level of analysis. We find the principles of such a theory in the threefold distribution of the sensible conceptualized on Jacques Rancière's *Politics of Aesthetics*. Despite his traditional emphasis in the visual and verbal aspects of the arts and dimensions of language, the audible field can be constantly eavesdropped in Rancière's three modes of distribution of the sensible under the form of a contradiction: unpredictable bodily sounds (moaning, crying, sighing...) are generally considered as noisy destroyers of the rational order brought in by articulated speech through words (and regulated by the arts of oratory and rhetoric), but, when inscribed in a choreographic collective and social order, organized sounds are able to synchronize the citizen's body to the *Polis'* law and offer a political and cultural alternative to theatrical mimicry and its simulacra.

2. Semiotics of the audible field

By criss-crossing Chion's three modes of hearing with Rancière's three ways of distributing the sensible, we can deepen up and amplify the mapping of the audible field already sketched above through Peirce's semiotics. Applying recursively Rancière's three regimes of distributing the sensible to Chion's three modes of hearing in a conceptual cross-fade operated by Peirce's three phenomenological categories of existence, we have obtained a semiotic diagram of the fissures of the audible field that can be read either vertically, beginning with the three modes of hearing, or horizontally, through its three distinct audible regimes:

<i>Audible Regimes/ Modes of Hearing</i>	<i>Reduced hearing (1^a) Representamen</i>	<i>Causal hearing (2^a) Object</i>	<i>Semantic hearing (3^a) Interpretant</i>
<i>Ethical Regime</i> of modulation and propagation of sounds (1 ^o).	<i>Sound Objects:</i> Variations of frequency, phase and amplitude of sound waves (concrete and electroacoustic music).	<i>Voice as Object:</i> <i>Vocalization</i> , phonation, intonation (phonoaudiology, psychoanalysis).	<i>Modal music:</i> Noises, timbres, languages (étiquette, sociology, anthropology).
<i>Poetic-Mimetic Regime</i> of codification and representation of sounds (2 ^o).	<i>Audio Signals:</i> Recording, editing and mixing sound tracks (radio, cinema and television).	<i>Voice as Chant:</i> Epics, lyrics, dramatics (recitals, poetics).	<i>Tonal music:</i> Genre, styles, authors (rhythm, melody, harmony).
<i>Aesthetic Regime</i> of dissemination and interpretation of sounds (3 ^o).	<i>Sound Tracks:</i> Atmospheres, art installations, sound machines (sound effects and sound design).	<i>Voice as Speech:</i> Diction, prosody and accent (linguistics, elocutionary).	<i>Discourse:</i> Enunciation, persuasion, interpretation (oratory, rhetoric and hermeneutics).

Table 1: Semio-logics of the audible field.

In the present diagram of the audible field and its fissures, sound and language are articulated around voices, music and a variety of different types of noise that may emanate from a certain ambience – real or imaginary - or not. That is the same threefold conception of the audible field commonly used for any movie sound pre-mixing of its tracks, precisely called by sound mixing engineers as *D, M & E* (Dialogue, Music & Effects). This does not mean that sound for cinema techniques should be necessarily considered as a consolidated new paradigm capable of thinking the audible field in such a satisfactory way that it could eventually replace musical paradigms with all its insufficiencies and anachronisms. It means, rather, that sound movies, as well as the musical avant-garde movements of the 20th century, have not only explored the limits of the audible field in its full Peircean sense, but have also presided over an unprecedented, never heard before process of expansion and dilation of the audible field towards unsuspected aesthetical frontiers; and while sound cinema has built itself around the practice and experience of new possibilities of hearing, the *avant-garde* musical theory provided the knowledge and the concepts, related to this expansion of the audible field, that allows it to be mapped by applying an approach that is simultaneously semiotic and aesthetic.

The most basic layer of reduced hearing is referred to an ethics of modulation and propagation of sounds that encompasses apparently distinct problems and phenomena – from the laws against excessive noise ambience to problems concerning the common right to free public speech. Reduced hearing is the result of a phenomenological reduction of the audible field to its own variations of sound amplitude, frequency and phase, as perceived by a human ear as volume, pitch and placement (spatial localization) information, in a pre-significant layer of sound objects that, considered as pure *quali-signs*, were only uncovered and charted by last century's concrete and electroacoustic musical researches.

Audio signals are sound *representamens* deprived of any codified formal relationship between themselves. As *sin-signs*, they already lead the audible field towards secondness inasmuch as reproduced sounds are always experienced as imaginary doubles indicating a correlated supposed real source or cause. Its particular potential for noise and nuisance (based on its electrical amplification through public speakers) calls for codified practices of modulation, broadcasting and amplified reproduction, and its possible interpretants are the physical properties of a sound considered in itself: frequency and wavelength (*emotive interpretant*), volume sensation

and relative sound intensity (*energetic interpretant*) and its own waveforms analyzed as such (*intellectual interpretant*).

The art of shaping and reshaping sounds through analogic and digital audio signals came to be known in certain cinema circles as *Sound Design*. Although partial and limited, the possibilities of an aestheticized reduced hearing related to the meaningful semiotic functions of Peircean thirdness, are linked to auxiliary signifying roles of high mimetic expressiveness and efficacy played by certain sounds, be them musical or not, in a huge variety of narrative genre and/or staged shows: theatrical plays, movies and animated cartoons tend to offer a wide range of articulated sound effects (from Foley sounds of an almost graphic character to incidental soundtracks, ambiances and sound atmospheres or soundscapes) – that are not organized and presented as an autonomous code of representation, but as auxiliary *legi-signs* that may be replicated to collaborate with the generation of a meaning mainly conveyed by visual and verbal processes.

Nevertheless, for an expanded semiotics of the audible field, the most important feature commonly displayed by sound films and sound design techniques is the need to synchronize sounding voices to a moving body or lip's image. Far from being only a technical trick or effect, *lip-sync* reveals the central role played by the voice as a privileged object of hearing. Voice is the causal object of human hearing inasmuch as our own physiology of audition demonstrates that our ears were shaped and are sharply tuned in to listen to the whole frequency range or *spectrum* of human voices in the most pitiful acoustic or otherwise perceptive conditions. So, inside and outside cinema, voices are the most important object for the human hearing and not only for cognitive reasons related to Peircean thirdness; and although causal hearing can be related to an infinite number of possible sound objects, its main goal is to relate to a human voice in at least three different ways: iconic, indexical and symbolic.

Voice as an object is linked to pre-significant, ethical questions related to its *iconic* qualities. Its immediate objects refer to the flowing vocal variations (modulation, intonation, vocalization) studied by phonoaudiology; silence as a sound object can be considered one of its most eloquent audible statements. Its dynamic objects belong to the realm of psychoanalysis and are of course in need of incessant interpretation. "Cries and Whispers" (as in the homonymous Ingmar Bergman movie) can be considered as iconic opposite signs that delineate the borders of this particular field of sound objects.

Voice as chant is the most important sound object regarding the relationship between voice as an object and language. Precisely in-between the mimetic-expressive element of language and a fully codified semiotics, either musical and/or verbal, chant is probably the most universally stable sound object of the audible field, for there is no culture in which the vocal function is not strongly marked by sound indexes related to its timbre and tuning. In the intersection between causal hearing and the possible ways of poetically articulating sounds and voices into language and meaning, the complex phenomenon of orality arises precisely as ethnomusicological lyrics whose immediate object is the singing voice as a synesthetic passage from the audible to the verbal that keeps a strong mimetic-expressive and visual power. Its dynamic objects include the huge variety of lyrical and poetical ways of combining music and speech through verse, and Aristotle's threefold division of the epic, the lyric and the dramatic forms of *mimêsis* is the first intellectual attempt to synthesize their possible *interpretants* into a unified systemic *Poetics*.

Voice as speech is the central object of causal hearing in its third, *symbolic* layer. Its immediate object is language as such, considered as an abstract code, and its dynamic objects are the non-discursive components of speech embedded in the sound materiality of voices. A less semantic and more aesthetic mode of hearing a speaking voice does not pay attention to the meaning of its discourse and its multiple possible interpretations, but rather focuses on its elocution-

ary, trying to situate, in a socio-cultural level, a given speech through its symbolic, linguistically organized, characteristics: its diction, prosody and accent.

Singing and speaking voices are sound objects that reach the limits of the audible field to intermingle with the visual and verbal fields through language. Metaphors understood as poetic images, for example, are at the core of this process, since they aren't generally pure visual or verbal forms of expression, spreading out mainly through oral (and audible) social resonance. But the audible field is also capable of generating autonomous codes of expression, called in our culture "music". The concept of semantical hearing may thus cope with a semiology of music as well as with a semiology of the verbal languages (or linguistics): understood as "a pure combination of sounds", without any other reference to visual and/or verbal signs, music is an artistic discipline traditionally linked to the influx of a well-established poetic-mimetic regime and under the influence of a highly semantical hearing. The history of music shows how difficult was the process of establishing an autonomous poetics of the audible field, for most of the so-called modal music is still entirely comprised by a specific cultural ethics that provides the audible field its proper forms of expression, generally related to verbally transmitted myths and/or to gesturally (and visually) performed rites. The iconic firstness that primarily informs this kind of music is of course what gives it its ethnic folkloric flavor, while its culturally regulated ethics is what tends to maintain the audible field's strong mimetic sensory qualities in a state of permanent repression. Musical ideas are only Peircean *rhemas* at the first cognitive stage of semantical hearing, still subordinated to a given set of verbal and visual expressions and having its *interpretants* outside the range of the audible field: a certain culture's *étiquette* and politeness' rules may configure a first set of *emotive interpretants* of a given piece of music: its appropriateness for different social occasions, the type of emotions that cultural convention wants it to supposedly convey, the great or lesser social prestige of a particular style of music in a specific society, etc. A second set of *energetic interpretants* would configure a whole sociology of a specific genre or kind of music, describing as completely as possible its socio-cultural context, depicting its historical development and stating its proper place in the history of music. *Final interpretants* would belong to a general anthropology of music whose main three goals would be to provide a full overview of the history of all types of music, to formulate a general theory of sounds and music (as in Pierre Schaeffer's *Traité des Objets Musicaux*) and to provide a closure to the audible field by demonstrating its final correspondence with the verbal and visual fields.

The obvious impossibility of a such a final interpretant of the audible field demonstrates, *a contrario*, the structural necessity of the fissures and anachronisms between the history of music and the history of literature and of the plastic arts: last creation of the classical 17th century poetic-mimetic régime, tonal music is in the very edge of the aesthetical regime and it is adequately situated, in our diagram, in this intersection. As an autonomous, self-referential system, it offers a representational image of a possible final interpretant of the audible field and, as such, allows for a complete development of pure musical ideas as sound organized propositions or *dici-signs*. There's no doubt that, in pure musical terms, thirdness can be thought of as the triadic relationship between rhythm (1^o), melody (2^{oa}) and harmony (3^{oa}), and these elements act recursively as music's own internal interpretants, unfolded into its emotive interpretants (rhythms), energetic interpretants (melodies) and intellectual ones (harmonies). Nevertheless, tonal music does not have to be considered, in this diagram, as the final and exclusive interpretant of Peircean's thirdness in the audible field.

Last but not least, semantical hearing's most celebrated cognitive achievement is our ability to follow oral discourse and listen to a given set of *arguments*. This is the most abstract and verbal spellbound layer of the audible field: oratory, rhetorics and hermeneutics are related to

its emotive, energetical and intellectual interpretants. Although highly regulated and controlled in its synesthetic expressive capacity, the mimetic element of language often permeates verbal discourse through numberless correspondences - sensuous and non-sensuous – unforeseen by the code or language in use: homophonies, puns, lapses, cacophonous sounds and undesirable rhymes unveil to us on a daily basis how language, amongst cries, whispers and arguments, resonates and amplifies the ever present fissure that is carved between sounds, signs and hearing.

3. Conclusion: cries, words and whispers

So, what does the diagram of the audible field may tell us about the general relationship between language, sounds and images, as well as about the tension between the mimetic and the semiotic elements in every signifying process? While the first question raises a set of problems related to aesthetics understood as a theory of plastic arts and literary genre, the second one is primarily related to issues regarding the possibility of an epistemological paradigm capable of providing a conceptual synthesis between the theory of language and the theory of knowledge. In the short scope of this article, we will be able only to hint at some preliminary hypotheses concerning these two questions.

For the aesthetical research in general, the main improvement brought by semiotics of the audible field is the conceptual dislocation of the traditional duality between the verbal and the visual fields of expression and its no less traditional description as a pair of complementary opposite (convergent or divergent) poles. Unveiling sounds as the excluded middle of words and images - a theoretical possibility unforeseen by Rancière's aesthetics – allows the crossfading and criss-crossing of all kinds of poetical genre codifications and stylistic models based on a supposed matrixial primacy of the verbal codes over the visual ones (or *vice-versa*) and points towards a better understanding of the synesthetic processes at work in the phenomenon of language from its very start, thus establishing the conceptual foundations for an all-encompassing aesthetical paradigm based on the primacy of mimetic material hybridizations over its subsequent decanting and distillation into poetically codified particular forms of art and expression.

This hypothesis of a semiological primacy of the mimetic element of language over its properly semiotic element can also lead to a complete reshaping of our epistemological prejudices about the relationship between language and thought. This becomes possible because, through the semiotic mapping of the audible field, it gets easier to demonstrate how verbal and musical third-order symbolical codes may arise from the more fluid and sensuous second and first-order signifying articulations already at work when voices and sound objects happen to be heard. The great scientific challenge of finding a conceptual ground to deal with the diachronic problem of the origins and evolution of language as well as with the systemic analysis of its synchronic structures, therefore, can be solved only outside the realm of verbal grammar and structural or transformational linguistics, for its secret lies in kinesthetic and synesthetic layers of intra-semiotic hybridizations that can be historically traced and semiotically described only through a speculative grammar (as in Peirce's semiotics) capable of mapping all possible meaningful articulations between sounds, signs and images.

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THE WEIRD INDEXICALITY OF CLIMATE CHANGE: SIGN INTERPRETATION FROM INSIDE A HYPEROBJECT

Miranda Alksnis
Independent scholar
miranda.alksnis@mail.utoronto.ca

“Has it started yet? How far in are we?”
- Timothy Morton

Abstract

A common example of an indexical sign, a plume of smoke, indexes the physical, proximal existence of fire. The relationship between smoke as a sign and the fire as referent, thus, exemplifies the conventional criteria for indexicality; in contrast, hyperobjects, non-local objects, massively distributed in space and time permeating or encompassing other entities violate these understandings of indexicality and push against the limitations of conventional sign interpretation. With reference to the theories of Charles S. Peirce and the work of Timothy Morton in *Hyperobjects* (2013), and taking climate change as the prime example, this paper explores the difficulties of interpreting hyperobjects when their indices are nonlocal, shifting, and sometimes in direct contradiction. Rhetorical reliance on unidirectional and exclusive indexicality wherein a single plume of smoke points only and unequivocally to the existence of a local fire permits the disavowal of climate change altogether, and serves as the ground for backward and counterproductive climate change policies. If climate change is a fire in need of extinguishing, a re-imagining or reformulation of indexical sign relationships is required to allow for the successful and productive interpretation of its indices and effects. I will explore ways in which indexicality can be made “weird” and expanded to accommodate hyperobjects, entities for which a linear and rigid definition of indexicality permits the conclusion that climate change does not exist.

1. Introduction

Sign interpretation poses one of the greatest obstacles to dealing with climate change, and the problem stems from its status as a *Hyperobject*. Hyperobjects, as coined by Timothy Morton

(2013) in his eponymous book, are non-local objects massively distributed in both space and time, permeating and encompassing other entities. These objects pose an interpretive challenge, as conventional understandings of indexical sign relations—which index presence, and thus ontology—are complicated by hyperobjects’ non-local, chronologically/physically extended, and phasing qualities. This paper explores semiotics’ possible contribution to the problematic of interpreting climate change indices, bringing Posthuman theory to bear on the science of sign interpretation. I suggest a collective or hyperobjective semiosis, and outline some of the human and non-human coalition required to index climate change. Finally, I compare two examples of climate change indices: one, which leans on the limitations of individual humanity and indexical signs to deny the existence of hyperobjects, and another, which symbolizes a practical collective semiosis of hyperobjects.

2. Peircean indexical signs

Albert Atkin (2005) offers a useful and concise summary of indexicality and recent scholarship on this category of Peircean signs. Indexical signs differ from iconic signs (which have a resemblance-based relation to their object) or symbols (which have a law-like, historical, or arbitrary relation to their object), though the categories almost always overlap to some degree. In order to constitute an indexical sign, there must be some manner of physical connection between the index and its object, which “suggests the presence or existence of the object”. And in so doing, indices neither describe nor explain their objects; they “assert nothing” about an object (Atkin 2005: 164), only point to it. As such, the pointing finger is a prime example of an indexical sign: the finger neither describes nor explains the object, only indicates its local, physical existence. Another different example of an index would be that of smoke and fire—the plume of smoke indexes the physical, local presence of a specific conflagration.

Pierce’s criteria for indexical signs contains the claim that indices exist independent of, and possess their characteristics irrespective of, any interpreter or imperative to interpret. On a practical level, this criterion allows for indexical signs to include signs not intentionally constructed to signify (Atkin 2005), like unintentional smoke and fire, or the symptoms of disease. But on a surprisingly existential note, this criterion also implies that indexical signs “index” ontology—that they signify by virtue of signaling the actual existence of stuff. There is no smoke without fire: if the index exists, and its connection to its object is proven, then its object exists as well. Pierce also specifies that indices gesture toward a particular and specific (“individual”) object. Therefore “if a sign... is an index of many objects, the nature of the index-object relationship means that we treat the collection of objects as an individual.” An example would be a hovering helicopter denoting the presence of a traffic jam, not any specific cars within the individual object “traffic jam” (Atkin 2005: 165).

3. Indexicality and climate change

This becomes an interesting problem when the existence of an object’s indices is in question. In the case of climate change, studies were commissioned by the U.S. Government into the consequences of CO₂-induced warming as early as the 60s, and scientific consensus as to the deleterious effects of global warming had coalesced by the mid-90s (Oreskes and Conway 2012). Therefore if the indices of climate change exist, and have existed for over 20 years outside of our interpretation of them, why is the existence of climate change still contested to this day, and why does the human collective have such difficulty interpreting its indices?

Indexical sign interpretation is a fundamental of human phenomenological experience; our world itself is composed of indices of presence. Jacob von Uexküll's theory encapsulates this vision of indexicality; an entity's perceived world, or *Umwelt*, is composed of perceptible 'meaning-carrier' objects, which have signification for the individual and constitute the totality of the individual's perceptual world. "Umwelt" is the world as constituted through any single perceiving entity's experience. Any object which has no relevance or significance of the individual constitutes a 'Neutral object' and is excluded from the individual's *Umwelt*. Uexküll offers examples of 'meaning-carrier' objects which are exclusively local, consisting only of those things which the individual has direct physical or perceptual interaction with, such as rocks, trees, or knives (Uexküll 1982).

Indexical sign interpretation represents the extension of an individual's *Umwelt* beyond the immediate objects of physical interface. If smoke is perceptible, there exists somewhere a fire which, no matter how remote, may have great significance for the sign's interpreter. Thus my *Umwelt* consists of those objects of my direct experience, as well as any relevant objects whose existence is indicated to me by indexical signs.

4. Hyperobjects

Semiotics' focus on sign interpretation typically allows semioticians to skirt the issue of ontology, an approach that is perfectly encapsulated by the concept of *Umwelt*. But Pierce's ontological criterion for indexical signs positions ontology as an unavoidable feature of indexicality, which requires support from a recent strain of ecological philosophy.

Posthumanism is the constellation of disciplines attempting to de-center the human and reduce the anthropocentric nature of western philosophical engagement with the world. One branch of posthumanism, Object-Oriented Ontology, asserts exactly this—that the non-human intrudes so heavily on the human 'foreground' because hyperobjects (and all non-human entities) are autonomous, active agents which exist in their own right. Recent posthuman theory posits a genre of object that disrupts traditional theories of indexicality and worlding. Hyperobjects are objects extended in space and time at a scale nearly unfathomable to humans. They permeate and span vast spatial planes; for example, climate change spans the entire earth, and encompasses human beings, animals, and environments. It is this nonlocal quality that Morton says is indicated by one's inability to "point to" global warming, as it both is and is not in any one place (Morton 2013).

A rising sea level in one Florida town is an index of changing climate, but it is not the only index of climate change; a Californian drought is the antithesis of sea level rise or increased precipitation from hurricanes, and yet in tandem these opposing indices point toward the same object, invisible, yet overlapping and distinct. Hyperobjects such as climate change can be composed by multiple other objects in completely distinct places, and that take opposite and contradicting shapes. For this reason, the task of diagnosing climate change's indices is rife with complications: "this is a crisis that is, by its nature, slow moving and intensely place based. In its early stages, and in between the wrenching disasters, climate is about an early blooming of a particular flower, an unusually thin layer of ice on a lake, the late arrival of a migratory bird" (Klein 2014: 138). Here Naomi Klein describes the weird indexicality of climate change—the disconnect between local, experiential phenomena and the enormous, slow-motion present and future disaster they index. Thus the difficulty of interpreting hyperobjective indices resides in the space between Peirce's concepts of secondness and thirdness, the relationship between the observable real and the knitting of data points into a pattern.

Further complicating the relationship between indices and their respective hyperobjects is their massive chronological extension: 75% of the effects of climate change will manifest in the

next 500 years, meaning that an overwhelming majority of the object in question exists only in the future (Morton 2013). The hyperobject is hidden in space and time, even as it currently enfolds us: consider the soundtrack to the 2010 film *Inception* as a musical analogy for an individual's immersion in hyperobjects. Venturing deeper in levels of reality, rapid-fire human actions take place amid the eerie, stretched trumpet rhythms in Edith Piaf's "*Non, je ne regrette rien*," transformed into unrecognizable ambient atmospherics by the scalar difference.

5. The psychological problem of hyperobjective perception

What is it like to dwell in the stretched and massive space between trumpet articulations? The epigraph for this paper, taken from Timothy Morton's work of the same name, perfectly encapsulates the interpretive and ecological problem of hyperobjects: "has it started yet? How far in are we?" The question echoes the desperation of interpreting indices from inside an object that can't be seen in its entirety, and expresses the near certainty that the object exists, tempered by the inability to properly perceive its indices and thus its immediate effects, scope, and exact relationship to individual scale. As with the *Inception* soundtrack, it is difficult to determine the nature of the hyperobject, its size, and where one resides within its vast finite chronology.

This scalar problem of indexical perception might be best presented by an American sign: in response to claims that 2014 was the hottest year on record, U.S. Senator Jim Inhofe famously produced an intact snowball on the senate floor as proof that this was not so—in other words, argued that the winter outside the door repudiated climate change. (Bump 2015: n.p.) Though clearly rhetorical, this device is a form of proof—a proper, local, uncomplicated index—that cannot take the stand for climate change. Climate change *cannot* be locally, individually, or entirely indexed, only accepted on faith precisely as a result of the hyperobjective nature of its indices.

See the following methodological example: while I employ the term "Climate Change" to reflect the diverse and conflicting indexicality of hyperobjects, Morton insists on the term "Global Warming". He does so precisely because global warming, the very gradual rise of *average* global temperatures to the current tune of at least 2°C, is an object that risks being erased or discounted by particularities within it, such as a dip in local temperature in Washington D.C. This example clearly illustrates why we fail to index hyperobjects: their indices are overshadowed by local, perceptible phenomena. Humans are rarely in a position to perceive phenomena like slight statistical changes in local temperature, let alone perceive global averages. The confusing trouble of hyperobjective indices is that, in Morton's ingeniously posthuman phrasing, "we cannot help but fail to see such high-dimensional entities when they are plotted [through direct experience]" (Morton 2013).

6. Climate data and statistical analysis

Climate change and other hyperobjects are indeed available to humans through statistical analysis and aggregated climate data, suggesting a scientific solution to the semiotic problem. Moreover, in their book *Merchants of Doubt*, Naomi Oreskes and Eric Conway (2012) conclude that the key to collectively indexing climate change is for laymen and the media to heed the scientific establishment and peer review process, which can reliably plot global warming. But the scientists and researchers featured in the book failed to realize that their rhetorical opponents formed a *part* of the very object they were observing. A handful of influential, anti-communist scientists spread disinformation on climate change and other post-cold-war public safety issues, and in so doing permitted extractive emissions to increase uninhibited by legislation for another 20 years. A sizeable fraction of the object global climate change consists of the future emissions and

consequences of those emissions directly resulting from these men's actions. So in a crucial way, climate scientists were unable to perceive the entire object they were studying. This anecdote suggests that the issue of hyperobjective semiosis cannot be resolved through statistical and scientific analysis alone.

7. Locality and “sacrifice zones”

As a practical example of locality threatening our perception of hyperobjects, “sacrifice zones” refer to areas of the earth that are permitted to be destroyed in the pursuit of extracting resources demanded under capitalism. For centuries, western nations have offloaded the physical, emotional, and ecological consequences of capitalist consumption on poorer nations, and in so doing maintained a separation from the harmful consequences of their lifestyles (Klein 2014). This stacking of isolated worlds permitted the denial that the nonlocal and the chronologically vast can stick to us, implicate us, and be a piece of us. Sacrifice zones provide the background for the foreground of western neocolonial business-as-usual—for the family vans, the iPads, the rolls of toilet paper. But “like an oil spill... the sacrifice zones created by our collective fossil fuel dependence are creeping and spreading like great shadows over the earth. After two centuries of pretending... We are all in the sacrifice zone now” (Klein 2014: 272). Morton describes this breakdown of foregrounding, of separate worlds, as follows: “hyperobjects are what have brought about the end of the world. Clearly, planet Earth has not exploded. But the concept world is no longer operational, and hyperobjects are what brought about its demise” (Morton 2013: 14). This end of the passive nonhuman background has come about by exposing the inextricability of localities.

8. Umwelt in the age of hyperobjects

The semiotic disruption of passive backgrounding has consequences for the concept of Umwelt. A hyperobject's indices often consist of neutral objects, precisely those objects that are invisible lumps to the Umwelt. For perhaps a majority of people, climate change is now considered a real and present object, and yet the vast majority of its indices continue to constitute neutral objects when considered from the perspective of direct experience. As such, certain highly relevant objects, entities, and signs are systematically omitted from individual phenomenology. The individual, subjective scale—the Umwelt—is perforated and invaded by “neutral” objects taking revenge. Neutral objects—a news article on distant rains, candy wrappers, an awkward conversation about the weather, the lessened presence of bees, snow in June, and all the other scattered and uncanny indices of the hyperobject global climate change—are intruding on our settled world. In this way, hyperobjects are the repudiation of Umwelt. The indices of hyperobjects such as climate change slip into relevance and back out again. These kinds of indices and objects frustrate because they simultaneously are and are not relevant, are and are not present for interpretation.

In *the Natural Contract*, Michel Serres (1995) uses Francisco Goya's painting *Duelo a Garrotazos* to explain the stakes for interpretation of the neutral nonhuman background under conditions of ecological collapse: “Invisible, tacit, reduced to a stage set, [the nonhuman world] is the objective common enemy” of the human rivals (Serres 1995). And while Serres' adversarial metaphor is gleefully anthropomorphic, it makes a necessary point about the consequences of identifying the climate as a “neutral object” or background. A further, Lithuanian artistic example might be the appropriately-titled M.K. Ciurlionis' painting *Finale*. Part of a trio of paintings titled *Sonata Of the Sea, Finale* could present the cognitive moment directly following that dramatized in Goya's painting, as the dueling ships come to realize that their vast and placid

stage set has turned against them, and as they finally turn (perhaps even moments too late) to devote attention to—and interpret—the true active nature of their background.



Figure 1. Goya's *Duelo a Garrotazos*

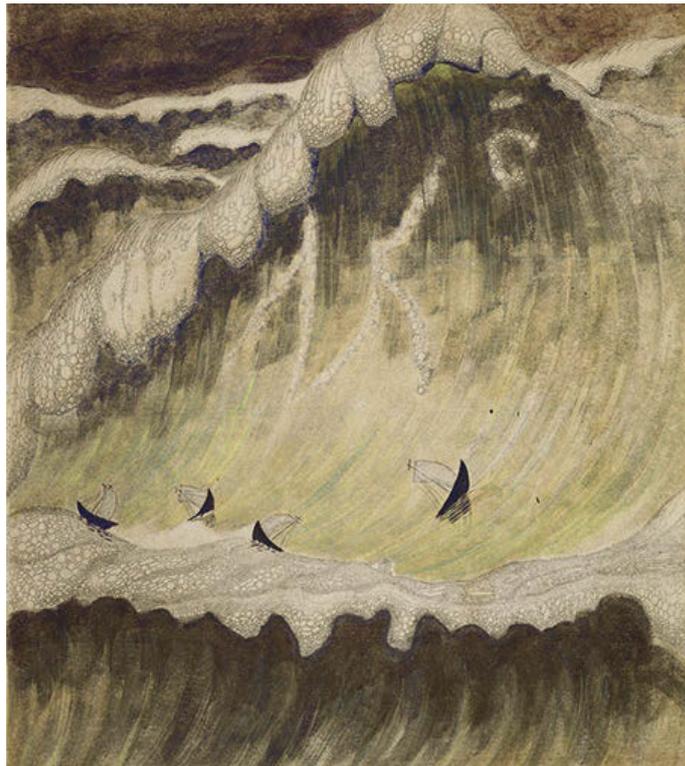


Figure 2. M.K. Ciurlionis' *Finale*.

9. Collective semiosis

As regards the interpretation of the indices of global climate change, the failure is a hyperobjective one. Because they are non-local objects, and we are local creatures, the apparatus, which can interpret hyperobjects must be a hyperobject itself: a communal semiosis is required. To use Sebeok's term, the "total perceptual equipment" (Sebeok 1975) for perceiving hyperobjects is most

of humanity. Sign interpretation from “inside” a hyperobject, then, is a mischaracterization—the only hyperobjective semiosis is semiosis by hyperobjects, for hyperobjects. To respond to the threat posed by a hyperobject it must be acknowledged that we are hyperobjective agents and interpreters, and that the object cannot be ‘thought’ individually. To deny the hyperobjective nature of climate change, to deny that we are inside hyperobjects, or to deny that we (humans, nonhumans, living/nonliving alike) necessarily compose the instrument that can perceive them, is to wait and watch hyperobjects assert themselves, and take revenge on each and every component of the perceptual apparatus. A collective semiosis is required to adequately perceive, interpret, and respond to the threat posed by global climate change.

In *The Natural Contract*, Serres (1995) describes the shape of Europe as a wave, “visible at night from orbit as the biggest galaxy of light on the globe”, and claims “the decisive actions are now, massively, those of enormous and dense tectonic plates of humanity” (Serres 1995). I might add that the tectonics of humanity are not those of humanity alone: the lights which index the human hyperobject in Serres’ metaphor are infrastructural non-human components of that same object. This “plate” of humanity and nonhumanity serves as the collective sensor for hyperobjects such as climate change.

10. Case study: two American signs

Inhofe’s snowball represents a rejection of the collective semiosis this paper advocates: desperately, literally grasping the local as a denial of that which is nonlocal, vast, permeable, and shifting. In contrast, Indigenous North American anti-oil activists recently worked to produce a very different, hyperobjective sign during the course of their fight against oil companies. Members of the Lummi Nation carried a totem pole 1,300 km from Washington State to the Otter Creek Montana home of the Northern Cheyenne, performing ceremonies at each stop on the journey. In so doing they connected the disparate local effects of oil extraction—compromised air and water quality, damage to settler ranchers’ and indigenous subsistence alike, and disruption of ancient burial grounds—to the object climate change and to a larger tectonic object that underlies the life that would be threatened (Klein 2014). The Lummi have subsequently extended their symbolic journey as far as Manitoba, Canada, traveling further afield to trace the outline of a hyperobject, recognizing and nurturing historical and geographical connections, and consolidating the scattered indices of the larger object they face and of the object they stand to protect. And in 2016, two years after the publishing of Klein’s book, the interpretation and action represented by this vast and communal sign accompanied tangible results; the Lummi nation celebrated the cancelation of a coal export terminal on their land (Tamayo 2016: n.p.).

11. Conclusion

The example of the hyperobjective sign drawn by the Lummi Nation encapsulates the unique stakes and difficulties of theorizing the environment, an endeavor that “is necessarily... an effort to inhabit a difficult space of simultaneous critique and action” (Heise 2016). Moreover, precursor to both critique and action is the process of semiosis or sign interpretation, which thus has consequences for whether successful environmental interventions are identified and carried out. These findings suggest a need for more scholarly enquiry into the ontological implications of semiotic theory, and a need for a semiotics that engages with the unique semiotic challenges of the Anthropocene—problems of scale, chronology, and subjectivity epitomized by the hyperobject climate change.

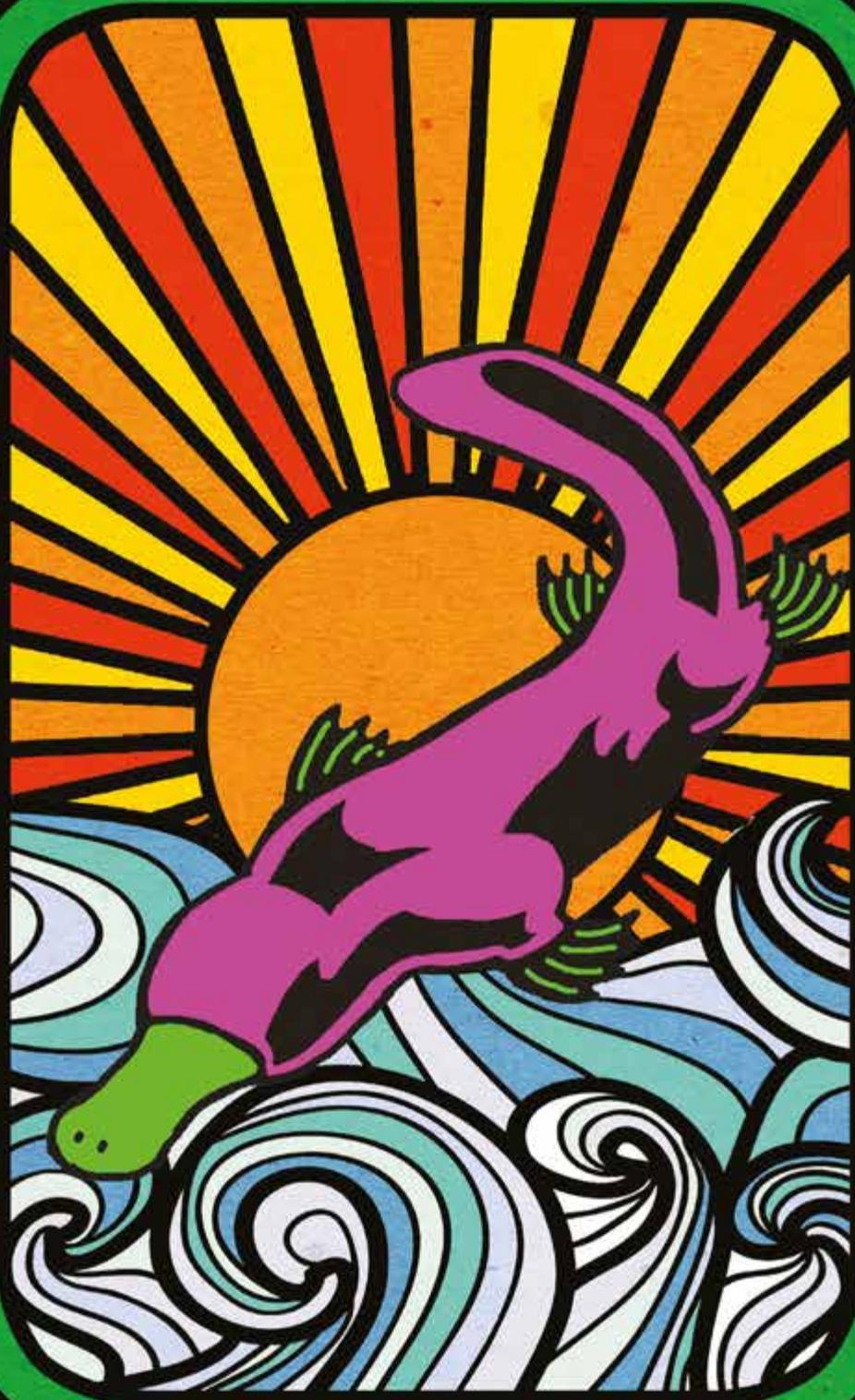
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Research Center in Architecture and Architecturology (CRAAL)
Lausanne, Switzerland
icar-aise@bluewin.ch

Pierre Pellegrino

Research Center in Architecture and Architecturology (CRAAL)
Lausanne, Switzerland
pellegrini@bluewin.ch

Abstract

With a code the designer tries to communicate his own world view, but in a given time, dominant forms are models; they are reproduced, with variations in different spatio-temporal contexts. When conceiving an original project, the designer imagines a network of relations, including virtual, by chaining architectural elements in a new way. Invention is then nothing else than a transformation of existing codes by different operations such as derivation or hybridization of models.

In this presentation, it is so a question of highlighting the economy of forms into architectural codes. We will do that analyzing classical works, in different contexts. But, to deal with the meaning of space as resulting from a project, from a projected modeling as an intention to make sense, this paper address also contemporary forms and processes.

1. Codes and articulations of language

Following works of André Martinet, Luis J. Prieto (1966) proposed to distinguish codes that contain signals which only give notifications, where the signified corresponds to the noetic field, from codes that contain signals giving a significant indication. He then distinguished codes further according to the mechanisms of economy they use, or are governed by, presenting or not presenting the first or second articulation and having a full or partial second articulation. Finally, in the same book, he proposed to distinguish codes containing or not containing mechanisms, which allow the adaptation to circumstances, and application with a certain style.

Because of the double articulation of the language, the human being can express orally infinity of things and emotions by the means of a limited number of sounds and units of meaning. The first articulation set in relation units of language endowed with meaning, words or parts of words; these units are all endowed with a vocal form and a meaning, each one can express something else within a different context.

The first articulation of the language concerns only the function of the language, that is to say it is useful to give an indication. There are some codes that do not present the first articulation (that results of a division in units of expression endowed with meaning), but only the second one, as for example the alphabetical code (the letters do not have any meaning). The second articulation is composed of the '*minima linguistic units*' lacking in meaning allowing the constitution of the words. By the means of certain phonic features, we can obtain a lot of words, every word having a different meaning.

Being a question of words or spaces, the question of the articulation is then fundamental, it is worth for the economy that it brings. It interests us in the constitution of the architectural language where it is directly related to the syntagmatic composition of the meaning units. A work in the artistic creation, as a word in the act of speech, cannot be reduced to the code that has produced it. There are necessarily space and time. Prieto shows that circumstances are indices of space and time that supplement the meaning given by the word in the pragmatic communication. He also shows that in the artistic creation a work of art is an icon of space and time. The manipulation of that icon, like any other act, unveils the implicit; it is registered in a dialectic of being and appearing. It is registered in a space, a dialectic of presence and absence, and in a time, a dialectic of before and after.

1.1. Codes and combinatory

As coordination practice, architecture implements a set of codes, some of which are combinatorial¹. A combinatorial code provides an economy, with a limited number of terms and rules; it allows conceiving an infinite number of chaining responding to different contexts. The composition of architectural elements (classes of components) follows shape grammar rules and shape style rules. While rules of chaining impose sequences of elements in an architectural composition, associations with others, absent elements, allow in a given place their substitution by others components that are instances coming from the same class of elements or from other classes related by hierarchical inference or by mereological nesting with the first one.

1.2. Codes and catalogs of forms

If, in architectural thought, it is possible recourse to catalogs and assembly of building elements ready to be composed in a project according to assembly rules, some of which are imposed by standards. Architectural creation, when it is effectively architecture, is not limited to this conformation: the normativity of the grammar of composition is deconstructed to be reconstructed by integrating unexpected but possible relationships, virtual, between forms and forces, as well as between statements of state and propositions of transformation.

The architect designs not only with the contemporary forms of human space, but also with the forms inherited from the past and with their process of transmission and reception, their representation, description and narration. He composes with codes that structure human space, not just architectural codes. He questions their prevalence in cultural habitus, their presence in different kinds of memory and their actualization in semiotic practices, rituals, returns and detours

¹ In our researches, we have formalized this kind of codes towards a conception assisted by computational intelligence, parametrizable geometry, logic and computable reasoning (Pellegrino, Jeanneret et al. 2012).

of symbolic forms. Thus, architecture implements a set of codes, several of which are its own, but others do not (Eco 1973). It can therefore proceed by hybridization, decomposition and re-composition of acquired models, dissociation and association of their features to make them the components of new models that it proposes (Pellegrino et al. 2010). In this way, the architectural project, by semiotic interactions and manipulations, integrates models or derives contextual codes.

1.3. Code and generativity

A generativity endowed with a grammar can be found in the passage from “deep” forms to “superficial” forms, in the passage from a “content” that would be universal to an “expression” that would be peculiar in an architectural work. Several researches tried to show that this generativity is to be sought in a formation at several levels of the meaning of the object of architecture; some have sought to grasp it in registers of forms, from tectonic and bioclimatic forms to plastic forms (Levy 2003). It remains to be understood whether this generativity and the grammar which regulates the passages between levels form objects with complementary traits defining themselves at levels of structures that remain included or, on the contrary, if they modify successively and in a loop at each level the set of traits of each object. In one case, the articulation between the planes can remain arbitrary, in the other not, since changes then reverberate from one level to the other, one becoming the “expression” of the “content” of the other.

2. Schemes and design process

Schemes manifest concepts and structure images; even before using a vocabulary and transforming elements of memory, the project thus puts forms into action that allow the architect’s intuition to be creative. These forms are first schematic and intuition generalizing, because architectural creation is an intention to unify a world of objects in a project.

			Space Time			
			Scheme of intuition			
	Concept		Presence – Absence Beginning– End		Image	
Induction Abduction			Scheme of action			Assimilation Accommodation
			Movement – Resting Beats -Repetition			
	Sign of form		Scheme of perception		Rule of form	
Paradigmatic			Imprint – trace			Syntagmatic
		Elements	Scheme of composition	Measures		
	Lexicon	Point, line, plan, volume, ..	Course – Position	Regularities, Rhythms,...	Syntax	
	Dictionary	Circle, triangle, square, ..		Proportion, Scale, ...	Grammar	
		Module		Frame		

Figure 1. Formalization of the process of architectural design.

This creative process of invention can be used to articulate the architectural composition to a combinatorial form, from geometrical forms to an algebra, and logical forms to a grammar.

3. Algebra vs grammar vs logic

As algebra of shapes, we have the modes of calculation in what Vitruvius defines as basic operations of the project and characteristic of the architectural “proposition”. It is not merely the addition or subtraction of forms, with or without entanglement or crossing, nor of simple repetition or serialization (rhythm, eurythmia), or even of multiplication (product, power) or division (proportion), but the true calculation of a combinatorics, of arrangements (taxi) and dispositions (diathesis), of permutations or reversions (symmetry), of associations in tours and detours, allowing to conceive distributions of the parts of projected space into a unified whole.

Algebra	Grammar	Logic
continuities vs discontinuities	juxtapositions vs compositions	resemblances vs differences
number	relation	class

Figure 2. Articulations of architectural shapes.

The process of calculation operates on the discontinuities of forms, the grammar in rule of juxtapositions and permissible compositions and the logic of space classifies them by resemblance and difference. The calculation is not made on static elements, but on the number of discontinuous forms (“primitive” forms of Euclidean geometry, triangles, squares, rectangles, etc.), their placement (displacement, rotation, ...) and their transformation (addition, subtraction, ...)

3 Geometrical operations	Basic form – Resulting form
Translation	
Rotation	
Symetry	
Scaling	

Figure 3. Geometrical operations.

4. Algebraical operations	Basic form – Resulting form
• $C1 + C2$	
• $C1 - C2$	
• $C2 - C1$	
• $C1 - (C1 - C2)$	
• $(C1 - C2) + (C2 - C1)$	
• $(C1 + C2) - [C1 - (C1 - C2)]$	

Figure 4. Algebraic operations.

3.1. Variants and invariants

The variation of a form can be recognized on specific variables, on the order of the calculation logic, classificatory and inferential, as well as on numerical variables, on the order of algebraic, metric and statistical calculation. The algebraic calculation may involve variables of number, position, magnitude. It operates on their:

- Combination, arrangement, ...
- Disposition, permutation, ...
- Measurement, proportion, scale, ...

This being so, we can seek, for a given “language”, what are the invariants of the architectural conception; the invariants define a composition scheme that will then be considered as essential, universal in a design universe, whereas the variants will be taken as accidental, depending in particular on the composition in the course of the project and its context. Thus in the composition schemes are rules of imposed measures:

- proportions
- scales
- ...
- symmetries
- rhythms
- ...

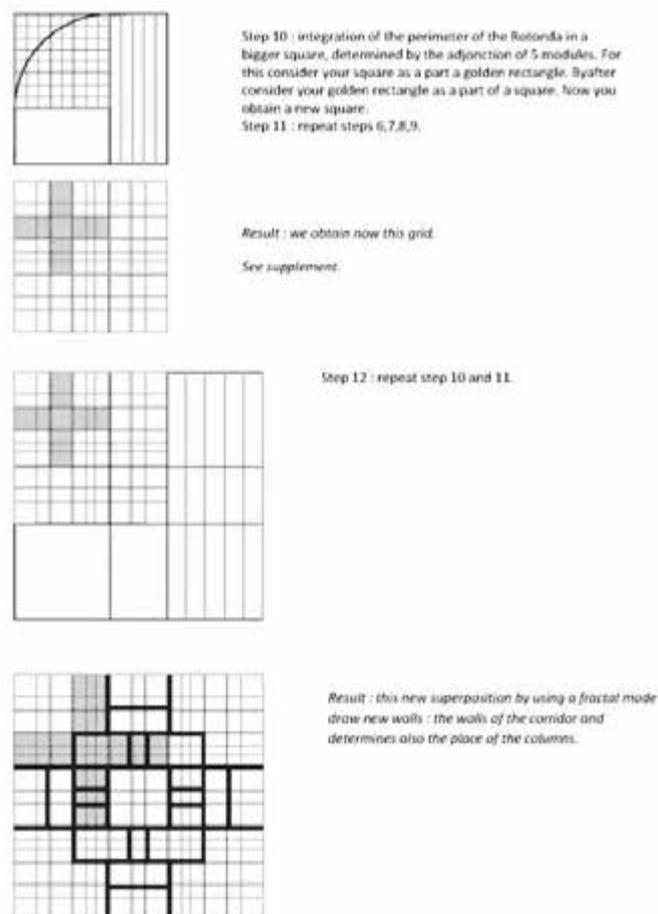


Figure 5. Composition scheme of Palladian Villas.

These rules relate to the articulations of the project, they are applied between:

- shapes, spaces, boundaries
- shapes, forces, structures
- shapes, structures, openings
- shapes, materials, lights
- shapes, materials, textures.

3.2. Grammar and geometric figures

At a first level of definition, shape grammars regulate the assembly of the elements of a building according to geometrical operations, with invariants and variants allowing the adaptability of the elements with the others in their assembly. At another level, the integration of the various elements in a whole and their organization carry out operations equipped with meaning, such as to support, to cover, to close, to open, to implant,... in a regulated sequence of components such as column, beam, cover, envelope, door, base, ..., whose assembly is not only geometrical, nor even physics or esthetics, but answers to uses and shapes, values and schemes. The schemes are pre-pending, upstream of grammars of form and of the articulation of these grammars with figures and geometrical operations. Geometric figures such as the square, the rectangle, the triangle or the circle ...



Figure 6. Geometric figures.

... cannot have architectural meaning if they are not chained in a consecrated phrase:



Figure 7. Architectural chaining.

The meaning comes from this chaining. And the very notion of grammar refers to rules of concatenation (in the verbal language: subject-verb-complement, etc.). For verbal language they are grammatical functions. In architecture, one can associate with any combination of forms one or the other of the following grammatical functions:

- to cover (protect, isolate, seal, ...)
- to support (in traction, in compression, ...)
- to bind (found, fix, chain, ...)
- to close (wrap, seal, grout, ...)
- to open (drill, connect, orient on, ...)

This gives, for example, the sole gives ground to the base, the base carries the slab, the shaft supports the capital and the capital carries the entablature, the wall surrounds the building, the bay opens the room on the garden, ... And we can find for each architecture specific rules of chaining these grammatical functions (and not only architectural elements having a geometric shape, proportions, symmetries, etc.).

3.2.1. Grammar, prescriptive and generative rules

As far as a shape grammar is concerned, it is a prescriptive as well as a generative grammar that consists in limiting the composition of the project to some of the shapes that a given algebra makes possible, by giving them a figurative foundation, anthropological as well as architectural; which removes from them the more or less superficial side that the calculation and the creative imagination of figural shapes have been able to give them. This grammar imposes not only a selection among the cut-outs and combinations that the calculation of shapes establishes, but also an attribution of value to some of the relations and the characteristics of shapes that result (good form, good proportion,...) rather than to others. The “shape grammars” that architecture can implement use one or more combinatorics, and they dispose, displace and transform “primitive” forms of a geometry, first Euclidean, then algebraic, and articulate it with logic of space defined not only by a semantic classification, but also by a reasoning, inferences (deduction, abduction, induction) that constitute a logic of propositions, a logic that the very process of the project implements.

3.2.2. Grammar and syntax

The syntax consists precisely in that the discontinuities which delimit the continuous objects of the project, different or similar, do not give rise to a simple juxtaposition of objects but to compositions of set or hierarchical subsets; it does so not only by ordering them in a unifying architectural device, but also by adding elements of transition, jointure and ligature. The grammar rules the remarkable syntagmatic groupings, endowed with meaning (e.g. base, shaft, capital, ..., pedestal, column, entablature, ...), as it constrains their association and their possible substitution in different places and at different levels of architectural composition, according to construction standards (column * entablature, pole * beam, ...) or style (Doric, Ionic, Corinthian, ...). Obviously, when there is an invention of new rules, the normative weight of the old is shaken, a new architecture thus asserts itself in opposition; whereas when it comes to imitation or transposition, it is rather old rules that are interpreted in a new way.

3.2.3. Shape grammars and manipulation of tropes, relations between parts and whole

However, if shape grammars are prescriptive, constraining choices, imposing constraints in a computation that can be algorithmic, coupled with creative logics, they are the place of tropical manipulation and persuasive innovation. Playing on analogical derivation, metonymic nesting, and metaphorical displacement, this manipulation produces an anamorphosis, a reduction or an amplification of the meaning. The relations, which are found requalified here, are redefined by operations concerning the relations between parts as well as between the parts and the whole of the composition. They are not only places of discontinuities, of connection and classification, but also of quantification, transport and comparison, in which the singular can be repeated without multiplying, and elsewhere can find itself in the here, the opposite can mean its inverse and the same can be another.

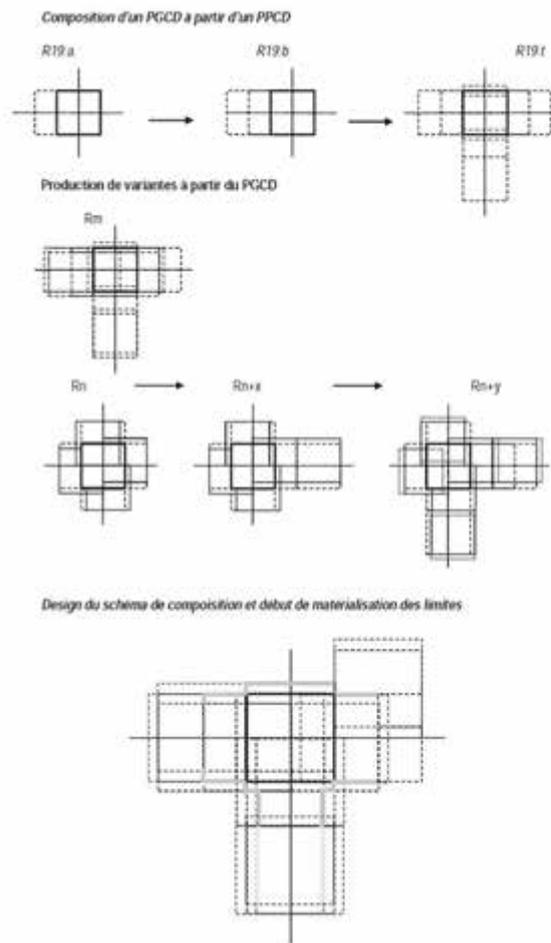


Figure 8. Generation of variants by algebra and shape grammar, by E. P. Jeanneret following F. L. Wright.

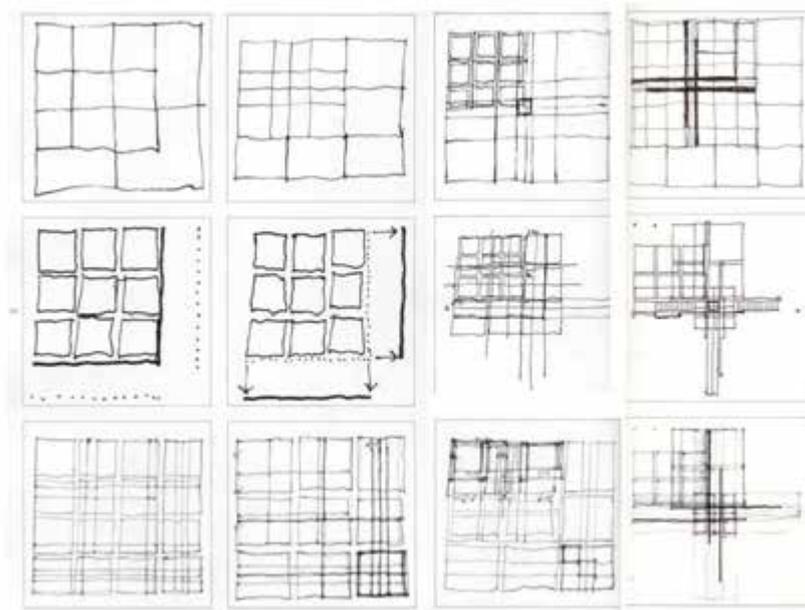


Figure 9. Peter Eisenman, Sketches for the House VI, Cornwall, 1972-73.

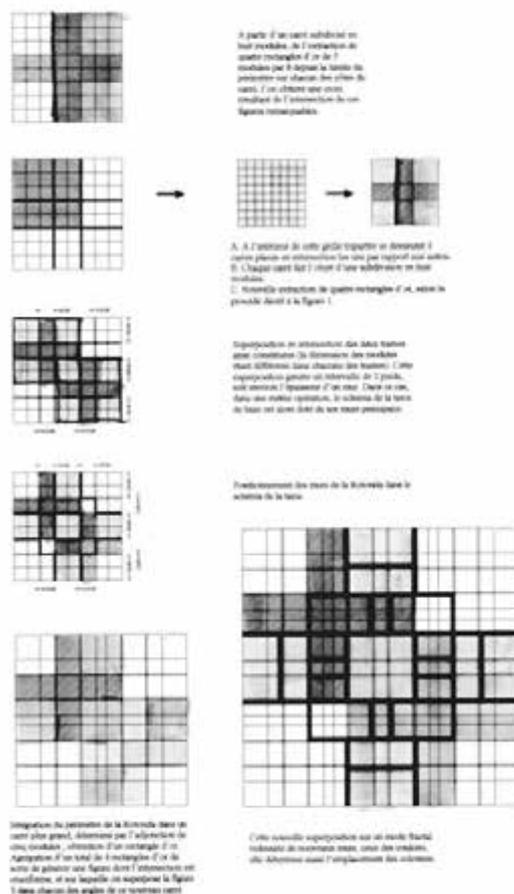


Figure 10. Generation of a composition scheme with Palladian algebra and grammar by P. Pellegrino.

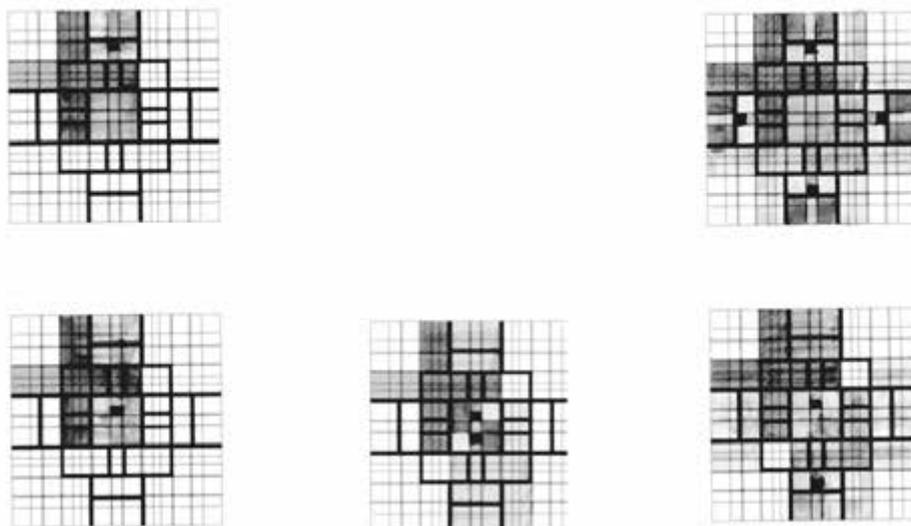


Figure 11. Transformation grammar by derivation of a composition scheme, by P. Pellegrino following Palladio.

4. Tropes, paradigmatic association and syntagmatic context

Comprising a veritable tropematic, the manipulation of these relationships will seek not only within a syntagmatic context but also outside of this context, in paradigmatic associations of forms that can make sense. The first is to transform the context of the project into a co-text, to

unify it by transforming it into an object of the project. Thus the place becomes an architectural space, the ground an implantation, the light an orientation, ..., but also history a reference, and the present an accident.

Whether in space or in time, this transformation, which is a transformation which produces meaning, decomposes and recomposes sets of subsets of parts of the project, substitutes and associates forms between them, puts them in correspondence beyond their presence and returns them to each other as echo.

This association can be defined at several levels of the project process, particularly at the level of the relations between shape and scheme, to project a concept, at that of the relations between form and figure in order to produce a meaning, as at that of the relations between form and forces to ensure an equilibrium, or that of the relations between form and function, in order to permit a use. At each of these levels, the instances corresponding to default values of the architectural codes may thus be recalled and replaced by others providing sufficient qualities for the object to be recognized as an instance of an architectural type conforming to the code of the projected architectural "language".

4.1. Style and context

An architect needs tools to formalize his style. The first tool is constituted of the context. The context will be not only interpreted by the architect in the geometrical form of a diagram, but also manifested into rhetorical figures. The physical data of the context impose constraints; it is for example a question of orientation, of the quality and of the quantity of light in the environment of the building, or also of the temperature. At the starting point, there are desires and needs that have to be satisfied in the respect of the habits and customs of a certain culture. However, without a form that opposes to constraints and gives specific responses, there is no economy possible in the architectural project, no meaning.

A second tool, useful to draw a form, is so constituted of the various geometric variables of the architectural language that, following grammatical composition rules, allows the transition from the form of the container into the form of the content of the project, from the diagram into the plan .

A third tool, useful to the style of the architect, is made of the tropes of the architectural rhetoric. He finds them by transcribing the geometrical language into rhetorical figures. In architecture, rhetorical figures allow to add meaning to a geometric assembling. Certain figures result very directly from geometric operations by which elements are set in stable relations articulating the parts and the whole.

The architect uses these tools notably by recognizing into the context regularities and module, frame and figures that have remarkable proportions and transposes these at the level of the elements composing the content of the set they compose. Thus, he designs a stable architectural composition, that is to say a composition that becomes a common denominator to different projects.

4.2. The classical semiotic order

Regardless of how the context acted on the development of form, Tzonis (1983) described the formal rules of classical architecture. According to him, three formal dimensions enter into any conception of a classical architecture. First, a 'taxis' "conceived as a normative scheme structuring the architectural space into a set of elements", splitting the building into units and sections of composition. Every classic taxis is a tripartite schema that has a starting unit, a central unit, and a final unit (which is the diagram on the right below in which a cross is cut out, the diagram on the left is the most classic expression and simple of a taxis).

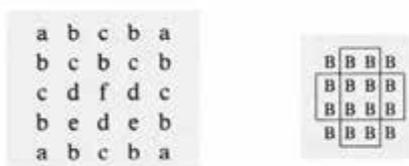


Figure 12. Basic taxis. In A. Tzonis et al. 1983, *Le classicisme en architecture*, fr. transl. 1985, Dunod, Paris.

From this scheme of the taxis, composed of five elements, a number of operations can introduce variations and complexify a composition at the outset very simple. Taxis of different shapes are then obtained.

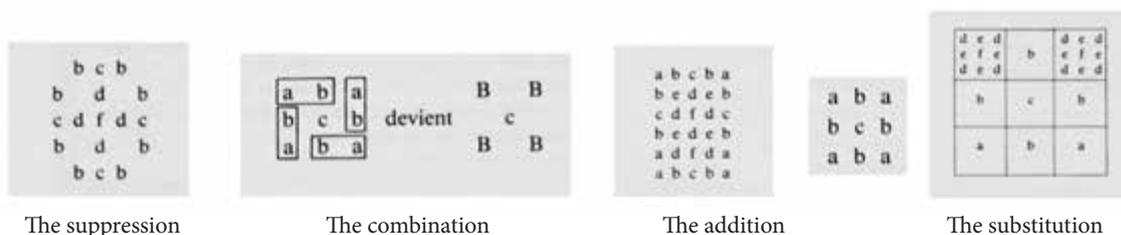


Figure 13. Examples of operations to realize variations of the basic taxis. In A. Tzonis et al. 1983, *Le classicisme en architecture*, fr.transl. 1985, Dunod, Paris.

The second invariant formal dimension in classical language concerns genres; they are conceived as normative schemas governing family relations among the architectural elements that animate the taxis” (Tzonis 1983). Genres (the equivalent of orders) “serve to fill the pre-ordered scheme according to the principle of taxis”. They are defined by the proportions on the one hand and by the ornaments on the other hand. In classical architecture, different genres can coexist in the same work. The genres follow each other according to a modulation operation; one goes from one to the other, in a vertical development, according to rules relating to their solidity. “What is common to genres is their division into elements, their formal framework, and their respect for the taxis that articulates and splits all these elements”.

In accordance with the principle of tripartition, which governs all aspects of a classical architectural composition, all types include a pedestal, a column and a beam, or a base, a shaft and a capital. Each element is redivided into three to the smallest element. The two main genres are Doric and Ionic, the Corinthian is an order derived from the first. The oldest is the Doric, it is willing to lend a male character because of its robust proportions, while the ionic would be of a feminine nature, with its slender and slim proportions and its decor.

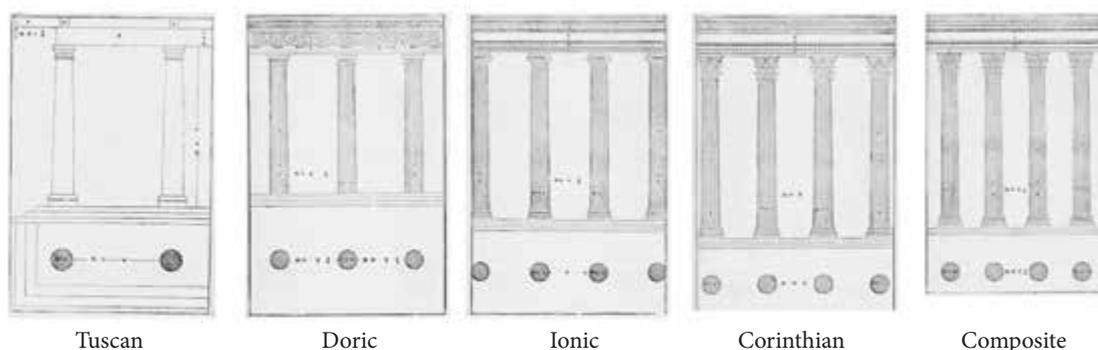
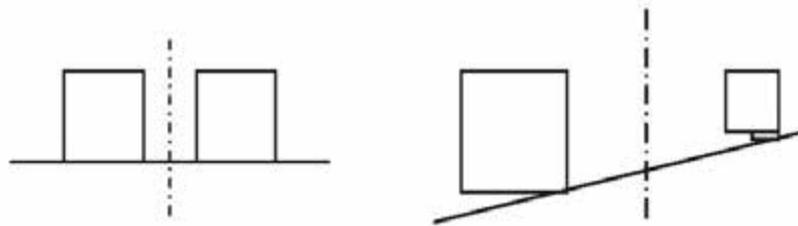


Figure 14. The five orders according to Andrea Palladio. In A. Palladio, 1566, *I quattrolibri dell’ architettura*, transl. from the original 1980, ed. Arthaud, Paris

The module of the intercolumnation is in direct relation with that of the diameter of the column, which is repeated a prescribed number of times. Palladio (1570) writes that “it is necessary to ensure that the intersections, or empty spaces, are in proportion and in correspondence with the columns, because, if we leave too much emptiness between small columns, we make them lose a lot of their appearance, the great quantity of air which is in these spaces diminishing notably their size; likewise, on the contrary, giving too little distance between large columns, this narrowness and lack of space will make them appear swollen and without grace”. The size of the intercolumnation thus depends on the orders and refers to the height of the column.



On the left: symmetric equilibrium of the parts.

Figure 15. . Schemes of a case of symmetry and one of asymmetry P. Pellegrino et al. 2012, Modelization of the project and formalization of architectural knowledge, Craal, Geneva.

Finally, the third invariant formal dimension is symmetry; it “represents the normative pattern that governs the relationships between genres in the same building, or between genres and taxis” (Pellegrino et al. 2012). Symmetry is a particular case of the moment of inertia, more precisely the case where the parts are in a perfect equilibrium ratio because each one has an equivalent weight. Thus, in a classical architecture, the way to invest a taxis can only be done in a symmetrical articulation of the parts in the whole.

4.3. Figurative patterns

Figurative patterns are composed as sets of rhetorical tropes. Whether by parallelism or by analogy, by metaphor or by synecdoche, the motif aims to strengthen the through ratios of proportion and relationships of equivalence between components, which at the first glance are different. Figurative patterns may also contribute to the meaning of the work by flouting its coherence, whereupon they bring to the very core of the composition.

Following path of polarities, contrast and oxymoron set face to face, or in opposition, similar or dissimilar combinations. *Abruptio* or *aposiopesis* disaccentuates or interrupts rhythmical motif by linking or merging it with another. Sooner or later, the effect of these tropes in inviting discussion of the coherence of the normal relationships between components invariably strengthens the overall composition of the building. Displacements, elisions, non-accentuations or breaks clash with the norms lie down, but have the reverse effect: the complex sequences of the composition are strengthened by the attention thus drawn to them.

Although oxymoron is a violation of the norm, its application always ends up reinforcing the cohesion of the whole. This is equally true of all the other architectural tropes which disturb a strict order only in appearance; a deeper analysis shows that these figures all aim at reinforcing the coherence of the sequences of classical architecture.

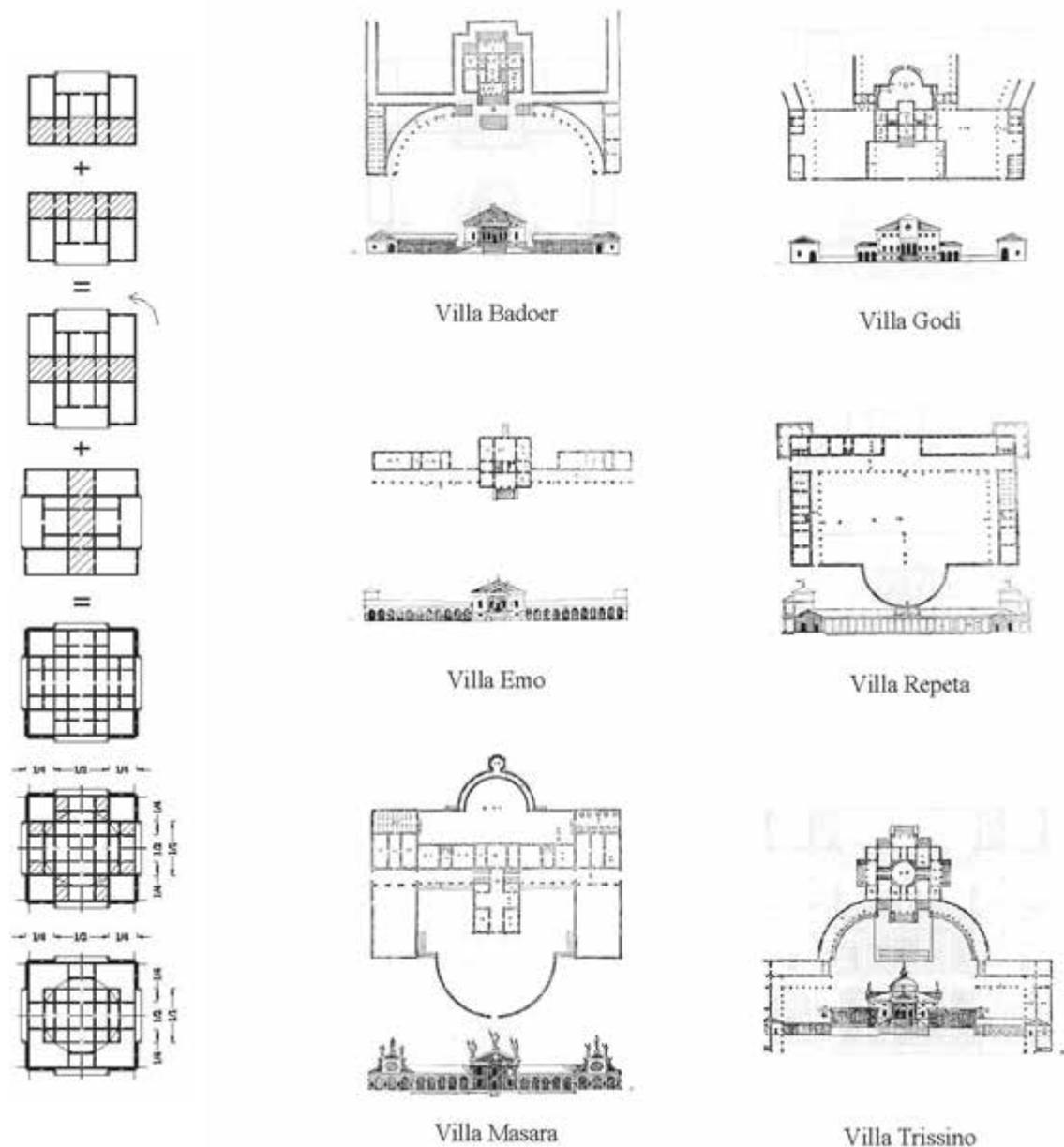


Figure 16. Generation by rotation and adjunction, by E. P. Jeanneret 2007, analyzing Palladian Villas.

Figure 17. Variations of figurative patterns and rhythmical accents in Palladio's villas, responding to different synchronic contexts, Palladio, 1566, *I Quattro libri dell' architettura*

5. Transposition and transformation grammar - Case study

The Renaissance records the ancient monuments and charts their composition patterns in the design of new buildings. As it has several sources, it is for it to find a synthesis of its different patterns. This is what Alberti undertakes by trying to grasp in each building that he analyzes “what principles he holds, in what parts he consists and delimits himself”, an overall reason for his design. Seeking to relate the composition of the particular building to a universal code, Alberti defines in the 15th century, in the *De re aedificatoria* (1485), the rules of classical language and applies them to all works. Codifying the composition, he wants to order it on a global scale according to a mode defined by a combinatory and successive interlocking and a synthesis of clear and distinct forms.

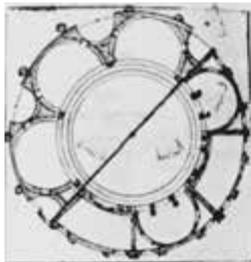


Figure 18. L. B. Alberti 1485, Rotunda Plan, illustrating the De re aedificatoria. Sketching and synthesis of the plan of the Holy Sepulchre in Jerusalem and of the Isola in Hadrian's Villa.

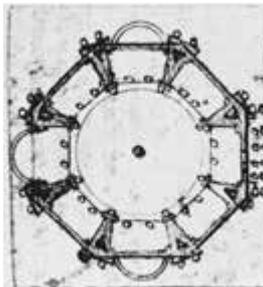


Figure 19. L. B. Alberti 1485, Gallery plan illustrating the De re aedificatoria. By homeomorphism, the same synthesis, with resumption of the octagons of the Baptistry of Florence and the central plan of the San Stefano Rotondotempio in Roma

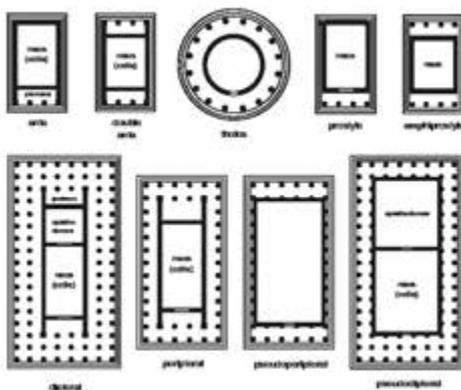


Figure 20. Typology of Greek temples, 4th century B. C. Variations of the device of the colonnades around square, rectangular or circular planes.



Figure 21. Pantheon. Roma, 2nd century, transformation by transposition and hybridization, Fragmentation and juxtaposition of consecrated types.

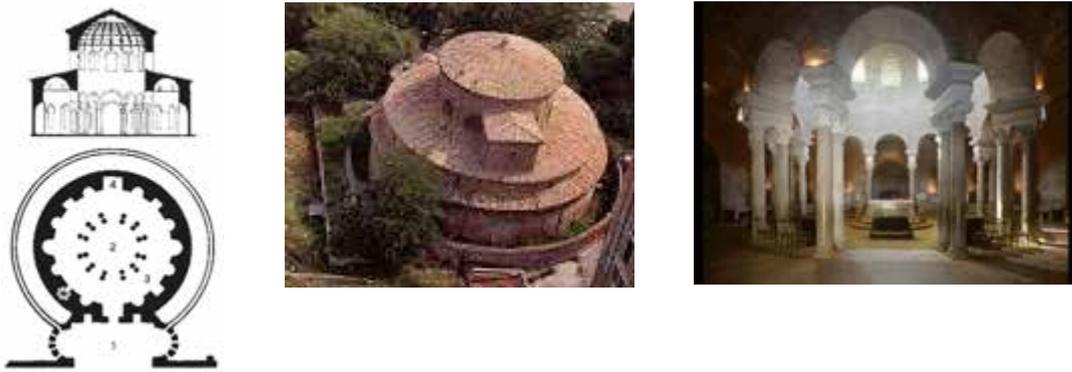


Figure 22. Santa Costanza, Roma, 4th century, transformation by splitting the envelope and inversion - inside and outside - of the position of the colonnade.

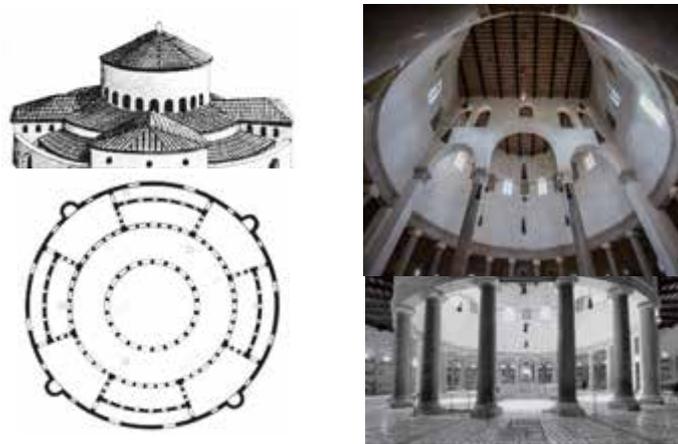


Figure 23. San Stefano, Roma, fifth century, transformation by cross-processing of volumes inclusion and intersection of type.



Figure 24. St. Irene, Constantinople, 4th century, transformation by hybridization of the basilical plane, crossing of centered circular and oriented linear plane.

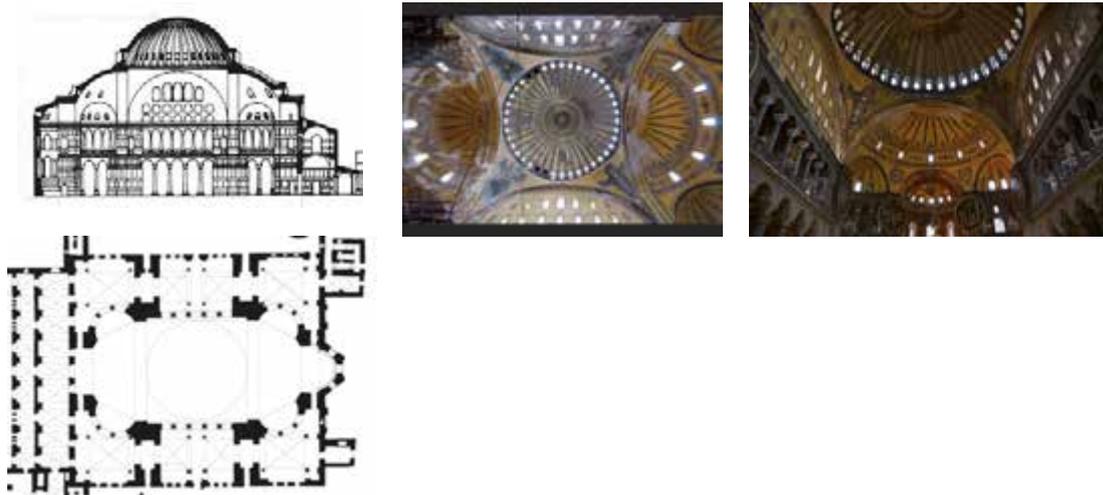


Figure 25. Hagia Sophia, Constantinople, 6th century transformation by splitting into symmetry, reversal of the Sainte Irene plan and carrying arches on the outside.



Figure 26. Byzantine architecture, Panagia, Crete, 13th century, transformation by imbrication of the circular plane centered into the plane in cross by symmetry on four sides, vertical accentuation.



Figure 27. Antonio da San Gallo he Giovane, San Egidio, Cellere (Viterbo) 1520, transformation by transposition and derivation, balance of masses, horizontal vertical, and impression of classic mode natures.

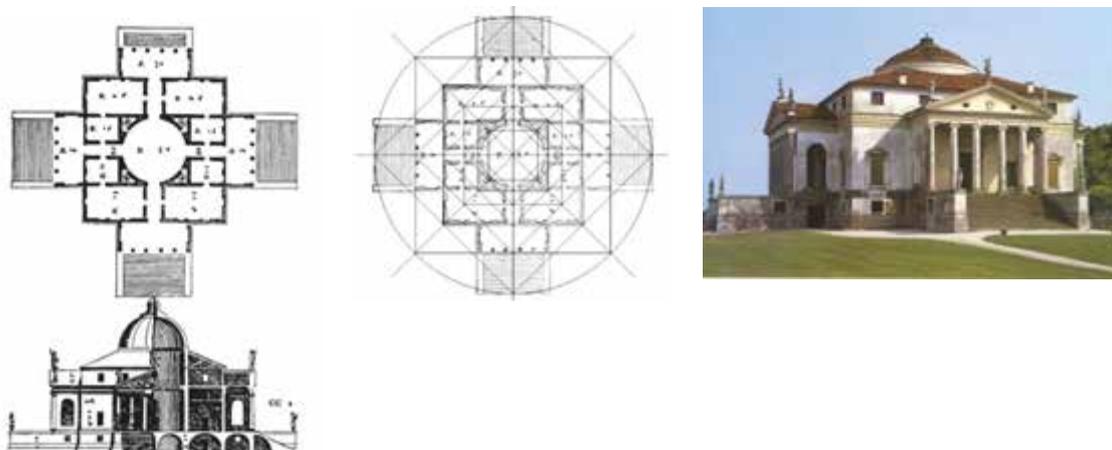


Figure 28. Villa Almerico, Rotonda, Palladio, Vicenza, 1556, transformation by extension and proportionate plan and volumes, measurement by rotation of the geometric mean of the sides, postponement of a base with stairs and classical colonnade in symmetry on four sides.

6. Synthesis

There are therefore several sets of grammars and rules that complement each other, generative and transformational: generative, crossing the various levels of articulation of the codes of the utterance, they govern the decomposition of the project into basic elements and its recomposition according to the same principle to generate a whole with a unifying form; transformational, from a constituted totality, retaining some of the invariants and variants constituting the code that governs it, redefining the dependence or independence of the selected form variables, their crossing and the transformations that may emerge, by derivation or opposition, extension or distortion, catharsis or hybridization.

On these games of generation and transformation, as composition or decomposition and variance or invariance, moving some of the parts of the projected building and their relations to the whole that it forms, rhetorical manipulations can operate to strengthen or reduce their imprinting power. The lines, surfaces and volumes that stand out on the profile of the projected building thus draw figures that have meaning in relation to other buildings taken as references for the project, transposed either synchronously in distinct geographical context, or diachronic at other epoch, tracing thus a virtual semiotics of space and time of architecture.

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CONNECTING SEMIOTICS AND CULTURAL GEOGRAPHY: A FRAMEWORK FOR THE INTERPRETATIONS OF MONUMENTS AND MEMORIALS

Federico Bellentani
Cardiff University, UK
federico.bellentani@gmail.com

Abstract

Monuments and memorials are built forms with commemorative as well as political functions. They articulate selective historical narratives, focusing attention on events and individuals that are preferred by elites, while obliterating what is uncomfortable for them. Articulating historical narratives, monuments can set cultural and political agendas. Thus, elites design monuments striving to reinforce their political power and to legitimise dominant dynamics of inclusion and exclusion. Nevertheless, individuals differently interpret and use monuments in ways elites might have never envisioned.

This paper claims that advancing the understanding of the connections between semiotics and cultural geography can be useful to explore how the built environment conveys meanings and how these meanings are variously interpreted at societal levels. To do so, this chapter develops a theoretical framework that conceives the interpretations of monuments and memorials as depending on three interplays: a) between the material, symbolic and political dimensions; b) between designers and users; and c) between monuments, the cultural context and the built environment.

These ideas are explored through a comparative analysis of two monuments in Estonia: the Victory Column, a war memorial in Tallinn, and the so-called “Kissing Students”, a fountain-sculpture complex in Tartu.

1. Introduction

Contemporary nation states create and often privilege elites. As part of the state, urban planning can be used to serve the needs of national elites (Yiftachel 1998). This is also the case for the

design of monuments and memorials. National elites have more power and resources to erect monuments and thus to present and reproduce their political and cultural meanings in space (Dwyer 2002: 32; Till 2003: 297). Hence, national elites use monuments as tools to legitimate the primacy of their political power and to set their political agendas.

This is particularly evident in transitional societies associated with regime change (Grava 1993: 19-10). In transitional societies, recently formed elites spend significant resources to shape a society's collective meanings and to establish concepts of nation in accordance with current political conditions. In this context, monuments and memorials are often used as tools to shape specific attitudes toward the past and thus to create specific future expectations (Whelan 2002; Tamm 2013; Till 2003). Nevertheless, individuals differently interpret and use monuments in ways elites might have never envisioned.

This paper shows how a connection between analytical frames developed in the field of semiotics and cultural geography could contribute to a better understanding of the multiple interpretations of monuments and memorials in regime change. Section 2 identifies two key limitations of the geographical and the semiotic literature on monuments and memorials. Section 3 proposes a theory to overcome these limitations. Section 4 highlights the rationale to analyse Estonian monuments and memorials as case studies. Section 5 explains the rationale for a multi-method approach using interviews, observations and the investigation of documents. Finally, Section 6 introduces the context for a comparative analysis between two monuments in Estonia.

2. Two limitations of the geographical and the semiotic perspectives on monuments and memorials

Monuments and memorials have attracted a growing interest in geography and semiotics. Since the mid-1980s, cultural geography has conceptualised landscape as a construction to perpetuate social order and power relations (e.g. Cosgrove 1984). Despite using different perspectives, most cultural geographers converge on two assumptions: landscape has power and it can be seen as a text that communicates meanings (Boogart II 2001: 39). These assumptions have been extended to the built environment as the result of human actions on the "primeval" landscape (Duncan 1990).

In this context, a great deal of geographical research has assessed the role of monuments in perpetuating cultural norms, social order and power relations (Wagner-Pacifici and Schwartz 1991; Hershkovitz 1993; Johnson 1995; Peet 1996; Withers 1996; Atkinson and Cosgrove 1998; Osborne 1998; Dwyer 2000; Whelan 2002; Hay et al. 2004; Benton-Short 2006). This research has empirically focused on different built forms and urban areas: monumental buildings, public statues, squares, memorial gardens, civic precincts, war memorials and so on. Moreover, it has concentrated on a vast range of geographical locations and time periods. Despite such variety in empirical analysis, this geographical research has based on two common assumptions: first, monuments play an important role in the definition of a uniform national memory and identity; second, monuments are tools to legitimise and reinforce political power. These assumptions can be seen as interdependent: in practice, the national politics of memory and identity embodied in monuments can legitimise and reinforce political power.

Some cultural geographers have recognised that unexpected practices could challenge the meanings of monuments and memorials as intended by elite (Hershkovitz 1993; Atkinson and Cosgrove 1998). Nevertheless, geographical research has mostly focused on the elite intentions.

While national elites design monuments to convey dominant meanings, their interpretations are never enclosed once and for all. Once erected, monuments become "social property" (Hershkovitz 1993: 397) and thus they "can be used, reworked and reinterpreted in ways that

are different from, or indeed contradictory to, the intentions of those who had them installed” (Hay et al. 2004: 204). Monuments and memorials embody the agency of generations and assume different functions in different time periods. Monuments legitimising elite power can turn into sites of resistant political practice (Hershkovitz 1993; Whelan 2002; Benton-Short 2006). For example, after the fall of Communism, popular movements suddenly used Communist monuments to demonstrate against the same regime that installed them. In other cases, monuments sacred for an elite become the object of scorn and ridicule (Atkinson and Cosgrove 1998). In less spectacular way, monuments of a bygone era can turn into neutral urban landmarks.

Cultural geographers provided a methodological basis to understand the ways in which monuments could reproduce social order and reinforce political power. Moreover, they have developed tools for unveiling the geographies of power embodied in monuments and memorials. Nevertheless, the geographical approach to monuments has grounded itself on two key limitations:

1. There has been no extended discussion of how the material and symbolic levels of monuments and memorials actually convey political meanings and thus of how they can effectively reinforce political power.
2. Little attention has been paid to how monuments and memorials are interpreted at the societal level.

By inviting questions on readership, semiotics has sought to overcome the restricted focus on the designers’ intentions that has characterised the geographical approach. Inspired by the debate around the conflation between memory, history and place (e.g. Nora 1989), semiotics has begun to analyse places of memory as communicative devices to promote selective “discourses on the past” (Violi 2014: 11, my trans.). Discourses on the past always present a “partial vision” focusing attention on selective histories while concealing others (Eco 1976: 289-290). As a consequence, discourses on the past can affect present and future identity as well as the ways in which individuals represent themselves and relate to each other (Violi 2014: 18).

Several semiotic analyses have aimed to explain how monuments and memorials can establish specific understandings of the past addressing the effects a given material representation of memory has had at the societal level (Pezzini 2006; Sozzi 2012; Abousnoug and Machin 2013). Despite the efforts to focus attention on readerships, the key limitations identified in the geographical perspective persist in the semiotic analysis of monuments and memorials. In fact, semiotics has rarely discussed how the materiality of monuments and memorials actually conveys political messages and thus reinforce political power. Moreover, despite the efforts to focus attention on the readership, semiotic analysis of monuments and memorials has overlooked the interpretations of monuments and memorials at societal levels.

3. A holistic perspective on meaning-making of monuments and memorials

As seen in the section above, the geographical and semiotic perspectives on monuments have grounded themselves on two distinctions: 1) between the material, symbolic and political dimensions and 2) between designers and users. This section aims to overcome these distinctions connecting analytical frames developed in the fields of semiotics and cultural geography. To do so, it develops a theoretical framework that conceives the interpretations of monuments as depending on three interplays: a) between the material, symbolic and political dimensions; b) between designers and users; and c) between monuments, the cultural context and the built environment.

As for a), the material, symbolic and political dimensions of monuments and memorials always function together and influence each other through continuous mediations. These dimensions equally contribute to the creation and development of a better understanding of how

the meanings of monuments and memorials are constructed and negotiated. There is the need for a theory that conceives the material, symbolic and political dimensions as interacting in the interpretation of monuments.

As for the interplay between designers and users, the meanings of monuments and memorials originate at the intersection between the designers’ and the users’ interpretations. A set of “se-miotic resources” is available to designers to entice users along specific interpretations of monuments (Abousnnouga and Machin 2013: 57). Nevertheless, not all users conform to the designers’ stated intentions. Unforeseen interpretations and practices thus play a critical role in the meaning-making of monuments. As for textual interpretation (Eco 1990: 50), the interpretation of monuments lays on an intermediate position between the designers’ intended meanings and the users’ interpretations. Hence, there is the need for a theory that conceives the interpretations of monuments and memorials as originating at the intersection between designers and users.

As for c), monuments and memorials cannot be analysed separately from the cultural context. Culture can mould the designers’ and the users’ interpretations and even influence actions and interactions within the space of monuments. In turn, monuments convey cultural meanings in space contributing to the shaping and reshaping of culture. Finally, monuments and memorials cannot be analysed separately from their interrelations with the surrounding built environment. As texts reinterpret other texts (Eco 1984: 68), newly erected monuments actively affect the interpretation of the existing built environment. Post-structural geography has used the term “intertextuality” to describe the relations that built forms establish between them (Duncan 1990: 22-23).

The conceptual scheme below symbolically represents the three interplays here identified (fig. 1). The scheme presumes that a relationship is established between the material, symbolic and the political dimensions of monuments and memorials. An arrow links the two rectangles representing the terms “designers” and “users” to visualise their interaction. A polygon visually representing the term “culture” is added at the top of the scheme. The dashed oval including monuments and memorials symbolically represents the built environment.

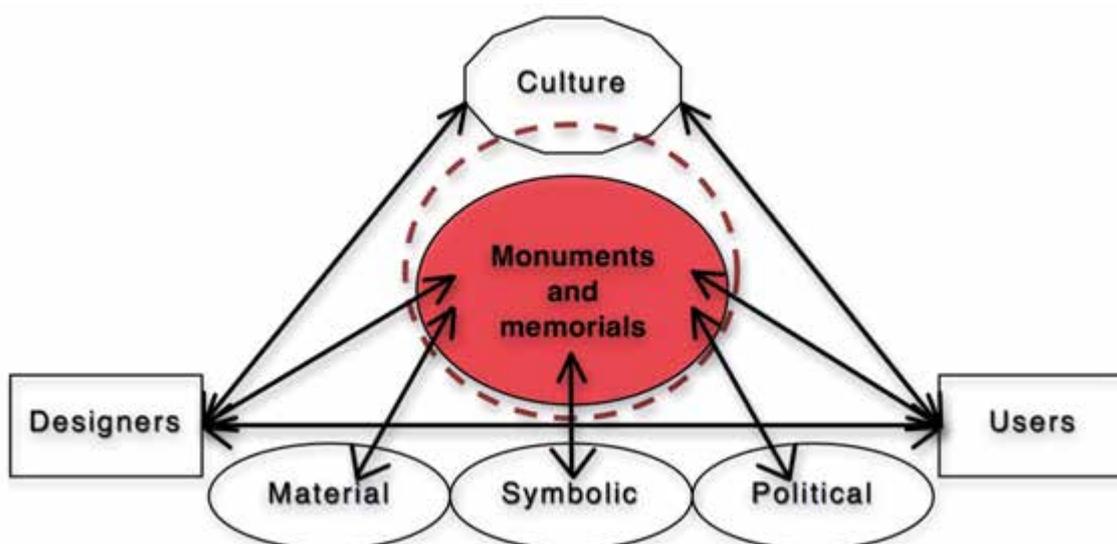


Figure 1. The theoretical framework conceiving the interplays a) between the material, symbolic and political dimensions; b) between designers and users; and c) between monuments, the cultural context and the built environment

4. Identifying the case study: the multiple interpretations of monuments in Estonia

A case study research strategy is used to develop the theoretical framework identified in the previous section (Yin 2009). The selected case studies analyse the multiple interpretations of two monuments in Estonia: the War of Independence Victory Column in Tallinn (hence, the Victory Column) and the so-called “Kissing Students” in Tartu.

Estonia restored its independence from the Soviet Union on 20 August 1991. Ever since, a cultural reinvention of the post-Soviet built environment has evolved through two distinct but concurrent practices: the redesign of the inherited built environment created by the Soviets and the simultaneous establishment of a new built environment reflecting the needs of post-Soviet culture and society. Cultural reinvention is the process of filling the built environment with specific cultural meanings through practices of redesign, reconstruction, restoration, relocation and removal.

The Estonian EU and NATO memberships in 2004 provided opportunities to gain symbolic capital through the redesign of the built environment and the erection of new monuments and memorials (Ehala 2009: 152). Hence, Estonian elites have taken various initiatives to marginalise Soviet monuments and memorials while establishing new monuments signifying specific future expectations. In Estonia, the marginalisation of Soviet monuments and memorials and the erection of new ones have often sparked broad debates and resulted in civil disorder. For example, the 2007 relocation of a memorial to the Soviet Army in Tallinn – the so-called Bronze Soldier – resulted in two nights of disorders, during which a 20-year-old Russian was killed.

The controversies over monuments and memorials have been so intense that scholars have used the terms “War of Monuments” or similar terms to refer to a series of small-scale conflicts over the interpretations of monuments and memorials starting from the early 2000s (e.g. Pääbo 2008: 5; Smith 2008: 419; Bruggemann and Kasekamp 2008). For this reason, Estonia was selected as a relevant case to address the multiple interpretations of monuments and memorials.

5. The methodological framework for the study of the multiple interpretations of monuments in Estonia

The analysis of the selected monuments and their multiple interpretations is based on data collected during fieldwork in Estonia, between February and October 2015. The data were collected through a multi-method approach using interviews, observations and the investigation of documents.

The investigation of planning documents provided an account of the researched monuments as envisioned by their designers. Documents available in English were collected through visits at archives and libraries.

The analysis of the users’ interpretations, actions and interactions was based on primary data collected through interviews and observations. Semi-structured interviews aimed to collect a range of interpretations on the researched monuments. Interview data derived from sixteen interviews with respondents that resided in Estonia their entire life or that had only left Estonia temporarily. Respondents varied in terms of ethnic origins, age, gender, education and profession.

A suitable balance of Estonians and Russophones was guaranteed: eight respondents were Estonians and eight belonged to the Russophone community. The term “Russophones” refers to Russian speakers that are in possession of Estonian citizenship, including ethnic communities that speak Russian as first language and do not define their ethnic identity as “Estonian”. After Estonia regained independence, the Russophone community suffered status decline; conversely, Estonians found new economic opportunities and political power (Ehala 2009: 147).

In Estonia, the relations between Estonians and Russophones have not always been peaceful and this antagonism has often resulted in conflicts over the interpretations of memorials.

Participant observations concentrated on the actions and interactions of users who daily cross and use the space of the monuments. Observations were arranged at different times of the day and on different days of the week, including weekends and public holidays. They were carried out during the day and occasionally at night, under range of environmental conditions.

6. Introducing the context for the comparative analysis between the Victory Column and the Kissing Students

The selected case studies analyse the multiple interpretations of the Victory Column (fig. 2) and the Kissing Students (fig. 3). These monuments have different appearance, but both have contributed to create a built environment in accordance with the current political and cultural agendas of the Estonian elites. Besides this, the rationale for comparing these monuments is twofold: first, they show different ways of conveying cultural and political meanings; second, they present different ways in which these national politics are interpreted at societal levels. This section presents and discusses the preliminary findings of the analysed monuments.

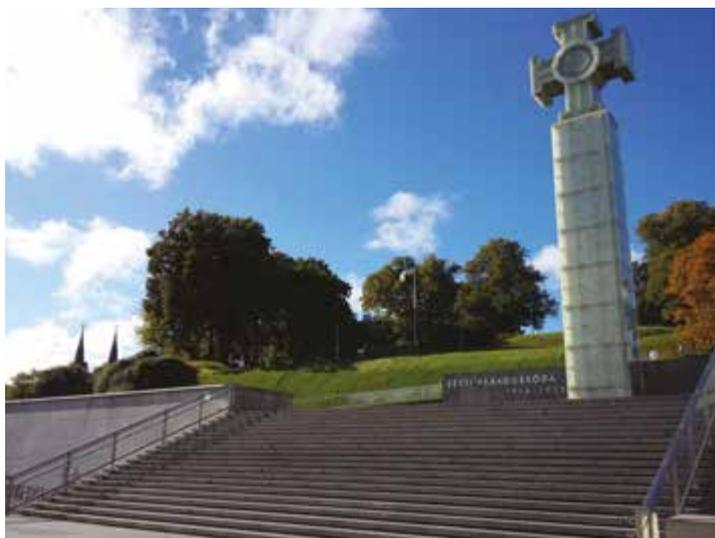


Figure 2. The War of Independence Victory Column. Picture taken 5.10.2015.



Figure 3. The Kissing Students. Picture taken 1.6.2015.

6.1. The Victory Column of Tallinn, a memorial to promote an ideological understanding of the past for a select audience

The Victory Column is a large, column-shape memorial erected in Tallinn, the capital of Estonia, in 2009. It commemorates those who served in a war against Soviet Russia and Baltic German forces between 1918 and 1920. The war ended with the first recognition of Estonia as an independent state. For this reason, Estonians refer to this war as the “War of Independence” (in Estonian *Vabadussõda*) and link it with ideals of freedom and sovereignty. The memorial stands in Freedom Square, a large square on the southern edge of Tallinn’s Old Town. Freedom Square has been used as an arena where the different regimes that ruled Estonia have tried to assert themselves via architecture, monuments and public rituals (Kalm 2014).

The function of the Victory Column has gone beyond commemoration. The memorial has helped to reflect and sustain the cultural and political agendas of the Estonian Government that took the initiative for erecting it. In particular, it has aimed at putting an end to the controversies over the interpretations of monuments that characterised Estonia from the early 2000s and, in consequence, at turning a new page in the construction of the national memory and identity.

However, the significance the Victory Column has assumed for the Estonian political elite has not been widely recognised at non-elite levels. During interviews, Tallinn citizens expressed disapproval of the material and the symbolic design of the memorial. Its iconography featuring a military decoration has created discontent due to resemblance with totalitarian aesthetics. This military iconography is highly hermetic and not many users knew what it represent - visitors as well as Estonian citizens themselves.

Criticism also regarded the modern-looking design of the Victory Column as inappropriate and disconnected from the adjacent medieval built environment of Tallinn’s Old Town. Moreover, respondents expressed discontent also toward its size, too resonating and grandiose to commemorate ideals of freedom.

The Victory Column does not facilitate comfortable interactions. Raised up on an elevated platform, users remain literally at the feet of the memorial. Consistent with this, it is very rare that users climb the staircase to approach the memorial. Observations did not register any commemorative practice around the memorial, if not during the formal commemorations periodically arranged by the Estonian Government and its affiliates. For the rest of the year, the memorial attracts only unexpected practices that are different from those intended by its designers: due to flat ground and sharp curbs, skaters and bikers use the space of the memorial for their tricks during the warmer weather.

6.2 The Kissing Students of Tartu, a fountain-sculpture to promote an everyday narrative for the general public

The so-called “Kissing Students” is a circular fountain with a sculpture featuring two kissing young people under an umbrella. The statue was unveiled in 1998 to improve the appearance of Town Hall Square, the central square of Tartu. The several regimes that ruled Tartu have used the present-day Town Hall Square as the seat of government and venue for public rituals and celebrations of days of national and local importance.

The Kissing Students does not openly express direct political purposes. Avoiding confrontational political messages has been a typical cultural policy of post-Soviet Estonia, which has been largely used in the context of the transition to democracy. In Tartu, the general aim of this policy has been to establish a built environment free from direct political meanings and not directly related to the political storm characterising Estonia throughout the 20th century.

Nevertheless, the Kissing Students as every built form presents specific cultural and political positions. The fountain-sculpture dedicates an important location to a significant part of Tartu's population: the students. Estonian citizens consider Tartu and its students as crucial in creating the ground for the Estonian national awakening and independence (Salupere 2013: 6). Located right in the central square, the fountain-sculpture recognises the significance students have for Tartu, as bearers of an Estonian national consciousness.

The Kissing Students reveals a case in which the interpretations of users match with the designers' stated intentions to a great extent. Design strategies such as easily understandable iconography, life-sized dimensions and continuity with the surrounding built environment facilitate the interaction between the fountain-sculpture and users. The positive attitudes of citizens are symbolic of the general approval of the fountain-sculpture at the societal level: during interviews, the totality of respondents acknowledged and endorsed its everyday narrative; they expressed general approval toward its iconography and its material design.

Altogether, the Kissing Students has been largely assimilated into the everyday itineraries of Tartu citizens. Only occasionally it attracted some practices that are different to the designers' expectations, especially playful practices of young students. The Tartu local authorities have not spent much effort to discourage these practices. Therefore, they have become integrated into the symbolic and material dimensions of the Kissing Students.

7. Conclusions

The preliminary results that emerged from the analyses indicated that elites use monuments and memorials as a form of discourse to construct and spread meanings in space. Designers use complex semiotic strategies to channel users' interpretations, but users interpret monuments and memorials in ways designers may have never intended. The holistic perspective connecting semiotics and cultural geography can be very useful to understand what strategies designers use to design monuments and how these are variously interpreted at societal levels. These findings highlight a number of research directions that will be explored in future papers.

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**FROM THE SESSION
“SEMIOTICS AND THEORY
OF FORMS: TRIBUTE TO
MARTIN KRAMPEN”**

FORM AS A CATEGORY OF SPATIAL SEMIOTICS

Leonid Tchertov

Art school, Saint Petersburg, Russia
leonid.tchertov@gmail.com

Abstract

The paper is devoted to some theoretic problems of form as a category of spatial semiotics, where this polysemantic concept gets a special meaning. The concept of form is described here as one of key grammatical category for diverse spatial codes. Its relations to several other concepts of their grammars are considered as essential invariants forming the main subject of a “universal spatial grammar”.

Treated in this perspective, *form* characterizes a visible configuration of spatial elements taken in complex of their simultaneous relations selected and correlated with a meaning by the norms of a code. In the same spatial substratum various meaningful forms can be found as units of expression plans created by different spatial codes. A semiotized by a code space gets its own laws of formation and becomes autonomy of one or other type. Morphology can be more or less essential part of the grammar describing a given code and its ways of semiotization of space.

Semantics of spatial forms depends on the code as well. A form can be connected with its meaning as an index, a signal, a conventional sign, a polysemantic symbol or as an iconic model. Diverse semiotic mechanisms act in each of these cases. A content of spatial forms can develop not only on conceptual level, but also on the “infralogical” levels of psyche — perceptual or motoric images. So dynamic images of diverse forces are correlated with spatial forms by architectonic code, the schemes of instrumental acts with tools — by object-functional code, etc.

1. On the category of form

Form is a polysemantic concept. As a philosophic category, it has at least two different meanings. In ancient philosophy it was treated still by Plato and Aristoteles as an ideal scheme, *eidōs* opposed to amorphous matter. In the German classical philosophy by G. Hegel “form” was understood as a way of expression opposed to an expressed content. These ways of the treatment were juxtaposed by A. Hildebrand (1893: 20), who distinguished “form of being” (*Daseinsform*) and “form of influence” on a viewer (*Wirkungsform*), considering the last as more important

in spatial arts. The Platonic and Hegelian approaches to category of form were in another way combine by L. Hjelmlev (2006 [1943]), who has defined *sign function* as a connection between *form of expression* and *form of content* opposed to substance of expression and of content.

Such semiotic specification of the concept of form remains essential for the spatial semiotics that researches the significant relations between spatial objects. It continues the initiated by A. Hildebrand and noted by E. Cassirer (1985 [1930]: 93) transition from natural-philosophical research of space “as it *exists*” to cultural-philosophical studies of “that the space *means*” for a human. Not limited by the research of *what* mean the diverse spatial objects, semiotic studies investigate also *how* these objects are connected with their meanings in processes of semiosis, are included in diverse spatial texts and are regulated by specific spatial codes.

Although the concept of form can be used in the spatial semiotics in the general semiotic sense following Hjelmlev (as it is discussed in Tschertov 2003), this concept obtains there a specific sense. Here “form” is revealed as a meaningful configuration of spatial elements taken in their qualitative and quantitative relations, whereby it is recognizable and distinguishable from other forms.

As a *qualitatively definite* configuration, the form is a whole that has parts correlated with each other by a definite way; it is perceptible and conceivable as a system of internal relations between its structured elements able to maintain their internal connections, independent on changes of relations to external spatial objects. Due to this invariability, one the same form can be selected and reproduced in different substances of material objects and ideal images of diverse subjects in the acts of their communication according norms of a spatial code.

Its *quantitative definiteness* depends on proportions of these parts. However, a pure spatial form does not have a definite size, because many objects with different sizes can have the same spatial form. Only an embodied form obtains thereby a magnitude and can be related to a human scale.

As a *meaningful configuration*, a semiotically treated spatial form is always connected with a sense: it either itself represents another object or certain actions of a subject, or it takes a part in such representation as a sense discernible unit. Such obligatory connection of spatial form with meaning distinguishes its semiotic treatment from consideration in many other disciplines, where diverse spatial forms are taken independent on this link. On the contrary, as a category of spatial semiotics, form is always considered in perspective of one or several spatial codes — systems of norms regulating semiotization of space — its structuring and interpreting by definite rules (see Tschertov 1997, 2002).

The spatial form can be included in semiotic systems and communicative acts in two ways. It can be, on the one hand, a represented object and belong to the content plane of a spatial code. On the other hand, it can be one of the means of representation belonging to expression plane of a semiotic system. As an element of the content plane, the spatial form is represented, for example, in the figurative painting, but it is excluded from the content plane in non-figurative art. At the same time, the spatial form always participates anyway as means of the expression plane of spatial codes, and thereby it can be considered as a universal category of spatial semiotics.

2. Relations with other categories of spatial grammar

Considered as one of the key categories of spatial semiotics “form” does not coincide with concepts under the same name neither in geometrical, nor in physical sense. Semiotically interpreted spatial form is a *grammatical category* of various spatial codes.

The constant relations of form as a general category of spatial semiotics with other its categories can be the subject of a “universal grammar” of spatial codes. In its frame, the category

of form enters into relationships to other universals of spatial semiotics: body, place, border, location, semiotized space, etc. Each of these notions belongs to the same group that the category of form considering in system of a spatial grammar. They also are taken in this system as semiotic concepts, but not as the notions of geometry, physics or any other disciplines. The connections between the members of this group are included in a conceptual framework of the spatial grammar and constitute its essential part.

In particular, the *significant body* as one of universal categories of such grammar is a perceptible and recognizable spatial object connected with reproducible schemes of formation and of interpretation according to the norms of a spatial code. Depending on this code, these objects can be related to their meanings due to spatial forms, magnitudes, materials and other features. The spatial form is therefore only one of the factors giving to a body its significance in the plane of content. Nevertheless, it is an essential element of the expression plane at least as a sense distinctive index. Through its form, a body is qualitatively different from some formless mass and from bodies of other forms. The definite form also opens for a subject a possibility to distinguish this body as a separate object of perception and of interpretation. Quantitatively, a significant body has not only the proportions given by the form, but also a definite size, which is absent in a non-embodied form.

Another category of the spatial “universal grammar” is *significant place*, where one or more significant bodies can be located. This category covers several concepts that relate to the category of form differently. Particularly, the category of *entering* represents the point, where relations between spatial objects in an ordinal structure intersect — as, for example, an indication of a metro station at a scheme. The category of *surroundings* represents an area close to the selected center — as, for example, a banner in the field indicates a place of gathering of the fighting squad. Neither entering, nor surroundings have a definite form, even if the indexes pointed on this place such form have.

Unlike them, *locus* is such type of places that is not only correlated with some ordinal sets, or with a picked out point, but also is outlined by certain borders. Thereby, only loci are the places that obtain a spatial form and a meaning dependent on it. In particular, the forms of various areas and rooms in social space acquire diverse meanings: round and oval rooms, arena etc. facilitate the circulation of people to each other, whereas the elongated spaces contribute to the isolation of small groups or individuals.

Differences between the bodies and the relevant loci are not absolute and depend on the viewpoint. A place is something that can be filled with bodies, *where* something else can be placed or moved, whereas the body is *what* is placed or moved there. However, both bodies and loci are shaped and have definite forms, sizes and borders.

Border is therefore also one of universal categories of the spatial grammar and can be defined semiotically as a place, where one spatial object (body or locus) meets with spatial objects having other meanings. Although configuration of the borders can coincide with the form of a body or of a locus, border and form are not identical concepts. The borders are always between some things separated or divided by them, and they are connected with a place, where they are located. On the contrary, the form is a configuration of spatial relations between its parts that does not depend either on its location, or the definite size of things or places, where it is embodied. It can be brought into a substance or extracted from it, but as a scheme of the relations between its own parts spatial form is independent of any substance. A form is substantiated, when it coincides with the boundaries of a particular body or locus. In its turn their borders are formed, when their configuration becomes definite. For example, the form of square is always identic to itself in any substance and magnitude, whereas the square borders, particularly, of one table, always differ from the square borders of any other tables even very similar to them.

The same form can belong to a body and to a place. For example, a door and a doorway can have a common rectangular form and coincide in magnitude. However, their borders are not identical, even if the enveloped body exactly fits into the enveloping one. In a similar way, the borders of a sculpture (a “model”) and a plaster “form” cast from it do not coincide, although the process of casting supposes a possibility of preservation and transfer a form from one body to another one. Such preservation is possible, because the same spatial form is common for the convex model and the concave mold taken from it.

The set of places, where significant bodies can be located is the *semiotized space*, if relations between spatial objects in it are subordinated to the norms of a spatial code. Such space is *autonomous* as long as these norms set a special law of its organization. It is also a *separate* space, if it is bounded from other spaces and founds a special environment for the objects that stay or change in it: a special order of their emplacement, a special scale of measurement and an internal connection of states independent on any external events (as, for example, the separate spaces of different chess games). A separate space can be considered as a locus of an embracing space, if it has definite borders and together with them — a definite spatial form (as, for example, a format of a picture or a chessboard).

A common feature for the space and the form is that both of them are composed of spatial relations. However, the spatial form is exactly a configuration of quite definite spatial relations, whereas the space is a set of places, where these relations can be formed by one way or another, and where their diverse configurations can appear. Outside the spatial relationships, space does not exist, but none spatial configuration does not exhaust the space.

3. Semiotic functions of forms in spatial codes

A significant spatial form can have varied semiotic functions in different cases of its interpretation by the norms of diverse codes. It can serve a *signal* to an action of a subject. For example, a barrier is a signal for stopping or change of movement direction according the norms of a *demarkation code*. Its spatial form is also an *index* of a meaning change of spatial area located behind it. Both of them are related to the situation, where the form is presented. Each index points to something that is contiguous to it in space and time as well as each signal is a stimulus of an action or a reaction of a subject to a presented situation. Such joint of indexical and signal functions is a usual situation for many other codes.

Particularly, in the system of *object-functional code* an object’s form can have the signal function too, if it not only indicates at the possible instrumental actions with a formed object, but also evokes an impulse to use it as a tool in a presented situation. Both indexical and signal functions of object’s form are two side of a case, when it points to a subject some features of a presented situation and causes his reaction to them.

However, the form can serve also a *conventional sign* representing something that leads arbitrarily far out of this situation. The instrumental action represented by the object’s form does not need obligatory to be performed to create of a sign connection between this form and an interpreting scheme as its meaning. A repeatedly reproduced and embodied in the collective experience object’s form becomes a sign of its instrumental function for a subject, who can recognize and interpret this form according to the established scheme of a purposeful action with the object (cf. Barthes 2000 [1964]: 267). If the mental scheme of instrumental action serves as a designatum (in terms: Morris 1971 [1938]: 19-21) of the object’s form, this action itself becomes a denotatum of the same form. If such denotatum can be or not be in diverse cases, the object’s form as a sign of the object-functional code has its designatum always independent of real using of the object.

When the form is interpreted with several semiotic systems using together, it can be treated also as a polysemantic *symbol*. The object's form that denotes an instrumental function can connote at the same time some social functions of people using of this object. In the last case, the same form becomes a unit of a *social-symbolic code* connecting it with definite social functions of people acting with these objects. So, a military uniform denoting the direct functions of the clothing connotes at the same time the social role and rank of an individual, who puts it on. The object's form can serve also as mythological, religious or artistic symbol and express the ideas of human on itself, on society or on world structure.

The form of a spatial object can serve also as a *model* of something other, what is similar to it in some relations. Particularly, in mythological mind a vessel, a suit or a building can be interpreted as models of the world structured according the scheme of "world tree". Their axes setting by oppositions "top-bottom", "left-right", "center-periphery", etc. permit to model many non-spatial structural relations (see Toporov 2010).

Some spatial forms can serve as spatial models of time. A good example of the time representation through the spatial forms are clocks in their diverse historical modes. They not only give diverse ways to measure and to index actual time, but also the difference of their forms (sundial, clepsydra, sandglass or mechanical clocks) can serve by symbols representing diverse periods of historical time and even diverse ways of mythological and Natural-philosophical ideas about it — as, for example, a sand clock can model an image of time by St. Augustin (see Tchertov 2014: 138-148).

4. Ways of reception and comprehension of spatial forms in diverse spatial codes

Each spatial code sets its own norms regulating ways of vision and comprehension of spatial configurations; the differentiation of spatial codes is connected with distinctions among ways of vision and among ways of comprehension.

Vision of the spatial forms can perform on diverse levels of psyche. A form can be fixed in the visual field of a person on the *sensorial level* as a configuration of colored spots and boundaries between them correlated to an internal scheme of subject's body. The form can be reproduced also on the *perceptual level* — as an ideal model of an external object separated from the body of a human and contraposed to it. The form can be represented also on *apperceptual level* of vision already without of outer stimulation — as a scheme of recognizable and imaginable spatial object. Each of these ways of vision can serve as a basis for a plane of expression in various spatial codes.

Particularly, unlike object-functional code, where expression plane is build by perceptual images of recognizable objects, the synesthetic codes have a lower, sensorial, level as a basis of the expression plane (for example, when interpreting visible angular forms through tactile images: "prickly", "rough", etc.). Conversely, the social-symbolic code has as a basis for expression plane more upper, apperceptual level, where a recognition of an object performs.

On the other hand, the spatial forms can be in different ways comprehended by human as by subject, whose activity has diverse modes. Not only logical concepts and verbalized notions can be meanings of spatial forms, but also some elements of "infralogical" (in the terms used by Piaget & Inhelder 1963 [1959]) levels of mental activity — perception or planes of actions. For example, the *perceptographic code* on the basis of the same sensorial level in the plane of expression gives the means to create in plane of content a shifted perception of objects absent on this surface as if they are behind it (see more detailed: Tchertov 2005, 2015).

Together with their comprehension in the cognitive modus of interpretation of visible spatial forms, they can be interpreted in projective and valuative aspects.

Interpreted in the *projective modus* visible spatial forms are included in the dynamic codes that connect these forms with images of moving formed on diverse psychical levels. So, the *architectonic code* ties the spatial forms placed into anthropomorphous space with definite kinesthetic feelings of mechanical forces acting in this space. By means of the architectonic code visible spatial forms can express mechanical forces through the prints of previous impacts, through the indexes of functioning in the present (for example as support or as weight) or through symptoms of possible changes in the future (for example, indexes of stability or instability).

Another level of dynamic interpretation in the projective modus of comprehension is connected with the spatial forms by the means of described above object-functional code. As it said, this code connects the forms of artefacts with such type of meanings that contain schemes of definite instrumental actions elaborated in culture and mastered by individuals.

The spatial forms interpreting in *valuative aspect* can have also an *affective* meanings (cf. the concept of “emotive meaning” by Ogden & Richards 1923). This modus of interpretation is typical for the *mimic code* that connects definite relations between parts of a face in expression plane with diverse emotional conditions in plane of content (as, for example, the different forms of mouth in antique masks of tragedy and comedy). In a similar way on the same signal-indexical level of semiosis, the *haptic code* connects with such affective reactions definite kinds of touches of diverse body parts between different people: kiss, stroking, slap, etc. (see Kreidlin 2002).

Thus, various *ways of vision* combined with diverse *ways of comprehension* give diverse modes of structuring and interpreting of the spatial forms.

5. Morphology, morphogenetics and syntax in spatial codes

It is clear from the said above that diverse spatial codes differently introduce their “semiotic form” in norms of forming and interpreting of spatial configurations. They set own norms of choosing of significant spatial forms in the expression plane and their connections with meanings in plane of content. Thereby, one the same object can be viewed and interpreted by the means of several spatial codes, and diverse parts in it can be differently singled out as carriers of meaning.

For example, a spatial form of a cup can be structured and comprehended by means of different spatial codes. The system of architectonic code gives a possibility visually to single out in it some “carrying” and “carried” parts. The semiotic means of object-functional code make possible its interpretation as a liquid container and a drinking vessel. In the same time, this cup can be interpreted by the semiotic means of social-symbolic code as a prize for awarding of champions. Such a variety of ways to interpret diverse elements of complex spatial construction is typical not only for applied arts or architecture, but for pieces of other kinds of art.

If one the same spatial object can be differently divided by diverse codes, different meaningful units are singled out after each such segmentation. Each of codes gives its own units of meaningful form, and these units can be researched in *morphology* as a special part of its spatial grammar. This part in the grammatical system of spatial codes should contain a doctrine of meaningful form together with its structural and functional features in the expression plane. If applicability of this notion in linguistics is undergo to doubt (Saussure 1977 [1916]: 167-168; Hjelmslev 2006: 51), it can be more appropriate in spatial semiotics, which preserves an object-spatial dualism typical for visual perception of the world, and which differs internal relations between parts of a form and external relations between the whole forms. The wide notion of morphology, referred by J. W. Goethe (1957 [1817]: 104, f.) to various objects of animate nature is applicable to the meaningful spatial forms deliberately created by human.

The forms of artefacts are selected in cultural evolution, just as well organic forms are selected in evolution of the nature. However, unlike of the natural forms, the forms of artefacts are be created by a human as ideas that pass a cultural selection, are deliberately embodied into material objects and assimilated by other people as reproducible schemes. The research of historical changes of these meaningful forms can be a subject of “*morphogenetics*” understood as a part of a “historical grammar” of certain spatial code dealing with diachronic changes of artificial created forms that are by this code regulated.

Although the category of significant spatial form is a universal for diverse codes, each of these codes has its own morphology and definite complex of meaningful forms — morphemes. We shall call *morphemes* the morphologic units of a spatial code, further division of which does not give more any units that have meanings in the system of this code (as, for example, the neck of the vessel). These morphemes can be combined in more complex *morphologic constructions* (as, for example, a whole vessel). So, in the field of the object-functional code one can speak about the morphemes, which combine in different ways with each other in diverse morphological constructions in whole forms of things (cf. Semper 1863: §§ 99-113).



Figure 1. Form-shaping morphemes and their combinations in the object-functional code.

- A. 1-5. Morphemes, shaping the forms of vessels (a jug, a teapot, etc.).
- B. Expressed articulation and, conversely, the fusion of the morphemes of the jug in different versions of object-functional code.
- C. Set of objects forms composed from the morphemes of an object-functional code.

Morphemes and morphologic constructions are units of a semiotic system and parts of spatial texts correlated by it, but not the physical objects. Shards of a broken jug are not morphemes into which its form disintegrates, although its discarded handle can continue to be recognized by the means of object-functional code, if an appropriate scheme is still applicable to it.

As a semiotic unit, form is only a scheme, used for selection of the elements necessary for the sense expression. This scheme can be embodied in the various copies that are identified as far as they reveal common features as, for example, the same letter, cup, table, etc. Therefore, one the same object's form, for example, of a ladle, one can recognize independent on a possibility to use it — as it is in a drawing, from where it cannot be picked up, or in the configuration of seven stars of the constellation Little Bear that even more is not possible for using as a tool of object action.

Together with the morphology, the grammar of spatial codes has also a more or less developed *syntax*, regarded to relations between significant units of expression plane. Unlike morphology, spatial syntax deals with relations between meaningful forms and places — with locations of forms in spatial texts. Particularly, in the same object-functional code the field of syntax includes significant relations between the forms of things as well as their relations to an acting subject. It is also true that the relations of the object code to an acting person become the signs of a social-symbolic code pointing to social function of this person.

The relations between morphology and syntax, as between more or less important parts of the spatial grammar, can be various in different codes. Morphology is a most important part of grammar in the system of the object-functional code. In the system of the social-symbolic code, it shares the importance with syntax. It is less essential in the semiotic system of the architectonic code, and it completely inferior a place to the syntax in the system of the perceptographic code (see Tchertov 1997, 2005).

Thus, various ways of vision combining with diverse forms of comprehension give multiplicity modes of structuring and interpretation of the spatial forms. This diversity increases in art, where many spatial codes are used together, creating heterogeneous spaces with polysemantic forms, and where a semiotization of space can be correlated with a semiotization of time by other semiotic systems.

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PERICEAN INTERPRETATION OF DIGITAL GEOMETRIC ARCHITECTURE

Iwao Takahashi

University of Houston, Texas, USA

itakahashi@uh.edu

Abstract

Digital geometric architecture for this paper refers to the architectures designed by mathematical algorithm creating systemic formal generation. For example, Greg Lynn's digital architecture—biomorphism architecture or blob architecture—deals with an architectural form image of amoeba and geographical natural landscape. I analyze this current architectural movement by comparing it with a classical architectural form through Peircean semiotic and logic.

Lynn theorizes architecture as homogeneity of differences projecting the smoothness of architectural form. The smoothed surface rules metaphorical oneness and integrity in architecture. Instead, a classical form of architecture has the hierarchy of *taxis*, *genera*, and *symmetry*. This hierarchy is intrinsically ruled by the notion of *tripartition* as opposed to blob architecture. I discuss how such characteristics persisted and transformed into the language of blob architecture.

I approach this analysis by applying Peircean Algebraic Logic (PAL) developed by Robert W. Burch, a Peircean scholar to a topological logic based on Peircean reduction theory. Following PAL, the notion of *hypostatic abstraction* formalizes meaningfulness in architecture with cyclical processes conditioned by all three identity modes (*monadic*, *dyadic*, and *triadic*). In the case of Classical architecture, *monadic* identity originated from scenographic elements, while blob architecture needs *dyadic* identities (e.g. technology, complexity) that are shifted to *monadic*.

1. Introduction

The experimental design theory—a notion of *research by design*—shows a new relationship between both views that of technological and an aesthetic. This new movement affirms parametric design methods and the application of new materiality. The availability of Building Information Modeling (BIM) supports the practical justification of this new architecture. Theoretical justification (Migayrou 2014: 19) derived from Deleuze philosophy that “reference[s] to the non-

standard ... assimilated to the epistemology of the differential calculus (in topology) ...". This theoretical justification aligns with structuralism, neo-rationalism, and poststructuralism. The movement is called *digital morphogenesis* that we can expect an *informed performance design* in architecture (Oxman and Oxman 2014: 6-7). Greg Lynn's new architectural theory in the 1990s—"the commitment to the curvilinear as a sign of the avant-garde, and the preference for non-orthogonal geometries" (Oxman and Oxman 2014: 7)—is a groundbreaking novelty, although, this trend became purposive through performative architecture and the method of experimental design.

This new formalism is gaining the importance increasing the tectonic aspect of recognition in theory, while the practical aspect of tectonic suits a new design theory—*research by design* applying computer software even more. The continuum of tectonic mode change should be analyzed for semiotic. Through "*hypostatic abstraction*" in Peircean Algebraic Logic (PAL) (Burch 1991), I will discuss the continuum between Lynn's original thoughts and the formalism of tectonic exemplified by Classical architecture.

2. Digital Geometric Architecture

Digital computational architecture's noticeable characteristic is the formal adjacency of surface segments. It was originally developed through philosophical implication of Deleuze and digital technology that creates curvilinear form. Greg Lynn is a primary inventor of this new architecture; now Frederic Migayrou calls as *Non Standard Architecture* (NSA) that uses parametric design with the complexity for assembling materiality (Oxman and Oxman 2014). Migayrou approximates this architecture is "non-Euclidean geometry to a new set of conceptual points more Deleuzian in origin" according to Oxman (2014: 2). The space is formulated by the surface expansions with imaginably unlimited, and not with rationally reduced compartments. The conceptualized space is a whole without boundary but surface. The goal of architecture is now depending on the defined continuation of adjacency which are parametrically ruled connections—new tectonic—and oneness. A theorist of NSA, Frederic Migayrou (2014) explains the development of NSA was via philosophy of ontology and Deleuzian thoughts with mathematical non-standard set theories.

A surface is configured by the local computational rules and syntax while landscape concept expands the rules to global surface, which is a field creates formal meaning. Lynn explains (1999: 29) landscape is "an initial condition of speed and density that is unfolded ...". His concept of animate (Lynn 1999: 28-29), ephemeral architecture connects the concept of landscape. Lynn's landscape concept (1999: 30) is controversially static spatiotemporal image, and brings architecture back eternal, while keeping evolvement of perceptive movement. The term *blob* is "a topological surface exhibiting landscape characteristics", "an index of a high degree of information, where information is equated with difference", and "neighboring forces with which it can be either inflected or defuse" (Lynn 1998: 166). The blob shape characterizes smoothness and complexity "measured by the degree of both continuity and difference that are copresent at any moment" (Lynn 1999: 31). Lynn's concept of "animate fields" is associated with "topological surface" which has "a sequence of identical entities located in a series through a gradient space would constitute both a self-similarity and a difference based on the characteristics of the gradients" (Lynn 1999: 32). Gradients must be measured as surfaces not based on point-by-point for Lynn. This is a concept of continuity that dismisses difference between gaps, fragmentation that dominates deconstructivist architecture form. Lynn's architecture was created along with organic processes which "involve non-dialectical relationships between matter and information, form and time, and organization and force" (Lynn 1999: 33) like a landscape—"a ground

that has been inflected by the historical flow of energy and movement across its surface” (Lynn 1999: 35). His *organic form* (amorphous form) derived from the idea of non-dialectical is his universal thought, as Migayrou describes (2014: 30) “form becomes a morphogenetic a priori”.

Lynn’s organic form is expressed architecture as inorganic and transforms static inorganic to dynamic organic. He aimed to release static geometric form relationship between architectural form and Cartesian mathematic being used from Classical up to Postmodern architecture. Lynn explains the relationship between organic body and inorganic geometry (buildings) should be released from static form. It is described “where the organic is internally consistent, the inorganic is internally discontinuous and capable of multiplicity of unforeseen connections. To disentangle the pact between organic bodies and exact geometric language that underlines architecture’s static spatial types is a monumental task” (Lynn 1998: 41). Lynn thinks (2008: 172) Classical architecture, which is a typical static form, likewise: “the definition of Classical architecture in terms of both holism and modularity was a consequence of the dimensional logic of measurement and subdivision by fractional unit”. Lynn’s philosophy on organic and inorganic established his amorphous architecture. Lynn selected the aspiration to have organic form instead of having fragmentation with deconstructivist proxy signification.

3. Tectonic System for Digital Geometric Architecture

Lynn’s blob shape significantly contrasts the traditional tectonic formal system of architecture throughout history. This shape expresses the metaphor of organic architectural form. This is controversial because a blob shape aimed to avoid a specific form selection; now it is specifically organic form. Rather, this avoidance is a selection of norm and standard form, which requires having typologies such as cultural bounded tectonic. Instead, a construction of building needs local typologies for the material fabrication called “file to factory” (Oxman and Oxman 2014). The conflict between Lynn’s original intention and the actuality of making a building must be resolved. Therefore, it must be considered to have double-layered dimensions: a conception of amorphous geometry, and a pure formal dimension with production. To project on Peircean semiotic interpretation through PAL, these two layers are used to re-format a blob with non-ideological frame at the *extensional semantics* level in PAL, and an ideological frame at the *intensional semantics* level in PAL. A tectonic aspect requires inevitably ideological frame because of Lynn’s fundamental philosophy and primitive matter in architecture. This matter is derived from the principle of tectonic in architecture and leads an alternative clarification of his proposition depart from pure reductionist, expressionist architecture, and deconstructivist architecture.

Lynn’s curvilinear takes two series of characteristics for his idea of inflection (Lynn 1999: 33): “a discrete, or repetitive series and a continuous, or interactive series”. The repetitive and continuous surface formalize with the *dyadic* relationship in the local perspective. The connections of segmented surfaces are not defined by required specific functionality of an architecture essentially. The pure formal relationship of surface connection and continuity are *dyadic* relation (two-thing relation) for both Lynn’s blob and the disjunctive deconstructivist form, even if they are in detail not the same: smooth and disjunctive. They belong to the *dyadic* mode in Peirce at the physical level. The fragmented surfaces are replaced by tectonic adjacency glue with maximum flexibility and a mathematical algorism that defines the parametric rules.

For Peircean semiotic, the question remains about other modes including *monadic* mode (oneness mode) and that of *triadic* (more than three-thing relation mode). Lynn’s original intention requires Deleuzian philosophy regarding singularity and repetition constitute Lynn’s antithesis of deconstruction as syntactical means to generate local surfaces with curvilinear.

This *monadic* mode can be extended to the conflicting mode and harmonious symbolic mode. The mode of conflict is *dyadic* and materialistic. The mode of symbol is the harmonious triad. The local relationship of surface coincides non-standard calculus with infinitesimal creating a possible conversion from multiplicity to singularity. When a conversion is made, it is *monadic*. Singularity and plurality have an innate connection; they come together as a woven structure scoping a perception of architectural elements.

Tectonic elements require interactions between elements and the abstraction process with a certain reduction. The avoidance of reduction needs deferment which is common to deconstructivist. Lynn's choice is "an alternative concept of abstraction, one that is more generative and evolutionary, involves proliferation, expansion and unfolding. This marks a shift from a modernist notion of abstraction based on form and vision to an abstraction based on process and movement" (1999: 39). Lynn's attempt of abstraction opens new possibility of form generation. I project this abstraction on Peircean *hypostatic abstraction* to probe how digital geometric architecture is related to classical form of architecture.

4. Architecture on Peircean Semiotic

Peircean semiotic is fundamentally *triadic*. My position is that if we did not apply Peirce sufficient enough to a theory of architectural language (Takahashi 2013), we need to recall Peirce's essential *triadic* system and semiotic logic. I take this approach to digital geometric architecture.¹ Peircean notion, *interpretant* creates the recursive structure as a semiotic agent, not as an interpreter. Peirce uses another term *representamen* that is a *sign* and a *sign object*. Peircean *three mode of being* governs: *representamen* which is a *sign*, *sign to object* relation, and *sign to interpretant* relations. (Peirce 1931) This scheme creates recursive, *hierarchical*, and *heterarchical* relationships of sign-itself and between signs. Peirce described the three modes of *interpretant*: *immediate interpretant (firstness)*, *dynamic interpretant (secondness)*, and *final interpretant (thirdness)*. These three modes of *interpretant* formulate a shifting process in the *mode of being* (Takahashi 2013: 152). Rational architecture follows hierarchical scheme and that of irrational does heterarchical. Hierarchical tectonic elements are exemplified by Classical architecture, while those of heterarchical can be by postmodern architecture and that of deconstructivist. The degree of rationality is on the various contexts. By comparing Classical architecture and digital geometric architecture, I probe the continuum between rationality and irrationality.

The essential characteristics of digital architecture innate *dyadic* mode concerning architectural form's disjunctive/smooth relationship. The notion of adjacency is concerned with the one to one/many relationships as a base system with the hierarchical relationship. Nevertheless, the human brain is not only functioning rational order. Current research on psychology have been discourses the notion of heterarchy and possibly related Peirce (Goldammer et al. 2003). The formal characteristic of blob architecture involves the attraction perceiving feelings of swaying, and swinging mental activity guided by the directional movement as we consume a formal sequence. This directional movement combines the hierarchy and heterarchy stream tracing building surface and materiality. This experience makes an architecture singular and wholistic, while the experience of materiality expresses another aspect and different scopes dynamically. Digital geometric architecture does this multilayered interaction explicitly, and Classical architecture does this implicitly.

¹ My research on postmodern architecture through Peircean *triadic* mode is extended for this research on digital geometric architecture.

5. Architectural Logic Based on Peircean Reduction

A logic of Peirce’s language was made through Peircean Algebraic Logic (PAL) in *A Peircean Reduction Thesis* (Burch 1991) by Peircean scholar and logician, Robert W. Burch.² Charles Sanders Peirce’s *existential graphs* was proved by his developed Peircean Algebraic Logic. Burch’s theory was influenced by Peirce’s *existential graphs* which is a *diagrammatic mathematics*, and the Burch’s theory (1997b: 206) contains “*the first-order predicate logic with identity*”. The relations are represented by the notion of *adicity* (stand for), and all relations are possibly reduced to *monadic*, *dyadic*, and *triadic*. The PAL entities are: *terms*, *elements*, *operations*, *arrays*, and others. I apply this logic to a formal system comparison between Classical architectural and digital geometric architecture. I highlight my review of PAL (Takahashi 2013: 148-180) briefly.

The semantics of PAL takes two layers: the level of *extensional* semantics (*Enterpretation*) and that of *intensional* semantics (*Interpretation*). The *extensional* semantics deals with the formal system and the *intensional* semantics is associated with mental activities with Kripke’s modal logic, “possible world logic.” (Burch 1991: 39) Each layer holds three levels of semantics: (1) *depiction*, (2) *representation*, and (3) *expression*.

Summarizing Burch’s (1991: 117-122) Peircean reduction—*hypostatic abstraction*—all relations are reduced to *monadic*, *dyadic*, *triadic* non-degenerated relations. The condition of *hypostatic abstraction* takes recursive way that requires a certain kind of *monadic*, *dyadic*, *triadic* new entities to proceed the abstraction. In other words, these additive entities make abstraction possible. The entities of abstraction (Figure 1) must include primitive term R^1 , *dyadic* identity (I^2), and *triadic* identity called *teridentity* (I^3) (Burch 1997a). I interpreted R^1 can be a *monadic* identity (I^1) for architectural Identity. The new abstraction is possible through additive new entities because of $(n+1)$ as specified below where n is original term’s adicity number. Importantly, Burch emphasizes Peircean *thirdness* involvement for true *teridentity*. The result of *Intensional Reduction* formula follows (Burch 1991: 114):

$$\mathfrak{R} = \iota(R^n) = \iota^+[\text{QUANT}^1\{\text{HOOKID}^{1,3,5}, \dots, {}^{2n+1}[(n+1)\text{PRODUCT}(R^1, I_1^2, I_2^2, \dots, I_n^2)]\}]$$

where: \mathfrak{R} as Relation, R^n as n -adic term, ι as *Interpretation*, QUANT as operator, HOOKID as operator, PRODUCT as operator.

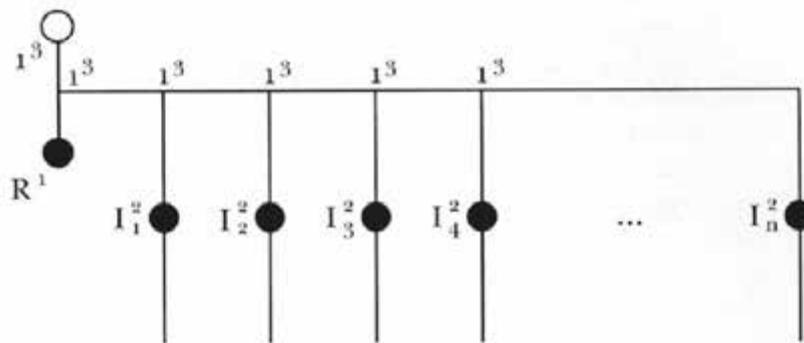


Figure 1. Graphical Syntax of Hypostatic Abstraction, Courtesy of Indiana University

² Dr. Robert W. Burch, Professor of Department Philosophy is one of my dissertation committee members at Texas A&M University.

6. Classical Architecture Projected on PAL

Following Vitruvian view Alexander Tzonis and Liane Lefaivre. (Tzonis and Lefaivre 1986) provides the basic syntax of Classical architecture. The formal categorization (1986: 6) has: “(1) *taxis*, which divides architecture works into parts; (2) *genera*, the individual elements that populate the parts as divided by *taxis*; and (3) *symmetry*, the relations between individuation elements”. The notion of *taxis* is the framework of architecture like grid systems, and basic rules of space configuration via *tripartition*: although, the system of *tripartition* works for the second categorization *genera* and that of third *symmetry*. The *taxis* can act as a universal guide in the *monadic* mode, which gives us immediate given condition.

At the level of *enterpretation*, the semantics of *taxis* act depictions and iconic functionality of the formal system of architecture. At the level of *interpretation*, *taxis* are theoretical principles of architectural system within *monadic* mode immediately configuring the mental relations between architecture and human mind through possible world. The *taxis* mean Peircean *immediate interpretant*.

The *genera* associate with typology, and provide the nested subdivision with the aid of *tripartition*, *genera* can provide the nested subdivisions with hierarchy. The structure of *tripartition* is however, two *dyadic* relations originated from three relations. For example, the relation of A-B-C composes A-B and B-C combination with *dyadic* relation. If we see A-B-C as genuine relation, our perception is upheld with higher hierarchy level of *genera*. The perceiver’s scope is between detailed and overall, it provides a totalized unit of figure toward *symmetry* if a perceiver detaches *genera* from the surrounding elements, which are map. The clarity of figures convinces the relations of representation what a figure stands for such as *order* system—analogue unit due to the characteristics of typology and repetition. At the level of *enterpretation*, *genera* represent the component of articulated architectural formal elements. At the level of *interpretation*, this articulation generates perceivers’ image making which is a stage of conception dynamically shifting modes like *dynamic interpretant*. The formal vocabularies are scenographic representation positioned by *tripartition*.

The *symmetry* (Tzonis and Lefaivre 1986: 118) is a relation and balance of architecture. This category is further divided into *rhythm* and *rhetoric*. While *taxis* address a total scheme of architecture and *genera* make a whole orchestration of players of a given components, *symmetry* coordinates the arrangement of their action as the expression of architecture. At *symmetry* *dyadic* relations are shifted to background and *triadic* relations are foreground. *Rhythm* is a compositional unit that expresses “stress, contrast, and reiteration”. (Tzonis and Lefaivre 1986: 118) associated with pattern and clarity of expression by means of the formalization of *genera* such as intercolumniation instead of individual order. Tzonis exemplifies (1986: 153) Andrea Palladio’s rhetoric of parallelism (*overt figure*) and embedded effect of *tripartition* (*subtle figure*). The parallelism creates an effect of analogy enhancing formal emphasis at the foreground, while rhetorical use of *tripartition* overlays at the background. The subtle figure includes: (1) interruption of a series, (2) breaking off an element, and (3) the returning to the initial series of element. (Tzonis and Lefaivre 1986: 157) At the level of *enterpretation*, the rhythm creates units of formal arrays initiating mental interaction. At the same level, rhetoric creates simultaneous formal multiplicity generating combined effects of overt and subtle. At the level of *interpretation*, rhythm activates the mind interaction of sensitization, repetition, and contrast. At the same level, rhetoric initiates dynamic mind interaction permuting overly composed figures and subtle perceived figures. This shifting process possibly prompts a new level of abstraction clarifying the meaning of architecture for the aspect of *symmetry*. The dominant level of semantics is expression and relevant to *final interpretant*.

Recalling a *hypostatic abstraction*, the certain set of architectural identities are specified: *monadic* architectural identity, *dyadic* architectural identity, and *triadic* architectural identity. These identities are presupposed corresponding to *monadic* primitive term, *dyadic* identity, and *teridentity*. The process of *hypostatic abstraction* requires these additive identities.

Monadic architectural identity is a principal belief in architectural theory. For Classical architecture, it is the syntax of architectural *tripartition*, which is a main component of *taxis*, and the view of universality and iconicity, originally denoted as *monadic* term R^1 in PAL. Since the PAL system works with recursive way entirely, *monadic* term can be understood as a starting point and the interiority of architecture. For Peirce, this *monadic* foundation is the universal view aligned *immediate interpretant*. This identity initiates formal rules at the *extensional* semantics. For the *intensional* semantics, the identity is scenographic and static cultural symbolism.

Dyadic architectural identity is a representational associated with ornament in a cultural context. This identity characterizes shifting mode like *dynamic interpretant*. Architecture is presupposed as autonomous representation system for Classical architecture at the *extensional* semantic level. Architecture involves mental activities associating with the *intensional* semantics and ornamental scenographic elements. This shifts identities to *monadic* singularity.

Triadic identity is exceptionally relevant to *symmetry* for the *extensional* semantics. The rhetorical treatments engage mental attraction in local and requires the combination of overt figure and subtle figure effect. This is dynamic mental interaction with *secondness* mode. On this scope, *tripartition* articulates the relations in the foreground. In the *intensional* semantics, a mental engagement scope becomes larger; the *triadic* architectural identity gains the higher level of consistence. The specification of scope described aligns with time and space like *final interpretant*.

7. Abstraction of Digital Geometric Architecture

Lynn's philosophy on *abstract machine* (1999: 40) following Foucault is theoretical starting point for his amorphous architecture aligned with curvilinear, non-standard calculus, and Deleuzian singularity. Lynn depicted computer algorism from his corresponding interiority that ameliorates disjunctive formal treatment of deconstruction, and the departure from cultural bounded critical regionalism gaining his free will for amorphous architecture. The *hypostatic abstraction* underlines Lynn's concept of *abstract machine* as his primitive *monadic* source. The following is the set of architectural identities for his abstraction.

Monadic architectural identity is a theoretical shift from *dyadic* identities' fragmentation. Lynn's theoretical foundation is established partially idealism and partially instrumentalism. Foucault's "abstract machine" is a key to understand Lynn's choice of *firstness* mode. The act of abstraction is generative "proto-signifier" which is "diagram." Diagram is a map and conflict for Foucault. (Lynn 1998: 229-230) This is originally *secondness* mode for Peirce. It is turned to the *firstness* detaching from any specific meaning like Lynn's amorphous architecture. This principle is relevant to the experimental design method establishing the theory of amorphous architecture. Therefore, for digital geometric architecture, this theoretical underpinning is singularity. At the *extensional* semantics, *monadic identity* is shifted from *dyadic* formal rules. Then, at the *intensional* semantics, this identity depicts reasons of practicality materializing amorphous idea to architecture.

Lynn's *dyadic* figuration can hardly stay only in the Peircean *secondness* mode. His notion of pluralism requires amelioration of collective disjunction by balancing the thought that creates singularity. His *monadic* identity has theoretically *firstness* and practically *secondness*. Ideology takes the *monadic* mode at overall scope to deduce amorphous architecture while the local level conscious deals with *dyadic* level for the tectonic materiality and syntactical rules, para-

metric design and *research by design*. Lynn described Deleuze's notion, "asignifying concepts" which is "instrumental before it is representational." (Lynn 1999: 39). The role of instrument is *firstness* abstraction and *secondness* index so as representational. In the *intensional* semantics, these two stages are dynamic exchange like a stage of *dynamic interpretant*. For digital geometric architecture, this formal rule is shifted to *firstness* and for *intensional* semantics, Lynn's primitive concept, curvilinear is shifted to *firstness* singularity and to a theory. The parametric materialization is in this identity and enhances design, technology, and production. The mode of *secondness* practicalities dominates the way of tectonic within computerized culture.

Lynn's *triadic* configuration is continuously emerging *hypostatic abstraction* process filling a new set of entities: *monadic* architectural identity, *dyadic* architectural identity, and *triadic* architectural identity. Lynn's *monadic* initiation has been linked to dyadic technicality. For digital geometric architecture, I am concerned with the scope of tectonic. If the scope is local, the tectonic matter dominates technological aesthesis within culture of digital geometric architecture in the *extensional* semantics of PAL. If amorphous mode becomes universal architectural *triadic* identity through intentional semantics of PAL, we need a complete agreement of this architecture. The performance of architecture is one of commonly recognized goals to justify.

8. Conclusion

By shifting to *monadic* identity from *dyadic* identity, the digital geometric architecture becomes theory of architecture. This *monadic* singularity presents a new stage of architecture. I drew the specification of observed architectural identity following the framework of *hypostatic abstraction* and Peircean semiotic. Classical architecture and digital geometric architecture are both scenographic, but differently. This scenographic is between in the *firstness* and *secondness* mode. Classism holds *firstness* while digital geometric is *secondness* primary. However, they are sifted respectfully. Classical architecture's scenographic is *monadic* in *intensional* semantics because of human perception, while that of digital geometric is *extensional* because it is the instrumental abstraction that can facilitate making architecture with parametric means such as technology and complexity. Perception is continuously evolving, and parametric means are the source of forming materializing architecture. To conclude, the continuum of Classical architecture and digital geometric architecture is realized shifting modes with required triadic architectural identities that embrace architecture. Perhaps, it is possible at the point of critical agreement of *teridentity*. The true *teridentity* needs Peircean *thirdness* mode according to Burch (1991: 117) and the probe of Peircean interpretation of digital geometric architecture requires this condition essentially.

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SEMIOTIC ARTICULATIONS BETWEEN LITERATURE AND ARCHITECTURE

Nikolaos-Ion Terzoglou

National Technical University of Athens, Greece
initer@central.ntua.gr

Abstract

Philippe Hamon, in his ground-breaking study *Expositions. Literature and Architecture in Nineteenth-Century France*, focuses on the ways architecture becomes a privileged model grammar or meta-language for the construction of the 19th century French literary narratives. According to him, architecture functions as a shifter, a metaphorical operator that enables the visual domain of the 'real' to be translated into the semiotic, textual domain of the literary representation. I plan to adopt Hamon's hypothesis and lead it to further, specific directions of research, articulated around three different levels of contemporary architectural problems: 1. The problem of the nature and meaning of space as objects of architectural conception; 2. The problem of context and place in relation to memory and time; and 3. The problem of fiction and narrativity as vectors of the architect's creativity. My aim is to show how literature and its various semiotic articulations and conceptual conjunctions with situations of everyday life and their spatial setting entail a radical shift in the epistemological models of architectural conception. More specifically, I will briefly sketch a new methodology for the conception of architectural space based on the above three levels of problems.

1. Philippe Hamon's hypothesis and the question of space

The semiotic articulations between literature and architecture are complex. Philippe Hamon, in his study titled *Expositions*, investigates this complexity from the viewpoint of literary studies and textual poetics. Hamon focuses on the ways in which architecture becomes a privileged model grammar or meta-language for the construction of nineteenth-century French literary narratives. According to him, architecture functions as a shifter, a mathematical-metaphorical operator that enables the visual domain of the "real" to be translated into the semiotic, textual domain of the literary representation. Through architecture as a common background of experience, as a framing device, writers of fiction are enabled to produce "lexical space" im-

bued with intelligibility, structure and meaning (Hamon 1992: xi-xii, 12-13, 19-22, 24-25).

This process leads Hamon to formulate a basic working hypothesis: “the artifice of literature (an articulated semiotic ensemble that produces meaning) possesses a structural complicity or deep pre-established homology with that very thing whose existence in reality is already artificial: namely the building (an articulated semiotic ensemble that produces space)” (Hamon 1992: 6). What could be the implications of this deep homology or affinity between the built domain of the visible and the written domain of the legible, for architecture as a discipline? Since August Schmarsow (1994: 286-287), we are familiar with the fact that the discipline of architecture creates space. How does literature represent the space produced by architecture? Can architects learn something from this process? These are the first questions I would like to respond to.

These questions acquired urgency since another ground-breaking study: Joseph Frank’s *The Idea of Spatial Form*. Trying to override Lessing’s assumption that literature deals with time-sequences, whereas the plastic arts are spatial in character, Frank argues that Modernist literature and contemporary literature are “...striving to rival the spatial apprehension of the plastic arts in a moment of time” (Frank 1991: 61). This predominance of spatial form can be attested in the works of Flaubert, Proust, Pound and Joyce. “Space” is therefore an internal, relational logic of some Modernist literary works that organizes their form as a regulative idea (Frank 1991: 9-10, 14-27). The deep pre-established homology between literature and architecture is due to a common, spatial structure: if architecture offers an “inhabitable story” (Hamon 1992: 29) in real space, then literature, through the spatialization of its form, leads to a narrativization of space.

Thus, it is not uncommon to talk about literature’s “semantic spaces” (Hamon 1992: 45), its “narrative space” (Pelletier 2012: 64), its “textual space” (Spurr 2005: 29), and its “oneiric” or “paradoxical spaces” (Robbe Grillet and Pérez-Gómez 1996: 250, 258). Let me therefore reformulate my previous questions: if there is a “literary” space, how does it represent “architectural” space and how does it organize itself to produce meaning? Hamon lists five (5) levels of “literary space” that articulate its meaning: (1) the topological, (2) the topographical, (3) the topical, (4) the typographical, and (5) the typological (Hamon 1992: 34-35). I argue that architects should be interested especially in the *topographical level* since it is the level of the signified collective actants, such as places, dwellings and architectural themes, and of movements, rituals and proxemics (Hamon 1992: 34). From the topographical level of literary space, we can infer how literature represents the social space and the staging of everyday life that architecture produces.

However, I would be reluctant to speak about “literary spaces”. We should be epistemologically cautious. It is far better to talk about “literary representations of space” or, following David Spurr, “forms of spatial representation” (Spurr 2005: 16). So, the fundamental question would then be this: what *kind of space* does literature represent (or present)? I argue the following three points: (1) Literature does not represent “real space”. It is not a picture or a photographic image of the space of reality. It distorts, alters or transcends reality. We could even argue that literature shapes or invents reality, giving order to an amorphous mass of random facts (what Hamon calls a “configuration”) (1992: 35). (2) The topographical level of a literary spatial effect or spacing operation rewrites “material space”, suspending reality and distancing from all its details, which abstracts, transfers and transforms it. (3) This set of transformations does not present geometrical space, which is measurable and quantifiable (Spurr 2005: 15) but unveils *intangible qualities* (Weiner 2005: 24) of the space of reality that often transcend immediate sensible data or sensual stimuli.

One specific example of this kind of spatial operations is Italo Calvino’s *Invisible Cities*. Apart from the fact of its amazingly complex spatial structure, its strict architectural geography, and its internal mathematical organization (Peponis 1997: 37-53) this literary artefact deals specifi-

cally with the problem invoked by Hamon's hypothesis. I quote Calvino: "the city must never be confused with the words that describe it. And yet between the one and the other there is a connection" (Calvino 1974: 61). As Marco Polo describes fifty-five (55) cities of Kublai Khan's vast empire, a pressing enigma haunts the reader: is he speaking of real or fictional and imaginary places? And how does the narration of reality alter its meaning – through signs, images and the poetic use of language? What is the relation between words and things? Calvino writes, "Signs form a language, but not the one you think you know. I realized I had to free myself from the images which in the past had announced to me the things I sought" (1974: 48).

Narrativity transforms real spaces into image-spaces, dreamscapes (Calvino 1974: 44). Sometimes, naming a reality is more important, and "real", than reality itself: "the city that they speak of has much of what is needed to exist, whereas the city that exists on its site, exists less" (Calvino 1974: 67). Calvino thus states that literature transforms real space into a "zodiac of the mind's phantasms" (1974: 22). The literary vision "does not see things but images of things that mean other things" (Calvino 1974: 13). Literature unveils a latent, emotional space, articulated through signs: "Your gaze scans the streets as if they were written pages" (Calvino 1974: 14). This "emotional space" is constituted by intangible qualities: memories and dreams. Let us call them the "space of memory" (Calvino 1974: 19) and the "space of the imagination". I argue that Hamon's topographical level of the literary representation of space is *imbued* with those types of spaces, forming what Calvino calls a "mental space" (1974: 103).

We could begin formulating an answer to our fundamental question. Literature represents, or rather reveals, a hidden spatial dimension: aspects of "lived space", the space of "experience", which is different from real, material or geometrical space in so far as it is distorted and altered through various intellectual eyeglasses. Thus, if architecture assigns a structure to literature for the staging of the narrative plot, literature offers back a sense of the structure of lived, qualitative and experiential space: what I would like to name, after Edmund Husserl, the *lebenswelt* – that is, the life-world or the space-of-life.

2. Edmund Husserl's *lebenswelt* and the question of place

Let us, then, assume as a working hypothesis that literature, a specific type of discourse, gives us privileged access to the *lebenswelt*, namely to a "space of experience" crystallized through narrative and the creative use of language. An obvious question naturally arises: what is the *lebenswelt*? The ambiguous concept of the *lebenswelt*, translated as "life-world" or "world-of-life", was mainly expounded by Edmund Husserl in his magisterial but unfinished text *The Crisis of European Sciences and Transcendental Phenomenology*. Husserl worked on this major project from 1934 until 1937. Its main aim was to expose and elaborate on the hidden precondition of scientific knowledge; a foundation he believed remained unrecognized. Husserl states: "Science is a human spiritual accomplishment which presupposes as its point of departure ... the intuitive surrounding world of life, pregiven as existing for all in common" (Husserl 1970a: 121, 111-112). The *lebenswelt* discloses the everyday world as a horizon, a framework and background of our lived experiences that is constituted through forms of meaning (Sinnesgestalten) (Husserl 2002: 152-157, 163-165). This concept reminds us of the idea of a spatiotemporal "environment" (Umgebung), a "surrounding world", as elaborated by Husserl in his lectures on "Thing and Space", in 1907 (Husserl 1997: 1-4; Woodruff Smith 2007: 344).

This family resemblance led Edward Casey to advance certain arguments regarding the spatial dimension of Husserl's *lebenswelt*. In his important study *The Fate of Place*, he shows how, in the early work of Husserl, the human living body (Leib) is entangled with a "system of locations" (Ortssystem) which define a "bodily space" (Leibesraum), a "core world" (Kern-welt).

He then proceeds to almost identify the *lebenswelt* with this *leibesraum* (Casey 1997: 216-220). In other words, the *lebenswelt* would be a continuous system of possible locations of the living body (Casey 1997: 224-228, 437 n.141). I do not agree with Casey's interpretation. If we go back to Husserl's own primary texts, we will find out that the *lebenswelt* does not necessarily coincide either with the scientific world of geometrical extension (Descartes) or with the materiality of a network of possible particular locations of bodies or things.

In 1935 in Vienna, Husserl delivered a revealing lecture titled "Philosophy and the Crisis of European Humanity". In it, he concedes: "'Surrounding world' is a concept that has its place exclusively in the spiritual sphere. That we live in our particular surrounding world, which is the locus of all our cares and endeavours – this refers to a fact that occurs purely within the spiritual realm. Our surrounding world is a spiritual structure in us and in our historical life" (Husserl 1970b: 272). A life-world is not, therefore, a system of objective locations but a lived experience (Lyotard 1991: 61-64) of this network: a mental configuration, what Husserl names a "meaning-construct" (Sinngestalt) (Husserl 1970a: 113). It is a "subjective-relative a priori" (Husserl 1970a: 140) which constitutes "a world-horizon as a horizon of possible thing-experience" (1970a: 138). Literature discloses such a world-horizon, revealing the *lebenswelt*, since, as Paul Ricoeur writes, it denotes "the reservoir of meaning, the surplus of sense in living experience" (Ricoeur 2002: 592-593).

Then, what would be the particular spatiality of concrete historical and cultural experiences that are so characteristic of the *lebenswelt*? If we carefully examine the various sections in the *Crisis* where Husserl analyses the specific spatial structure of the *lebenswelt*, we will find out that it differentiates into particular "regions", giving birth to subjective "systems of correlations" mapping sectors of the world (Husserl 1970a: 143-147, 161-167). Those systems of correlations offer overlapping *horizon-validities*, which evaluate a given system of locations through the lens of a specific form or way of life (Engelen 2010: 136-149). As an example of this process, I could mention a literary and autobiographical text written around the same period: Walter Benjamin's *Berlin Childhood Around 1900*. Benjamin narrates his past through a collection of fragments, where childhood memories intermingle with real localities of Berlin, accentuating certain spatial characteristics and recombining them into novel constellations of meaning. Memories and phantasms colour urban experience, relating certain spaces with feelings and emotional qualities.

Benjamin writes, "the imagination, once it has cast its veil over a region, likes to ruffle its edges with incomprehensible whims" (2002: 369-371). The experience of Berlin through language, signs and street names unveils a child's perspective of the city: "How much was promised by the name 'Court Hunters' Lane', and how little it held!" (Benjamin 2002: 352). Reality is constantly refracted through dreams, expectations and hopes: the *lebenswelt* of subjective world-horizons rooted in everyday practices and habits. Benjamin notes (2002: 395):

Just as the lost word that was on the tip of our tongue would have triggered flights of eloquence worthy of Demosthenes, so what is forgotten seems to us laden with all the lived life it promises us. It may be that what makes the forgotten so weighty and so pregnant is nothing but the trace of misplaced habits in which we could no longer find ourselves.

Berlin Childhood Around 1900 is a literary, almost phenomenological, reconstruction of those lost habits, sewn around a qualitative nexus of lived spaces of experience. Organizing those relational spaces into "systems of correlations", with whom Benjamin was familiar from his archival practices, he reveals the Husserlian "life-world". Literature thus offers privileged access to the *lebenswelt* as a cultural world of values (Wertewelt) (Woodruff Smith 2007: 383-387; Carr 1977: 208-211).

I now proceed to the second point of my argument. Since the *lebenswelt* is not a material form of location but the structure of experience that gives meaning to it, I claim that it bears a similarity to the concept of “place” as used in human geography (Cresswell 2004: 11, 19-34) – namely, a *lived space*, a meaningful location. Tim Cresswell writes (2004: 10): “When humans invest meaning in a portion of space and then become attached to it in some way (naming is one such way) it becomes a place”. Moreover, Hamon writes (1992: 45): “A place is never truly a place until it has become a named locality (*lieu-dit*)”. Literary discourse, through naming and ascribing meaning to places and things, reveals the *lebenswelt* hidden into spaces and localities. Mari Lending, examining Stendhal’s autobiography, proves the place-making role of literature. Stendhal’s textual corpus, which is based on his diagrammatic drawings, is a map of existential possibilities, an emotive geography capturing the physiognomy of a place (Lending 2011: 94-103). Architecture could use literature in order to understand the “genius loci”, the spirit of a place.

Christian Norberg-Schulz writes, “Being qualitative totalities of a complex nature, places cannot be described by means of analytic, ‘scientific’ concepts. As a matter of principle, science ‘abstracts’ from the given to arrive at neutral, ‘objective’ knowledge. What is lost, however, is the everyday life-world, which ought to be the real concern ... of ... planners and architects” (Norberg-Schulz 1980: 8). Literature as a humanistic endeavour can therefore capture the elusive “spirit of a place”, which is related to the Husserlian *lebenswelt*. I would like to call it the “plot of a place”: structures of the *lebenswelt* expressing ways of life. I argue that the architect should read the *lebenswelt* of a place as a text. What would be the consequences for the methodology of architectural design and for the status, virtues and roles of the architect as a creative subject?

3. Paul Ricoeur’s *refiguration* and the question of the architect’s task

In order to offer some preliminary answers to those two questions, I will now turn to Paul Ricoeur’s impressive essay, titled *Architecture et Narrativité*. Ricoeur remoulds Hamon’s hypothesis, trying to investigate the pre-established homology between architecture and narrative. He writes, “I would like to propose an analogy, a parallelism between, on the one hand, building, constructing in space, and, on the other hand, narrating, creating a plot in time. ... I am wondering if we could not push the analogy further, until a real intersection, an intricacy between the architectural configuration of space and the narrative configuration of time” (Ricoeur 2014: 2; Ricoeur 1996). In order to arrive at this intersection, Ricoeur uses the categories linked to threefold mimesis from his work *Time and Narrative*, transposing them to the architectural plane (Ricoeur 2004: 527 n.2). The transposition makes use of the Heideggerian treatment of another famous triptych: building, dwelling and thinking (Heidegger 1997: 100-109).

The first logical moment of a literary creation is the *prefiguration*, where the narrative function is engaged in the everyday life, in conversation, without detaching itself to produce literary form. Prefiguration is related to the act of dwelling. Then comes a second logical moment, the *configuration*, namely the stage on which time is organized according to a plot and the narrative acquires intelligibility. Ricoeur relates the second stage to the act of building. Finally, in the third step, that of *refiguration*, the literary creation arrives at the disposal of its reader. In the architectural realm, this third logical moment would entail a thoughtful dwelling (Ricoeur 2014: 4-14). Prefiguration is a way of living-together that refers to the *lebenswelt*. Configuration animates the problem of context and intertextuality in architectural creation. Refiguration opens up “the possibility of reading and re-reading our places-of-life from the point of view of our way of dwelling” (Ricoeur 2014: 14).

I would like to argue that Ricoeur’s scheme could entail a radical shift in architectural pedagogy. Let us recall the dominant model of architectural creation, which is deeply rooted in

the history of the discipline: first, there is process of conceiving an abstract idea, thinking in terms of a concept, which is then represented through sketches, models and plans. In a later stage, through the mediation of those graphic representations, construction and building begins, where materiality is shaped according to the initial idea. Finally, after the work of construction is over, dwelling begins. However, Ricoeur's scheme leads me to propose another possible alternative: why not merge the final stage (dwelling) into the first (thinking)? If we bring together *refiguration* and *prefiguration* into a single, holistic process of conception, we gain something valuable: the anchoring of abstract thinking in the Husserlian *lebenswelt*.

Thus, architectural ideas would lose their formal, and, often, arbitrary nature. They will relate to place and its spirit. This is where literature comes in. Literary representation, as we have seen, offers a privileged access to the *lebenswelt* of a place, namely to the lived space expressing ways of life. Literature could help architects to mediate between the abstract, mathematical-geometric space of conception and the concrete, experiential environment of the lived body (Ricoeur 2004: 148-150). Ricoeur names this a "third space". I argue that the "third space" can be accessed through literature. Architectural creation then would be more like reading the con-text and "plot" of the place and trying to adjust abstract ideas to concrete situations of life. Dwelling/thinking as reading should come before building. What does "dwelling" mean?

In Christian Norberg-Schulz's work titled *The Concept of Dwelling*, we read that "human existence is qualified by the insoluble unity of life and place" (Norberg-Schulz 1985: 13). Dwelling is related to the *lebenswelt* of a place, as a world of characteristic, meaningful things (Norberg-Schulz 1985: 16). Therefore, dwelling is not only a material condition of shelter but also a belonging to a place through phenomenological horizons of meaningful structures that affect the mind and the senses. In other words, dwelling creates ethos and character. Karsten Harries (1997: 4) writes, "Ethos...names the way human beings exist in the world: their way of dwelling". In order to illustrate how a "personhood of place" (Caicco 2007: 1-18) can influence ethos through dwelling I will turn to Edgar Allan Poe's story titled *The Fall of the House of Usher*.

Poe maps the influence of place on character through the concept of the "atmosphere". He writes, "I had so worked upon my imagination as really to believe that around about the whole mansion and domain there hung an atmosphere peculiar to themselves and their immediate vicinity" (Poe 1994: 1464). The melancholic atmosphere of sorrow surrounding the House is mirrored in the mental idiosyncrasy of its proprietor, Roderick Usher, urging Poe to admit of "the perfect keeping of the character of the premise with the accredited character of the people" (Poe 1994: 1464) who live there. The place, therefore, influences the formation of the ethos and mental conditions of its dwellers. Poe (1994: 1466) observes "an effect which the *physique* of the grey walls and turrets ... had, at length, brought about upon the *morale* of [Usher's] existence". I argue that reading the plot of a place signifies a new task for the architect: to decipher the "atmospheres" of dwelling as a decisive ethical factor in the design of space.

Let us therefore recapitulate the arguments thus far in order to conclude. Philippe Hamon's hypothesis about a deep homology between literature and architecture leads to significant semiotic articulations between the two disciplines. Those articulations entail a radical shift in the methodology of spatial design, analysed in the following points:

1. Literature reveals hidden and intangible dimensions of space, as well as more specifically, a space of imagination and a space of memory.
2. Literary representations uncover the Husserlian *lebenswelt*, a lived space with qualitative and spiritual structures.
3. Literature can help architects to map the "systems of correlations" that transform locations,

through the *lebenswelt*, into meaningful places.

4. The architect, therefore, should *read the lebenswelt of a place* before building, thus merging abstract thinking with concrete situations of life, through literary representation.

5. This process of reading the plot of place as a critical dwelling would ultimately reveal the “atmospheres” and the character of a place, and it would navigate architectural creation to contextualize a proposal appropriate to its ethos.

Moreover, architects can learn the following from literature:

6. How to investigate imaginatively possible worlds (Weiner 2005: 25).

7. How to direct dwellers through dramatic sequences of embodied experiences (Pelletier 2012: 62-66).

8. How to reconstruct stories about places that influence the foundation of their atmospheres (Hamon 1992: 29, 46-47).

Finally, literature can help architects to realize that architecture is not a technical discipline that can be treated as an instrument or a commodity, as Dalibor Vesely (2004: 3) argues; it is a complex discourse deeply rooted in the humanities (Vesely 2010: 189-200).

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SEMIOTICS OF SPACE AND THEORY OF FORMS: ARCHITECTURE, FORMS OF MEANING, FORMS OF CREATION

Pierre Pellegrino

CRAAL, Lausanne, Switzerland

pellegrino@bluewin.ch

Abstract

This paper examines the progress of research on forms in interdisciplinary works where semiotics hangs a large share. Several ways of approaching this area of semiotics can be relevant, including by bringing results from other fields of research, provided that these results are “cleared” at the crossing of disciplinary boundaries. In order to propose a synthesis, I would like to submit here a few questions and some reflections which, I hope, will help to situate the field to which I am referring. The questions I am tackling here and the answers I am sketching are obviously incomplete but relate, from my point of view, how, inscribed in the emergence processes of forms that produce meaning in space and time, architecture in its practice produce a space that can be object of the semiotics researches, and, between present spaces and absent objects, forms are invented that can articulate forces and produce meaning. In this way I propose a path to develop a general theory of semiotic forms.

1. Semiotics of space

In general, the semiotics of space is a semiotics of spacing’s as shapes of form given to the artificial world in which we live, the semiotics of the processes of production of meanings in that they take shape in the space of human facts. Equipped with a metric, the spatial forms, forms of localization, inclusion and exclusion, intersection and overlap, provide a measure for separation or contact, disjunction or junction, proximity or distance, amplitude and density to the orientation and distribution of the human actions and gestures.

In this sense, space is not merely a scene or a place where the facts of meaning, otherwise determined, manifest themselves. For the semiotics of space, space is not a thing. In the semiotics of space, the relation between form and substance is very different from that of verbal semiotics. The substance is absent and the form refers to this absence; yet, in its absence, this substance

confers on space a proper value. The form of space is first topological, it is then the form which the (open or closed) boundaries of its external neighbourhoods confer upon it. And the limits of these neighbourhoods have a substance; for example, the boundaries of an architectural edifice, those of a wall, a roof, or a slab. As these limits have a form, they impress it not only on their substance, but also on the space they contain, as well as they also impose their cutting on whatever might take place in this space. This form has geometric properties (positions, orientations, axes, dimensions, magnitudes, ...), properties that contribute to define and mark the relationships that human practices can have in space. As it is a built space, these boundaries and the form they impart to their substance are thus not univocally determined by relationships of causes and effects, but they can be motivated by intentions or deliberately selected by convention.

2. Semiotics of architectural space

As regards the semiotics of space, that of the architectural space, with the research of the end of the twentieth and the beginning of the twenty-first century, there are many developments, each of which implements, and questions, the concepts of form and meaning. Particularly there are works which, at different scales, have focused on architecture as a foundation act, the topogenesis and the architecture of the territory, or several works of architectural typology and urban morphology, as well as works on geographical space, on archaeological semiotics, on the morphogenesis of cities and territories, or on the semiotic profiles of urban forms. Around and beyond these works recent contributions develop the researches in the field of semiotics of space, notably researches on grammars of form, virtual reality and schemes of architectural composition, or works on the logics of space and logics of time, as well as researches on architecture and energetic of bodies. Each of these contributions has a conception of the principle of emergence, construction or deconstruction of forms that give meaning in space-time, with an emphasis on one or the other of its articulations. In this perspective, the considerations that follow in this paper are meant first of all to remind how architecture questions itself about the meaning of its project and how it can develop a semiotics of space and time to respond.

2.1. How has architecture interpreted the relations between space and meanings?

In the most ancient treatise from which we have a complete version, Vitruvius (Circa 42 B.C.) explains what the sign is for the architectural theory: "In architecture, as in any other sciences, two things are noticed: that which is signified and that which signifies" (I.3.). Still more precisely, it is a theory based both on a metasemiotic system, in which the thing signified, the thing stated about, is the object of the architectural design, "the building", a tool possessing certain properties for those who use it, and on a connotative representation in which the thing that signifies in the design of the object of architectural project is the demonstration given of its properties by reasoning, supported by science. And these properties, for Vitruvius, are of three register of values: "firmitas, utilitas, venustas" (III.2.).

Thus, what signifies in architecture is not the building per se but the secondary connotative signification which architecture gives of the connection that, in its properties, the edifice may have with things other than itself: certain items and concepts of knowledge. We also learn that architecture "is a science that should be accompanied by a great variety of studies and knowledge, by means of which it judges all works of the other arts that belong to it" (I.1.), to the point where "most cannot comprehend that the understanding and memory of one man should be capable of so much knowledge" (I.12.). All sciences, however, have "a communication and link between them"; "universal science is composed of all these sciences" (I.12.), so that it is enough for the architect to know the "consistencies... between certain things that are common to all the sciences, one of which helps in learning another more easily" (I.15.).

The practice consists in the execution of designs “whereby the matter” of architectural works “is given suitable form” (I.1.). And the theory demonstrates the relevance of the measurement given to this form, “explains and demonstrates the fitness of the proportions of the things it is desired to make” (I.1.), the relevance of the measurements given to the various parts of the edifice planned. The connotative connection between what architectural reasoning signifies and what is signified in the design of the edifice which it builds is thus marked in the building as a “right measurement” of objects “in relation to their use”; architecture is then “constituted” by operations of measurement, ordering, disposition, rhythm, proportion, properties and distribution of the parts of the edifice (“taxis, diathesis, ...” (II.1.)). And the theory of architecture is a theory of measurement signified in the edifices it produces. Thus, the “demonstration” of the usefulness of the instrument is given by a measured design that connotes a reasoning.

As instrument endowed with a solidity, a usefulness, and a beauty the building is the semi-otic object of a demonstrative meta-discourse explaining intentions that preside to partitions of space whose it is the object and to the articulation of the variable forms of its content and its expression ; this metadiscourse is held on the forms of the proposal of project, it disarticulates and rearticulates its models of reference, to seize its deep semantic and to neutralize its context, as it decomposes and recomposes its in a graphic reasoning by putting them at stake to test its syntactic rules and transform its context in a measured co-text.

Then this teaching, formulated in a first synthetic treatise, is reformulated in successive epochs (Renaissance, Baroque, Classicism, ...) by different master of architecture. However, in the twentieth century, several research tracks have been followed since the seventies to try to go beyond this heritage and explore in a new way the production of space, the forms it takes in architecture and their meaning.

The modern movement of the early twentieth century had sought to produce a functional architecture in a wide variety of “organic” or “rational” propositions, aiming at the realization of a singular building for the one, the production of prototypes for the industry for the other. But the production of the post-war building with its serial repetitions and its volumetric simplification has sunk into the semantic reduction, producing an international, industrial architecture, standardized to be functional, which many critics considered monotonous, disembedded and delocalized.

The protagonists of this production themselves had finally challenged the precepts of this modernity to re-interrogate ancient knowledge about the “language” of architecture, and to propose new codes of shaping an architecture that wanted to be “post-modern”, codes that would express the contradictions of the conception of the architectural space, its ambiguity and its complexity, as its inscription in a context.

The work of two contemporary architects, among others, can also illustrate the question. For Mario Botta, heritage and architectural creation meet and find an echo in a significant gap; even before taking shape in a new synthesis, as in an articulation between modernity and baroque, urbanity and rurality, ..., the meaning of the work is the product of this gap. For Peter Eisenman, it is a matter of escaping from the usages and conceiving without being bound to functions as to metaphysics of utility, the process of architectural design consisting of discarding mental habits, deconstructing consecrated models and to produce an open work, in order to leave free the interpretations which can be made of it.

2.2. What are the attempts of contemporary architecture questioning?

Looking for complexity across the gap or reducing the meaning to a zero degree of architectural writing, attempts by contemporary architects all seek to open up the actual on the vir-

tual, transcending the close relationships established between the partitions of a space in project to find a general form, universal, in the generativity of a process of singular composition.

Faced with the desire to produce standards for the industry which had been the aim of modern architecture of the twentieth century, contemporary architecture questions the very idea of type, in order to find the value of the unique work in a creation process that escapes both standards and constraints of the series. The process of creation intends to reach the path of intuition, and it does so to the detriment of experimentation; it is no longer a matter of accommodating forms to constraints of reality, but of assimilating the real to the frameworks of architectural thought It is not to meet the expectations of the recipient of his project that the form is designed by the architect, but to transform his expectations. If the building is conceived so that it is perceived, the architectural conception intends to act on the perception of its object. Rather than reproducing object types to reinforce the project's grasp with memory values recorded in the mental habits of an era, the project draws the unexpected to capture attention and transform expectations.

Many modern architects displayed a functionalism embodied in a theory of evolution. But, paradoxically, it was in a catalogue of so-called "first" forms, of a well-defined geometry, that they drew, while their stated intention was that the "form" follows the "function", adapts as in a Darwinian "context". The theory of Gestalt was even called to justify the choices of form, whereas precisely the theory showed that, in its perception, unstable form inscribed in a dynamic process, the "good form" emerged from a background in equilibrium always hesitant.

The discussion was also to know whether, before the seizure of the parts, as the Gestalt claimed, modern "language" was more than the sum of its parts, a multiplier or an incentive "language", or, on the contrary, less than this sum, reductive code, inhibitor. Since, reproduced by inheritance or imitation, the structure could be understood as a "deep" structure, a system of transforming forces into forms or, on the contrary, as the result of forces otherwise in action independently of the forms they could take on the surface of the shape. The question remained whether the generation of architectural forms followed universal patterns or, on the contrary, was it particular and linked from case to case to local dimensions and constraints of the project? According to the epistemological background to which this generation was described, nativism or empiricism, structuralism or constructivism, the answer could radically diverge.

For nativism, knowledge is innate and the forms our mind gives to reality, inscribed in our biological heritage, if they are not immediately accessible to our consciousness, are only gradually discovered and taken from intuition in this heritage. For empiricism, on the contrary, knowledge comes from the observation and abstraction of material reality, and forms are in this reality and we discover them by analysing the phenomena that can be observed there. Structuralism, in particular semio-linguistics, considers that there are structures immanent in every reality as in any grasp that one can have, especially that language as structure precedes speech, even if only speech can produce modification of codes, and thus that the grasping of shapes depends not only on a prior structure, but also on the practice we have of them — especially when, by learning, we imitate our fellow men. For constructivism, which lies at the interface between these first three backgrounds, it is from the practice we have of reality and from the abstraction reflecting this practice that we derive our knowledge, and the forms are those which we construct in our minds to make possible and control this practice — the structures being only states of equilibrium of the forms constructed in our mind. Generally speaking, depending on the background, either the forms give meaning to a real that they put into form, or they take meaning in a reality from which they derive their form.

In architecture, these different backgrounds can all be implemented in the same project, they do not necessarily oppose each other in contradictory epistemas, as is the case for knowledge

that takes them as surfaces of emergence of a scientific production. Intuition, observation, reproduction and construction are all practices at work in the architectural project. As a project object, there remained the question of a link between a projection of the forms of space and time posited as universal (a priori) and their grasping into the relativity of a process dependent on its frame of reference.

2.3. What did architects look for in semiotic competence to answer these questions?

In the nineteenth century, at a time when causal adequacy was the rule, architecture had been constrained by an evolutionism that saw in form the adaptation of an organ to its environment, if not by an absolute determinism, a historicism in which an immutable law imposed its evolution on every form. But, far from accepting to be reduced to conforming to a causal, even historical, adequacy, architecture later sought to escape the yoke which had been dictated to it by the episteme of the century. In its project, it wanted to be free not only to create new objects, but objects that make possible, not absolutely necessary, new visions of the world, as well as instruments that allow new behaviours without imposing them. For this reason, it wanted to reject historicism and turned to structuralism. It then interviewed disciplines such as anthropology, psychology or linguistics.

Linguistics had itself rejected the threads of historicism. It had also sought to re-articulate this cut which in the nineteenth century had led, on one side, to the separate study of sounds, first in phonetic inventories, then in phonological analyses of sounds classes, and on the other side had pursued the study of meaning by formalizing the logic of its elementary semantic components. In the very idea of arbitrariness of the sign, it had found the articulation of two planes of language, that of “expression” and that of “content”. The articulation not only of the forms of “expression” and “content”, but also of their substances, was posited as an arbitrary relationship defining the units of the spoken language.

Based on the structural definitions of the language of the nineteenth and early twentieth centuries, verbal semiotics were constructed around an arbitrariness not only of the relation between the form of expression and the form of content, but also of the relation between form and substance, on the two levels of expression and content.

In non-verbal semiotics it may be otherwise, not only because the cut-outs of a plane may be those of another plane, when one of the two planes is the signified of the other, for example when a door signifies a door, when there is iconicity, but also when the cut-outs of a plane can be interpreted as being proportional to the cut-outs of another. In these semiotics, forms can be motivated by the substances they cut, and their relationships depend on them.

For architecture, the question of an “architectural language” raised questions about this articulation. Many then insisted on a limitation of this arbitrariness in the different forms of articulation that can be found in what constitutes a trace or a symptom, a clue or an icon, a signal or a symbol, to seek to grasp what can make the specificity of the architectural forms. However, it has been found that these various forms of articulation can all be identified in the reception of the object of architecture and that none of them alone makes the specificity of the design of the architectural project. As for the conception of this project, it remained to be seen whether the arbitrariness of the choice of form is limited by an economy of “language” such as that found in the correlation between syntagmatic composition and paradigmatic substitutions in texts written from verbal codes.

Others have tried to avoid the excesses of this questioning and have attended to inscribe the conception of architectural forms not in that of the signs of the spoken language but in the

more general one of instruments, made up of tools and utility. In architecture, it was a matter of re-thinking “function” by linking it to a point of view, a relevance and a practice. This approach to the object was a project approach, but only that of one of the currents of thought at work in architecture. Styles and architectural symbols could hardly be reduced to any practical utility, if not to make sense, or to serve an ideology. Some then thought that it was possible to reduce tools and utilities to a level equivalent to the denotative level of the spoken language and to add to this level of meaning production another, equivalent to the connotative level. They declared the intention to distinguish between so-called “first” and “second” functions, appearing as diachronic transformations of the meaning of human instruments. The remaining issue was how these transformations occur, and in particular if they follow a process in which proportion and symmetry, with decomposition and recomposition, play a role similar to that in which analogy and agglutination shape the modifications of the spoken language.

But whether they are of the order of the stability of the edifice or of its convenience, the utilities which the instruments produced by architecture may have, do not mechanically determine their forms; in particular, if they are taken into account in the design of the project, the efforts that can be assumed by the architectural forms do not completely constrain their contours. Just as the glottis does not allow the voice to make any vocal concatenation, the forces present in the material used in a constructed edifice do not allow any sequence of forms; but if architecture is concerned, it is precisely in that, in their arrangements and devices, the chosen forms allow to oppose as formal forces to the material forces that they have the arbitrariness of choice, and can produce the meaning of the project.

A whole other set of other works has tried to show that the articulation was rather to be sought in a formation at several levels of the meaning of the object of architecture. Some have sought to grasp it in a generativity of architectural forms and registers of forms, from tectonic and bioclimatic forms to plastic forms. It remains to be understood whether this generativity and the grammar which regulates the passages between levels form objects with complementary traits defining themselves at levels of structures that remain included or, on the contrary, if they modify successively and in a loop at each level the set of traits of each object. In one case, the articulation between the planes can remain arbitrary, in the other not, since changes then reverberate from one level to the other, one becoming the “expression” of the “content” of the other.

Other works have sought this articulation in forms in which the relations between parts of the projected object, interior and exterior, support transports between levels, from container to content as between architectural expression and local impression. In other words, these works have shown that, in architecture, tropes allow a passage between the shapes of the container and the shapes of contents and figures filter, inhibit or accentuate the expression of the content and the impression that one may have. Some of these works have been extended by showing how, in the architectural project, tropes and figures play on models in memory and paradigmatic associations to produce ideas of new forms.

For other authors, in the architectural project the meaning of these forms is not only made of substitutions or paradigmatic associations; it also emerges from successive acts whose sequences aim at producing an object of value which, projected in the face of prohibitions, notably the prohibition of ownership, can eliminate a lack of space as a lack of meaning. These sequences are syntagmatic linkages that form part of a narrative and it uses a “deep” structure, made up of a logic of forces, oppositions and interactions, developing in a surface structure, producing a logic of positions, places and displacements. The semiotic practices that implement this development are then those actants who seek, by disjunctions and conjunctions, to grasp projected objects in a process where the intention of the project is constrained by modal values; the will then de-

pending on knowledge, duty and power, not only of the one who bears the project, but also of other protagonists, adjuvants, opponents and indifferents.

Certain works, particularly those involved in the practice of town planning, have sought to formulate project scenarios that highlight the distribution of the forces between “actants” and “actés” and the way in which they seize objects by mediating between those who control and those who are controlled by the power of the other. Since the object of value is the projected form, it is supposed to be produced not only by the author of the project, but also by the games of oppositions and interactions between “adjuvants”, “opponents” and “indifferents”; to give figure to these interplay, these scenarios use shifters to describe the temporal or spatial devices of the object of the project and to include not only *figural* figures (minimum units in the geometry of the project) but also *figurative* figures (significant units in the sense given to the project, for the classical units supposed to represent its solidity, its convenience, its beauty). The articulation between the plans of semiosis is then understood as the fruit of a process.

In this process, when the relation between the subject and the object is mediated by a third, interpreter, the semiosis passes from a dyadic to a triadic relation. The relation to oneself and the relation to the other are mediated by this interpreter. In a semiotic school of thought in which the quest for meaning goes through a process of interpretation, a series of researches attempted to formalize the logic of the architectural project in this triadic relationship: between the sensitive object, the referent of the project, the signs (indices, icons or symbols) that represent it, and an interpreter, producing an adaptation of the meaning of the project to the interaction between actors of its development. Thus, in architecture as in literature, interpretation would be based on an open work, offering a structure awaiting multiple and successive meanings, according to a textual cooperation of the recipient of the edification.

However, for other authors, the context of the architectural project is not that of the blank page of the sketch sheet, but either a territory made up of exclusions as well as inclusions, overlaps as much as embeddings, in partitions to the centre, bordered by borders, blocked by sacred spaces, separated by imaginary traces as well as by walls, pierced by prohibitions of implantation, highlighted in voids, voids of any edification. Or a territory open to infinity, or in voids constituted in deserts, apotropaic or abandoned in a repetitive obsolescence, interstitial or imposed in centres. Or still a territory marked by cross of foundation, centred by axes and an orientation of the world, polarized by attractors, organized in a geography of otherness where a spatial dynamic and an unequal development impose on the architectural project to be inscribed in a morphogenesis in which it participates in processes of territorialisation, de-territorialisation and re-territorialisation of populations and activities, goods and services, as well as values and habitus. The architectural project would therefore respond to a social logic of space, today a logic of cities, metropolises and megalopolises, which would be at the basis of a logic of representations and centrations of the world.

3. Heritage and fashion

But all this presupposes an over-determination of the architectural project which seems to leave little room for what could be the equivalent in architecture of the arbitrariness of the linguistic sign as well as the free will of its designer. However, as with spoken language, we can distinguish between what is the order of the system of the “language” and what is the system of intercomprehension between contextual protagonists of the project. The forms in which one of the two protagonists, the “projecteur”, conceives the project and to which it relates the signified of the drawing which he traces, are not necessarily, absolutely and in all the same as the forms to which the receiver relates what is for him the meaning of the project he receives, especially because these

forms are part of his heritage, his culture, his habits and desires more or less conscious. Thus the edifice produced by the architect is not necessarily received in all his architectural understanding by the inhabitant. It is enough that a level of understanding is that of the correspondence between the designer and the recipient of the project so that at least part of the intention passes in the communication of one to the other.

But here it is too a question of rethinking communication, since in an architectural work the distances between points of view and the discrepancies between encodings can leave open the interpretation and the interaction between the actors of the semiotic process. It is in fact on these shifts that the contemporary media space engages some of its actors and disengages others, and plays its partition in partitioning the world of the deceived spectators between “plugged” and disconnected. Having set the distinction as interaction value as well as value of missing, the fashion system leads its war of the false to the service of those who finance it. Information has become propaganda. In architecture, where the value of the object is not the truth value of a current world, but the fictitious value of an artefact projected into the projection of a possible world, made of weakness as well as power; these shifts are the places of a coveted value that do not say its presence; by shifting, the manipulation consists of naturalizing the meaning of the information, or what is given for its equivalent, the image.

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**FROM THE SESSION
“TO SEE, TO DESIGN,
TO BUILD”**

THE DESIGN OF MUSEUMS: A SEMIOTIC APPROACH

Daria Arkhipova

University of Tartu, Estonia
daria.d.arkhipova@gmail.com

Abstract

The space of museums is designed following criteria according to which artefacts are placed in specific relations among each other. The design of museums aims to give artefacts a specific meaning within space and time. The spatial dimension refers to relations with the present. Time refers to relations with the past (history) and the future (prognostication). The space of museums is organized by someone's will aiming at providing the meanings that are significant for the creator. To some extent, museums can be considered as a *text* in Lotmanian terms (1988a). However, museum is a text in process: this presumes a multiplicity of meanings within the text and the creation of multifaceted relations with other texts (Lotman 1982, 1988b). The unpredictability of the meaning of artefacts becomes predictability through the design of museum spaces, inside and outside. The design and organization of museum's spaces to convey special meaning is ruled by extra-textual rather than inner-textual systemic relations (Lotman 1977b). The order in museum is created to verify and change the relations of artefacts to the outer components (other museums, collections, visitors' interpretations). The aim of museums is not to preserve artefacts but to convey their potential meaning to the outside of the museum. Looking at the design of museum can be useful to classify and predict relations in current artistic environments.

1. Introduction and background of research

In today's Western culture, museums perform several functions: some of these functions are presumed to be more significant and are claimed as central (preservation, education); some others refer to communication processes between museum and spectators (opinion influence, branding, marketing and so on). This paper looks at museum's communication as a phenomenon that describes predictable outcomes of sender-receiver communication processes. As a phenomenon, the space of museums is designed following criteria according to which artefacts are placed in specific relations among each other.

Cultural studies have produced several terms and methodologies to approach art and artistic environments (Bolin 1992). Drawing on this approach, this paper aims to describe the principle

of modern art museums — a particular case of museum phenomena in culture — and then to assess its possible application to the artistic environment.

Modern art museums are specific kinds of museum. According to the Oxford Dictionary (2003, second edition), a “museum” is a conceptual (physical) space or a building whose function is to keep objects considered as “valuable” for a culture and display them. Following this definition, the main functions of museums are: preservation and restoration of the objects, education, analysis of objects and their values in a current society. Several experienced museum curators and art critics defined the function of museums as a target oriented meaning making process (e.g. Gopnik 2007, Bedford 2014). In *Mindful Museums*, Adam Gopnik explains:

The model of the museum as mausoleum was already on its way out by the end of the 1950s. In its place came the model of the museum as machine. By “machine” I don’t mean something mechanical, but something productive. I mean simply that a new idea had emerged of the museum as a place where you went to be transformed in another way — not a place where you went to commune with the past, but a place where you went to learn how to be modern (2007: n.p.).

This idea can explain the specific area of modern art museums and some specific departments and conceptual movements within them (for example, the Research and Learning Department at TATE Liverpool, UK). Modern art museums are created to convey specific meanings, e.g. to make objects to be perceived as artworks or even masterpieces. The space of museums is organized by someone’s will aiming at providing the meanings that are significant for the creator.

In relation to modern art, Ward (2014) explained that contemporary art is something rather vogue to notice. Its main task for artists is to guide audiences to art’s appreciation and consumption. The “new” practice of art consumption is, in fact, not different from art appreciation. The discussion about consumption brings to inherent functions of modern art museums as marketing and branding which are true practices of preservation and evaluation. Art is a form of product satisfying some needs of consumers, e.g. the need for emotional distress, relaxation and aesthetic satisfaction, or even catharsis. Moreover, the complex relation between art and spectators change the process of art creation itself.

Art is often represented in physical objects or tangible processes created by author(s) in a psychological process reflecting reality. However, nowadays (at least since Andy Warhol) public expectations make author(s) create more art products within less amount of time. This limits the time and quality of creative analysis. It also reduces the time allowed for receiving the messages of arts. That is why museum guides, while explaining artwork, simultaneously become part of the production of art. That leads the spectator to understanding and co-reflecting — in case we consider two types of meeting with art as quality and quantity ones. Museums and collections work on both.

Museum is an artificial space creating value among its artefacts (exhibits) influencing the position of artefacts in social aesthetics and its own axiological relations to other similar spaces (museums, galleries, exhibitions, collections and so on).

2. Research design and theoretical framework

This paper aims to draw parallels between the space of modern art museums, their representation and the influence they have on the artistic value of objects. Furthermore, it aims to highlight connections between museums and the artistic environment. The theoretical framework is based on methodologies developed by Tartu-Moscow Semiotic school, with a focus on text, systemic relations and predictability (Lotman 1977c).

The research design aims at addressing the following questions: (a) How does museum space influence the perception of artefacts? (b) How does museum space make audiences perceive artefacts as artworks? (c) How does museum space make people understand that some artwork is more valuable than others?

Answering this question can be useful to describe how museum space (on case of modern art museums) creates heritage narratives and convey them to spectators by navigating the flow of values in a given society. Modern art museums are fruitful cases for modeling, because they are easy to observe artistic environment, simple and transparent in structure, have a visible order/structure and give fast visible results.

Therefore, pointing out the terminological aspects, the museum space here discussed is a concept that finds physical ideological equivalent in the idea of modern art museums. The museum space is a concept which can be present physically (building) or virtually (websites, network of websites, culture). The museum space is a way to communicate some message about artefacts (objects) that they are valuable and meaningful, that they are artworks.

In this extent museum can be considered as a *text* in Lotmanian definition. Museum space can be methodologically described as a text. The modeling of museum on the principle of text analysis can enlighten the structural connections among all museum's components and its functions as whole. Therefore, the artefacts can be compared with the smallest part of the text. Several features and functions of text can be enlightened, according to Lotman (1967, 1977, 1982, 1988, 1992): (a) text is expressed — it is fixed in some language/ sign system; (b) text is completed — it narrates some idea; (c) text is structuralized — it has inner organization.

However, museum is a *text* in process: this presumes a multiplicity of meanings within the text and the creation of multifaceted relations with other texts. The spatial dimension refers to relations with the present. Time refers to relations with the past (history) and the future (prognostication). Museum as the text has static and dynamic features. Static features can be considered as a story, in other words “what is text about”. Dynamic features can be considered as a plot or narration, in other words “how is text develops for spectator from the beginning to the end”. Accordingly, collection (quantity of artefacts) can be compared to the story of museum's text and exhibition (the correspondence between artworks) to its narration.

Museum as a space of contemporary art forms has some shape. Normally the shape of museum's existence corresponds with ideas of curators to convey some specific meaning. In this case, shape can be compared to narration. Narration of the texts presumes several inherent systems it belongs to. Narration is a fruit of some author. The author always gives a *subjective* representation of the reality therefore the representation of reality is subjective and has some policies. The policies are inclusive for some ideas and exclusive for another. The creative approach to the narration and composition makes museum artistic work itself. Therefore, it is possible to conclude that the curator is an author who significantly influences final meaning of message visitor receives in museum space. This means that the unpredictability of artefacts' meanings becomes predictability through the design of museum spaces, inside and outside.

The so-called “machine museums” (Gopnik 2007: n.p.) is a term describing museum as a particular mechanism to make the appreciation of artefacts predictable. In other words, they make visitor think what the curator of exhibition wants. This topic was discussed by many researchers: for example, Dodd et al. (2012) undertook a qualitative research on European museums; the author described the strong influence in channelling visitors' opinions and even their will to come (or not) for the exhibition. This phenomenon can be considered as a model of communication. This communication model can be applied in other spheres which built according to museum space and give similar results.

Importantly, the design and organization of museum's spaces to convey special meaning is ruled by extra-textual rather than inner-textual systemic relations (Lotman 1967, 1977a). This can mean that the deep analysis of the features of artefacts cannot give understanding why an artwork in museum is culturally more valuable than others, or, even, what is the difference between museum collection and an exposition of art school. Meanwhile extra-textual systemic relations place the connections with other artefacts, created in past and presented nowadays, by other authors and the author herself. Therefore, extra-textual systemic relations give possibility to create the system (Lotman 1977a) of values in which artefact acquires the features in a system presented or meant to be present. The presented or meant to be presented values can be defined within categories in culture.

In brief, museum space support\influence the following meaning-making processes:

1. Artefact in relation to other artefacts (initial meaning)
2. Artefact in relation to the Museum's structure (meaning within the space)
3. The Museum in relation to other Museums (meaning within the time)
4. The Artefact through the Museum to other Artefacts (cultural meaning)

This can also be expressed in some formulas to simplify the analytical process. In the formulas, A is for "artefact" and M is for "museum space".

$$A \Leftrightarrow A1, 2, 3 \dots$$

$$A \Leftrightarrow M$$

$$M(A) \Leftrightarrow M1, 2 \dots$$

$$A(M) \Leftrightarrow A1(M1)$$

3. Practical application to theoretical framework

To develop the feasibility of the theory presented in the previous sections, this section analyses three examples of modern art museums and their physical or metaphorical spaces. These examples are different in their nature, but function the same way in communication.

The first example relates to closer understanding of art and museum reality: the exposition "From selfie to self-expression" at the Saatchi gallery in London, UK. Saatchi gallery is the most present art gallery in social networks. For almost hundred years of its existence, the art gallery has managed to find and sponsor the authors with significant recognition in social and cultural context (e.g. Daniel Herst's "shark" was sponsored and first time exhibited in Saatchi).

1. $A > A1, 2, 3 \dots$

The work of Dawn Woolley "The substitute (Holiday)" from Cambridge, UK, stated as winner of "From selfie to self-expression" competition and one of the central artefacts of the exposition.

2. $A > M$

This exhibition has the entire floor and the other solo exhibitions are grouped in thematic relation to support the idea of self-representation.

In the representation within museum space of Saatchi gallery the exposition "From selfie to self-expression" took place partly on the first and second floor of gallery building. The exposition had several parts: selfies of famous people (printed and placed on the walls as it used for classical art representation), artworks of stated (in artistic community) artists (placed on the walls in frames as it meant to be for classical art representation), the collection of printed photos and photo-collages of "selfie" competition (everyone was allowed to send their "artwork" via website of Saatchi gallery, over 14000 participants) and interactive Huawei sponsored screens and interactive panels (allowed to make selfie with some applications or see depiction of oneself).

In the representation within NOW within gallery museum space is drawn the systemic relations between old and new media (printed photo and interactive screen), representation of artefacts (framed static object and dynamic interacting screens), referring to the changes in tendencies of perception in culture/ This point the feature of Saatchi gallery exposition as progressive.

3. $M(A) \Rightarrow M1$

In representation within PAST is drawn systemic relations to the all ever displayed in Saatchi gallery artworks, which makes to the same level or value the works presented for “selfies for the competition” and million pounds worth artworks. Saatchi did support and first expose the work of Damien Hirst’s “The Physical Impossibility of Death in the Mind of Someone Living”, therefore this is the most significant and influential modern art gallery in UK.

In representation NOW within museum space including other museums of modern art in UK and Western culture: Saatchi invited all the visitors to do pictures of exhibition and tag them with special word, therefore bringing museum space of gallery to the Instagram platform and increasing audience covering up to the amount of gallery visitors. Therefore, in extra-textual systemic relations, being more presented virtually, museum space of Saatchi gallery has possibility to establish connections and convey meanings in relation to wider range of museums of modern art as well as possible cultural experiences of visitors and their followers within Instagram’s communication platform.

4. $A(M) > A1(M1)$

The highlight of Selfie to Self-expression exhibition in Saatchi gallery has significant influence on the world culture, now the exhibition reached 113 countries and over 14000 entries. Being well represented via Instagram and Saatchi gallery web-site, the work of Dawn Wooley found wide audience. Many spectators evaluated it within their cultural background. That cause different reactions and will of visitors to follow the unique, Saatchi gallery stated, meaning of the selected Wooley’s work over others. The cultural value of this artwork “The substitute (Holiday)” and Dawn Woolley increased together with brand value and marketing prospectively.

4. Conclusions and future perspectives

This paper aimed to describe in semiotic terms the phenomenon of museum and its design. The theoretical framework proved to be useful to classify and predict tendencies in artistic-like environments within Western culture. Looking at the design of museum space reveals the mechanism through which meanings and values are created around artefacts, making an object become an artwork. Audience is involved and ultimately navigated in co-creating the artistic text through social practices: this helps the adaptation of the text into the culture (Torop 1995). Audience often accepts artefact as culturally valuable.

This research can be continued within the idea that museums are not museums of objects, but museums of meanings and philosophy, when meaning is not grounded in any actual form.

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OBJECTS FROM THE FUTURE: A SEMIOTIC APPROACH TO DESIGN FICTION

Mattia Thibault

University of Turin, Italy
mattia.thibault@gmail.com

Abstract:

Design fiction challenges the meaning of everyday life objects to produce social critique (Dunne 1999). It is based on the creation of *diegetic prototypes*: fictional objects thought to solve real-life problems. The objective is to explore what a future technology might look like, but also to acquire a different look on the present. From a semiotic perspective, we could define the diegetic prototypes as “competences” for a potential subject, creating different possible narrative programs to explore – they are devices used to look into *possible worlds*, similar to ours, but irremediably distinct. Due to their fictive nature, the prototypes are objects with no use value, with the sole purpose of being texts, of representing a virtual set of possibilities, but that will always lay out of reach. Hence, we can consider them as *toys*: objects to be resemantised and which functions are limited to a fictional world. According to Lotman (1978), the indeterminacy of toys is meant to leave a space for interpretation, which allows players to *use* them, instead of interpreting. This paper aims at proposing a semiotic analysis of the concept of “design fiction” and to reconnect it to the broader idea of the modelling ability of playfulness (Lotman 1967).

1. From critical design to design fiction

This paper is a brief overview on a possible semiotic take on “design fiction”. In order to explain what design fiction is, we have to situate it in the larger context of critical design, a practice based on the idea that design does not have to reinforce the status quo (which is what is made by affirmative design) but, at the contrary to challenge it. Critical design is rooted in several avant-garde movements active in the 1960s, such as Italian Radical Design. Radical design, which had a very political and experimental nature, consisted in an attempt of modifying modernism with utopian projects that challenged the contemporary idea of good taste. This movement had consequences on several later designers and theorists, such as Daniel Weil (Figure 1) and Ezio Manzini (one of the promoters of “design for social innovation”).



Figure 1. “Bag Radio” by Daniel Weil

The idea of critical design, however, was first introduced by Anthony Dunne in his book *Hertzian Tales* (1999: XV), where he claims that:

The primary purpose of this book is to set the scene for relocating the electronic product beyond a culture of relentless innovation for its own sake, based simply on what is technologically possible and semiologically consumable, to a broader context of critical thinking about its aesthetic role in everyday life.

The basic idea, therefore, is that design can – and should – have functions other than simply imagining basic solutions: it can be the basis for a wider reflection about our society and about its possible alternatives. The idea of critical design was rather successful and gave birth to several other currents, such as speculative design, which is more abstract-oriented, critical play (see Mary Flanagan 2009), which focuses on digital gameplay as a way to trigger critical thinking, and critical making (Ratto 2008), which unites material crafting to critical design.

Design fiction, in particular, is a form of speculative design – and sometimes of critical making – with a particular focus on the future. The concept was theorised by sci-fi writer Bruce Sterling in his 2005 book *Shaping Things*. The book deals with how design influenced his fiction writing and, vice versa, what fiction has to offer to design thinking.

Design fiction reads a great deal like science fiction; in fact, it would never occur to a normal reader to separate the two. The core distinction is that design fiction makes more sense on the page than science fiction does. Science fiction wants to invoke the grandeur and credibility of science for its own hand-waving hocus-pocus, but design fiction can be more practical, more hands-on. It sacrifices some sense of the miraculous, but it moves much closer to the glowing heat of technosocial conflict Sterling (2005: 30).

In practice, design fiction activities are based on the creation of fictional objects or *diegetic prototypes* (Kirby 2010): thought to solve real-life problems in a more or less realistic future. Their objective, then, is to explore what a future technology might look like, but also to acquire a different look on the present and at its moral dilemmas.

The use of an object in order to think critically about the future has two main strengths. The first one is that it makes it easier to focus on change than I would be through a more generic approach. While trying to imagine how the societies of the future might be like can be overly dispersive, a single object, and the practices related to it, will be sharper and more coherent. The second strength is that the object, thanks to its fictional nature, eases the suspension of disbelief that is necessary to imagine a future different from what we might expect (Ferri 2016).

Practices of design fiction, even if not always called with this name, are nowadays rather common. One of the most notable examples can be the series of “Microsoft productivity future vision” several clips that, even if they are not promoting any specific Microsoft product, explore possible future technologies and therefore propose the specific vision of the future by Microsoft.

2. A case study: The Thing from the Future

To see in detail how design fiction works, let us approach a case study: *The Thing from the Future*. Despite the fact it is labelled as a game *The Thing from the Future* is in fact a design deck used to spur bottom-up design fiction. It was created by the Situation Lab, based in Toronto and formed by Stuart Candy and Jeff Watson. The cards are used to create a prompt that gives some instructions for the creation of an object that then will be imagined and prototyped by the players.

In order to create this prompt a card of each of the four types is needed. There are green cards indicating a temporal arch, i.e. in what kind of future the object will be used, utopic, dystopic, close, far etc.; blue cards indicating a terrain, i.e. a context, place or topic area; red cards indicating the general shape of the object; and purple cards indicating the emotions that the thing from the future might evoke in an observer from the present (see Figure 2).



Figure 2. prompt formed with “The Thing from The Future” cards.

Starting from a set of four cards, the players have to invent, for example, an object that is used one thousand years from now, in a world in continuing economic and technological growth that has something to do with reproduction, is shaped like a candy and that a today’s viewer can find confusing. One possibility, proposed and prototyped in a workshop of the situation lab along many others, would be the *Insta-preg* – pregnancy pills that allow women swallowing them to be impregnated with a child with the characteristics of their choice (Figure 3).



Figure 3. “Insta-preg” pills: a diegetic object created by the Situation Lab.

It is self-evident that this object is the product of an action of critical design: a diegetic prototype. It focuses on a future scenario – which can be positive or negative – and put its possible outcomes in front of today viewers, so to make them question their values and wonder. Are these possible outcomes desirable or not? If yes, what should we do in order to proceed in that direction? If they are not desirable, what should we do to avoid them?

3. A semiotic approach to Design Fiction

Ferri (2016) proposes one of the first semiotic approaches to design fiction, and in particular to its relationships with playful practices. Ferri does not provide a semiotic analysis of the practice, but he rather calls for a dialogue between semiotics, speculative design and pervasive games, which, in his opinion, is highly desirable in order to improve the efficiency of critical design.

What I will attempt to, in this last paragraph, is to analyse the semiotic workings of design fiction, and, in this way, to deconstruct it. This should allow us, on the one hand, to understand better, what this design practice entails and how it works and, on the other hand, to underline what are the features that make it effective.

Let us start with the diegetic prototypes. From a greimasian narrative perspective, we can define them as “competences”. They allow the subjects using them to perform actions that, without them, would be impossible. For example, the *Insta-Preg* pills (fictionally) allow a woman to become pregnant without the need of anything (or anybody) else. These competences open, for their potential subjects, different possible narrative programs to explore: the objects might be used or not, exploited in several ways or in different contexts and so on. The *Insta-preg* pills, continuing with this example, can be used to generate different types of children, but also to impregnate someone against their will. We can imagine that these pills might be very expensive, and therefore available only to rich elites, or, at the contrary, that they might be easily found in every supermarket, and so on. In this way, a series of possibilities arises around the object, forcing us to reconstruct an increasingly larger context. The several narrative programs that spring from the diegetic prototype, therefore, are a primary way of building and exploring what Eco

(1979) calls a “possible world”, that will be in some measure similar to ours, but at the same time irremediably distinct. The object, then, becomes the starting point for the construction of a specific image of the future.

We must not forget, however, that despite its critical aims, this practice, as the name says, deals with fiction. Possible worlds are fictional by definition, no matter how much realistic and similar to ours they may be. In fact, every projection of the future that we make *is* a fictional possible world. As we cannot know for certain what tomorrow holds for us, what we do is imagine a fictional world that is believable enough that there is at least some possibilities for it to become reality.

The diegetic prototypes themselves are fictional too: they are objects with no use value, they obviously do not work (the *Insta-preg* pills are empty), they merely represent what future objects could be like. From a textual perspective, then, the purpose of diegetic prototypes is that of representing something that does not exist and to confer to it, thanks to textual strategies, a set of virtual possibilities that are however denied to the object itself.

There is, in fact, a word to define exactly this sort of objects: they are *toys* – objects to be resemantised and whose functions are limited to a fictional world. Due to their purposes, we could call them “critical toys”. This definition, however, has several entails in regard with the idea of what design fiction is. According to Lotman (1978), the indeterminacy of toys is meant to leave a space for the players’ interpretation. If a toy is too detailed, it is not a toy any more, but a statue. Toys are *incomplete texts*. The critical aspect of design fiction, therefore, is not exhausted with the creation of the object, on the contrary: these objects are a trigger for critical thinking to be carried out by its viewers. The latter will also explore narrative programs and build possible worlds using the diegetic prototype as a starting point. In this way, the critical purposes of the objects are fulfilled by multiple subjects multiplying their efficacy.

In conclusion, if the term “design fiction” underlines the importance of design thinking in the creation of objects that can be used for reflecting on the future, it would be a mistake to see it as a mere form of *autocommunication* that terminates with the realisation of the diegetic prototype. On the contrary, the toy-nature of the latter makes it the centre of an action of abstract critical play that involves several subjects, the viewers, and forces them to wonder about the future.

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**13. IASS-AIS
WELTKONGRESS DER
SEMIOTIK**



**CROSS-
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CULTURAL HERITAGES

**FROM THE SESSION
“PERFORMATIVITY/
ICONICITY”**

RELIGIOUS CONCEPTS IN THE OLD ENGLISH TRADITION¹

Anna V. Proskurina

Novosibirsk State Technical University, Russia
a.vyacheslavovna@gmail.com

Abstract

The paper highlights the issues of acceptance of Occidental Christianity by Anglo-Saxons and as a result it caused the change of their religious worldview. So, the author indicates that the transfer of information, which excludes pagan connotations, has an influence on the choice of the word “cross” in the Anglo-Saxon Christian culture. However, the belief in pagan deities was not damaged under the influence of evangelization, and the reference to widely revered god *Woden* indicates it. The article also shows that the Old English bestiary, unlike the other bestiaries, does not represent a vast description of various living and nonliving creatures, but it retains the main message of the *Physiologist* - a description of the kind of living / non-living creature from the point of view of Christian morality.

1. The principles of the Old English bestiary

To date, there are more than 150 bestiaries in literature, distinguishable by territorial features, which are based on distinctive mythological stories. Bestiaries are a set of articles describing one or another kind of animal in the sense of moral lessons. Thus, in Christian bestiaries, animals can be conditionally referred to the divine creation and, naturally, to diabolical origin. Proceeding from such a traditional division of the world into a good and evil beginning, the meaning of the bestiary consists in a strict delineation of the characteristic acts of God and the Devil through allegorical fictional stories.

The Greek treatise *The Physiologus*, relating to the II - III centuries, is the basis for the following bestiaries. The pages of this Alexandrian treatise tell of various mythical and real animals, birds, and also about magic stones. The popularity of this treatise contributed to its translation into the Latin language by the IV-V centuries, then to the IX-X *The Physiologus* became widely known in Western Europe (Dines 2007:37). Consequently, such renown of the treatise is due

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precisely to its translation into Latin. Thus, an unknown author translated a fragment of this translation into Old English, which came to our days as a part of the anthology of Anglo-Saxon poetry of the 10th century, *The Exeter Book*. This translation includes the following three poems (or, as it is also considered, this is one poem consisting of three parts): *The Panther*, personifying Christ, *The Whale*, represented as the image of the Devil, and *The Partridge* (Jones 2012:14). Researchers tend to think that this instructive poem is related, as a rule, to the period from the end of the IX century and the middle or the end of the 10th century, therefore, this bestiary is rightfully considered the earliest version of *The Physiologus* in England (Rossi-Reder 1999:462). Thus the Old English bestiary, unlike the other bestiaries, does not represent a vast description of various living and non-living beings, but it retains the main message of *The Physiologus* - a description of the kind of living / non-living creature from the point of view of Christian morality. In the first part of this poetic text Christ is represented in the form of a panther, the second part sheds light on the image of the Devil described as a whale, and, as in the third part, sinners and their future fate are mentioned. The choice of these living creatures by the unknown poet was not accidental, because they represent the inhabitants of the three elements created by God: the earth (panther), water (whale), air (bird). The three parts of one poem symbolize the death of Christ in the salvation of people and His resurrection. So, in *The Panther* it is symbolically told about the death of Christ, His descent into Hell and resurrection from the dead. *The Whale* tells about the souls of sinners who fall into Hell. The final part, *The Partridge*, describes the day of the Last Judgment, when souls of sinners and the righteous people will appear before God (Rossi-Reder 1999:467). As the Bible says, "And she shall bring forth a son, and thou shalt call his name JESUS: for he shall save his people from their sins" (Matthew 1:21). Therefore, the God-man Jesus is Christ, the Savior bringing with him a new, corrected state of the whole world being, He is the intermediary between Heaven and Earth.

1.1. Pagan's world view

It is worthwhile to turn to the Christianization of the island of Great Britain, as this will shed light on the further representation of the image of Jesus Christ in the Anglo-Saxon tradition. In the first half of the 7th century on the island of Britain, namely the kingdom of the Angles Northumbria, through the Irish missionaries (the Church in Ireland was approved already in the 5th century), Christianity and, as a consequence, the Latin alphabet and Latin literature penetrated. Undoubtedly, the preaching of the new faith did not proceed favorably for the Anglo-Saxons, who were accustomed to praying to their gods, because it was rather a psychological breakdown due to the rejection of the usual past worldview. Anglo-Saxons represented the world as *Miðgarðr* and *Útgarðar*. Let us turn to their understanding of the center of the world (*The Old Germanic midjan-gardaz* literally "the middle fenced place"), so, Yu. S. Stepanov notes, referring to his follower S. G. Proskurin, that the center of the world of the ancient Germans is marked as the mythical tree *Yggdrasill* in the North German (Norse), as the mythology pillar *Irmingsul* in the Germanic paganism of the Saxon people, as the highest mountain *Asgardr* (where Æsir (the gods) live) in Norse mythology. S.G. Proskurin notes the German word *midjan-gardaz* with the meaning of *the middle world* (which literally reads through S. G. Proskurin as "center, middle of the world"), as correlating more with a horizontal view of the world, where the middle part (*Miðgarðr*) contrasts with others frightening worlds, the abode of gods and demons (*Útgarðar*) (Stepanov, 2004 (a) :93) (see: (Proskurin 1990).

1.1.1. The most revered gods in pagandom

The most revered gods for the Germans were *Odin* (the supreme god) and his sons *Týr* (the god of military prowess) and *Thor* (the god of thunder and storm). It is noteworthy that at one time

Jacob Grimm noted (1844-1854) that Christ was perceived in the early stages of Christianization as the ancient German god of storms, thunder and fertility - Thor, and his equipment was the hammer *Mjölfnir*. In this case, the hammer imitates the cross. After Christianization words with the meaning of *tree-cross* referring to the pagan picture of the world view were replaced by neutral borrowing *cross*, which didn't have any pagan connotations. At the moment, three sources of borrowing the word *cross* are being discussed: 1. "cruX" (Latin word); 2. "cros" (Norman word, previously borrowed from Latin, "cruX"); 3. "cros" (the Irish word, which entered the vocabulary of the English language thanks to the Irish missionaries) (Crystal 2004:31). The information transfer factor, excluding pagan connotations, influenced the choice of the word "cross" in English Christian culture.

As for one of the most revered Æsir, who was Odin, I note that the Germans had a tendency to erect ancestors' names to that supreme god, even after the process of Christianity. Thus, they tended to show that Odin was the progenitor of their people. Here is a fragment of the excerpt from The Anglo-Saxon Chronicle, dated by A.D. 855; it is a list of names, rising to Odin, Adam and to Christ:

"<...> On se Eþelwulf wæs Ecgbrehting, Ecgbyrht Ealhmunding, Ealhmund Eafing, Eafa Eopping, Eoppa Ingilding; Ingild wæs Ines broþur Westseaxna cyninges, þæs þe eft ferde to Sancte Petre 7 þær eft his feorh gesealde; 7 hie wæron Cenredes suna, Cenred wæs Ceolwalding, Ceolwald Cuþaing, Cuþa Cuþwining, CuþwineCeaulining, Ceawlin Cynricing, Cynric Cerdicing, Cerdic Elesing, Elesa Esling, Esla Giwising, Giwis Wiging, Wig Freawining, Freawine Friþogaring, Friþogar Bronding, Brond Beldægging, Beldæg Wodening, Woden Friþowalding, Friþuwald Freawining, Frealaf Friþuwulfing, Friþuwulf Finning, Fin Godwulfing, Godwulf Geating, Geat Tætwaing, Tætwa Beawing, Beaw Sceldwaing, Sceldwea Heremoding, Heremod Itermoning, Itermon Hrapraing, se wæs geboren in þære earce: Noe, Lamach, Matusalem, Enoh, Iaered, Maleel, Camon, Enos, Sed, Adam primus homo et pater noster est Christus, Amen <...>" (The Anglo-Saxon Chronicle: An Electronic Edition (Vol 5) literary edition).

Consequently, the belief in the pagan gods was not completely eroded under the influence of missionary activity. This, by the way, is evidenced by the excerpts from, in which the name of the supreme god of the Anglo-Saxons is interspersed, for example, excerpts from The Anglo-Saxon Chronicle, which are dated by 449, 552, 597, 626 years. (See this in more details: Proskurina 2013).

2. The image of Jesus Christ

Throughout the history of Christianity, the image of Jesus Christ was represented in different ways; it is possible that such a different image of God is associated with a euphemism, i.e. do not use Lord's name vainly. S.G. Proskurin notes that early Christians portrayed Him in the form of fish, because this image was the closest to the creators of The New Testament in the ancient Greek language, and also to the earlier translation of The Septuagint, because it was correlated as an anagram or as a shortened record, acrostic about Jesus Christ in ancient Greek with the word IXΘΥΣ (fish) (Proskurin 2013:175-176). The crucifixion started to be used as a cult object approximately since the 5th century. Before the appearance of the Romanesque style (the 11th – 12th centuries), the cross was considered as a symbol of resurrection, and not as a sign of the suffering of Jesus. Then, until the middle of the 12th century, Christ was portrayed as triumphant, with an absolutely calm expression. However, after the 12th century in His appearance features of the sufferer began to be traced, and by the middle of the 14th century such features finally fixed for the next centuries. Namely from this period the image of Jesus Christ appears as a man who is tormented by suffering (Proskurin, Tsentner 2014:51-52). Consequently, the replacement of one image of Christ by another is an evolutionary semiotic series. In such series Yu S. Stepanov groups cultural objects (things) which are connected by metamorphic relations – the later replaces the earlier one by performing its function or (and sometimes simultaneously with the

function) adopting its form. Naturally, the “thing” in the literal sense of the word is not a concept, it, as already indicated, embodies the concept, and serves as its sign, which gives grounds to call such series as evolutionary-semiotic series. In the literal sense, it is precisely the concepts that evolve: representations of people about what the corresponding thing should be, and the intentions of those who produce this thing (plans, designs) (Stepanov 2004 (b): 11). Let us imagine schematically evolutionary-semiotic series of the most famous images of Jesus Christ during the first mention of the anagram of Christ by the first Christians to the 14th century: the word IXΘΥΣ (fish) → Thor (with the hammer Mjölñir) the rebirth of Christ from the dead → Jesus as a panther → Christ triumphant → Jesus Christ as the sufferer. Mircea Eliade defines the image of Jesus Christ in the tradition: telling the world about the deity of Jesus Christ, the first Christians implied His historicism. That did not mean that Jesus was not regarded as a person of history, but above all it was stressed that He was the Son of God, the universal Savior who granted redemption not only to the human race, but to all Nature. Moreover, His ascension to heaven and His communion with the divine glory (Eliade 2010:167) transcendently overcome the historical authenticity of the person of Jesus.

2.1. The image of Jesus Christ in the Old English bestiary

Returning to the Old English poem, it is worthwhile once again to pay attention to the figure of Christ, allegorically presented in the image of a panther. Here it is said that the all-merciful Christ, who loves all living beings, except the Devil, descended into hell and on the third day rose again. The story reference to the three days (nights) is rather interesting, it is about the panther who spends this time in a dream (see lines 35 to 54), and then describes its awakening, so this description is a symbolic narrative of the death of Christ and His resurrection. This little moralizing narrative of the works of the Lord God follows at the very end of the poem, thereby drawing a parallel between the images of Christ and the panther (hereinafter the original text is presented in Jones 2012).

35. Symle, fylle fægen, þonne fōddor þigeð,
 æfter þām gereordum ræste sēceð,
 dýgle stōwe under dūnscrifum;
 ðær se þeo[d]wiga þrēonihta fæc
 swifeð on swe[o]fote, slæpe gebiesga[d].
 40. Þonne ellenrōf ūp āstondeð, þrymme
 gewelga[d], on þone þriddan dæg,
 snēome of slæpe. Swēghlēoþor cymeð,
 wōþa wynsumast, þurh þæs wildres mūd;
 æfter pære stefne stenc ūt cymeð
 45. of þām wongstede— wynsumra stēam,
 swēttra and swīþra, swæcca gehwylcum,
 wyrta blōstmum and wudublēdum,
 eallum æþelicra eorþan fræt[um].
 Þonne of ceastrum and cynestōlum
 50. and of burgsalum beornþrēat monig
 farað foldwegum folca þrýþum;
 ēoredcystum, ofestum gefýsde,
 dareðlácende —dēor [s]wā some—
 æfter þære stefne on þone stenc farað.

35. When it partakes of food, after that meal, happy
 from feasting, it always seeks out as a resting spot
 places hidden deep in caves among the mountains;
 there the people's champion, overcome by sleep,
 dozes in a slumber for the space of three nights. 40.
 Then on third day, the boldly courageous creature
 rises up swiftly from the sleep, adorned with majesty.
 A melodious noise, most delightful of sounds, comes
 from the mouth of the untamed creature. Following
 that voice, an aroma issues from the place, a breath
 more delightful, more sweet and potent than every
 fragrance, than the flowering herbs or blossoms on the
 trees, more refined than all the treasures of earth. 49.
 Then, out of cities and royal households, and out of
 fortified halls, many a host in throngs of people, cho-
 sen companies, warriors journey the paths of earth,
 troops driven with haste; animals likewise travel to-
 ward the aroma in the wake of that voice.

However, throughout the first part of the poem, there are repeatedly held subject references to Jesus Christ.

15. Sē is æ[g]hwām frēond,
duguða ēstig, būtan dracan ānum;
þām hē in ealle tīd andwrāð leofaþ,
þurh yfla gehwylc þe hē geāfnan mæg.

15. The animal is a friend to everyone, gracious in its favors except to the serpent alone, against which it lives perpetually in a state of hostility, on account of every evil that it [the serpent] can do.

While describing the panther's skin (see line 21), the author refers the reader to the biblical story about Joseph and his colorful clothes, thereby drawing a parallel between his garment and the shiny animal skin: þætte *Iōsēphes tunece* (that Joseph's tunic). Joseph's identification with Christ is a common occurrence in Anglo-Saxon moral and educational works; therefore, comparing the panther with Joseph, the unknown author also strengthens the parallel between the panther and Christ (Rossi-Reder 1999: 468). Consequently, the sacred image of the animal in the first part of the Old English poem appears as a certain image, which narrates about the life and death of the Lord God.

2.2. The image of the Devil and sinners in the Old English bestiary

Let us turn to the rest of the poem – *The Whale and The Partridge*, describing the image of the Devil and sinners. Academician Yu. S. Stepanov notes the following: if the imp, the word and the concept connect us to the deep layers of the national Slavic culture, then the Devil and Satan as cultural concepts include us in the culture of Europe (Stepanov 2004 (a):886).

The Devil, represented in the form of a whale in the second part of the poem, now and then inclines people, who have departed from the commandments of the Lord, to sin. The poem includes (as such apostates) navigators who swallowed by the large whale jaws, which symbolize hell.

It is interesting to note the parallel between eating panther and whale. As we remember from the previous context, the panther eats his meal calmly and gracefully, but the whale endowed with a brutal appetite, continuously absorbs the souls of unhappy sinners. Again, as in the first part of the poem, a scent that attracts seafarers is described, but in this case sinners cannot distinguish the true smell which is emanating from the panther from what the whale produces. Thus, contrasted in the poem are the deeds of Christ and the Devil, their eternal opposition.

51. Þonne hine on holme hunger bysgað,
and þone āglæcan ætes lysteþ, ðonne
se mereward mūd ontýneð, wide weleras;
cymeð wynsum stenc
55. of his innoþe, þætte oþre þurh þone,
sæfisca cynn, beswīcen weorðað.
Swimmað sunhwate þær se swēta stenc
ūt gewīt[e]ð. Hī þær in farað,
unware weorude, oþþæt se wīda ceaf
60. gefylled bið; þonne færinga ymbe þā
herehūþe hlemmeð tōgædre
grimme gōman. Swā biþ gumena gehwām
se þe oftost his unwærlice, on þās
lænan tīd, lif biscēawað:
65. læteð hine beswīcan þurh swētne stenc,
lēasne willan, þæt hē biþ leahtrum fāh
wið Wuldorcýning.

51. When hunger oppresses it at sea and the awful creature wants something to eat, the guardian of the ocean then opens its mouth, its lips wide; a pleasant fragrance issues from its insides, so that other kinds of fish in the sea are beguiled by it, swim confidently toward the source of the sweet smell.
58. In a heedless company, they enter in there until the wide maw is filled up; then suddenly the cruel jaws slam shut around the spoils. So it is for every man who too often regards with insufficient care his life in this fleeting age, who allows himself to be beguiled by sweet aroma, an illusory pleasure, so that he becomes guilty of sins against the king of glory.

In the final, third part of the poem *The Partridge* tells that any sinner can be forgiven if he turns to the Lord God.

5. In swā hwylce tiid swā gē mid trēowe tō mē
on hyge hweorfað, and gē hellfirena
sweatra geswicað, swā ic symle tō ēow
mid siblufan sōna gecyrre
þurh milde mōd; gē bēoð mē siþþan
10. torhte, tīrēadge, talade and rīmde,
beorhte gebrōþor on bearna stæġ.

5. In whatever time you turn to me in your mind,
by means of faith, and give up dark, hellish acts
of sin, so will I immediately turn toward you in
gentle disposition, with familial love. After that,
to me you will be numbered
9. and reckoned as resplendent and gloriously
blessed, radiant brethren in my children's place.

Therefore, in the above-mentioned parts of the Old English poem, the eternal question of the righteous life of the sinful person is raised: “how should one live so as not to go to hell”? What is the concept of sin? Let us turn to the dictionary of Russian culture written by Yu. S. Stepanov. The concept, by definition of Academician Stepanov, is not only conceived, but is also experienced; it is the main cell of culture in the mental world of a person. The concept is a subject of emotions, sympathies and antipathies (Stepanov 2004 (a): 43). Consequently, ideas, reflections, experiences, etc. of a sinner about sins and the degree of his (her) own sinfulness is the concept of sin. Certainly, that the comprehension, acceptance and atonement of sin by a person depends on the depth of his religious enlightenment.

3. The concept of sin in the Anglo-Saxon world view

The Old English lexeme *synn* “sin”, according to the etymological dictionary (Holthausen, 1974: 340), is interpreted as follows: *synn* – sin, wine; crime, injustice; insult, feud; English *sin*, Old Frisian *sende*, Old Saxon *sundae*, Old High German *suntea*, Norse *synd*, refers to Old Saxon and Old High German *sunnea* –hindrance, need, Norse *syn* – negation, Latin *sons* –guilty.

The concept of sin in the Anglo-Saxon picture of the world, with the adoption of Christianity, is directly reflected in the lexemes of the language. Based on *A Concise Anglo-Saxon Dictionary* and *An Anglo-Saxon dictionary*, (Baker, 2007)), I give the main 35 nouns that denote the concept of SIN. In this article, only nouns are considered, this is due to my research interest in the field of various denominations of sin (the names of sinful deeds and the names of signs defining sinners were deliberately excluded from the study, as this will serve as material for the following works).

So, with the process of adoption of Western Christianity, at least 35 nouns reflect the concept of sin in the Old English language. Let us present an illustrative example of the lexeme *morþdæd* – murder, deadly sin, crime (Old English contexts are represented by *An Anglo-Saxon dictionary*, based on the manuscript collections of the late Joseph Bosworth).

“Hé gewenede swá hine sylfne tó heora synlicum þeáwum and tó márum morédédum mid ðam mánful-
lum flocce. . . Swá férdē se cniht on his fraceþum dædum and on morédédum micclum gestrangod on
orwénnyse his ágenre hæle, Ælfc. T. Grn. 17, 18-24” (He reconciled with them, with sinners, with their
mortal sins and with that evil society. Then this young man was plunged into his misdeeds and mortal sin,
but he triumphed over despair and his fortune).

“Wearþ ðes þeódscype swýðe forsyngod. . . Þurh morédéda and þurh mándéda, Wulfst. 163, 21” (The
value of this penance is that the sinner ... with its help is cleansed of both mortal sin and crime).

Consequently, the concept “sin” directly varies from the depth of religious knowledge, from the adoption of Gospel wisdom, regardless of the social status of the sinner.

1	ægylt	sin, offence, a breach or violation of the law, a trespass fault
2	bealudæd	evil, deed sin
3	culpa	fault, sin
4	déapfiren	deadly sin
5	deáþscyld	crime worthy of death a death-fault capital crime
6	eftforgiefnes	remission, forgiveness of sin
7	eofot	crime, sin, guilt
8	fácen - (facnes/-)	deceit, fraud, treachery, sin, evil, crime, blemish, fault
9	fácendæd	sin, crime
10	firen	Transgression, sin, crime, outrage, violence, torment, suffering
11	firenleahter	great sin
12	firesynn	great sin
13	firenweorc	evil, deed sin
14	frumscyld	original sin
15	godscyld	sin against God impiety
16	gylting	sin
17	heáfodleahter	a capital offence, mortal sin
18	heáhsynn	deadly sinn crime
19	heáfodgylt	a capital crime deadly sin
20	níðsynn	grievous sin
21	morðor	deed of violence, murder, homicide, manslaughter, mortal sin, crime, injury, punishment, torment, misery
22	morþdæd	murder, deadly sin, crime
23	synbend	bond of sin
24	synbót	penance amends for sin
25	synbryne	burning ardor of sin, sinful passion
26	synbyrðen	burden of sin
27	syndæd	a sinful deed sin, wicked act
28	synleahter	stain of sin, a sinful fault sin
29	synléaw	injury caused by sin, sinful injury
30	synn	sin, guilt, crime
31	synnlust	desire to sin, sinful desire or pleasure lust
32	synrúst	canker of sin, the foulness of sin
33	synwracu	the punishment for sin
34	synwund	wound of sin, a wound inflicted by sin
35	wróht	blame, reproach, accusation, slander, fault, crime, sin, injustice, strife, enmity, anger, contention, dispute, hurt, injury, calamity, misery

Table 1. The concept SIN in the Anglo-Saxon worldview.

Conclusion

The religious scheme of the individual, represented in bestiary, is distinctive: pages of allegorical stories tell of various mythical and real animals, birds, and also about magic stones. In the Old English bestiary, however, the scheme of the individuality is viewed through the prism of real living beings personifying Jesus Christ (panther), the Devil (serpent, whale), and the souls of sinners (fish). Let us note that the image of Christ is the most individual. Thus, the description of the panther is presented in more detail; its image in the Old English tradition appears more perfect. The description of the semiotic classification of the images of Christ, the Devil and sinners is possible due to the modified *The Porphyrian tree*, proposed by Yu. S. Stepanov. *The Porphyrian tree* is a classification of the natural world, which indicates an increase in the degree of the individuality of the object, as the number of the heading increases (1-2.1-2.2.1) (Proskurin 2013: 45).

Thus, Yu. S. Stepanov formulated the following semantics statement which is fundamental for linguistics: the genus-species classification principle (whatever it is) is an abstraction of the relations of the genus and species in living nature. The larger the group number, the greater the degree of the individual it sets (and requires) in the language for the names it includes (Stepanov 1981:76).

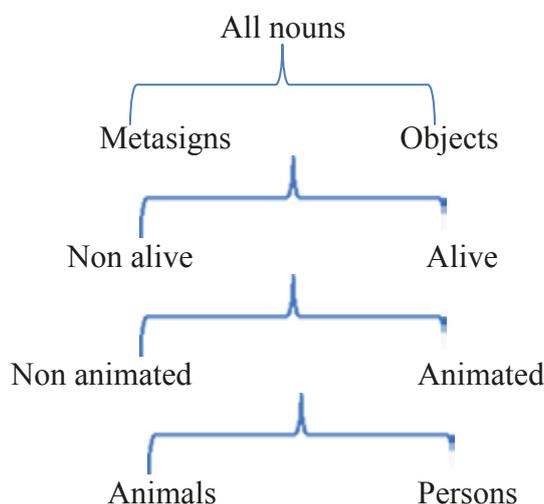


Figure 1. Semiotic taxonomy of nouns (Stepanov, 1981).

So, the animals personifying the Devil and sinners are poor signs, or a weak degree of the individuality, because their body parts are little opposed to each other, i.e. in the text of the Old English bestiary there is no detailed description of their appearance, activity and abilities. While the image of the Son of God appears in the text as a maximally rich sign, which includes both the description and appearance, and the activity and abilities of the panther. Therefore, the image of Jesus Christ is vividly contrasted with the depiction of the Devil, which is a consequence of the developed Christian tradition of the Old English period.

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**FROM THE SESSION
“RECONCEPTUALIZING
CULTURAL HERITAGE IN
THE SEMIOSPHERE”**

FEMALE PORTRAIT IN POLISH PAINTING 1897-1956. HERITAGE AS CONTEXT FOR INTERPRETATION

Elżbieta Chrzanowska-Kluczewska
Jagiellonian University in Kraków, Poland
elzbieta.chrzanowska-kluczewska@uj.edu.pl

Abstract

The article considers the way in which visual texts are interpreted firstly against the pragmatic background called broadly *heritage* and secondly, according to the rules of *the rhetoric of the image*, the idea forwarded by Roland Barthes (1964/1977) but well-grounded in theoretical considerations of art historians (Panofsky, Gombrich, Porębski). The author describes a corpus of twelve paintings created between 1897 and 1956 by outstanding Polish artists related to the Cracovian milieu, all united by the common theme of *womanhood*. She analyses the import of the local cultural, social and religious contexts (the component parts of the Polish national heritage) on the “reading” of those pictorial texts.

In what concerns the rhetoric of the image, the author utilizes her own three-layered model of interpretation, close in spirit to Barthesian taxonomy, and which consists of: a) literal, b) figurative and c) allegorical level. Extending Giambattista Vico’s tropological circle (1744), she postulates ten *master tropes* of artistic imagination that shape both verbal and visual texts (metaphor, metonymy, synecdoche, irony, simile, antithesis, catachresis, euphemia, hyperbole and suppression), treating them as *stylistic universals* operative on the level of figuration (cf. Chrzanowska-Kluczewska 2013, 2017). The appearance of new ways of representing reality (e.g. Cubism-Formism or Expressionism juxtaposed with Impressionism or Symbolism) can be likened to Lotmanian *explosions* in the *semiosphere*. Heritage must be perceived as a dynamic phenomenon, a cluster of ideas evolving in time and helping in *recontextualization* of previously produced texts of culture.

1. Heritage and the interpretation of visual texts – late 19th and 20th-century Polish female portraiture

Womanhood in the mostly urban (predominantly Cracovian) setting, as seen through the eyes of outstanding Polish painters, representatives of various artistic currents – from the late 19th-century Impressionism and Art Nouveau symbolism, through Cubism, Expressionism-Colourism

to post-World War II Social Realism – can be analysed from several perspectives. My considerations intend to focus mostly on the issue to what extent the concept of *heritage* – as widely and often uncritically accepted historical and cultural setting (cf. Lowenthal 1996/1998) – imparts the meaning to those portraits.

Assuming the portraits to be described below were *decontextualized*, in the sense of being deprived of the background knowledge of the Polish and specifically Cracovian-centred cultural tradition, the Polish national identity and collective memory, would they still be readable and fully meaningful as texts? Heritage is understood here as the way of *contextualizing* pictorial texts and *recontextualizing* them again, especially within the Lotmanian border zones, where *explorations*, i.e. novelties are bound to happen (Lotman 1992/2009). Heritage in itself is also a dynamic concept, evolving in time and crucially dependent on the historical, political and social circumstances. As a pragmatic notion it is closely related to the artists' and viewers' encyclopaedic knowledge of the surrounding reality, their ideological stance, social awareness and aesthetic sensibility.

2. Paratext in the interpretation of paintings

A subsidiary subject, closely related to the problem of how to “read” visual texts of the fine arts is a semiotic influence of the *titles* given to the pictures on their interpretation, an issue related to the constitution of *museum discourse*. The titles fulfil two opposing functions: on the one hand, they help the viewer to understand the content of the visual representation, on the other they often impose interpretation on the receiver. It is worth remembering that the titles rarely come from the painters themselves but are creations of museum curators, art merchants, collectors and even poets (this, for instance, was the case of Blaise Cendrars inventing titles to some works by his friend Marc Chagall). We should be aware of a potentially persuasive, if not straightforwardly manipulative, function of the verbal paratext that accompanies pictorial texts and often participates in shaping their rhetorical potential.

3. Multilayered reading of paintings

A well-known hierarchy of readings of the visuals was postulated by Roland Barthes ([1964] 1977: 52-68) in his essay “The third meaning”. The following three levels of interpretation were distinguished:

1. *the informational level* (“the first semiotics”), which roughly corresponds to what in art history is traditionally referred to as the *iconographic level*;
2. *the symbolic level* (“the second semiotics”, including symbols as well as allegorical readings, if any), which corresponds roughly to the *iconological level* of art historians;
3. *the third meaning/the obtuse meaning* (“the third semiotics”) – a supplementary reading, highly connotative and subjective, difficult to voice, extending “outside culture, knowledge, information” (Barthes 1977: 55), erratic and carnivalesque in nature; a set of intangible impressions, probably even difficult to voice.

Similarly, in Chrzanowska-Kluczevska (2012), I postulate to stylistically analyse works of figurative painting on three levels of representation, in the spirit of several debates held by art historians but extending their widely accepted subdivision of the painterly work into the *iconographic (basic, primary, denotational) level* and the *iconological (secondary, connotative) level* (after Panofsky [1939]1964; Gombrich 1996; Porębski [1980] 2009). The levels I distinguish are as follows:

4. *literal* – iconographic (where *symbols* can appear);
5. *figurative* – iconological (inclusive of major tropes such as *metaphor, metonymy, synecdo-*

che, irony, etc., cf. Section 4);

6. *allegorical* – iconological (where particularizing and generalizing allegories can be additionally distinguished).

Hence, I have slightly reorganized Barthesian taxonomy, mostly in what concerns the position of symbols. Barthes believed them to be present on the second level of interpretation yet our taxonomy allows for their appearance already within “the first semiotics”. Taken together, symbols, tropes and allegories (“connotators”) constitute what Barthes (1977: 32-51) called *the rhetoric of the image*.

4. Figuration in painted texts – *master tropes of artistic language and vision*

In line with the ideas of the 18th-century Neapolitan philosopher Giambattista Vico ([1744] 1984), brought to the contemporary attention of literary critics and linguists involved in discourse studies by Kenneth Burke ([1945] 1962) and Hayden White ([1978]1985, 1999), in my monograph devoted to figuration in verbal artistic texts (Chrzanowska-Kluczevska 2013), as well as in the paper that proposes to extrapolate those figures onto pictorial texts (Chrzanowska-Kluczevska 2017), I have put forward the following list of *master tropes* for consideration:

1. *Metaphor* – the figure of subjective comparison, of similarity and dissimilarity alike;
2. *Metonymy* – the figure of objective association, of the relationship between entities called *contiguity* (physical and abstract), as when we mention the author instead of his/her work or the place instead of an event;
3. *Synecdoche* – the trope of particularization, of mentioning a *pars pro toto*, or the singular for the plural, the figure of *salience* (often classified as a subtype of metonymy but which in my opinion deserves a separate treatment, like in Vico’s tropological circle);
4. *Irony* – the figure of hidden negation, relativism, scepticism, criticism and ridicule (present conspicuously in satire and grotesque).

Although at this point the great tropological tetrad of Vico ends, I argue that we should expand it by adding the following, in all likelihood, universal figures:

5. *Simile* – the figure of overt comparison based on similitude, closely related to metaphor, in which it is often present in a covert way;
6. *Antithesis* – the generally recognized trope of opposition, antinomy and contrast;
7. *Catachresis* – the generalized figure of semantic abuse and logical transgression, exemplified by oxymoron and paradox, among others;
8. *Euphemia* – the generalized trope of understatement, of toning-down and lessening unpleasant effects instead of a direct, straightforward representation of things;
9. *Hyperbole* – the generalized figure of exaggeration and overstatement, the opposite of euphemia;
10. *Suppression* – the generalized figure of omission, passing over, silence.

All these great figures of artistic conceptualization and expression appear as obvious candidates for *tropological universals*, applicable in the creation and interpretation of texts produced in various perceptual *modalities*. The analysis of the paintings presented in Section 5 will be carried out according to the above-mentioned taxonomy.

5. Cracovian female portraits – a figurative interpretation and the Polish national and cultural heritage between 1897 and 1956

Our analysis will be conducted as ekphrastic descriptions of the selected corpus of outstanding artworks, mostly on show in the collections of the National Museum in Kraków, spanning three

decades and illustrating a dynamically evolving attitude of artists towards the representation of women. The first work marks the end of *la belle époque* (1897) while the last one exemplifies the principles of Social Realism (1956). In between, the historical upheavals of two World Wars and the resulting changes within the Polish society, together with constantly evolving cultural and aesthetic values, formed a rich backcloth for the artistic visions. All those events imposed on the painters and viewers the need to constantly change the “writing” and “reading” of the female portraits, respectively. Let us look closer at these artworks as *semiotic witnesses* of the fluctuating reality which gave birth to them.

Józef Pankiewicz (1866-1940), “Little girl in a red dress” (1897). One of the most beloved icons of Polish portraiture, it is an instance of Impressionistic literality (hence consisting solely of the iconographic level). In the most popular reproduction it shows a beautiful young girl, with blonde hair and dark eyes, in an elegant dress of intense red. She appears in almost half-figure, facing the viewer, against a plain beige background. Although the title is purely descriptive and refers literally to the painting’s content, this way of showing the girl is *synecdochic* as the original composition depicts her in three-quarters, leaning against a chair and holding a purse. In this case the cutting off of a part of the picture and reproducing only the upper part of the figure may be claimed to be manipulative and as such a good instance of the “rhetoric of the image” that foregrounds only the girl’s torso.

Alfons Karpiński (1875-1961), “Model Jane” (1908). This portrait of a young woman, seated in a chair and showing off a lush white dress with light blue stripes, a huge black hat and a ginger scarf is only seemingly an instance of literality. The woman’s body has disappeared entirely under the dress and this foregrounding of clothing becomes a *reifying metaphor* (on the 2nd, figurative level of interpretation), with only the model’s face and a tiny part of her arm betraying her to be a human being made of flesh. The title possesses a clearly evaluative function, pointing to the sitter’s occupation, which early in the 20th century was still thought to be socially dubious. The appositive description “model” can possibly trigger some obtuse speculations as to her relationship to the painter.

Alfons Karpiński “Jane with a Japanese doll” (1909). This time the proper name “Jane” does not need an additional modification. The social position of the young brunette becomes obvious. Seated in a wicker chair, in a white lingerie contrasting with the black stockings and black shoes, showing her bare arms and partly uncovered breasts and thighs, she cannot be anybody else but a model, placed in an intimate setting. The woman is depicted in profile; in one hand she holds a small Japanese doll dressed in red, in the other what looks like the head of a white flower (rose?). The symbolization of the eponymous toy becomes obvious only if we know that at the turn of the 19th century the Polish artistic milieu underwent a period of intense fascination with Japanese art and culture, and especially with wood engravings by such famous artists as Hiroshige, Hokusai or Utamaro. This fashion was dubbed “Japonism”, a part of the Polish and especially Cracovian artistic heritage, with the Japanese doll signalling this inter-cultural allusion.

Jacek Malczewski (1854-1929), “Spring” (1909, private collection). Contemporaneous with Karpiński’s renditions of Jane, this painting by the famous Symbolist Malczewski the father, featuring a handsome red-haired woman in half-figure, almost naked (as her breasts show through a green muslin dress), has to be interpreted in a totally different manner. The single-world title is of tremendous help in interpretation. Although the landscape in the background is absolutely realistic, showing the suburbs of Kraków, with the river Vistula meandering across the plains and the Tatra Mountains, still covered in snow, looming in the distance (1st level of interpretation, with contextual information as part of the natural heritage), the woman depicted, smiling mysteriously, belongs to “the second semiotics”. She is Spring personified, holding a bird (sparrow?) in her right hand. Both the bird and the colour green of her dress (likewise of the trees and meadows in the background) stand symbolically for the new life. This particular way of

making the seasons of the year anthropomorphic boasts a long tradition in European painting. With it, we enter the space of “the third semiotics”, the realm of allegory that treats the four seasons of the year as reflections of “the four ages” in the human life. As only a thin line separates metaphor from allegory, the crossing from the figurative into the allegorical level is often hardly discernible, although allegory as a *metatope* is usually concerned with very general and widely recognized topoi.

Vlastimil Hoffman (1881-1970), “Concert” (1910, Fig. 1). Hoffman, a half-Czech and half-Polish by origin, active in Krakow and later in Szklarska Poręba, was known for his religious symbolism and folk allusions. The painting shows a peasant woman dressed in a traditional sheepskin coat, seated in the middle of a wintry meadow and holding a small boy on her knees. She is flanked by two teenage girls, wrapped in winter coats, scarves and hats. The strange atmosphere of this scene is heightened by the fact that, despite cold, the woman wears only a light pink dress under the fur, and is bare-footed. Consequently, we feel obliged to read this painting within “the second semiotics”. Backed by a particularly strong Roman Catholic heritage of the Polish nation, this composition imposes on us a religious reading – it is no less than the Peasant Mary with Child and the two angels, constituting at the same time a metaphor of motherhood, a pervasive motif in 19th and early 20th-century Polish art. The fascination with folklore, peasant customs and values, displayed by several Polish artists at the turn of the 19th century, constitutes another important ingredient of our artistic heritage. The title is important for two reasons. Firstly, it draws our attention to the fact that the small boy is playing a shepherd’s flute. Secondly, it refers us to another well-known composition by Hoffman titled “Spring”, portraying a young satyr playing a similar instrument. Yet, this *intratextual allusion* to another painterly “text” by the same artist undermines the first Christian reading assigned to the picture. Under the close scrutiny, the boy on his mother’s lap, wearing a strange red headgear, resembles a young satyr more than the Christ Child. The obtuse antithetical implications setting the Christian tradition against less obvious pagan mythological allusions imbue this work with the feeling of the uncanny.

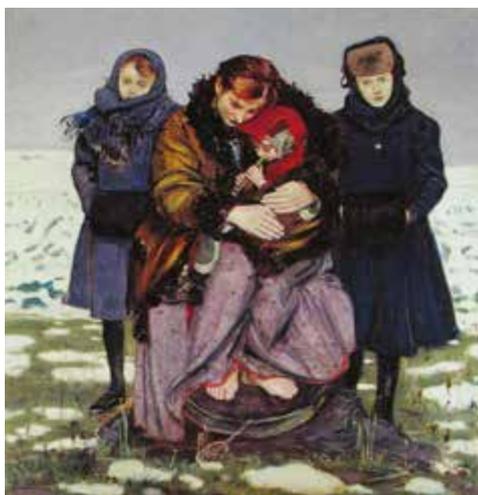


Figure 1. Vlastimil Hoffman, Concert (1910), The National Museum in Krakow.

Zbigniew Pronaszko (1885-1958), “A Formist nude” (1917). This is one of the outstanding instances of Cubism (called Formism in its Polish version) that shows a nude frontally emerging from amidst the curtains. Cubism in its early strongly geometrized version called “analytical” presented human beings and objects fragmented into various figures and shapes and arranged in a contiguous manner, hence – from the tropological viewpoint – it was classified as an instance of *visual metonymy* (cf. Jakobson 1956). With time, the emergence of the “synthesizing” Cubism, with Pronaszko’s work being an exemplar of this change, marks a transition from metonymy to

synecdoche, understood as “the trope of reconstruction around some salient feature(s); the figure of particularization that leads, subsequently, to generalization” (Chrzanowska-Kluczevska 2017: 78). In fact, the woman’s massive thighs capture our attention as the focal point of this geometrical rendition of the human body. What may not be transparent to the viewer is the artist’s attempt to recreate the woman’s movement towards the viewer, heightened also by the rhythm of the curtains’ folds, multiplied and overlapping. This kinetic composition has been executed in a sophisticated palette of greys and broken pinks. The onset of Cubism marks what Lotman (2009) referred to as an explosion in the semiosphere, happening within the stylistic border zone in which the traditional portraiture of feminine beauty was suddenly giving place to the representation of female carnality in what certainly was a shocking experience to the museum-goers in the year 1917. Such eruptions in the semiosphere always mark sharp turns in the aesthetic tastes of the interpreters. Yet, from the perspective of the 21st-century viewer this portrait does not come as offensive anymore.

Irena Weissowa “Aneri” (1888-1981), “The interior” (1921, private collection). Contemporaneous with Pronaszko’s experimental painting, this composition by the only lady painter represented by our corpus marks the adherence to a traditional way of depicting elegant women in their, usually bourgeois, homes. This slightly Impressionistic rendering shows a lady in a white summer dress and a straw hat sitting at a round table in the living room. The blue of the walls combines with the whites of the lady’s clothing and the table cloth, as well as the browns of the furniture. The walls are adorned with colourful pictures but what definitely catches our attention is a bouquet of lush flowers in a black vase that decorates the table. Seemingly a very literal rendition, this composition contains a paradox – the female figure, although depicted in the foreground, has undergone *backgrounding* by means of the title, which points to a widely practised subgenre of painting called *interior* and simultaneously obliterates the presence of a living person in the room. From here only one step takes us to “the second semiotics” – on the figurative level we are faced with a *reifying metaphor* – a woman shown as an artefact, on a par with other props of the scenery such as pictures, pieces of furniture and flowers.

Zbigniew Pronaszko, “Nude in an interior” (1922, Fig. 2). By one year later than Aneri’s “Interior”, this composition by Pronaszko, were it not for a dramatically different way of recreating reality, plays on the identical theme of a woman taking rest at home. Pronaszko’s nude, seen only from the back, is shown asleep on a sofa. The room’s window opens out onto a townscape, a street with rows of low houses, all bathed in warm summer yellows and oranges. The interior, in which we can see two dark green armchairs and a tiny round table, possesses a somewhat theatrical arrangement owing to the curtains that frame the window. It is an instance of fully developed synthesizing Cubism, in which the female body has regained its natural smooth shape, with the fragmentation reduced to the play of the furniture’s shadows. The central perspective runs dynamically towards the window, which stands out conspicuously from the background, also owing to an intensely red vase with orange flowers placed on the sill. This work is a deft combination of such subgenres as *a nude*, *an interior*, *a still life* and *a townscape*. We can wonder whether this composition, apart from its literality, possesses any symbolic reading. Even if the symbolization itself remains unclear, “the second semiotics” may be claimed to include a *dehumanizing metaphor* of the reposing nude, merging delicately into the furniture set. *Visual intertextuality*, however, is undeniable. The European artistic tradition boasts a number of exquisite nudes shown from the back, to mention only “The great odalisque” by Jean-Auguste Ingres or “Bella above Vitebsk” by Chagall. However, a closer *hypotext* for Pronaszko’s rendition of a naked woman may be “Venus” by Diego Velázquez, though the woman shown by that Old Master is not asleep but reclining; what is more, we can see her face in the mirror. Visual intertextuality clearly instantiates the situation in which the viewers can produce in their minds obtuse associations with other pictorial texts, all depending on their

general aesthetic education and the competence in recognizing appropriate texts of culture. The local heritage may be insufficient in forming such connotative readings. What is required is a recourse to a *broadened heritage*, in this case the circle of European art in general.

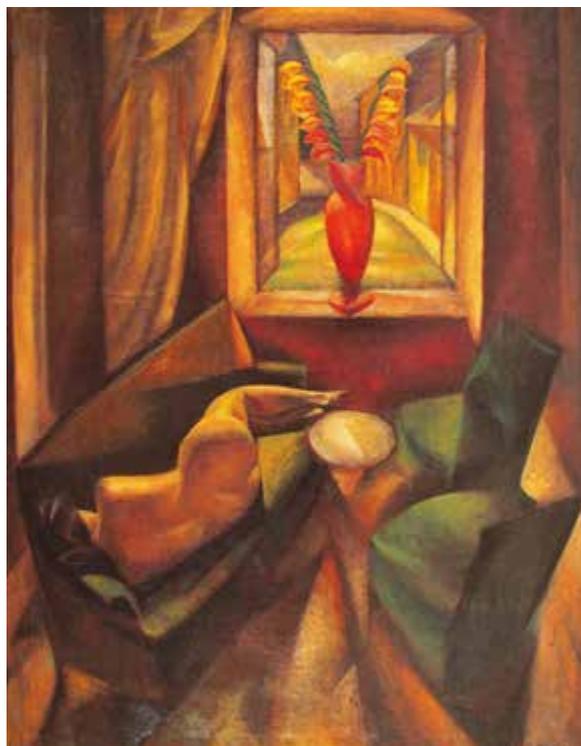


Figure 2. Zbigniew Pronaszko, *Nude in an interior* (1922), The National Museum in Krakow.

Zygmunt Waliszewski (1897-1936), “In the box” (1922). Waliszewski, a good representative of expressionistic Colourism, has opted for a theatre scene, presenting to us three personages, most probably parents with a young marriageable daughter or else two ladies accompanying a gentleman. As the very name indicates, for colourists it was colour and not the theme that served as the basic means of expression. This kind of art, ahistorical and apolitical, building an equivalent of life and nature through the play with colour, surface and space, would rarely depend on any strictly national heritage. Waliszewski shows to us three standing figures, in which deformation is a matter of degree. The rhetoric of the image should be applied directly to the colours used and “read” them as highly symbolic. The ugly black-haired woman in the foreground is dressed in black but holds a bouquet of red flowers in her hands, the elegant gentleman is antithetically dressed in white, yet his gloves are black. The young lady behind has the pinkish-yellowish skin and black hair with a kind of red covering; she wears a pink dress and holds what looks like a pink fan. According to traditional European *colour symbolism*, red stands for love and passion, black for the evil and demoniac things (and, consequently, makes the elder woman look ominous), white denotes elegance and purity, pink female elegance, bodily attractiveness, joyfulness and youth, while yellow has been traditionally associated with jealousy. Despite the disclaimers about the unimportance of the content for the colourists, on the figurative level this work is an undeniable instance of *irony*, realized through a grotesque deformation and obtusely meant as a piece of social satire.

Józef Mehoffer (1869-1946), “Rose of Sharon – a portrait of Z. Minderowa” (1923). Parallel to Cubism and Expressionism, the traditional portraiture of wealthy ladies flourished in Krakow in the 1920s. The title contains a clear intertextual allusion to the Old Testament “Song of

Songs”, pointing to the Jewishness of the beauty portrayed. A young black-haired woman, clad in a black evening dress with a trail, with bare arms and part of her back uncovered, is seated in an armchair. A lush wallpaper in the background features a drapery covered with vegetal motifs and peacocks (possibly symbolical) perched on garden vases. The colour black, contrary to Waliszewski’s painting, stands here for elegance and so does the white rose the sitter holds in her hand. The rose is not only a clue for the symbolic biblical reference but also triggers a tropological interpretation: the lady *synecdochically* represents the charm of all Jewish women. The Jewish population was an important part of the Polish society before the Holocaust, forming an important ingredient of our pre-Second World War social and cultural heritage.

Andrzej Wróblewski (1927-1957), “Child with the killed mother” (1949). A wide temporal gap separates Mehoffer’s creation from Wróblewski’s work, produced only four years after the horrors of the Second World War had ceased, the memories of which became an obsession with a very talented young painter. The composition is in many respects unusual: it shows a boy wearing colourful summer clothes turned away from the viewer and embracing a large standing figure of his mother, in a summer dress of intense blue. Her head has been cut off by an unusual framing and her flesh is pale white. Wróblewski utilizes here a double symbolization: the colour blue has been traditionally associated with depression, sadness and melancholy, to wit only the blue period in Pablo Picasso’s oeuvre. For Wróblewski, the colour blue has acquired a much stronger significance – it is a connotation of death and so is the “decapitation” of the mother. Visual rhetoric plays also on the *antithesis* between the whiteness of the mother’s corpse and the lively yellow-orange of the -boy’s skin. Although Wróblewski uses mostly flat modality, the woman’s figure throws a black shade on the white wall behind it.

Andrzej Wróblewski (1927-1957), “Chairification I” (1956). The last composition, realised apparently according to the tenets of Social Realism, which Wróblewski espoused only to soon reject them, is shocking in its ugliness. A pregnant woman is seated frontally in a chair while the second chair beside her is empty. The literal reading would be banal – in all likelihood, it is a woman queuing up to consult a doctor. Yet the neological title makes a forceful hint at the rhetoric of this image. The woman, with her eyes closed, looks unhappy and resigned – her waiting becomes a metaphor of hopelessness, of a dreary post-war existence in the socialist Poland. The title implies a *reifying metaphor* as well – the woman is slowly becoming a chair herself. The empty chair constitutes an *antithesis* to her own situation – it is already deserted or has not been occupied yet. The figure of *suppression* is also present – silence looms over this sad scene and the emptiness of the second chair signals some omission. “The third semiotics” opens up the space for a higher reading – this work appears to be an allegory of the human condition in general, of the fate of all people always waiting in line for their destiny, and – ultimately – death.

Fifty-nine years elapsed between the first and the last painting in our Cracovian collection. Two World Wars, the Holocaust, the onset of socialism/communism, which happened within this period, upturned the social and political order in Europe and Poland. The Polish and Cracovian artistic heritage faithfully reflected the atmosphere of the passing days, from the image of a beautiful girl dressed in red, in the portrait commissioned by her loving parents, to an unattractive and melancholy woman caught in a glimpse of the painter’s visual memory.

6. Conclusions

“History, tradition, memory, myth, and memoir variously join us with what has passed, with forebears, with our own earlier selves” (Lowenthal 1998: 3). These component parts of heritage, all semiotic systems by themselves, form a backdrop for the corpus of twelve important artworks by the well-known Polish 19th and 20th-century painters. The reading of those pictorial texts is regulated by “the rhetoric of the image”, which is a complex multilayered process that starts at the level of literality, moves on to the stage of troping and ends with pictorial allegory (in the

manner parallel to the interpretation of verbal artistic texts). The passage from one artistic trend to another can be seen as Lotmanian “conflict of signs” that leads to a functional renewal of sign subsystems. The introduction of structural and semantic novelties to the semiosphere need not be limited to verbal texts only. I have extrapolated this notion onto our analysis of nonverbal texts (to wit the appearance of cubism as a bold visual experiment).

The better we understand the semiotic import of the heritage to which the painters had access, the easier it becomes for us to “read” a painterly text according to the *intentio auctoris*. However, if parts of the heritage have been lost or become obscure with time, a handy mechanism of recontextualization will always be ready to assist us in interpreting artistic texts according to a new, reshaped rhetoric.

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PROGRESSIVE NEW YORK AND BELLE EPOQUE BUCHAREST. A FEW GROUNDS FOR COMPARING TWO CITIES

Mariana Neț

Romanian Academy, Bucharest, Romania
mariana_net15@yahoo.com

Abstract

The paper attempts a semiotic description of, and comparison between, New York City and Bucharest at the end of the nineteenth century. Although there was hardly any contact between the two cities at the time and they differed in point of urban civilization tradition and direction of urban development (verticality for New York City and horizontality for Bucharest), the analysis demonstrates that these two relatively new cities were fairly similar as regards their ethnic structure, rate of construction, introduction of urban facilities (running water, sewers, tramways, electric lighting, telephones and cinema). All these factors led to a redefinition of urban facilities in both cities and show them to have been pretty different in appearance but quite compatible in essence. A few case studies are analyzed to this effect. They are meant to indicate that, at the turn of the century, the appearance of the two cities changed significantly, while newcomers altered the urban configuration and massively contributed to each city's modernization and modernity.

1. Introduction

The Progressive Era of American cities in general, and of New York City in particular, expands from the 1880s to the 1920s, while the *Belle Epoque* of European cities, in general, i.e. of Bucharest, in particular, roughly expands from the 1880s to the outbreak of World War I. This is the interval taken into account in the research outlined here¹.

This investigation tries to see “how to understand [a] fragment in relation to the totality of the city, [as] no interpretation can apply to the city as a whole” (Harvey 2000: 18). Various fragments of the two cities will therefore be compared with a view to finding differences and similarities.

1 Some of the data presented in this paper are excerpted from Neț (2016).

2. Arguments against a parallel

At first sight, the two cities seem to have had very little in common, and a comparison between them appears as far-fetched. Around 1900 New York City was already a well-known metropolis, an icon of the United States, of the Western hemisphere, of the American way of life and speedy development. How could it possibly compare with Bucharest, a city lost in the Balkans, as a number of people still viewed it? A few objective data remind us of the huge differences between the two cities. Five of the most salient such differences are outlined below.

In 1865, at the conclusion of the Civil War, New York City had a long-lasting urban civilization; it had been first implemented by the Dutch administration, then by the British one and eventually by the American one. By the same time, i.e. in 1866², Bucharest was just beginning to adopt a European kind of urban civilization. Its age-long experience of Ottoman domination had left rather deep traces on its urban structure; from mid-nineteenth century onwards, the administration of Bucharest endeavoured to modernize the city structure and infrastructure according to European models.

The height of buildings in the two cities was one of the most obvious differences between New York City and Bucharest. Around 1900 the first sky-scrapers had already appeared in the American metropolis: Park Row Building dates from 1899, the Flatiron was built in 1902, and the Woolworth Building was dedicated in 1913. The architecture in Bucharest, on the contrary, developed on a horizontal line. According to the census in 1900 (cf. Parusi 2007: 474), most buildings, i.e. 26,296, had only one level, there were 9,132 two-story buildings, 2,058 three-story buildings, 340 three-story buildings and only 57 higher buildings.

Yet another important, and immediately visible, difference between the two cities lay in street alignment. New York was a perfectly ordered city; most of its streets and avenues had been traced forever by the Commission Plan in 1811. The streets in Bucharest had been always tortuous. The first partial street alignment had been attempted in 1806, under the rule of Prince Alexander Ypsilantis³. The second street alignment dates from 1888; it was still incomplete. At the end of the century, many streets in Romania's capital city were still tortuous, even downtown.

Another major difference between the two cities around 1900 lies in the existence of the subway – or its non-existence. The subway in New York City was one of the first in the world; it was dedicated in 1904. The first project to build a subway in Bucharest dates from the 1930s, but the actual subway was built only in the late 1970s and dedicated in 1979.

Last but not least, almost no contact existed between the two cities in the 1865-1914 era.

3. Arguments in favour of a parallel

In spite of all the above-mentioned differences, an analogy does exist between New York City and Bucharest, such as they were around 1900. A parallel is quite possible between the two cities. A few grounds in this respect are listed below.

3.1. Position, age, lifestyles

First of all, it should be kept in mind that, with due respect to proportions, once you talk(ed) about a city, you talk(ed) about all cities. Because, during the second half of the nineteenth century, a new kind of city was devised, a new kind of urban civilization emerged in Europe and the United States. Modern identities are essentially *urban* ones, and they were framed in the nineteenth century. This applies both to New York City and to Bucharest.

² The year 1866 marks the beginning of the reign of Carol I, first ruling prince (1866-1881), then king of Romania (1881-1914).

³ Alexander Ypsilantis (1725-1805) was ruling Prince in Wallachia (1775-1782 and 1796-1797).

As regards urban progress and lifestyles, each city represented a country. New York City was the acknowledged economic and financial capital of the United States, universally called “the American metropolis”, Bucharest was the capital city — and the most developed city — of Romania.

In terms of age, both cities were relatively new ones: New York City was founded in 1609 and Bucharest was first mentioned in a document one and a half century before, i.e. in 1459.

A new era had started in both cities — and countries — some two decades before: the year 1865 marked the end of the American Civil War, while 1866 is the inaugural year of the reign of Carol I.

All along the nineteenth century, and actually up to the *inter bellum* era, for all cities of some importance, Paris was the model. This model was followed by New York City and it was also followed by Bucharest. Most guidebooks of the time dubbed New York “a second Paris”. E.C. Prescott’s guidebook expands upon the comparison by specifying that New York was “second only to London and Paris in wealth and refinement” (Prescott 1874: 7). As for Bucharest, from mid-nineteenth century onwards, it was called both “a city lying at the gates of the Orient” and “a little Paris” (*Guide-Manuel* 1879: 17). To give only one example in this respect, a guidebook from 1906 mentions “such titles which Bucharest first from strangers has acquired, as *the little Paris, the city of joy, etc.*” (*Călăusa...* 1906: 5).

3.2. Language

Another similarity between the two cities concerns language and it is established at a deeper level. The official language in New York City, as all over the United States, was, obviously, English. But not all inhabitants spoke it fluently; on the contrary, most of the recent immigrants (viz. one third of the population in the city, see below) used a poor vocabulary and even poorer grammar. English was the language of a “higher” culture, to which many recent immigrants referred, but which quite a lot of them did not master at all. In Bucharest, the official language was, of course, Romanian. But the “upper” classes and even the members of the middle class spoke French fluently. French was the *lingua franca* all over Europe, taught in grammar schools and high schools and appropriated, in various degrees, by those people who claimed to have a certain cultural background. As far as language was concerned, the resemblance between New York City and Bucharest lay in the fact that a wide segment of the population in both cities spoke fluently, and were at ease in, the language of a different culture: the language of the British Empire in the case of New Yorkers, and French in the case of Bucharesters.

3.3. Population

The next similarity is also less obvious at first sight, being established at a deeper level. It concerns the population, viz. the ethnic structure of the two cities. The census of 1898 showed the population of Greater New York to be of almost 3,5 million inhabitants⁴, over one third of which were recent immigrants: Germans, Irish, Italians, Austrians and others. According to the census of 1900, Bucharest counted almost 300,000 inhabitants⁵, out of which 186,623 were ethnic Romanians, 43,308 were Jews, 38,660 came from the Austro-Hungarian Empire⁶ and 13,530 belonged to various other ethnic groups. This means that only 66.16 p.c. of the population of Bucharest consisted of ethnic Romanians, while 33.84 p.c. were non-natives. Consequently, although the population in New York City was some twelve times the population in Bucharest, the same percentage of aliens were encouraged to come and settle down in both cities, though for different reasons in each case. More specifically, in New York most immigrants were needed

4 More specifically: 3,487,202 inhabitants.

5 Actually, there were 287,233 inhabitants.

6 This percentage also included the Romanians from Transylvania, which until 1918 was part of the Austro-Hungarian Empire.

as unqualified labour force, whereas the city of Bucharest needed foreign *specialists*, who were called to develop the country and the city.

3.4. Compatible destinies

It is also a fact that many specialists who settled down in both cities had compatible destinies; this is yet another reason for comparing New York City and Bucharest. As an example, let us have a look at the lives of Joseph Pulitzer and Frédéric Damé.

Joseph Pulitzer was born in 1847 on the present-day territory of Hungary. In 1858, his family immigrated to the United States. At the age of 20, Joseph Pulitzer got US citizenship and started studying law. A year later, he joined the bar, but his impetuous temperament and his poor English prevented him from practicing law. It was also in 1868 that he started working as a reporter for *Westliche Post*, and two years later he became editor-in-chief and co-owner of this publication. Pulitzer was a member of the American Philosophical Society, and frequented a German language bookstore, where he often talked to Joseph Keppler and Thomas Davidson. He was a member of the Republican Party, and in 1870 was elected to the House of Representatives (before reaching the age stipulated by the statutes and after having lived for only two years in Jefferson City, which he was to represent). Then Pulitzer settled in New York City, and in 1883 he bought *The New York World*, which he saved from bankruptcy by orienting it towards sentimental stories and scandal. Joseph Pulitzer was often attacked by rival publications like the *New York Sun* and the *New York Journal*. Theodore Roosevelt and John Pierpont Morgan sued him for calumny, but the trials never came to court. Joseph Pulitzer died several times a millionaire, onboard his yacht, on the way to his residence in Georgia, in 1911. In his will, he left 2 million dollars to Columbia University, in order to fund a School of Journalism. This project was accomplished in 1934. However, Pulitzer's worldwide posthumous fame is mainly due to the literary prize he established, first bestowed in 1917.

Frédéric Damé was born in 1850 in the small town of Tonnerre (France), and graduated from the famous Saint Louis high school in Paris. From his early years, he published articles in newspapers like *Le Figaro*, *Le Gaullois*, *L'Événement illustré*, as well as in journals such as *La revue populaire* and *La Cloche*. During the French-German war, Damé edited the journal *L'Invasion*, and after the Commune in Paris he was Thiers' secretary, and published *La Renaissance*. In 1872, Frédéric Damé settled down in Bucharest. Shortly afterwards, he took up Romanian citizenship, and started a career as a journalist by publishing very successful articles in the *Journal de Bucarest* edited by Ulysse de Marsillac. A year later, in 1873, Frédéric Damé founded *La Roumanie*, the first big-format newspaper in Romania. At the same time, in Paris, he founded the monthly journal *La Roumanie contemporaine*. Damé also published articles in C.A. Rosetti's *Românul*, as well as in *L'Indépendance roumaine* and *L'Orient*. Frédéric Damé was not only a journalist. He also functioned as a teacher of French at high schools in Craiova and Bucharest. He was a playwright; his play *Le rêve de Dochia* was successfully produced and presented in 1877. But posterity remembers Frédéric Damé for two really remarkable achievements, namely two of the French language dictionaries in Romania (Damé 1900), and his monumental monograph *Bucaresten 1906*, in many respects still valid, though unfortunately unfinished, which came out a year after his death. Frédéric Damé died in 1906.

3.5. Facilities for the middle class

The next relevant issue for a comparison between the two cities concerns the facilities for the middle class. They were a clear sign of modernity and were implemented not only in New York City and Bucharest but in all European and American cities of some importance. New materials (cubic tiles, macadam, asphalt) were used for street paving, sidewalks were built, electric light-

ing was installed outdoors, running water and sewers were installed indoors, public transportation (e.g. tramways) was introduced within cities, the telephone, i.e. the new communication means, began being installed (first for business reasons, then for private use, too), listening to the phonograph was a pastime, while phonograph records were a means of preserving famous voices and speeches, the cinema was a favourite amusement, especially with the (lower) middle class. Owing to the development of all these urban facilities, in the latter half of the nineteenth century, cities were re-invented everywhere in the world. This was the chance of Bucharest. The city could thus skip a few stages of development and try to be on a par with more modern, Western European cities.

As an illustration, let us cast a bird's eye view on the introduction of telephones in the two cities. The telephone was invented in 1875 and patented in 1876. As early as 1877 the first Bell telephone was sold in New York City (cf. Trager 2003: 184). A year later, the Metropolitan Telephone and Telegraph Company was founded in the American metropolis. It had 271 subscribers. It was also in 1878 that the first telephone book was published in New York City. In 1880, the American metropolis virtually counted one telephone for 430 subscribers. Long-distance telephony (between New York City and Chicago) was opened in 1892 (cf. Trager 2003: 232). In 1906, as many as 264,364 telephones were in function in New York City, i.e. about two and a half times more than in London (cf. Trager 2003: 301).

Telephony in Bucharest had much timider beginnings. In 1877, the small enterprise of Engel & Tierich began experimenting with "the new device called telephone or speaking telegraph" (Parusi 2007: 338). Telephones were introduced in Bucharest in 1882, five years later than in New York City: a private line connected Socec bookstore to the Socec printing shop (cf. Parusi 2007: 359). The first Government connection was established only two years later: the Home Office was connected to the Post and Telegraph Corporation (cf. Olteanu 1992: 284). A telephone exchange was built in 1886; it had 5 operating numbers but the capacity to increase the number of subscribers. The beginnings of the telephone system in Bucharest were modest and slow. However, in 1890 a telephone network began being built and a year later it already had 300 subscribers. The average rate was thus of one telephone per 677 inhabitants. But the number of subscribers increased to 700 in 1898, and in 1900 the average rate was of one telephone per 410 subscribers. Long-distance telephone service began in 1893 and in 1894 it was open to the public (cf. Parusi 2007: 397). The first telephone book was also issued in 1894. It listed 31 institutions and 2 private subscribers. In 1906, 3,000 telephone connections could be established in Bucharest, but the telephone book listed only 1,600 actual subscribers.

A few conclusions can be drawn from this brief survey. At the turn of the century, the number of people who could virtually use the same telephone device in Bucharest was almost double as compared to New York City. In this respect, Bucharest was two decades behind New York City. In actual fact, the gap between the two cities was much narrower than that, if several other factors are taken into consideration, including the fact that the American metropolis was the city where the first telephone devices for public use were produced. It is also important that in 1900 New York City was an industrial and commercial power, and the telephone was adopted mostly for business reasons. None of these remarks apply to Bucharest, where both industry and trade were rather weak, and the telephone was basically used in administration. It is also well known that, when this invention was introduced in (continental) Europe, people were rather reticent and suspicious about it. The families who did choose to have a telephone installed in their homes kept it in the entrance hall and mainly used it for placing orders with various suppliers and it was mostly servants who answered the phone (cf. Weber 1986: 76). This state-of-the-art continued until as late as the 1930s and 40s. Agatha Christie's novels give several examples in this respect.

It is also a fact that spaces between houses in Bucharest were fairly large; this made the installation of a telephone network far from profitable. Nevertheless, the introduction of long-distance telephony began almost simultaneously in Bucharest and in New York City. Thus, all things considered, as far as the beginnings of the telephone system were concerned, Bucharest was fairly compatible with New York City.

4. Conclusions

This paper has given a few reasons why a parallel between New York City and Bucharest at the turn of the nineteenth century is by no means far-fetched. About 1900, to speak about one (European or American) city meant to speak about all cities of some importance, as the same phenomena took place everywhere. Bucharest made the best use of the chance offered by urbanization, so that, by the turn of the century, a lot of the gaps which had separated it from modern European and American cities beginning of this era were considerably narrowed before the outbreak of World War I.

Notwithstanding, a number of objective brakes prevented the complete urbanization of Bucharest. The city's (and country's) geo-political position was perhaps the most relevant one⁷. Another hindrance to complete modernization was the relatively small number of inhabitants, which made urbanization a rather unprofitable business. Most of the population lived in individual houses, separated by big courtyards and gardens, and most streets were crooked; it was therefore technically difficult and costly to install running water, sewers and telephones everywhere. Nevertheless, as already shown, although the modernization of Bucharest was still incomplete, a parallel, and even a comparison, between *Belle Epoque* Bucharest and *Progressive* New York is still possible and rewarding.

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⁷ Romania's independence from the Ottoman Empire was declared in 1877 and conquered in 1878. The Principality of Romania became a Kingdom in 1881.

THE SAMI WORLDVIEW THROUGH SHAMAN DRUMS AS INTANGIBLE CULTURAL MANIFESTATION AND COMMUNICATION

Hee Sook Lee-Niinioja

Independent Scholar/Helsinki, ICOMOS/ICICH, Finland
leeheesook@hotmail.com

Abstract

In Sami world, all life has dualism on the spiritual and physical levels, thus this animistic, polytheistic view influenced the Sami tradition towards harmony with nature and the necessity for the shaman. As a healer, the shaman carries multiple codes, expressing their meanings verbally, musically, artistically, and in dance. He is informed to his culture and acts with trust on behalf of the community. His mediations with the spirits including the dead ancestor require a drum, where shamanistic symbolic motifs represent the Sami cosmology and life, categorised by the way they are depicted. It has a segmented pattern in three levels: the upper represents gods; the middle of humans; the bottom of the paradise underworld where the ancestors lived. Among many symbolic motifs in the drum, a drum motif is occasionally found, raising its specific role. Is it a musical instrument for a shaman? A communicative tool for invoking/warning off spirits by the shaman? Hidden cultural manifestation of Sami activity? My paper discusses the drum motif in relation to its neighbouring motifs (gods, humans, animals, etc.) and positions with semiotic considerations. This result can shed light on intangible values of shaman drums, to underline a cultural significance in Sami heritage.

Introduction

In the Sami world, all life has dualism on the spiritual and physical levels, and the animistic, polytheistic view has influenced the Sami tradition towards harmony with nature and the need for a shaman. As a healer, a shaman carries multiple codes and expresses their meanings, verbally, musically, artistically, and in dance. Accordingly, he is informed by his culture and acts with trust on behalf of the community. His mediations with the spirits in nature and the dead ancestors require a drum.

Two types of the drum are based on their physical construction, but the common symbolic signs reveal the Sami cosmology in a segmented pattern of three levels – (1) the upper level represents gods (2) the middle - of humans, and (3) the lower of the paradise underworld, where the ancestors lived. Although many signs of the surviving 71 drums are difficult to read their full meaning due to the eradication by the Church in the 18th century, the constant appearance of gods, humans, and animals suggest their central roles in the Sami cosmology. And semiotic interpretations of these symbolic signs can generate the drum as an intangible cultural manifestation.

For example, a drum sign imprinted on a physical drum raises a question about its specific role: (1) Does the sign represent a musical instrument for a shaman? (2) Is it a shaman's communication tool for invoking spirits or warning off? (3) Is it a hidden cultural manifestation of the Sami activity? My paper investigates the 29 physical drums, on which a sign of a drum shows. It aims at interpreting their semiotic positions and meanings and hopes that the result can shed light on new intangible values of the shaman drum as well as its cultural significance of Sami heritage.

1. Sami shamanism and shaman

The Sami shamanism is a traditional belief and practices of communication with the spirit world. The world is occupied by invisible spirits of supernatural powers, which defend all living ones and places in nature. They possess magical powers and protect animals, plants and other places in nature. All life has a duality between the spiritual and physical levels. And the spiritual world, where the dead ancestors continue to live, embraces the wholeness and perfection in opposition to the material world.



Figure 1. On Idolatrous among the people of the Arctic region (Source: Olaus Magnus- "History of the Nordic Peoples" 1555).

For a success of hunting and fishing, people turned to the counsellors such as the sun god, the invisible spirits of rocks, cliffs, lakes, the migratory routes, and even entire mountains, making a cult of them. The cult was a symbol of the divine spirit and was believed to look after flora and fauna. And people offered individually or collectively at the beginning of the hunting and fishing seasons (Figure 1). The residential tent or nearby places were the commonest places for people to pray to the divine, and many sacred places were built in the locations, where people hunted and fished. The most popular animal of sacrifice was a reindeer, while the bear hunting was a religious festivity. Above all, a shaman is needed to cooperate with natural forces for the people's survival without damages to nature and living stocks.



Figure 2. A shaman with his rune drum (Source: Kund Leem 1767).

Originally, shamans (Figure 2) refer to the traditional healers of Turkic-Mongol areas of Siberia and Mongolia. With direct contacts with the spirit worlds through the journey, they acquired knowledge and power by traversing the axis mundi and brought them back. Besides a guidance of souls, shamans cured people, led a sacrifice ceremony, preserved the traditional stories and songs, and predicted fortune-telling. As a doctor-prophet-officiator at major sacrifices, a shaman (*noaidi* in Sami) was the central figure of the Sami society.

Illness was caused by a disorder of the balance between the two souls or the two realms of reality. The shaman, in a spirit form, transferred to the other side, in order to restore harmony. He learned the types of offering to gods for healing the illness. Sometimes, Sami ancestors, who protected their descendants and reindeer herds, caused troubles. Accordingly, the shaman's travels in and out of the spirit world were assisted by the drum as a bridge between the physical and spiritual worlds.

2. Ritual drums

A strong tradition with a drum has been kept in the Sami spiritual rituals. Its oldest identifying reference is the late 12th century's *Historia Norvegiae*, where it was described as a small vessel. In *The History of Lapland* (1674), Johannes Schefferus included a chapter of the Laplander's magical ceremonies and symbols.

The drum has a segmented pattern of three levels: the upper (gods), the middle (humans) and the lower (the paradise underworld). It was used for (1) the guidance of the daily life, (2) knowledge of the future, (3) curing sickness, and (4) offering for the gods. An indicator (*arpa*), a ring or a triangular shape of a bone was put on the membrane of the drum, sometimes with small rings. And the paintings on the membrane were chewing bark from the alder which resembled blood. Made with a careful concern, one drum could have 150 symbolic signs.



Figure 3. Shaman's beating a drum and his trance (Source: Rheen 1671)

In some places, every family had a drum. A famous shaman owned several drums and powerful helping spirits. By beating the drum faster, he began his soul journey to the spiritual world, and when he entered into a trance, he fell down on the ground, putting his drum on the back (Figure 3). He met his helping spirits and changed himself into a spirit or a breath of wind or a reindeer. Upon his return to the world, he could interpret how the indicator moved and positioned on his drum.

Reformation arrived in the Scandinavian countries in the 16th century, and the Sami people had to convert to Christianity. Eventually, the Church authorities ordered persecutions to the shaman and his drum, and ritual practices were condemned to be a devil and witchcraft including the ancestor worship. Laws were written prohibiting the shaman and worshipping. At the beginning of the 18th century, the drum was common in major households; at present, only 71 drums have survived after the Church's eradication of drums.

For the Sami, the drums represented their threatened culture, the resistance against the Christian claim to exclusiveness, and a striving to preserve traditional values – i.e. 'the good' that had to be saved. For the Church authorities, on the other hand, the drums symbolized the explicit nucleus of the elusive Sami 'paganism' – i.e. 'the evil' that had to be annihilated (Ahlbäck and Bergman 1901).

3. Symbolic signs and their roles

For the Sami people, familiar signs of the drum represent an intangible aspect of their world, because symbolic meanings of signs enable them to approach a more transcendent aspect of the reality. Among invisible spirits, *Rota*, the death god, is the most powerful due to his kingdom in the underworld. In order to ride his land, *Rota* demands a sacrificial horse, which appears in the majority of the southern drums (see Figure 4).



Figure 4. Left-Rota, right-Akkas (Source: Manker 1950).

Veraldenolmmái is the god of vegetation-fertility and a fortune for the reindeer. The violent thunder god *Horagalles* controls the weather with a double hammer or an axe-hammer. *Bieggolmmái*, the wind god, makes good and bad weather, while the hunting and forest god *Leaibeolmmái* rules over animals and helps hunters. Goddess *Máttaráhkká* and her three daughters *Akkas* are crucial to conception, birth, and a child's growth. As a circle or a rhombus with four rays, *Beive*, the merciful sun has a central position in the Sami life and protects the reindeer.

Figure 5 presents examples of Frame and Bowl drums. **Frame Drum 1:** 1 *Beive* - sun god & reindeer offering; 2 *Leaibeolmmái* - hunting god; *Horagalles* – thunder god; Hunter or *Leaibeolmmái*; Elk; 6 *Bieggolmmái* – wind god; 7-9 *Ailekesolmak* – churchman; 10 Prediction place; 11 Boat offering; 12 Mirrored boat?; 13 Reindeer; 14 Gand – troll's shot; 15 Beaver barrage; 16 Elk & bear; 17 *Leaibeolmmái* – Rain & snow?; 18 Wild reindeer; 19 Weather & forest; 20 Wild reindeer; 21 Forest, a game between elk & bear, or *Saivo* – underworld?; 22-23 Forest's council;

24 Goat; 25 Christianised village with a goat; 26 Church; 27-28 Church & people; 29 Death with a coffin; 30-32 *Rota* or horse rider; 33 *Jabmeaimo* – world of the death, or a dead man, or *Rota* or his wife?; 35 Servants of *Jabmeaimo*; 36 probably grave; 37 probably *Sáráhká* – women, birth goddess; 38 *Uksáhká* – mother/child goddess, *Juoksáhká* - boy's goddess; 39 Child; 40 Reindeer herd; 41 Fish netting & boat; 42 Residence with four tents; 43 *Njalla* – meat shed; 44 Squirrel forest. **Bowl Drum 71:** 1 *Bieggolmmái*; 2 *Horagalles*; 3 Reindeer; 4 *Beive*; 5 Radjenpardne - the Radien son; 6 Radienattje/*Veraldenolmmái* - the Radien father; 7 Sacrifice place or church?; 8 Radjenakka - the Radien mother; 9 *Máttaráhká* - protection goddess; 10 *Sáráhká*; 11-13 *Ailekomak*; 14 Moon; 15-16 *Leaibeolmmái*?, Churchman?; 17 Sacrifice place or church?; 18 *Veraldenolmmái* - vegetation/fertility god?; 19 *Uksáhká*; 20 *Rota* - death and illness god; 21-22 Demon?; 23 Hell's strainer?; 24 Demon's chain? Drum; 25 *Jabmeaimo*, *Saivo* - underworld.

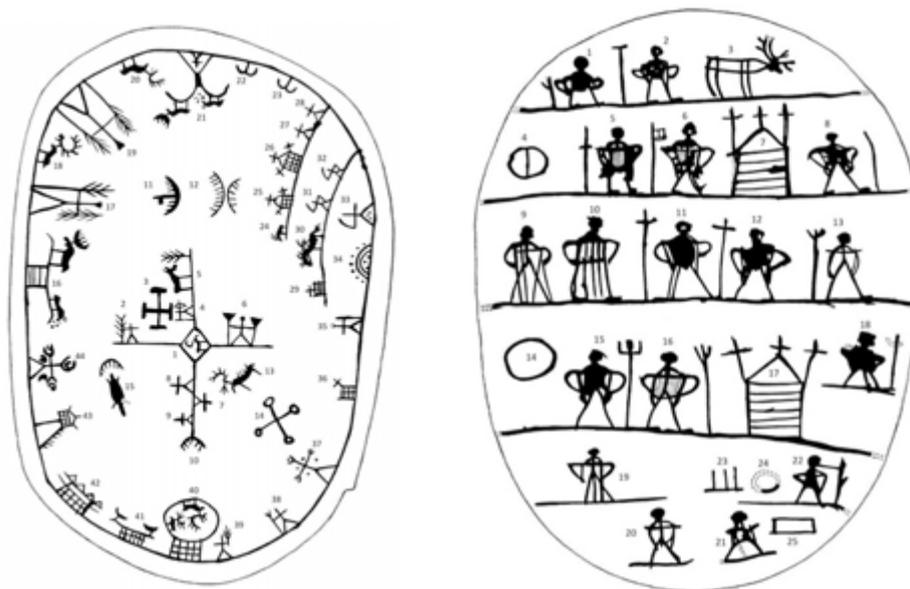


Figure 5. Frame Drum 1 & Bowl Drum 71 (Source: re-worked by the author after Manker 1950).

4. Cognitive semiotics and its interpretation

Cognitive semiotics can be described as “an emerging interdisciplinary matrix of disciplines and methods, focused on the multifaceted phenomenon of meaning” (www.cognitivesemiotics.com). For example, in rock art studies, four approaches can be pursued, although Clottes (1995) claims that there has been a combination of three main approaches from the past 100 years, shifting emphasis on different periods.

(1) In studies of the French and Spanish Palaeolithic rock art, the first approach deals with a diverse species of the animal's size, gender and the techniques chosen for the description. (2) The evaluation of its archaeological context helps chronology and people's actions. Rock art images, which people had seen on their visits, were sometimes drawn on portable artefacts for their best interpretation. (3) Finding ethnographic analogies between traditional societies, which created rock art, establish more precise information. (4) An alternative approach is based on particular ethnographic insights and general insights for neurophysiology.

In this regard, shamanistic interpretation expresses peoples' seeing in a changed state of their consciousness. When an object receives cultural importance, it becomes more pervasive in thought, featuring in their hallucinations. Rock art is an attempt to commemorate the shamanic visions. Therefore, Mulk & Bayliss-Smith (2006) maintain that semiotics is an integrating way

of the four approaches. As the science of signs, semiotics allows us with a holistic approach to analysing image contents and symbolic meanings in a wider context. However, it needs insights from historical ethnology and from studies of other societies which can serve as analogues.

In establishing a framework for exploring the encoded messages in rock art, Peircian semiotics is applied. For example, an iconic similarity is between the boat in rock art and knar type of sailing boat, used on the drums as indices and symbols as well. Any language of words or images should be expressed by three kinds of the sign (“icon”, “index”, “symbol”) for an effective medium of communication.

Preucel & Bauer (2001) recommend the Peircian model in dealing with material culture, because most artefacts have variable cultures with multiple meanings. Archaeologists should investigate the interpretative potentialities of all possible relations between an object and a sign. The Sami drum is the case.

An index... a sign directly related in the act to what it signifies. If a hunter in pursuit of a lion sees a certain kind of footprint in the sand this is an index to the passage of his game... An icon is a sign that represents its object by resembling it. We might regard the statue of a lion as iconic by virtue of it having its form and proportions determined by those of the animal. A symbol... a sign determined by its object only in the sense that it will be so interpreted on allocation dependent on habit, convention or agreement, or natural disposition of the interpreter. Following our example, a lion is a symbol of bravery by convention (Firth 1973:61).

5. The position of a sign

As a composition of different signs, rock art was made in artist's mind at a specific time in pursuit of aesthetic, religious and/or narrative purpose. In the case of the Sami drum, symbolic signs can generate extra meanings from local settings. If we want to know the correlation between a shaman and his drum in the context of time, the position of a sign and its relations to other signs are helpful. Lewis-Williams (1981) suggests four possibilities in rock art: (1) activity groups (2) juxtaposition (3) superposition, and (4) conflation.

(1) As an activity group, the position of various signs will tell a story. In other words, signs from a set of iconic representations of a real scene are a scale model of an actual event. (2) With juxtaposition, the artist is using signs as icons, and juxtaposed signs are a powerful way for a symbolic statement. When representations of different things from nature or human activities are put together, a different meaning is conveyed. (3) Superposition makes a statement of the relationship between two contrasted icons, creating symbolic meanings by a connection. (4) For conflation, the iconic form of representation virtually disappears. It combines an element of one icon with that of another, suggesting an analogy between them.

For example, a sign on the Sami Drum 44 combines a person standing on top of a reindeer, signifying the thunder god *Horagalles*. However, a stylistic conflation becomes a pure symbolic sign, losing its original meaning due to the abstraction. Therefore, a competent shaman in symbolism can only decode the sign on behalf of his people, reminding its source as a conflation of iconic signs.

6. Relationships between shaman, drum, and shaman+drum

Among the surviving 71 drums, a sign of shaman or drum or shaman+drum (Figure 6) is found on the 29 drums. In this paper, representative samples are assessed for semiotic interpretation.

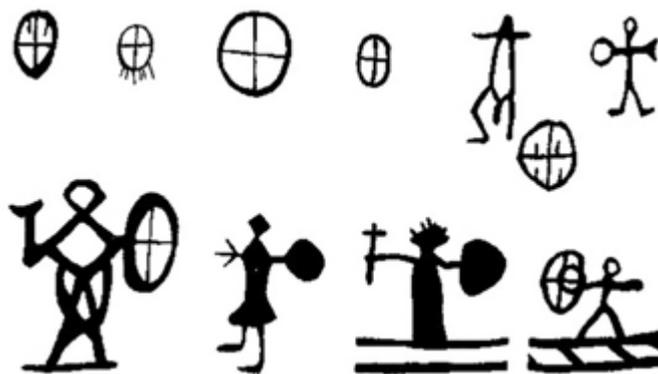


Figure 6. Drum motif in variety (Source: Manker 1950).

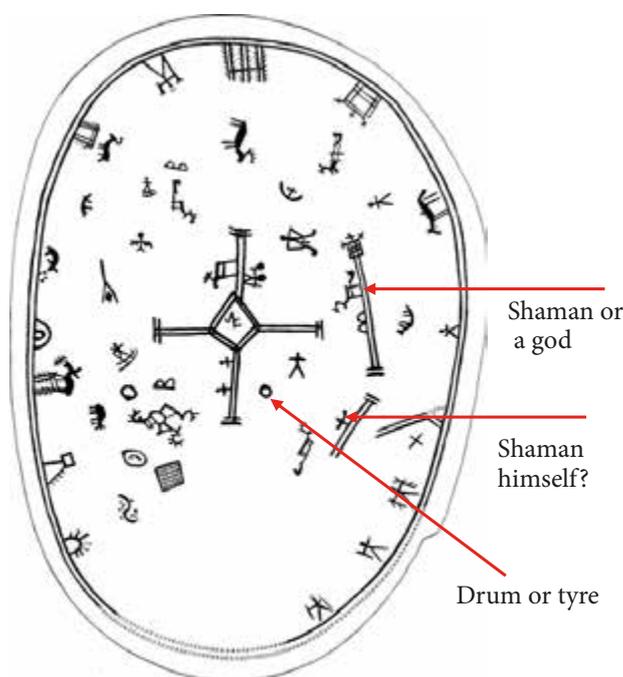


Figure 7. Frame Drum 3.

Frame Drum 3 (Figure 7) is probably originated from Åsele Lappmark in Sweden and has been preserved at the National History Museum in Stockholm. Its form is egg-shaped, oval and asymmetric, with dimensions of 46 x 32 x 7-7.5 cm. The drum frame is made of pinewood. Near the centre, we can see a circular sign, interpreted as a drum or a tyre (protecting the shaman). In the middle of the right side, two signs of a shaman are seen. The upper sign shows a shaman (or a god) on the way to the paradise underworld, where Sami ancestors inhabit (icon: *Saivo*, symbol: the underworld). The lower sign could be a shaman himself (icon: *Jabmeaimo*, symbol: the land of the death). In general, *Saivo* and *Jabmeaimo* are closely related, thus it makes hard to differentiate them from each other. Nevertheless, the role of the shaman is obvious. He tries to bring a dead soul back from *Saivo* and *Jabmeaimo* through negotiation, confrontation, threatening and stealing. About the relationship between the shaman and the drum, their rather distant positions could suggest simply an activity group. Semiotic interpretation makes the drum play a central role in the spiritual underworld.

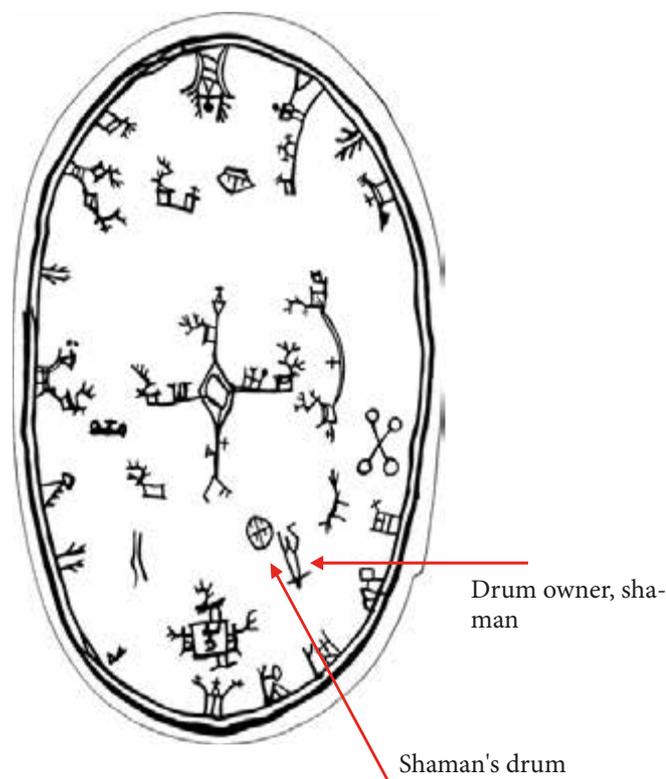


Figure 8. Frame Drum 10.

The origin of Frame Drum 10 (Figure 8) is unknown, probably South Sami in Sweden. It has been preserved at the National Museum of Ethnology in Leipzig. The drum is egg-shaped and oval with dimensions of 47 x 27.3 x 5.8-6.5 cm and is made of pinewood. In the middle of the lower part, we can see the two neighbouring signs (a drum and a shaman) in their upside-down gestures and detail in the depiction. It testifies the free reading of the drum in any direction as well as the artistic freedom of a sign making. Moreover, the positions recall their roles in the underworld, although the gods of *Saivo* and *Jabmeaimo* depicted on the right side of the drum. Regarding their relation to different gods and a reindeer herd at the lower part, the drum and the shaman could mediate to harmonise the Sami nature and life. They are juxtaposed with two icons.

Flanged Frame Drum 43 (Figure 9) originated from Kemi Lappmark in Finland has been preserved at the National History Museum in Stockholm. The drum form is ecliptic, oval, symmetric and vertical. It is 85 x 53 x 11-11-5 cm in dimension and is made of pinewood. Interestingly, the drum has almost a double size of other drums and a different way of depicting signs. All gods and humans are personalised, instead of typical geometrical expressions. With a segmented pattern of the three worlds, two shamans in the middle and the lower part are the human world and the underworld respectively. From the second left in the middle, a shaman holds a drum, and his hands and feet are fully opened, suggesting the act of entering into a trance. The figures adjacent to the shaman represent different gods, thus the shaman intends to invoke the gods' help for his people. On the left, lower part, there is a shaman with a drum confronting with a sickness for fear of a death. It can be also interpreted as a shaman fighting against the magic. As mentioned earlier, the Church's eradication of Sami drums has left a mystery. Shaman signs (icons) and their juxtaposed positions can raise further semiotic interpretations.

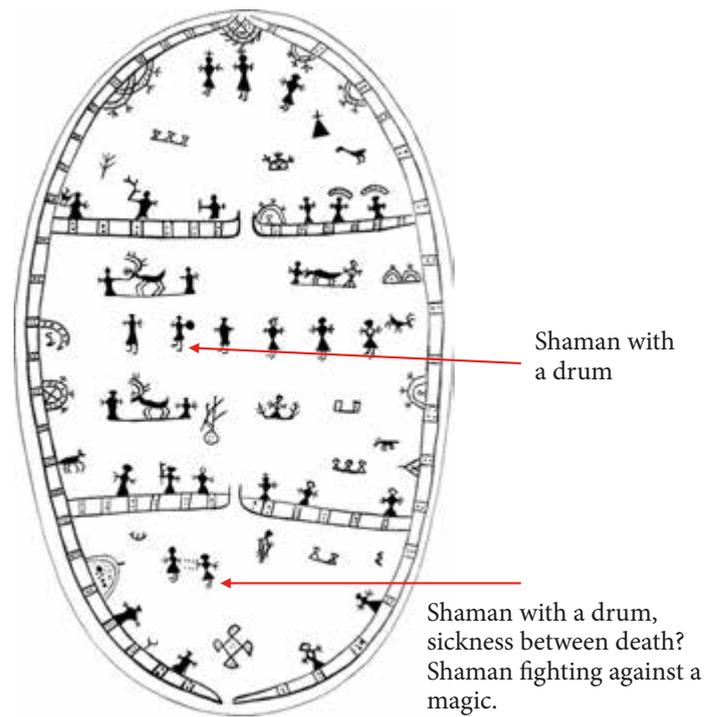


Figure 9. Flanged Frame Drum 43.

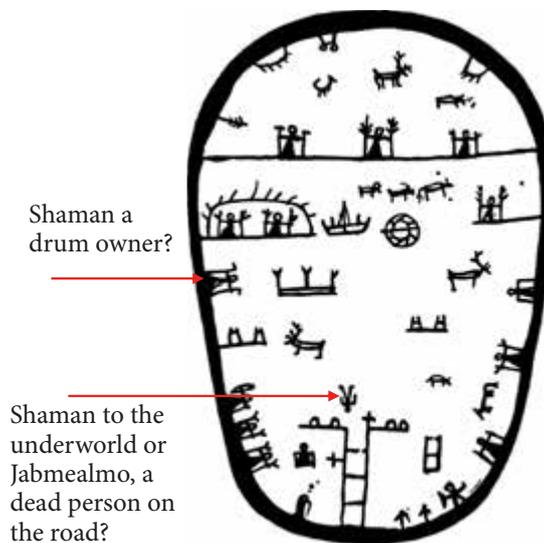


Figure 10. Frame Drum 64.

Preserved at the National History Museum in Stockholm, the origin of Bowl Drum 64 (Figure 10) as Lule Lappmark in Sweden is questioned. It has an egg-shaped form, oval, vertical with the ground and sidewall vaulted. With dimensions of 40 x 26.8 x 9.8 cm, the drum is made of pinewood. In general, the bowl type selects specific signs and excludes occasionally the *Rota* god. Here, a shaman, probably a drum owner, is standing on the far left of the drum. He is surrounded by tents, forest gods and an animal, explaining his belongings in the Sami society. The other shaman is located at the middle of the lower part. He is visiting *Saivo* or *Jabmeaimo*, because his head points to a squared cemetery with crosses. Or it can be a dead person on the road. Of shaman signs (icons), two different symbolic meanings and two activity groups are interpreted.

N	S	D	S+D	SF	N	S	D	S+D	SF
F3	2	1		S	F7	1	1		=
F8	2	2		=	F10			1+1	S+D
F11	1	1		=	F13	1		1+1	=
F17			1+1	=	F18	1	1		=
F19	1	3		D	F21		1		D
F22	1		1+1	=	F24		1		D
F25	2	2		=	F26	1	1		=
F27	3	1		S	F28		1		D
F30	1	1		=	F31	1		1+1	=
F33		1		D	F37	1	1		=
F38	1	1		=	F40	2	1		S
Fl43	1		1+1	=	Fl44	2		1+1	S
B 45	1		1+1	=	B51			1+1	S+D
B54		1		D	B64	2			S
B67			2+2	S+D	Sum	20D with 28S	18D with 22 D	10D with 11S+11 D	D6, S5, S+D3

Table 1. The appearance of shaman, drum, shaman+drum on the 29 drums (Source: the author).

N(number), S(shaman), D(drum), S+D(shaman+drum), SF(superior frequency), F(frame drum), Fl(flanged frame drum), B(bowl drum)

The table above shows the location of the shaman, drum, and shaman+drum signs on the 29 drums. There are 28 shaman signs on 20 physical drums; 22 drum signs on 18 physical drums: 11 shaman+drum signs on 10 physical drums. Of their frequent use, 6 drums, 5 shamans, and 3 shaman+drum are in a row, indicating the drum sign to be the first in dominance. Except for 9 drums (10, 17, 21, 24, 28, 33, 51, 54, 64), all have two signs and suggest the closeness between the shaman and the drum, particularly on 10 drums (10, 13, 17, 22, 31 43, 44, 45, 51, 67). Interestingly, two pairs of the shaman+drum on Bowl Drum 67 can raise a question whether this can be a character of the further northern area.

At any rate, 29 drums of the 71 surviving drums do not fully guarantee the absoluteness of the drum, shaman, shaman+drum signs on a drum. It is an intangible, traditional asset among the actual painters (mostly shamans) who decode these signs in their cognitive minds. Every painter has his own expression, manifesting the Sami’s individual yet collective identity.

Conclusion

The 71 preserved drums at present are a crucial source of studying the Sami culture and religion, and the assessed 29 drums represent a strong closeness of the Sami belief and their tradition, although their semiotic interpretation awaits more challenges.

The surface of the drum...is a Sami Weltanschauung of a tripartite universe. It consists of the upper realm of the heavenly deities, the middle or human realm, and the lower realm or the upside-down world. They are connected with a pillar having the sun as its centre, surrounded by gods, people, animals, and other symbols in a symmetric configuration towards the centre. The location of the figures and the whole structure of the drum with its oval form seem to indicate a cyclic view of life (Pentikäinen 1984, cited by Hoppal 2007).

The symbolic drum signs provide a powerful communication between shamans, gods, and peoples in Sami world, regardless of their positions and interpretations. Moreover, the Sami drum has fused the traditional and the modern worlds, manifesting Sami as an intangible cultural heritage. It is no wonder why a drum, a powerful evidence of the Sami religion, had to be eradicated by the Church.

Common signs of various layout designs are due to the painters' free minds and adoptions of other designs to their drums, creating similarities with local variations. However, the overall design shows universal human aspects of a mental map. Anyone can design a drum with favourite signs and depict activities, persons, important things, and concepts. Although Sami culture has to absorb and to incorporate modern influences and conveniences into their lifestyles, the old traditions remain. In the imagery of the newly made drums, their symbolic signs are a reminder of the past to the present. In this regard, the 71 drums testify the contemporary Sami culture through generations.

In short, the Sami drum bridges gaps between the old and the modern worlds. It still functions as a way to view the world in a holistic manner - a symbol of hope for the Sami future. Semiotic interpretations have enhanced the Sami worldview through shaman drums as intangible cultural manifestation and communication.

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SELECTIVE TRANSFER OF IDEOLOGICAL CONTENT OF PLACES OF WORSHIP IN INTERCULTURAL COMMUNICATION. CASE STUDY BASED ON SILESIA

Wanda Musialik

Opole University of Technology, Poland
w.musialik@po.opole.pl

Abstract

The aim of this paper is to show changes in the ways of adaptation of communal symbolism, which over the centuries bound the Silesian Lowland with the ideological goals of its inhabitants. The practice of assigning various symbolic meanings to the same place will be presented after analyzing the source documentation and publications devoted to such selected places. Examples of such practice can be found in Silesia, the geographical land located in the basin of the upper and middle Odra river, where two mountains — Ślęza located on the western side and St. Anne Mountain on the eastern side — served as places for pagan worship. In Christian times monasteries were built in both of these places, however only one monastery remained to this day. In German times both mountains served as a place of secular worship. The main goal of the paper is to characterize this process in periods of political transformation in the 20th century. In the case of St. Anne Mountain an attempt will be made to determine the causes of contemporary coexistence of religious and secular symbolism.

1. Introduction

Semiotics focused on poetry includes the category of icons. According to Grzegorz Grochowski, “[t]he most traditional, somewhat old-fashioned approach, identifies iconic images with the ability to create visual images that stimulate the recipient’s sensitivity” (2006: 47). Therefore, if a word is to correspond to a picture, then the question arises whether the ideological meaning of the particular image may change over time. Considering such assumption as probable an attempt was made to investigate such change based on the symbolism attributed to the two moun-

tains: Ślęza (718 m.a.s.l.) and St. Anne Mountain (408 m.a.s.l.). Both mountains are located in the Silesian Lowland along the middle course of the Odra river. The culmination of the terrain grows out of a flat, lowland environment. The shape of the mountains was associated with their volcanic origin (Majewski 1923: 30). However, in case of Ślęza the claim has not been confirmed scientifically. Both mountains are 152 kilometers apart. Nowadays, this distance can be reached within 13 hours on foot and in about 2 and a half hours when traveling by car. On sunny days, one can see the top of the mountain from the top of the other.

2. The first acts of worship

In the pagan times both of these mountains were places of worship. Stone artifacts which were found on Ślęza (Zieliński 1889: 135) indicate that in pagan times the mountain became a place of worship (Ślupecki 1992) (Fig. 1).



Figure 1. Pagan bear from the Ślęza mountain (owned by: Wojciech Fabisiak Muzeum Ślęzańskie <muzeum@sobotka.pl>)

However, no such evidence was found on St. Anne's Mountain. The pagan roots of this place derive from folk stories about the dragon's nest as well as the names assigned to the mountain. The other names included: Chełm or Chełmska Mountain, which referred to the appearance of the mountain and St. George (*Georgiberg*) (Reisch 1910-206: 36). In the Christian hagiography St. George was a hero who fought against the dragon, which symbolized paganism (Kowalenko 1970: 305). Therefore, the name of this saint symbolized his beliefs, which were assigned to the mountain.

In Christianity both mountains were adopted for religious purposes. In the 12th century, an Augustinian canonical monastery was established on Ślęza (Tymieniecki 1935: 131; Zieliński 1889: 135). On St. Anne Mountain a chapel was built. In the 17th century Franciscans, who fled from the invasion of the Swedes (Reisch: 1910-2006) established a monastery there. After 39 years they left the place due to the pagan rebellion. They finally settled in Wrocław, the capital of

the duchy (Zieliński 1889: 135), located about 34 kilometers away from St. Anne Mountain. The Franciscans from St. Anne's Mountain have been living there until today. They left the monastery only once as a result of anti-Catholic persecution.

Apart from these rare periods of absence, the monks of St. Francis became guardians of the St. Anna Samotrzecia's cult [Virgin and Child with Saint Anne]. The wooden figure of St. Anna Samotrzecia from the 15th century was worshiped in a nearby church. Originally, this church was dedicated to St. George, the patron of farmers and knights but over time his intercession was limited by the religious influence of St. Anne, mother of Mary, grandmother of Jesus, protoplast of Catholic religion. Along with the growing worship of St. Anne, the patron of the local church also changed. Periodic pilgrimages to the place, where the figure of St. Anne was kept became one of the worshipping forms. The figure depicted the religious mission of the biblical Anne: on the shoulders of the main figure rested two other figures, the bigger represented Mary, and the smaller — Jesus (Fig. 2).



Figure 2. The figure of St. Anna Samotrzecia from St. Anne's Mountain located in the Opole Voivodship. From the collection of Jozafat R. Gohly.

On the slopes of the mountain, where the church with a statue of St. Anna Samotrzecia was located, a Calvary route was established. The route was to resemble the way that Jesus walked from Pilate's palace to the crucifixion on the Mount of Olives in Jerusalem.

The opportunity to follow the footsteps of the Crucified, attracted many visitors, who at the same time could visit the church with the statue of St. Anna Samotrzecia. The importance of the pilgrimage tradition in the place of depositing the figure of Jesus' grandmother was reflected in the name of the mountain and the nearby village. They were both named as St. Anne Mountain (since the 18th century) (Reisch 1910-206: 38). In the case of the Ślęża Mountain a similar process did not develop, even though the Catholic church also influenced this place (Zieliński 1889: 135). The nearby town was named Sobotka, after the name of tribal Slavic rituals, occurring during the ceremonies related to the summer solstice (the 24th June), when the inhabitants gathered around the fires, augured and floated wreaths of flowers down the rivers (Bielowski 1834: 215).

3. State symbolism

In the 19th century, both mountains became an example of replacing religious symbols with the secular ones. In 1810, under the rule of Prussia, St. Anne's monastery was secularized and dissolved. The place of pilgrimage was deserted (Reisch 1910-206: 168). 49 years later the monks returned there, but after 16 years new state restrictions forced them to leave the monastery again. It was during the Kulturkampf times. After 12 years Franciscans returned to their monastery on the St. Anne Mountain and re-established earlier pastoral activities for the Polish-German and German-speaking population (Kurowski 1997: 19).

In the case of Ślęza every year since 1813, the meetings of German students from Wrocław were held for 101 years. The meetings were organized to commemorate the extinction of the anti-Polish *Freikorps* (volunteer corps) from the nearby village (Rogów Sobieski) (Kolbuszewski 2016). In 1837 a tourist hostel was built near the St. Anne's Mountain top. 15 years later the development of the tourist movement led to the launch of a new tourist facility and another one at the beginning of the 20th century. The practice of the meetings in Ślęza ended after the outbreak of the First World War (Kolbuszewski 2016). After the First World War the tourist traffic was more interested in the heathen artifacts than in the Catholic symbolism.

After the First World War and the demarcation of the German-Polish border St. Anne Mountain represented the new symbolism. In May 1921 due to its strategic location over the lowland the St. Anne Mountain became the site of the biggest battle of the III Silesian uprising. *Freikorps'* troops and Polish insurgents of Silesia were fighting (Sobota 1998: 31-67). Since then the religious symbolism of St. Anna was added a secular cult of memory about the participants of the armed struggle for the motherland. This idea was promoted both by the Germans and the Poles. In the 1920s, a project to change the name of the village from Annaberg (German name of St. Anne's Mountain) to Ahnenberg ("Mountain of the Forefathers"), however, it was not successful (Nijakowski 2001: 96). At the end of the 1930s, the *Freikorps* was built to replace the symbolism of the pilgrimage place with the new values (Struve 2016: 214) (Fig. 3).



Figure 3. The Mausoleum of German soldiers killed in the First World War built on St. Anne Mountain in the 1930s. From the collection of Piotr Smykała.

At the foot stone of St. Anne Mountain an amphitheater was built (Fig. 4), where Nazi celebrations were organized. Every year in March the “Memorial Day of Heroes” was celebrated. The aim of the celebrations was not to commemorate the nameless German soldiers killed in World War I, but to heroize them (Orlowski 2003: 208). The symbolism of St. Anne Mountain was used instrumentally. These ceremonies took place near the Franciscan monastery, mimicking the significance of religious pilgrimages (Ogiolda 2014).

On the other hand, part of the population, which was repressed by German authorities and their fellow citizens in 1922 and later for fostering Polish national aspirations, after immigration to the Second Polish Republic decided to build a “substitutive” temple for the cult of St. Anne in the diocese of Katowice (Olszar 2005: 245).

In 1936 those who remained in Germany founded the “Polish House” at the foot of St. Anne Mountain. The House was located based on the sense of identity of Poles living in Germany with a place to which their ancestors made pilgrimages for over three centuries. The “Polish House” became a place where Polish organizations gathered around the Polish Association in Germany (Musialik 2005: 236). During World War II, this building was transformed into the headquarters of the Nazi labor camp for Jews, transiently Soviet captives. In 1941 the Franciscans were deported from the monastery, and their headquarters were initially transformed into a military haven, and then settled by the Volksdeutsch settlers from Bessarabia and Bucovina (Polanko 2013: 119-153). In 1945 Franciscans returned to their monastery (Polanko 2013: 160) when Silesia was already in the hands of the Polish administration, dependent on Soviet power. The *Freikorps* mausoleum was blown up and replaced the Monument of the Silesian Uprisings which consists of four connected fifteen meter pylons (pillars) covered with scenes referring to Polish fights for Silesia. Every year on May 3rd the outbreak of the III Silesian Uprising was commemorated at the foot of the monument (Fig. 4).



Figure 4. The monument of the Silesian Uprisings on St. Anne Mountain. From the collection of Piotr Smykała.

For 37 years the religious symbolism of St. Anne Mountain had no major significance. The visit of the Pope John Paul II (21st June 1983) was used to reclaim its religious importance.

4. Public and social adaptation of symbols

In the 1990s, celebrations commemorating the Silesian uprisings were used as an opportunity to manifest nationalist attitudes by the NRC (National Radical Camp). This led to the relocation of other major state events. At the same time, the rank of Polish-secular symbolism of St. Anne Mountain declined. Even the Museum of the Silesian Uprisings established in 1969 in the interwar building of the Polish House was also threatened. It was due to the increased authority of the German-speaking population, which considered Silesian uprisings as the intervention of a foreign state — Poland — in the internal affairs of the German state. For the Poles, the Silesian uprisings symbolize independence struggles. The German minority, which emerged after 1989, returned to symbolism related to the pre-war German religious tradition. Polish celebrations in this place are considered by the minority as the political instrumentation of the Catholic pilgrimage site (Czolk 2017: 96).

In the 21st century diocesan authorities of the Catholic Church transformed pilgrimages to St. Anne Mountain into pilgrimages of national and ethnic minorities (the Germans and the Romanians). In addition to the usual pilgrimages, new forms of religious meetings have been developed, such as the Youth Festival (since 1996).

At the turn of 20th and 21st centuries, the importance of natural landscape and cultural values of St. Anne Mountain increased. In 1988, the Landscape Park was established, and in 2014 the National Geopark of St. Anne Mountain (Fig. 5).



Figure 5. The logo of National Geopark of St. Anne Mountain.

In December 2016 the Holy Mountain was selected for the national stage of voting on the Internet sites for the European Heritage Label in 2017. In the visual symbolism the pilgrimage site does not symbolize the statue and the profile of the Franciscan monastery. However, the symbols of Mount Saint Anne in regional promotion or economic marketing were not as significant as in the case of Ślęza. The name of Ślęza was adopted not only by the landscape park created in 1988 (Ślęza Landscape Park) (Fig. 6).



Figure 6. The logo of Ślęza Landscape Park.

The name of the Ślęza mountain is found in many other economic ventures: on the hotel sign “Ślęza” (Ślęza Pension), in the name of enterprise of urban economy (Ślęza Department of Municipal and Residential Management) and in the name of sports club (Ślęza Ciepłowody).

In comparison, the terms referring to the St. Anne Mountain in marketing promotion are used less frequently. This is most likely due to the complexity of the name, which consists of three words. Using these words as a company name would make it difficult to memorize this multi-word name. In 2011 an attempt was made to overcome this inconvenience in identifying with the place of origin by using the word *Annaberg* — the German name for St. Anne Mountain. This happened in the case of transport companies Annaberg Kran, Ltd and Trans Annaberg. However, this way of using the name of the town when identifying the company may be misleading because a place with the same name exists in the Federal Republic of Germany. In this case residents also use the name of the town to identify their businesses.

5. Conclusion

In the past both St. Anne Mountain and Ślęza became symbols. Their ideological symbolism was determined by representatives of the dominant religious or political authorities. However, there is no evidence that the mountains were bound by the same ideological symbolism at the same time. In the case of Ślęza, the original pagan symbols were preserved, despite the subsequent changes of religious denominations, cultures and economic and political formation. St. Anne Mountain has reached a similar status as a symbol of the local Catholic Church in the Upper Silesia. The St. Anne Mountain's influence was limited by 180 years of ongoing attempts to develop secular ideology. Religious symbols were eliminated by both German (feudal, democratic and Nazi) and Polish (communist) governments.

Both mountains have become an example of appropriating and instrumentalizing their symbolism by dominating ideologies. The differences in this process may arise from three factors. The first factor is related to the intensity of religious practices developed in both of these places. Although Roman Catholic church functioned both on Ślęza and on St. Anne Mountain, only the St. Anne Mountain's sanctuary gained the supra-local character. The second factor is a national variety of Catholics visiting both places. In the case of St. Anne Mountain, the pilgrimages of both Polish and German visitors doubled the number of occasions for the manifestation of national differences. In the case of Ślęza this type of dichotomy did not occur as the inhabitants were homogeneous nationally. The Germans organized national manifestations but they were secular.

The third factor refers to compulsory migration movements, particularly intense after the Second World War. When settling in new places, immigrants either sought for or built substitute temples. The Polish immigrants from the Eastern Borderlands of the Second Polish Republic did not take over the German symbolism associated with the Ślęza Mountain, unlike it happened in the case of St. Anne Mountain's inhabitants, who worshiped St. Anne, the grandmother of Jesus. Thus belonging to the same confessional circle, they assimilated the cult of Anna Samotrzecia as an element of “homeliness” in a culturally alien place inhabited due to the forced immigration.

From the 19th century to the 1980s the separation of state power from religious values created another force aiming at taking over the symbolic importance of the well-recognized place of pilgrimage. These actions were taken independently of the nationality or political views represented by the authorities.

In the 21st century, the symbolism of these places still exists in the space of faith and historical memory. In addition, references to both mountains can be found in the logos of economic projects developed by local authorities, which are supported by the EU's funds. The reference to

the one-word association (Ślęza) seems to be easier. Perhaps that is also why St. Anne's Mountain is sometimes reduced to personal identification of St. Anne, for example, St. Anne Land.

The original symbolism of both places was restored and renewed at the turn of the 20th and 21st century after the democratic revolution in Poland. The return to pagan symbolism was observed on Ślęza and to religious and national symbolism (both Polish and German) on St. Anne Mountain.

In the 21st century symbols of both mountains are included into local and regional marketing undertakings as well as the names of private enterprises. To a lesser extent, this practice was carried out in the case of Mount St. Anna, probably because of its three-word name. As indicated, Polish name is often replaced by its German equivalent.

For centuries, the symbolism of these two mountains have evolved not only transcendently but also more usefully, utilitarianly.

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**FROM THE SESSION “(THE)
ROLE OF SEMIOTICS IN THE
ANIMATION OF CULTURAL
HERITAGES”**

LE DISCOURS SEMIOTIQUE ARABE

Fadila Achili

Université de Tizi-Ouzou, Algerie

fadila.achili@yahoo.fr

Abstract

L'évidence projetée dans cette recherche est celle de la méthode sémiotique et son engagement avec le texte littéraire, mais également de la manière dont les critiques Arabes l'ont apposée à leurs travaux et la place qu'occupe cette approche parmi les autres dans le discours critique Arabe. L'objectif de cet essai est donc de jeter la lumière sur les approches sémiotiques mises en œuvre par les chercheurs dans le monde Arabe.

1. Introduction

L'évidence projetée dans cette recherche est celle de la méthode sémiotique et de son engagement avec le texte littéraire, mais également de la manière dont les critiques arabes l'ont apposée à leurs travaux et la place qu'occupe cette approche parmi les autres dans le discours critique arabe.

Les résidus séculaires de la critique arabe sont encore actuels dans les esprits de nombreux critiques arabes, qui marchent encore sur le sillon de leurs prédécesseurs. Cependant, cette vision obsolète tend à se dissiper. En effet, si nous considérons de près l'univers de la critique arabe, qui s'étend de la fin du deuxième millénaire au début du troisième, nous constatons qu'une nouvelle génération de chercheurs et de critiques s'est ouverte aux méthodes analytiques et critiques modernes, conduites par l'approche sémiotique.

A travers des lectures constantes et assidues d'œuvres littéraires créatives, les chercheurs ont franchi le niveau du regard personnel pour souscrire à une vision objective. La lecture qu'ils font de la littérature se retrouve ainsi élargie et matérialisée, passant de simples impressions personnelles inconsistantes à des réflexions objectives.

Le discours sémiotique arabe se particularise par une volonté de dépasser l'application didactique de la méthode sémiotique et des concepts qui lui sont liés, avec cette volonté consciente de trouver des réponses aux questions que pose le texte littéraire arabe.

Pour tenter de délimiter les questions que soulève le discours sémiotique dans les pays arabes, nous pouvons les dénombrer en ces points :

- L'ampleur de l'influence qu'a exercé la culture critique occidentale sur le discours critique arabe.
- Le degré de l'impact de la méthode sémiotique sur les chercheurs à travers le long processus de son évolution.
- Les difficultés qui ont imprégné le glissement des concepts critiques sémiotiques vers le discours critique arabe.
- Si les chercheurs se sont bornés à instrumentaliser la méthode sémiotique ou ont investi d'autres approches.

L'objectif de cet essai est donc de jeter la lumière sur les approches sémiotiques mises en œuvre par les chercheurs, qu'on appelle les modernistes, qui ont puisé leur pratique critique dans les méthodes analytiques occidentales.

Les réponses à ces questions ne seront pas livrées en un seul jet, la première halte qui nous interpelle étant le degré de l'impact exercé sur le discours arabe par son analogue occidental.

2. L'influence de la critique occidentale sur le discours critique arabe

De manière générale, la migration du savoir d'une société vers une autre est l'une des plus pertinentes manifestations de l'anthropologie, dans ses formes ancienne et contemporaine. La vie intellectuelle s'abreuvant même, au sein des nations, de cette migration qui peut constituer une condition intrinsèque à l'implantation d'une activité intellectuelle singulière. Cette transmission est tributaire du degré d'admission de l'idée dans son nouveau foyer et de la manière de la manier.

L'importation de la pensée du continent européen et de l'Occident en général a constitué l'un des pivots de la problématique culturelle posée au pôle intellectuel arabe depuis le 19^{ème} siècle, qui a vu soulever plusieurs questions sur la nature de la relation qui doit nous lier à l'Occident et les questions de la modernisation ou de la modernité. Concrètement, maints chercheurs ont recouru à l'importation massive de concepts et de théories de l'Occident, n'y voyant finalement aucune indisposition à acquiescer ses dispositifs et sa technologie avancée. Toutefois, cette adhésion s'est murée dans une tension née des multiples difficultés qui ont accompagné le passage des concepts critiques d'une réalité culturelle productrice de savoir vers une réalité consommatrice de ce savoir et ne détenant aucun outil pour le développer.

Le projet critique a connu son éclosion dans le macrocosme arabe à la fin du 19^{ème} siècle, à l'issue d'une prise de conscience du développement atteint par la critique occidentale et d'une velléité d'en tirer profit en important ses théories et ses concepts. À l'aube du 20^{ème} siècle, la critique s'est affectée à une somme de missions tangentes au discours littéraire, telles que les études historiques, les biographies, l'étude de textes patrimoniaux et à d'autres supports, s'appuyant sur la méthodologie historique telle que préconisée par Taha Hussein dès les prémices du 20^{ème} siècle.

Cependant, le mouvement moderniste a affecté la pensée et la vie littéraire avec l'émergence de critiques littéraires spécialistes à partir de la deuxième moitié du 20^{ème} siècle, ayant un impact incontesté sur la mutation qualitative qu'a connu le discours critique arabe. On laisse deviner du coup que la vague de critiques arabes déferlant des universités occidentales s'est ouvert aux méthodes de critique moderne, leur permettant d'approcher la littérature à partir d'angles de vue différents des pratiques dominantes. Ainsi imprégnée, la scène de la critique littéraire a subi la prépondérance des méthodes modernes de critique, parmi lesquelles on peut évoquer la socio-critique, la psychocritique, le structuralisme, la poétique, la critique génétique, la stylistique, la critique sémiologique, la déconstruction, etc.

La critique arabe moderne a accédé à ces méthodes et à ces théories par le canal de la Nouvelle critique, jusqu'aux années 1970, grâce aux travaux de traduction et à la production par la

suite. Quelques œuvres fondamentales de la critique occidentale ont été traduites vers la langue arabe, à l'instar de *The Armed vision* de Stanley Hayman (1955), *Principles of literary criticism* de I. A. Richards (1962), *Essays in criticism* de Mathew Arnold (1965) et *Critical approaches to literature* de David Daiches (1956), et d'autres.

Les méthodes liées au structuralisme et aux approches postérieures se sont déployées à grandes ailes dans les années 1980, marquées par les chercheurs issus des universités françaises et ses instituts implantés dans les pays du Maghreb et en Orient, notamment au Maroc, en Tunisie, en Algérie, au Liban, en Syrie, puis en Egypte. « Ils appelaient à un genre de nouvelle critique qui a adopté de nouveaux fondements analogues au modèle occidental, porteurs de la nécessité de rapprocher le texte littéraire en tant que texture linguistique et d'aborder le discours littéraire en tant que discours autarcique et indépendant des autres espaces » (Miri Mahmoud 2007 : 90).

Un flot de mutations s'est opéré dans le monde arabe au cours de la deuxième moitié du 20^{ème} siècle, exhortant le chercheur arabe à reconsidérer une multitude d'axiomes auxquels il adhérerait. Cette modernité à laquelle aspiraient quelques chercheurs modernistes arabes a été accueillie par certains théoriciens arabes avec des quolibets (Hamouda Abdelaziz 1988 : 130) car la conception arabe de la modernité a été cachetée de fascination pour ces théories venues de l'Occident, en même temps qu'une difficulté à cerner les différentes méthodes importées, que ce soit dans leurs portées cognitives ou philosophiques. Néanmoins, ces modernistes ont eu la primauté de « sauver l'honneur des Arabes », pour paraphraser Louis Awad lors d'une rencontre intellectuelle (Hamouda Abdelaziz 1988 : 130).

C'est dans cette optique et ces conditions que s'est timidement manifestée la sémiotique au champ des recherches littéraires arabes en tant que nouvelle méthode qui idéalise le texte sans tenir compte des attributs socioculturels.

3. L'émergence de la sémiotique dans le monde arabe

La théorie sémiotique est apparue aux chercheurs comme un nouvel espace cognitif encyclopédique, à l'instar de la philosophie et de l'histoire, connues depuis l'aube des temps. Partant, le concept de signe s'est révélé comme une clé qui ouvre les portes du savoir vers tous les domaines de recherche et d'investigation, en raison de ce qu'il recèle comme pouvoir de description, d'interprétation et d'abstraction, et d'outils de compréhension et d'analyse. Et en raison de la vocation de la sémiologie à être une science générale des signes qui englobe une diversité de branches et de spécialités, dont la sphère littéraire en particulier, les chercheurs l'ont prise d'assaut, de sorte que les contours de la sémiotique littéraire notamment se sont graduellement précisés dans les études littéraires arabes. Si les académiciens émérites sont plus modérés et moins exaltés dans leur connivence avec cette méthode qui incarne la modernité à leurs yeux, la génération d'étudiants et de nouveaux diplômés des universités se sont laissés aller à être attirés par la modernité, allant jusqu'à investir ses moindres exploits méthodologiques, qu'ils ont instrumentalisés dans leurs études et leurs analyses.

Or, cette méthode ne s'est pas frayé son chemin avec aisance dans la culture arabe, ankylosée par des constantes et des convictions au point où il est devenu chimérique pour beaucoup de critiques et de chercheurs de renoncer à une réserve de coutumes esthétiques léguées par le passé.

Certes, la greffe de cette théorie dans le tissu du discours critique arabe, avec ses concepts, sa terminologie et son arsenal méthodologique multiple, n'a pas échappé aux crocs de la résistance locale. En effet, l'émergence de la sémiotique dans l'horizon culturel arabe a été accompagnée de conjonctures inhérentes à cette émergence, telles que la cognition tardive, la traduction tantôt juste et tantôt erronée, l'adoption de certains concepts et le rejet d'autres. De telles incidences

entravent n'importe quelle théorie lors de sa migration d'un contexte culturel vers un autre, de sorte que la théorie intruse se voit renoncer à beaucoup de ses assises fondamentales afin qu'elle puisse épouser la culture hôte. D'autres entraves à la théorie se sont manifestées dans la nature même de la pensée arabe. Cette dernière reste récalcitrante à la modernité, de la même manière que le discours critique arabe n'a pu se défaire du fardeau de calquer le passé et de le ressasser. Un constat flagrant malgré l'audace de certains néo-critiques qui ont ouvert les bras à la culture occidentale pour lui emprunter ses théories et ses approches contemporaines. De cette perspective, le discours critique arabe ne cesse de couvrir son identité culturelle en clonant son héritage ancien sous divers alibis, tels que la sauvegarde du patrimoine et de l'identité culturelle.

Les malaises qui frappent la critique arabe sont donc à foison. En tête, figure ce que Mohamed Al-Rabii a dénommé « le dilemme de l'illettrisme culturel chez les Arabes » (Al-Rabii Mohamed 1981 : 198), et qui est à même de faire avorter tout effort critique, outre l'obsession de sauvegarder l'identité contre l'expropriation identitaire et le spectre de l'invasion culturelle. Le discours critique arabe demeure ainsi un réservoir pour la culture critique arabe ancienne, au moment où la modernité se dresse comme le mouvement par le quel on se libère des legs antérieurs et on marche à la rencontre de l'avenir en opérant une rupture avec le passé. Elle est fondamentalement et avant tout chose un programme intellectuel libérateur et une riposte « à ceux qui considèrent la modernité comme une hérésie » (Fadl Salah 1995 : 14).

Depuis l'apparition des méthodes critiques occidentales modernes, les questions critiques sont demeurées fondamentalement les mêmes, avec une probable variation dans l'aspect qui n'a pas touché à leur essence, malgré que les adeptes de ces méthodes - dont l'approche sémiotique - les aient présentées sous des couverts historiques et culturels différents. Dans ce climat, beaucoup de chercheurs et de critiques étaient conditionnés par une conscience critique héritée, croulant sous le poids des discours politique et religieux. Leurs discours sont alors tombés dans la similarité au niveau de la prestation, malgré les turbulences qui ont secoué les pays arabes, sans pour autant ébranler trop de convictions et de constantes. Cependant, face aux enjeux de la nouvelle ère, le discours critique arabe s'est confronté au nécessaire développement de ses outils et la mise à niveau de ses compétences, mais non sans difficultés.

4. Les difficultés rencontrées

Parmi les embuches qui ont paré au parcours de la sémiotique dans le monde arabe, on peut revenir sur la question du maniement de la terminologie, qui a engendré des désordres lexicaux dans notre champ de critique. Il arrive, en effet, souvent que la compréhension erronée ou le maniement inadéquat aboutisse à une altération de la théorie et du texte. La majorité des disciples de la sémiotique littéraire se comportent avec l'appareil conceptuel de cette méthode en tant qu'ensemble de termes liés à des fragments textuels particuliers, autrement dit une simple description structurelle du texte définissable à travers une terminologie qui vient porter secours à l'analyste dans l'identification des unités et des composantes textuelles, en évitant de creuser dans la genèse scientifique de cette théorie, se contentant de résumés qui expliquent des termes isolés qui ne peuvent enrichir un texte.

Le maniement terminologique de cette théorie sans en saisir la généalogie scientifique et son arrière-plan cognitif sert entre les mains du chercheur de simple outil qui n'apporte rien à notre intellection du texte et n'engendre aucune accumulation de connaissances susceptibles de développer les procédés de notre interaction avec ce texte.

En outre, le chercheur trébuche sur la définition terminologique. En effet, il se retrouve souvent prisonnier d'une traduction unique de plusieurs termes ou sur plusieurs traductions cor-

respondant au même terme. A entendre par là que la traduction d'un terme peut varier d'un chercheur à un autre et d'un traducteur à un autre en dépit de l'appartenance du terme traduit à une seule référence dans son origine occidentale. Cette pluralité a débouché sur une véritable ambiguïté dans la signification des termes dans plusieurs œuvres critiques traduites vers la langue arabe ; et cet aspect reflète un pan de la difficulté de convenir d'une signification, cultivant ainsi une crise qui s'est abattue sur la critique, due à « l'incapacité des critiques à parvenir à assigner un sens aux termes et à les fixer » (Al-Manii Hassan 1969 : 8).

L'affectation d'une signification aux concepts est imposée par la nature même du terme qui appartient au vaste champ des sciences humaines, dans lequel les concepts, contrairement à ceux appartenant à la sphère des sciences exactes, ne peuvent revêtir la valeur absolue quelque soit notre évaluation de leur disposition à la généralisation et de leur autonomie théorique (Laroui 1987 : 75).

Cette difficulté découle foncièrement des chercheurs qui n'ont pas assimilé que le terme ne puisse être perceptible que par sa position à l'intérieur d'une représentation théorique qui lui octroie une légitimité d'existence et de fonction. La migration du terme vers la langue cible ne peut pas se résumer à l'attribution d'un équivalent arabe à un énoncé étranger. Le terme est une unité de la langue qui va au-delà de ses portées verbales et lexicales pour encadrer des représentations intellectuelles.

On pourrait considérer la problématique de la terminologie et de sa traduction comme un obstacle réel sur le chemin de n'importe quel chercheur qui travaille sur la théorie sémiotique dans le discours sémiologique arabe, un obstacle qui d'ailleurs ne peut être surmonté que si les chercheurs accordent leurs diapasons sur les sens à attribuer à la terminologie que leur propose la théorie sémiotique, sans doute en les épurant et en unifiant l'usage par l'élaboration d'un lexique compilateur de toute la terminologie de cette théorie, une démarche qui fait actuellement défaut aux chercheurs arabes. Il n'est pas exclu de rencontrer dans le même pays plusieurs lexiques élaborés par plusieurs chercheurs sur les mêmes lexies. Une confusion qui laisse les étudiants perplexes quant au choix des termes les plus proches de la structure-source, les plus appropriés et les plus aptes à rendre le sens.

Parallèlement, la sémiotique s'est figée dans le monde arabe sur une sorte d'intrication et de contenance entre les représentations, les théories et les différentes approches. Ceci confère à son image une ambiguïté dans l'esprit de certains chercheurs qui manquent de pratique. Il est inéluctable donc d'introduire une figuration palpable et systématique de la sémiotique en proposant une perception organisée, notamment depuis qu'elle s'est élargie jusqu'à contenir diverses sciences et champs de savoir, au point où il devient difficile de distinguer la sphère sémiotique du reste. Subséquemment, on assiste à une dispersion qui a brouillé l'imaginaire des chercheurs et à la propagation d'un amas de paralogismes inhérents à ce sujet. Notons donc l'obligation de procéder à des recherches et à des études pour sonder les spécificités de cette science et isoler ses unités et ses éléments.

Il serait utile de rappeler les efforts entrepris par des chercheurs arabes dans ce domaine. Certains ont défriché le terrain en proposant une définition de la sémiologie et de ses orientations, tandis que d'autres ont rendu accessible des théories et des représentations de la sémiotique littéraire. Et en dépit d'une dissemblance dans l'expression de leurs travaux, ils ont convergé vers la désuétude des anciennes méthodes et la nécessité de les reconsidérer à la lumière des sciences modernes.

5. La prépondérance de l'école de Paris

Les critiques ont considéré — avec beaucoup de retenue — la sémiotique narrative telle appliquée par l'école de Paris, au roman et au récit en générale. L'un des premiers a avoir apporté sa

contribution est le Marocain Mohammed Nadif, qui a traduit l'œuvre de Bernard Toussaint définissant cette science, intitulée « Qu'est-ce que la Sémiologie » (Toussaint Bernard 1978) : « C'est la science définie par De Saussure, qui étudie la vie du signe au sein de la vie sociale » (Nadif Mohammed 1994 : 5). Le chercheur a, en effet, pointé du doigt les tumultes que traverse la sémiologie durant le siècle en cours et les contributions des chercheurs qui ont fastueusement enrichi l'édifice théorique de la sémiologie moderne.

L'intérêt que portent les chercheurs et les critiques à la sémiotique narrative s'est exprimé à travers sa terminologie et ses concepts qui ont reconsidéré un grand nombre d'axiomes et de préjugés qui ont prévalu dans les années 1970 et 1980, dans ce sens qu'elle a approfondi notre compréhension des textes et des mécanismes qui se cachent derrière leur production d'une part, et contribué à créer une accumulation dans la pratique de la critique, d'autre part.

Il apparaît néanmoins, en examinant les travaux publiés par les chercheurs en sémiotique dans plusieurs pays arabes l'existence d'une déficience flagrante. Ces publications sont en effet en majeure partie des traductions d'articles ou de chapitres de livres, lorsqu'elles ne sont pas des répliques laconiques à des théories ou des sommes de théories. Malgré l'importance de ces publications et leur valeur didactique, elles demeurent déficitaires et parfois trompeuses, car dissociées de leur embryon épistémologique et de leur environnement de gestation. De son côté, le sémiologue marocain Saïd Ben Kerad déclare : « Il est rare qu'on tombe sur un exposé exhaustif et intégral pour une seule théorie incluant ses frontières de cognitives et son prolongement dans d'autres champs » (1994 : 54).

Dans la même perspective, A. J. Greimas a captivé l'intérêt des chercheurs et des académiciens (étudiants et enseignants) dans le monde arabe, en raison de la globalité de sa théorie dans la représentation et dans l'analyse, et de sa capacité aussi bien à absorber divers éléments appartenant à d'autres théories narratives qu'à adopter d'autres discours autres que le discours narratif. Le Marocain Saïd Ben Kerad a consacré plus d'une publication à Greimas et à sa théorie.

Sa prédilection pour la théorie de Greimas a été motivée par un ensemble de facteurs :

1. La problématique du sens que pose sa théorie. L'objectif de toute analyse étant de traquer le sens et de l'approprier avant de le restituer aux éléments qui l'ont engendré.
2. La globalité dans la conception imaginative et dans l'analyse. La théorie de Greimas a cette capacité de dialoguer avec des éléments cognitifs qui appartiennent à des domaines impliquant des dissimilitudes et à dresser des passerelles vers des théories avec qui elle partage un thème d'étude unique.
3. Une autre singularité de cette théorie est sa disposition à adopter, théoriquement et dans la pratique, des discours autres que le discours narratif. L'intérêt de Greimas ne porte pas sur la nature narrative d'un texte mais sur la narrativité (Ben Kerad Saïd : 7-8).

Les empreintes de la théorie sémiotique sur la critique du texte se sont dévoilées dans le cadre de l'héritage narratif et de sa critique. Les chercheurs ont travaillé sur un ancien corpus, s'appuyant sur les derniers travaux des structuralistes et des sémiologues qui ont développé l'héritage de Vladimir Propp, probablement en raison de la nature folklorique de l'ancien texte, qui allège la tâche du chercheur dans la pratique, surtout que l'analyse structurale — chez Propp notamment — s'est construite sur la base du corpus du « conte populaire » qui offre une facilité dans l'exercice. La théorie sémiotique elle-même n'a pas décliné une pureté et une authenticité pour tous les chercheurs, vu que la nouvelle critique s'est enchevêtrée à des méthodes classiques, retardant son application sur le roman et le récit. L'antériorité de la critique de l'héritage par rapport à la critique du roman et du récit a été attribuée par Abdellah Abou Hif (Abou Hif Abdellah 2000 : 350) à deux arguments :

1. Le souci de sauvegarder l'identité.

2. L'essor de la narratologie à partir des travaux des formalistes russes, notamment de V. Propp, qui a déployé des tentacules dans la plupart des nouvelles orientations adoptées dans la critique occidentale par les structuralistes et leurs successeurs, qui ont été influencés par ses travaux et ont développé son héritage.

La critique de l'héritage populaire a eu une primauté par rapport à la critique du patrimoine littéraire narratif, car les premières méthodes appliquées sont celles de Propp, qui a travaillé sur la narration folklorique avant d'élargir son optique à d'autres genres narratifs tels que le récit, le roman, etc.

Les formes de la critique de l'héritage narratif ont dévoilé une disparité allant de la lecture à l'analyse, à la théorisation, sans tenir compte de la prépondérance des lectures critiques étayées sur l'analyse structurelle de la narration et tirant avantage en même temps de la critique sémiotique qui examine la signification dans sa portée relationnelle et la grille de ses concepts (Abou Hif Abdellah 2000 : 320).

Abdelhamid Bourayou est l'un des chercheurs arabes précurseurs qui ont concouru à l'enrichissement de l'œuvre algérienne d'expression arabe. Il est l'un des pionniers dans la transposition des méthodes modernes sur le conte populaire algérien (Bourayou Abdelhamid 1986), par souci de dépasser ces méthodes qui se sont attelées à l'objectif ou à l'objet du texte sans s'arrêter sur sa trame structurelle et ses significations. Dans les années 1980, ce chercheur a entrepris une expérience laborieuse et périlleuse, en raison de la primeur des études littéraires modernes dans le monde arabe et qui accomplissaient leurs premiers pas en toute timidité ; ce qui l'a promptement interpellé sur la question de l'usage terminologique. Cette première expérience s'est pourvue d'attributs didactiques et d'une rigueur méthodologique souvent inaccessible à d'autres chercheurs qui ne respectent pas la dialectique du texte et ne considèrent pas le corps étudié comme une finalité en soi mais comme un terrain d'application et une invitation à démontrer la recevabilité d'une théorie, car « l'adoption d'une théorie pour approcher un phénomène donné ne constitue pas un simple souci technique réductible à l'acquisition d'un ensemble d'outils procéduraux naïfs, mais un choix cognitif et idéologique » (Ben Kerad 2003 : 6).

Son étude « Les contes fantastiques du Maghreb », parue en 1992, offrait une plus large harmonie dans sa critique de l'héritage populaire oral, partant des travaux formalistes de Propp, de l'anthropologie structurelle de Strauss, des travaux de Greimas et des études ethno-littéraires de Josef Courtes. Le chercheur justifie cette lecture composée de plusieurs méthodes par « la position du conte fantastique entre la légende et la littérature, rattaché d'une part à la pensée mythologique car enfanté par la légende, et représente d'autre part l'environnement culturel qui a permis le glissement des composants légendaires du discours idéologique vers le discours culturel aux outils esthétiques et artistiques à visée divertissante, outre sa représentation symbolique de la logique du groupe et de sa vision de l'univers » (Bourayou Abdelhamid 1992 :123).

Ces efforts et cet intérêt demeurent fructueux dans la mesure où ils interviennent pour opérer une rupture cognitive avec l'imitation dans la critique littéraire arabe, avec pour résultat une accumulation analytique qui ne fédère pas les chercheurs autour d'une méthodologie explicite et n'aboutit pas à une méthode critique unique et rigoureuse. Il devient récursif que des chercheurs nous proposent des lectures qui reproduisent plus ou moins les données des méthodes critiques occidentales modernes, en partant généralement de la méthode structurelle pour arriver à d'autres méthodes qui lui sont adjacentes ou corollaires, telles que la sociologie de la littérature, la sémiotique, la poétique, la déconstruction ou la critique thématique, etc.

C'est l'emprunt à des origines intellectuelles hétérogènes et la formulation d'une représen-

tation conciliatrice dans le domaine de la pensée qui a distingué le discours critique arabe, car « face à la diversité des théories, des méthodes et des concepts affluant de l'Occident, le critique arabe se retrouve en position de sélecteur qui s'abreuve à plusieurs sources, pour répondre aux besoins que lui dicte sa conjoncture sociale. Il peut même émaner de concepts dérivés de deux orientations qui divergent dans leurs assises théoriques sans méditation ni perception des erreurs méthodologiques qui en découlent » (Azerouil Fatma-Zahra 1989 : 193.)

La critique marocaine Fatma-Zahra Azerouil l'attribue au fait que la critique souffre dans le monde arabe d'une crise de production théorique et se cantonne dans la consommation des théories, des méthodes et des concepts, sans se référer à des assises culturelles, économiques, politiques et sociales qui l'habilitent à une lecture féconde des modèles de critique occidentale.

6. Conclusion

Le discours sémiotique arabe est pertinemment afférent à la problématique culturelle générale prévalant dans le monde arabe. D'un point de vue personnel, nous considérerons quelques remarques qui ont découlé de cette étude, avec pour ambition de permettre au chercheur de concevoir dans son imaginaire une représentation du discours critique arabe de manière générale et du discours sémiotique de manière plus ciblée, dans leur interaction avec le cadre culturel général:

1. Le discours critique arabe est dominé par les nouvelles orientations liées au structuralisme et à ses prolongements, parallèlement à l'affaiblissement des autres orientations en rapport avec les sciences humaines, telles que la psychocritique et la sociocritique.
2. Les modernistes arabes ont été subjugués par les théories modernes affluant de l'Occident, mais sont restés dubitatifs et incapables de composer avec ces études et d'en capter les objectifs et la fonction critique elle-même, sous l'emprise de la terminologie critique traduite, rapportée, souvent dénaturée, qu'ils ont imposée à la critique arabe.
3. La finalité de la critique littéraire arabe moderne dans son abord avec les nouvelles théories est d'avancer des réponses aux questions de l'identité, car si l'intérêt qu'elle porte à l'héritage narratif dans toute son étendue géographique traduit une préoccupation, ce serait à l'évidence celle de préserver cet héritage afin de mettre en valeur les spécificités du Moi nationaliste dans la littérature et dans la critique.
4. L'exercice critique de la théorie sémiotique s'est étalé dans son volet pratique, là où la théorisation s'est bornée dans les perspectives de la définition et de la traduction. Il n'est donc pas étonnant que la production arabe manque cruellement de livres consacrés à la théorie pure.
5. Le lecteur se confronte au même titre que le chercheur à la difficulté de se diriger vers une terminologie sémiotique définie, car les chercheurs et les critiques diffèrent dans leur assimilation de cette nouvelle orientation, en raison de l'hégémonie de la traduction et de l'arabisation dans la théorie critique sur la production et l'étymologie.
6. La prépondérance de la sémiologie narrative sur le discours sémiotique arabe n'est plus à démontrer. Les chercheurs, notamment Maghrébins (Algérie, Tunisie, Maroc), ont jeté leur dévolu sur l'école parisienne en se déployant pour la traduction et la mise en valeur de ses travaux et ses ténors, en raison de l'emprise exercée par la langue française sur le panorama culturel maghrébin en général.
7. Les chercheurs et les critiques se sont rarement imposé une méthode critique unique ou prédéfinie. Il nous semble qu'aucun critique n'a adopté une orientation ou une autre dans sa globalité.
8. Les théories de souche occidentale ont donné lieu à la libération de la critique littéraire

arabe de sa captivité passéiste. Cependant, on déplore que certaines pratiques se cantonnent dans les applications mécaniques, l'imitation et la reproduction, qui ne rend aucun service au discours critique arabe. La léthargie qui a engourdi la culture arabe a agi comme un puissant inhibiteur d'une nouvelle production conceptuelle susceptible de contribuer à générer un élan prometteur de développement et de modernité.

9. La question de prospecter une méthode critique reste nébuleuse et instable, car les chercheurs arabes peinent à dépasser le seuil de l'assimilation des méthodes critiques occidentales qui, par ailleurs, ont proliféré et se sont propagé durant les trois dernières décennies, rendant pénible le simple fait de se mettre à jour, à défaut d'aller au-delà de l'assimilation pour arriver à la production.

10. Le déblayage des voies de la critique arabe et du discours sémiotique arabe en particulier ne se borne pas à des efforts individuels ou collectifs, mais interpelle les institutions et les organismes qui travaillent sur la traduction organisée. De leur côté, les universités arabes ont une pierre à apporter dans l'ancrage de quelques méthodes modernes et leur ajustement conceptuel. Le concours des conditions de la recherche scientifique organisée sont des facteurs incontournables pour parvenir à dépasser la consommation des concepts importés pour les investir profitablement.

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DISCOVERING THE ABANDONED AND THE LIVING: A MATERIAL- SEMIOTIC READING OF TEXTILE MILLS IN AHMEDABAD

Sonal Mithal

People for Heritage Concern, Surat, India
sonalmithal@gmail.com

Seema Khanwalkar

CEPT University, Ahmedabad, India
seema.khanwalkar@gmail.com

Abstract

The abandoned mills — a commonplace phenomenon in recent times of drastically changing economic landscape — have often been alluded to as “material excess of ruins”, thus hinging historicity as a function of materiality. Heritage policies and practices, largely anthropocentric in disposition, overlook the agency that might be accorded to the material itself in prolonging its own sustenance and survival. This paper draws upon post-humanism to challenge signifier-signified binary in heritage narratives that distances heritage from an ecological manifesto. It further articulates a relevance of the Donna Haraway’s material-semiotic, insisting on unifying meaning with matter in formulating a holistic definition for heritage value, thereby incorporating the role of redundancy and vacancy in heritage discourse. Building on Haraway’s rejection of binaries and segregations, this paper proposes a study of tactical micronarratives that emerge during, and in the aftermath of, abandonment of textile mills in urban centers — case example of Ahmedabad, India, treating them as a transect of probable interventions.

This paper views the abandoned mills as “thingness at work”. In their materiality, and “looking old”, the mills are endowed with a cultural value. As it has been said, “the scars of time” are the signs of life. The paper also takes Georg Simmel’s view that ruins were interesting and appealing because they represented the vitality of opposing forces: construction and destruction; spirit and nature.

1. Challenges in treating post-industrial landscape of Ahmedabad as heritage

Industrial space, more specifically industrial heritage, presents a tactile and layered spatiality that represents a continuous cycle of recovery and renewal. It offers a stage for re-enactment that allows the uncertainty of the ruin to persist alongside a contemporary use. It reclaims its own agency to be used, to be lived in, and to be an exhibit of itself. Thus, urban ruins are sites embodying hybridized, interwoven narratives of politics, economics, past, present, wealth, waste, and human, machine — all the while eroding their established taxonomic dualities.

This paper proposes a study of micronarratives that emerged during, and in the aftermath of, abandonment of textile mills in urban centers — case example of Ahmedabad, India. The abandoned mills in Ahmedabad are part of the Heritage discourse which seeks to either preserve the fabric for sake of nostalgia or tear it down for the sake of economic agenda. This paper draws upon post-humanism to challenge signifier-signified binary in heritage narratives — involving material wealth — as a deterrent to heritage becoming integral to an ecological manifesto. It further articulates a relevance of feminist-scientist Donna Haraway's material-semiotics, insisting on unifying meaning with matter — which itself is fragmentary, and heterogeneous — in formulating a holistic definition of heritage value, thereby incorporating the role of redundancy and vacancy in heritage discourse.

Post-industrial landscape of Ahmedabad continues to host the ruins of textile mills, some in refurbished conditions that house new entrepreneurial narratives. But undoubtedly, amidst the rubble, the dust, and the new voices are distinct signs of continuity. The mills continue to be referred to as “once textile mills”. This is evidence enough to indicate a semiotics of the workforce and the machinery that was once its strong identity. Relationship of pride and ownership between a built space and humans is a given, but the material semiotics of the old mills is an unexplored subject matter in research on the built environment. In this exploration, we call for recognition of the relationship between the materiality and the ecology of the post-industrial ruins.

There is a sublime aesthetics about the ruins of the textile mills that brings together a unity of humans and nature. A ruin has a uniqueness that comes from the people that made that which is being ruined. In the case of the Ahmedabad textile mills, it was a unique history of the people of Gujarat, who created a “Manchester of the east” with their skills as textile entrepreneurs. The first mill was established in 1861, and by 1939 there were 77 mills in the city. The history of textile mills in India is said to be one of the best in Mumbai and Ahmedabad, due to the business acumen of these communities, unmatched in any other part of the country. The mill owners turned the tables on the colonizers by exporting textiles and cotton yarns. And this incredible history continues to ruminate in the material remnants of the textile ruins. The construction aesthetics, form, structure, design and aesthetics, even in its half-alive status, gives insights of the past, which could very well be the lessons for the future.

A ruin — Florence Hetzler (1988) says — is a new category of being and has maturation time. Cycles of maturation time turn a ruin into something other than what it was, with a new signification and a significance, and with a future that is to be compared with its past. The narratives in this research, try to elbow into the maturation time and to understand how the mills today are semiotically different from what they were before they became ruins. In documenting these processes of reclaiming abandoned mills, the paper acknowledges those sites as facilitating and embodying tactical narratives. This paper thus views the abandoned mills as “thingness at work”. In its materiality, in its “looking old”, the mills are endowed with a cultural value as it has been said, “the scars of time” are the signs of life. The paper also takes recourse to Georg Simmel who asserted that ruins were interesting and appealing because they represented the

vitality of opposing forces: construction and destruction; spirit and nature. Here was the source of fascination in things that showed the look of age: “sensing these contradictions within ourselves, we notice the salient beauty of the object in its passage through time” (Simmel 1959: 259).

Hetzler says “time writes the future of a ruin” (1988). After a phenomenal success in the early years of its enterprise, due to changing economy, mills started to slowly shut down and by 1996, almost all mills had been locked down in Ahmedabad and Mumbai. Thus began the cycle of maturation into ruins. The first cycle was evident in the narratives of mill-workers who describe their journey from a denial of unemployment, to a recovery of a new job — be it peddling ice on a hand cart or watching guard at a business house, or cutting and polishing diamonds. At the same time, the abandoned sites have hosted an occasional art installation, a visit by heritage scholars, a scheme for adaptive re-use for urban regeneration of economy, or a well-intentioned plan for revival of mill culture. In this witnessing to a multitude of transect of probable interventions the abandoned mills assume an interface on which the diversity of the contemporary world gets represented. These vacant spaces become a retainer of informal voices that charge the place with heterogeneous meanings.

To explain this further, the paper borrows heavily from the experiences earned and stories discovered during the course of an architectural workshop led by Sonal Mithal — *Tactics of Bricolage: reclaiming micronarratives in the urban ruins of abandoned mills* (2017). The objective of the workshop was to assemble new spatial meanings from found objects of abandoned mills by bricolage — piece-by-piece building a micronarrative of contemporary voices so as to propose a design which rewrites the materiality and spatiality of the mills. The workshop addressed three concerns: firstly, treating appropriation as a tactic to resolve present day redundancy in industrial landscapes; secondly, to reduce social disparity by improving livability; and thirdly, redefine preservation by foregrounding materiality. The proposals in the workshop designated new meanings to this waste: sculpture, playground, board game, and so forth.

2. Closing down the mills: the cycles of maturation into ruins

The total land area occupied by the closed mills is 3.34 square kilometers. Due to complex use change procedures and because of claims of banks and workers the land is lying vacant since mid-1980s (prior to which there were 85 textile mills in the city). Of the 53 closed mills National Textile Corporation (NTC) owns five, Gujarat State Textile Corporation (GSTC) owns fourteen, and the rest are privately owned. Three of the privately owned closed mills have already been developed into multiplexes and commercial complexes. Mills owned by NTC have been demolished and their machinery sold out, making land available for development. NTC had sought a land use change from industrial to commercial and residential use and was awaiting state approval. Meanwhile, it had demolished the mills and sold the machinery. NTC plans to sell the land as soon as it gets the land use change sanctioned. Same is the case with GSTC owned mills. Fourteen mills on private land are under dispute. These mills were constructed on rented land. After demolition of these mills original owners as well as factory owners lay claim (Patel 2004). However, according to the Ahmedabad City Development Plan 2021 by the Ahmedabad Urban Development Authority, 218 ha land of 38 closed mills is to be used for institution, education and affordable housing.

The rampant demolition of closed mills in present day Ahmedabad demonstrates how incapable we are of leaving things alone. What is evident in the narrative of closed mills is the urgency to assign it a function-based value — mostly fulfilling a commercial purpose — not necessarily an economic one. Thus the question that demands attention is: what if the industrial ruin is left to persist not despite, but because of its uselessness?

Journalist and scholar Amrita Shah describes these sites of abandoned mills as having the “look of a war zone, with piles of rubble lying all around; [...] overgrown with wild foliage and resembl[ing] a forest in the making” (2011: 48). It is a disjunctive product with the intrusion of nature. The conjunction of real time, with the slow meandering start to the day, the basking cows and the flying dust, the rusty gates, and shutters, the corroded metal, and the fungus infested stone frescos, the sounds of cycles, and scooters fill the space with a sense of an alternative world, devoid of urgency, and urban rush. Yet there is a relationship with the urban. As we approached each of these ruins, we realized that the approach itself was significant. Some of the approaches were broad, dusty roads, lined with closed shutters and neatly parked scooters and carts, almost bursting to tell its history of a bustling work space. Walking under what were once busy tunnel spaces between the mills, bats flying through and smell of human waste, it opens out to a view of the crumbling structure of the mills. A sense of awe and worship of the performative value of the mills develops naturally. There is a sense of peace which is different from devastation by nature, as Simmel (1959) says. Devastation is nature led and does not have the ruin time to mature into a ruin.

Here, we present four distinct case examples: Rajnagar Mill (NTC mill), Pickers Mill (disputed property), Printing Mill (reorganized old mill), and Raipur Mill Estate (redeveloped industrial area).

A. Rajnagar Mill

Rajnagar Mill was established in 1925, shut down in 2002 and was nationalized in 2007 and is currently run by the National Textile Corporation. Part of the land has been renewed and now houses a fully functioning cotton manufacturing unit installed with state of art machinery. The old part which is five minutes walking distance across the railway line is sealed and not accessible to anybody. The old machinery from this premise is sold off, its employees either absorbed at the new site or given an exit with reasonable financial aid. The new unit was set up as a green field project at an investment of 1500 million INR (23 million USD) comprising imported looms and other machinery. In 2013, the old mill compound hosted a Cotton Exchange exhibit, an exhibition of art installations by 13 artists. These art installations ranged from textile compositions, ceramics to photography and represented the erstwhile glorious era of textile industry in Ahmedabad. However, that exhibition received academic criticism. For example, cultural and international studies scholar Dia Da Costa (2015: 76) argues that this exhibition mobilized sentiments of nostalgia and hope but erased violence and inequality. She further argues that art was mobilized to obscure disposition and exploitation in the name of urban revitalization and heritage production — to deploy sentimental capitalism. This criticism caused the mill owners to completely shut the premises to any further interests of exhibitions or dialogues.

B. Printing Mill

Printing Mill is an erstwhile textile mill possibly constructed in the late 1800s or early 1900s as evident from its cast iron columns and jack arches. Almost all the textile machinery is gone and instead a notebook printing unit is functioning on the ground floor. On the upper level an informal sorting of waste from textile industries is carried out by women. These women are paid on an hourly basis. This is an example which tells a story of the informal and undocumented waste recycling services of the Indian textile industry. Almost everything produced in textile factories — from broken threads to discarded pieces of woven cloth — is recycled, and contributes to the economic logic of the overall textile industry.

This example embodies Haraway's argument of transition from traditionalist family/market/factory hierarchy to the new networks of women in the integrated circuit. In this argument she rejects the emphasis on the daily responsibility of real women to build unities. At the paper mill women create collations based on affinity which comes as a result of "otherness, difference, specificity" (2016). Women who are no longer physically strong enough to be capable of pulling carts under harsh sun have come together to work in this factory sorting out waste material from textile mills. The waste material is recycled to make cheap ropes, doormats and sometimes cheap clothing. The factory itself houses bundles of cotton and synthetic yarn, lying carelessly knotted with shreds of cloth — awaiting to be sorted and shipped off to serve a better purpose. The once cleanly designed jack-arch vaulted roofs and cast iron columns regimentally demarcating machinery space, is now an indiscernible shed. It is an informal storage of material that takes an unclear form and vehemently hides the structure, all the while itself taking the shape that the space accords.

To quote Haraway, "to be feminized means to be made extremely vulnerable; able to disassembled, reassembled, exploited as a reserved labor force; subjected to time arrangements on and off the paid job that make mockery of a limited workday; leading an existence that always borders on being obscene, and out of place" (2016: 23). This could describe the factory as well as the workers working in it. At the same time, it describes the waste from textile factories being recycled here.

Heritage studies scholar Torgeir Bangstad accords a semiotic, spatial, social vacancy to the gap between the original function and the present idleness of industrial ruins. That vacancy is extant because there "the economic rules of productive space do not apply, or are suspended momentarily. We struggle to make sense of this place because it cannot be tied to the normal rhythm of work" (Bangstad 2014: 102). This is clear in the following example of Raipur Mill Estate.

C. Raipur Mill Estate

The Raipur Mill Estate currently holds Self Employed Women's Association (SEWA) trade facilitation centre and several small scale manufacturing units. This estate was sold off in the 1980s to developers who reconfigured the place into smaller industrial units that are now privately owned or rented for small-scale industrial activities. These units are quite varied in their products and hence processes, yet they are all housed in similar built form. These manufacturing units vary from manufacturing plastic bags, ice cream cones, or plastic water bottles to spare parts for power looms.

Haraway (2016: 28) argues that we are living through a movement from an organic, industrial society to a polymorphous, information system — from all work to all play. In that argument the world order created by industrial capitalism is giving way to an emergent system where the duality of nature and culture function more like fields of difference and the hierarchy of family/market/factory have taken the form of integrated circuits. The reassembly of Raipur Mill and the co-existence of people as organic beings alongside the vegetation and the decay exemplify an erstwhile duality having morphed into one whole indistinguishable materiality. It is not just a void, but the place expresses the social processes of organizing objects, structural systems and people. Meanings are created at the interface of decay and the emergence of new organized practices, bringing together post-industrial urbanity and nature. Meaning implied here is that there exist enough material conditions in the precinct to make urban space habitable.

D. Pickers Mill

Pickers Mill is a ruinous precinct of an erstwhile textile picker factory. In fact, one of the rooms today houses a huge pile of unused pickers — possibly the only evidence suggesting the origi-

nal intent of the place. When the mill closed, the workers were promised twenty percent of the land for housing but that did not happen. At the same time, a vacant piece of land, in the heart of the city is of immense real estate value. Hence, the workers found a way to ensure their stake in the land — that has been by ensuring a hostile environment which keeps people away.

The number of discarded playing cards, and plastic cups — apparently being used to consume alcohol in an otherwise prohibitionist state — are testimony to the gambling, drinking activities that go on here. One may dismiss that as anti-social activities in an abandoned site, but it is much more than that. It is a well strategized tool to guard one's right to property. The land is privately owned at the moment. The legitimate owner has to be escorted by security personnel because they feel threatened by the workers who live in the informal settlements in the neighborhood, as well by two other parties who lay claim to the site.

Meaning implied here is that the place that is owned for a future to convert to real estate, a place which can contain seemingly hostile activities to ensure one's own right to the place and keep property sharks away, the materiality of the ruin personifying those meanings of ambiguity and hostility — broken walls, falling ceilings, strewn cards, dead animals, vegetation and trees having taken roots in the walls, glass-less north lights against corroded trusses. A visibility and yet a lingering hostile invisibility that comes from lack of accessibility.

3. What makes industrial landscape a material-semiotic canvas?

Taking the example of the Pickers factory the re-users (the informal occupiers) organized the effects of what they were destabilizing — the social environment of the place. One of the workshop participants — Andrea¹ — read the relationship between the ruined structure and the fluidity of water as provoking a clash of meanings. Their proposal to heal the space through water reinforces that provocation — “not only water symbolizes the cleaning process but also serves a basis for mundane activities such as washing, shower, et al.” (Leitmannova 2017). The proposal sought to use the ruins — material remains — in the space to accord its own healing.

For Laura², entering Pickers Mill meant breaking an invisible barrier, and stepping in a hostile place. The path to follow was not clear, and the ground as unstable as the broken walls and roofs. One does not know where to go, neither where to step in. To remove the clutter meant to remove the cards, bricks, decaying animals to reveal the organic and decaying corroded steel trusses, holes in brick walls — incrementally arranging them to make way for new activities such as sitting, jumping, talking, or simply lingering. In taking cognizance of the light and shadow appearing because of broken north lights and trusses, the designer makes way for people's movements. In acknowledging the broken walls and large holes as signs of violence, the designer allows for playful transition spaces. What once meant a sign of violence is now turned on its head to become a sign of inclusive play.

4. Material-semiotic reading and its implication on an ecological approach to urbanity

Ecology of the ruinous site — manifested in vegetation growing out of broken walls, or corroding steel, or people finding ways to sustain — demands a redefinition of revitalization that incorporates this hint of life in the otherwise derelict place. Haraway's rejection of binaries supports a multiplicity of meanings that emerge, because the ruins and waste — redundancy and

1 Andrea Leitmannova, Participant, *Tactics of Bricolage: reclaiming micronarratives in the urban ruins of abandoned mills*, Archiprix International 2017.

2 Laura Camargo, Participant, *Tactics of Bricolage: reclaiming micronarratives in the urban ruins of abandoned mills*, Archiprix International 2017.

uselessness — escape the confinements of norms surrounding their previous value or function. In this liberation, designers, preservationists, and users alike can relate to them in “imaginative, sensual, conjectural and playful fashion [because it is...] precisely their fragmentary nature and lack of fixed meaning that renders industrial ruins more profoundly meaningful” (Edensor 2005: 123). The micronarratives described above embody a critique on the current tendency to assign sites of industrial ruin to the category of waste, and manifest the new kinds of space that these industrial ruins produce — space full of meanings and activities that challenge the dominant discourse on post-industrial urbanity.

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PARADIGMATIC, SYNTAGMATIC AND SYNTACTICAL INVARIANCES IN THE SEMIOSPHERE: SOCIOHISTORICAL VS. STRUCTURAL APPROACHES TO THE STUDY OF CULTURAL HERITAGE

Ricardo Nogueira de Castro Monteiro

UFCA – Universidade Federal do Cariri, Brazil
ricardo.monteiro@ufca.edu.br

Abstract

Cultural identity is forged by the recognition of certain patterns of reiteration, thus conferring to the dynamics of the ever-changing semiosphere a dialectical or even contradictory character. The permanence of certain patterns throughout time is normally associated with the constancy of paradigmatic elements. But certain syntagms present also a remarkable stability, appearing under the form of verbal expressions, gestural formulas, harmonic cadences, and culinary combinations. Another level of stability appears when a syntactic perspective allows to recognize invariances at a deeper level of textual organization. But if a historical background might justify certain structural and functional similarities, the parallelism between some present manifestations of Brazilian folklore and culture and aspects of ancient Egyptian mythology present a more challenging question: could there be a deeper syntactic level of invariance that might reproduce not only elements but also their functions and relations in chronologically distant, maybe even independent cultural environments? Adolf Bastian, who postulated the principle of psychic unity of mankind, defined the concept of *Elementargedanken* as a set of invariances shared by different cultures that do not have necessarily any direct or even indirect contact with respect to one another, and *Völkergedanken* as their manifestation in different societies, that would be influenced by the social and historical constraints related to that time and space. The present article proposes that the abstract structures and deeper levels of invariance of the *Elementargedanken* would constitute a generative path corresponding to different manifestations of the concrete *Völkergedanken* — like a same basic narrative path being put into discourse in different manners. This paper on Semiotics of Cultural Heritage will apply that perspective to the analysis of a few contemporary cultural manifestations in Brazil surprisingly similar to some ancient rituals to Isis described in classical antiquity.

1. Introduction

Cultural identity is forged by the recognition of certain patterns of reiteration, conferring to the dynamics of the ever-changing semiosphere a dialectical, sometimes even contradictory character. The permanence of certain identity patterns throughout time is normally associated with the stability of paradigmatic elements — the huge presence of syncopated melodies in Brazilian popular music for example can be easily tracked back to the late 18th century. But certain syntagms present also a remarkable steadiness, appearing under the form of verbal expressions, gestural formulas, harmonic cadences and culinary classical combinations — like Brazilian *arroz-com-feijão* (i.e. rice and beans, a national dish) or the English *fish-and-chips*.

A far less obvious level of stability appears when a syntactic perspective allows to recognize invariances in a deeper level of textual organization. A comparison between the Brazilian and North-African cuisines can contribute by showing the structural similarities between the Moroccan *couscous* and the Brazilian *farinha* — dishes in the one hand made of different ingredients, but on the other hand produced with similar techniques and presenting very close nutritional and cultural functions. If a case like that can defensibly be explained considering the common debt of Brazilian and Moroccan cultures with respect to the 800 years in which the Iberian Peninsula and North Africa were part of the *Al Andalus* civilization, other examples may require more sophisticated justifications. This can be the case for instance of some intriguing analogies between a few manifestations of Brazilian folklore and certain aspects of ancient Egyptian mythology, as we will further analyse in the present article.

Such analogies bring about a rather interesting question as far as semiotics is concerned: should such a permanence be approached supposing historical and/or cultural continuity, or would be there a deeper syntactic level of invariance in the semiosphere that once triggered might reproduce not only elements but also their original functions and relations in chronologically distant cultural environments? The present paper intends to discuss the problematic aspects of this last hypothesis by means of some examples relating a few manifestations of Brazilian folklore and culture to surprisingly similar ancient rituals described in classical antiquity.

2. *Elementargedanken* and *Völkergedanken*: invariants and variants in cultural syntagmatic structures

Traveling all over the world for about 30 years, the 19th century anthropologist Adolf Bastian observed what he described as a “monotonous sub-stratum of elementary ideas” (Bastian 2005a: 171) that could be recognized in the most varied cultures even if drastically separated in geographical and chronological terms. Analogies were not confined to the similarity of myths appearing in cultures strikingly distant in space and time — they went further to the sameness of technical solutions developed independently in the most varied contexts. Identifying, collecting and analysing such “elementary ideas” — *Elementargedanken* in the German original — would be one of the missions of ethnology, so that anthropologists might rediscover “those initial idea-complexes, those thought-seeds or *logoi spermatikoi* which encapsulate the inherent potential for the growth of man’s mind” (Bastian 2005a: 171). The *Elementargedanken* would so correspond to some invariances shared by different cultures that do not have necessarily any direct or even indirect contact with respect to one another:

The world over we will find a monotonous sub-stratum of identical *elementary ideas*, identical in spite of local variations. These few *elementary ideas* exist in all natural savage conditions and also under the artificial veneer of every civilization; they are indeed those seminal ideas from which civilizations have grown (Bastian 2005a: 175).

Bastian affirms that his *Elementargedanken* would not be directly observable, being “always materialized in the form of unique patterns of thought, or *Völkergedanken*, reflecting the interaction of peoples with their environments, as well as their contacts with other groups” (Penny and Buzzi 2003: 95). *Elementargedanken* thus “constantly recur and are open to constant rearrangement by and in each culture”, tending to appear in each society, “albeit veiled in historically and geographically inspired clothing as *folk ideas*” (Penny and Buzzi 2003: 95). So, the abstract structures and deeper levels of invariance of the *Elementargedanken* would constitute a generative path corresponding to different manifestations of the concrete *Völkergedanken* - like a same basic narrative path being put into discourse in different manners. Each one of this “manners” would correspond to a specific set of natural and/or cultural conditions, being therefore unique- and thus conciliating in anthropological terms the idealism of a generalist approach with the pragmatism of an empirical perspective.

Despite such contributions, translations from Bastian’s work are not at all abundant - partly because of the ostracism that some German scholars experienced after World War II. Nonetheless, his concept of *Elementargedanken* was later to be championed by many scientists - and by no means restricted to the area of anthropology. Thus, when a few decades after Bastian’s death we read that the same symbolic patterns of ancient civilizations “can be found in the rituals or myths of small tribal societies still existing, unchanged for centuries, on the outskirts of civilization” (Henderson 1964: Part 2, paragraph 1), we have no longer in our hands a work on ethnology, but Carl Gustav Jung’s *Man and his symbols* (Henderson 1964: Part 2, paragraph 1). Bastian’s work was instrumental for two of the main concepts developed by Jung: his *archetypes* - quite close in many aspects to the *Elementargedanken* - and the *collective unconscious* - not far from the *psychic unity of mankind* that he postulated considering it as a necessity in face of the physical unity of the species (Bastian 2005b: 179-185). A succinct definition of the *collective unconscious* presents it as “that part of the psyche which retains and transmits the common psychological inheritance of mankind” (Henderson 1964: Part 2, paragraph 6). Henderson exemplifies its usage and that of the archetypes:

Christ’s crucifixion on Good Friday seems at first sight to belong to the same pattern of fertility symbolism that one finds in the rituals of such ‘saviors’ as Osiris, Tammuz, Orpheus, and Balder. They, too, were killed, and were reborn. They belonged, in fact, to cyclic religions in which the death and rebirth of the god-king was an eternally recurring myth (Henderson 1964: Part 2, paragraph 12).

Thus, Bastian’s postulate of a psychic unity of mankind would imply the existence of a *collective unconscious* shared by all human beings, that would manifest itself by means of isolated or chained symbols composing structures Jung called *archetypes*.

Examining Henderson’s example under the perspective of French semiotics, there would be a common narrative path shared by the five myths quoted above - a path that would correspond, in the discursive level, to the themes of *birth*, *death* and *rebirth*. Moreover, an actor *débrayage* in the discursive level would be associated to the figure of the *god-king*. Some important differences become evident regarding the narrative structures associated in the discursive level to the themes of *death* and *rebirth* in each myth. Although the five protagonists experience death - or, in more technical terms: a disjunction with life -, the invariance of this disjunction allows two variants in terms of narrative syntax: *privation* when the subject is deprived from his object by another subject; or *renounce*, when the disjunction has the same subject both as addresser and operator. Christ would have been crucified by Roman soldiers, but only because he would have consciously resigned to the possibility of offering any resistance so that he might thus save man-

kind - therefore, a case of *renounce*. Quite different from Osiris' death, carefully planned by his brother Seth, who with a ruse convinces him to lie inside an ornamented coffin that he immediately locks and throws into the Nile - here, neatly a case of *privation*. Tammuz was chosen by his former wife Inanna/Ishtar to replace her in the kingdom of the dead - another case of *privation*. Orpheus goes to the underworld voluntarily to rescue his late wife Euridice - again a *renounce*. Finally, Balder is the victim of a ruse from Loki, that convinces Balder's blind brother Höðr to launch an arrow poisoned with mistletoes, the only substance that might successfully kill the hero - therefore, once more a *privation*, resulting in Table 1.

DEATH		Performed by:		
	Christ	Roman soldiers (with consent)	S1 = S2	Renounce
	Osiris	Seth	S1 ≠ S2	Privation
	Tammuz	Inanna/Ishtar	S1 ≠ S2	Privation
	Orpheus	Goes to the Underworld voluntarily	S1 = S2	Renounce
	Balder	his blind brother Höðr, deceived by Loki	S1 ≠ S2	Privation

Table 1. Variances in the narrative program of the death of the heroes cited by Henderson.

On the other hand, the five myths would share the following invariants in semiotic terms:

FUNDAMENTAL LEVEL	Fundamental syntax		Life	Death	
NARRATIVE LEVEL	Narrative syntax	Death		Disjunction with Life	
	(Narrative programs)	Rebirth	Restored conjunction with Life		
DISCURSIVE LEVEL	Discursive semantics	Figures	god-king		
		Themes	birth	death	
	resurrection				
	Discursive syntax	actors	god-king		
		space	world		underworld
time		temporal syntagm (a logical imperative in this case)			

Table 2. Invariances in the structure of Henderson's myths.

Table 2 suggests that the *Elementargedanken* that emerge in the *Völkergedanken* expressed by those five myths would have in common a generative path including certain elements belonging to each one of the signification levels. Thus, the fundamental opposition between *Life* and *Death* would be related respectively in the narrative level to operations of *conjunction* and *disjunction* with the object that corresponds in the discursive level to the theme of *life*. That value would be represented by a certain actor, the *god-king*, that would follow a temporal syntagm joining sequentially *life*, *death* and *resurrection*. *Death* would correspond to the negative values of the system, and an operation of *débrayage* would set it spatially into the *underworld*, from which the *god-king* would ultimately emerge returning to the space of life, the *world*.

Table 1 exposes the differences between the programs of *renounce* in Christ's and Orpheus narratives, and *privation* in the others. The contrast in the attitude of those two characters —

Christ resisting up to the end to use his powers to free him from his utmost suffering, whereas Orpheus causes his own sorrow out of his incontinence - results in a quite different modal configuration in each case. Although both Christ and Orpheus *knew* what would happen, Christ *did-not-want-but-should* perform his sacrifice, ultimately expressing the *strength* of his *resignation* to his fate, while Orpheus *should-not-but-did-want* to look a last time upon the underworld, expressing his *weakness* through his *incontinence* and *curiosity*. Osiris, Tammuz and Balder *did-not-know* what was going to happen, ending up trapped - the first by his brother Seth; the second, by his former wife Inanna; the last, by Loki - in all cases, with the *realization* of the performative program of the *anti-subject* S2 resulting in the *privation* of their *life*. Therefore, the narrative semantics dimension presents important differences in the myths, from the *glory* in Christ's resurrection to the *sorrow* that made Orpheus refrain from the love of any other woman until the end of his days (although the Ovidian version of his legend depicts this attitude rather as a shift in his preferences from women towards young men).

So, having part of the generative path in common still leaves room to significant differences among the various myths analysed here. The varied versions correspond to contrastive *Völkgedanken*, counterpoising to their invariants variances not only in the discursive level, but also in the narrative one - and both in syntax and semantics. On the other hand, the similarities in the discursive level are present both in semantics (covering figures as much as themes) and in syntax, and not only in isolated paradigmatic elements but also in syntagms (like the sequence *birth-death-resurrection*). These latter ones are not random: their elements exert syntactic functions, here understood according to the Hjelmslevian approach of *dependence* between or among elements (Hjelmslev 2003: 147). Thus, if the narrative subject corresponds in the discursive level to the *god-king*, his attributes are the condition for his competence to the main performance of the myth, the *resurrection*, which in its turn presupposes another performance - his *death*. Therefore, the stories share not only superficial paradigmatic elements, but also syntagms and syntactic functions, which make clear that the *Elementargedanken* should not be thought of as the coincidence of singular isolated terms, but rather of whole structures of signification of varied complexity.

3. The cult to Isis in Apuleius' *The Golden Ass* and Brazilian rituals to Yemoja as related *Völkergedanken*

On February 2nd, 2004, the Brazilian newspaper *Jornal do Brasil* published a story about the recent New Year's Eve in Copacabana beach:

Whoever tried to reach the sea, being it in order to jump the traditional seven waves, or to throw offers to Yemoja, or simply to dive into the waters for the first time in the New Year, would have to face the camping tents, religious rituals and even full suppers served on the sands of the most popular beach in that time of the year (*Jornal do Brasil* 2004: A14).

Yemoja is the deity associated with the sea in many religions of African origin spread mainly in the Americas and in Africa. The usage of the jumping of seven waves at midnight in New Year's Eve is part of her rituals in Brazil, better detailed in another article published in the *Correio da Manhã* on January 1st, 1971:

People belonging to all social classes bought yesterday their offers to Yemoja. From the Minister of the Court of Auditors to the impoverished ones living in the outskirts of the big cities, faith costs money [...] The complete kit with all the items of the religious offer (a small boat with an icon, ribbons, soap, flowers, a trowel,

perfume, a mirror, palms and a brush) cannot be found for less than 150 cruzeiros [the equivalent at the present date to about €388] The owner of the Casa Xavante exhibited on his balcony the small boat that he would launch into the sea at midnight. Cost: 200 cruzeiros [c. €518]. It could range from a simple board costing 5 cruzeiros [c.€13] until exquisite 150 cruzeiros [c.€388] yacht miniatures. Those more zealous spread incense in their houses (Cr\$1,50 the package) [c. €3,88], where they also leave their 7 days candles (Cr\$4 each) [c. €10,47] (*Papel picado...* 1971: 10).

Such enthusiasm to practice an African-Brazilian religious ritual contrasts with the fact that Brazil remains the largest Catholic country in the world, with more than 123 million believers encompassing 64.6% of its population (IBGE 2010: 91). Over 22% more - about 42 million - are Christians of other confessions; and finally only 0.3% - roughly 570.000 - people declare to be followers of African-Brazilian religions. Considering that, as the story in *Correio da Manhã* leaves clear, such a ritual can involve costs, the momentary engagement of so many Brazilians in Yemoja's cult might be considered as eccentric as if, with a far superior 0.8% of Muslims in their population, the United States would present a remarkable adhesion to Ramadan - or the United Kingdom to the Pessach celebrated by the 0.4% of its Jewish citizens. If cultural resistance to assuming to belong to an African religion in Brazil can indeed take its toll on the meager numbers mentioned above, even so the sudden overwhelming adherence to one of its rituals in a mostly Christian country challenges socio-demographic explanations. That popularity would be easier to understand had that tradition been continuously documented since the Colonial times - nevertheless, it is definitely not the case. A research in Brazilian newspapers discloses the popularity of that so-called "tradition" after the late 1960s - before that, references disappear altogether. This absence even in the works of Brazilian 19th century folklorists represents considerable evidence that the apparently ancient ritual might be surprisingly recent. But in case it became popular only in the last few decades, why is it perceived as an archaism? The following paragraph may shed light to this question:

I found good hope and sovereign remedy, though it were very late, to be delivered of all my misery, by invocation and prayer to the excellent beauty of this powerful goddess. Wherefore shaking off my drowsy sleep I arose with a joyful face, and moved by a great affection to purify myself, I plunged my head seven times into the water of the sea; which number of seven is convenable and agreeable to holy and divine things, as the worthy and sage philosopher Pythagoras hath declared. Then, very lively and joyfully, though with a weeping countenance, I made this oration to the puissant goddess [Apuleius 2015: Book XI, 1st paragraph].

The description above might be easily mistaken by a contemporary Brazilian for that of a zealous believer in Copacabana celebrating New Year's Eve. After that prayer, "a venerable face" appeared to the protagonist, who, "little by little", "seemed to see the whole figure" of a female body, "bright and mounting out of the sea" standing before him (Apuleius 2015: Book XI, paragraph 3). The goddess enlists the many names she receives: "Mother of Gods" among the Phrygian, Venus to the Cyprians, Proserpine to the Sicilians, Ceres, Juno, and eventually remarks that "the Egyptians, which are excellent in all kinds of ancient doctrine, and by their proper ceremonies accustom to worship me, do call me by my true name, Queen Isis" (Apuleius 2015: Book XI, paragraph 4). A portrait of the goddess follows that passage:

First, she had a great abundance of hair, flowing and curling, dispersed and scattered about her divine neck; on the crown of her head she bare many garlands interlaced with flowers, and in the middle of her forehead was a plain cirlet in fashion of a mirror, or rather resembling the moon by the light it gave forth; and this was borne up on either side by serpents that seemed to rise from the furrows of the earth, and above it were blades of corn set out. Her vestment was of finest linen yielding diverse colors, somewhere white and shi-

ning, somewhere yellow like the crocus flower, somewhere rosy red, somewhere flaming; and (which troubled my sight and spirit sore) her cloak was utterly dark and obscure covered with shining black, and being wrapped round her from under her left arm to her right shoulder in manner of a shield, part of it fell down, pleated in most subtle fashion, to the skirts of her garment so that the welts appeared comely (Apuleius 2015: Book I, paragraph 3).

Many of the elements associated by Apuleius to Isis' image are also part of the standard representations of Yemoja in the Brazilian imagery - particularly in the way they appear in *umbanda*, an African-Brazilian religion that, contrarily to the more genuinely African *candomblé*, presents a clear mixture of African, European and Native-Brazilian heritages. Another familiar scene appears in the following excerpt:

The day which shall come after this night is dedicate to my service by an eternal religion; my priests and ministers do accustom, after the wintry and stormy tempests of the sea be ceased and the billows of his waves are still, to offer in my name a new ship, as a first-fruit of their navigation; and for this must thou wait, and not profane or despise the sacrifice in any wise (Apuleius 2015: Book I, paragraph 4).

The ship “was filled up with large gifts and prosperous devotions”, and “the women attired in white vestments” to accompany it - quite a few of them “with lamps, torches, and other lights, doing honour to her that was born from the celestial stars”.

The inventory above results in a list of approximately sixteen elements shared between the scene described by Apuleius and the rituals to Yemoja at New Year's Eve. If such a number renders difficult to disregard such similarities, even more compelling is the fact that not only isolated paradigmatic elements appear likewise in those two contexts: also syntagms that encompass from figures in the discursive level to narrative programs occur equally in both - and often with similar functions.

There are three narrative programs of different natures to emphasize. The first one, the *seven immersions*, corresponds to a performance of acquisition of competence to qualify the subject to the next step: the *prayer* - a manipulation in which S2 will seduce S1 with his prayer in order to be granted her divine help. The third program is a performance in which the discursive roles formerly corresponding to the addresser and addressee are inverted, and the deity makes the believer perform the ritual of the *launching of the ship*. The relations of dependence and/or correspondence between categories of different plans imply Hjelmslev's definition of *functions*, allowing us therefore to recognize paradigmatic, syntagmatic and syntactic similarities in the two cases analysed here.

In the discursive level, the seven immersions and the launching of the ship imply a *débrayage* that defines the *seashore* as the space in which takes place the meeting between the discursive actors corresponding to S1 and S2, the *believer* and the *female deity*. Some figures are associated to the former with implicit performances: the dressing of *white vestments*, the usage of *candles* and finally the *fireworks*, an extended version of the isotopy that enumerates “candles, torches, and other lights”. A first attribute of the *female deity* is being *the deity of many names* - a rather familiar theme to Brazilians used to address Yemoja as Iemanjá, Janaína, Rainha do Mar [queen of the sea], Nossa Senhora da Conceição [Our Lady of the Conception] or Nossa Senhora dos Navegantes [Our Lady of Navigators], among other names and titles. Surprisingly, so many identities in classical antiquity as in the present converge to a same description: *abundant* and *curly hair*, *scattered about her divine neck*; a *garland* and a *heavenly body* (the moon in Apuleius's text; a star in Brazilian Yemoja) *shining* on her forehead, and finally a *dark cloak* covering her garments - black in *The Golden Ass*, blue in Brazilian imagery. Figures like the *sea-*

shore, the *sea*, the *heavenly body* and the *garlands* in the one hand, in opposition to the human made *ship* or the *candle lighting* on the other hand help to characterize the fundamental level syntax as the classical dichotomy *Nature* (to the former inventory) *vs.* *Culture* (to the latter).

The variances observed here perfectly suit Bastian's conception that *Elementargedanken* require adaptations in order to be expressed as *Völkergedanken*, like the function of a "dark cover" in the *black/blue* cloaks or the *moon/star* variants of the "shining heavenly body" in the goddess's diadem. More interestingly, the temporal *débrayage* of the *opening of a new season* bifurcates into the dawn of the *navigation season* in the second century book and in the New Year's Eve nowadays.

A table summarizing this discussion results in:

FUNDAMENTAL LEVEL	Fundamental syntax		Culture	Nature
NARRATIVE LEVEL	Narrative syntax	Seven immersions		acquisition of competence to the conjunction with Nature
	(Narrative programs)	Praying	manipulation by seduction (positive attributes of the addressee)	
		Launching of the ship		performance (required by the addresser)
DISCURSIVE LEVEL	Discursive semantics	Figures	white vestments	
			usage of candles	
			other lights (fireworks)	
	Themes	devotion	deity with many names	
	Discursive syntax	actors	believer	female deity
		space		seashore
time		"new season"		

Table 3. Invariances between Apuleius's description and the Yemoja New Year's ritual in Brazil.

4. Final considerations

The idea that the striking similarities between contemporary Yemoja's rituals and 2nd century Isis' cult might be caused by historical heritage would be hardly defensible. The Christian and Muslim civilizations that succeeded the cultures that embraced Isis' cult have endeavoured to erase as much as possible any traits of the goddess' worship. Even assuming that the devotion to the Virgin Mary as the mother of Christ would have much to owe in terms of imagery to that of Isis as the mother of Horus, as constantly suggested by Egyptologists like Sir Wallis Budge (Budge 1911: 30, 1969: xvi), had Isis rituals survived by diffusion in Brazil by means of Marian devoutness, 1) they would certainly have survived with equal detail in many other countries; 2) such a feast would by no means have passed unnoticed by local writers and travel diaries that have registered Brazilian life throughout half a millennium. The alternative of survival through the North African legacy - Apuleius was born and spent most of his lifetime in Algeria - would again clash with the hostility against anything that might resemble pagan in certain periods of the Al Andalus era, like under the almoravids or, even more intensely, under the almohads. A final possibility would be to consider a sub-Saharan connection that might have syncretized Isis' rituals with those dedicated to Yemoja and taken to Brazil with the African slaves. Even though the ancient Egyptian religion can by no means be understood if not through its relations to its African peers and the deep structural similarities among them (Budge 1911: 7), once more had Brazil inherited those rituals and they should n have been described in other countries and ages.

Assuming Yemoja and Isis rituals to be *Völkergedanken* corresponding to same *Elementargedanke* and thus sharing a common semiotic and generative structure is not bound to be a conclusion, but rather the point of departure for further investigation. Interesting questions arise with respect to the reason why certain archetypal myths suddenly emerge - like in the case discussed in this article -, and why they may vanish. Historical continuity and compliance with different *Völkergedanken* can explain, for example, why the Middle Age Iberian celebrations of the war between Muslims and Christians still survive in Brazil - for, if Islam has never rivalled Christendom in the New World, local and African pagan beliefs certainly did, and thus the quarrel between “faithful” and “unfaithful” represents an invariant that is still an issue to this day. Bastian observed all over the world the “monotonous” repetition of local solutions to universal problems, like the case of the bow-and-arrow. When previously disappeared myths come back, would they correspond to local answers that the psychic unity of mankind would impose in face of a certain set of social and historical circumstances? Or would their return, maybe in a more Jungian approach, correspond to psychic needs of the collective unconscious? These are some of the questions that remain open, and that we intend to discuss in future publications.

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REPLICA AND INVENTION: A NEW LECTURE OF MODES OF SIGN PRODUCTION REGARDING THE ROMANIAN TRADITIONAL BLOUSE, IA

Nicolae-Sorin Drăgan

National University of Political Studies and Public Administration,
Bucharest, Romania
sorin.dragan@comunicare.ro

Ioana Corduneanu

“Ion Mincu” University of Architecture and Urbanism, Bucharest, Romania
ioanakorduneanu@yahoo.com

1. Introduction

In this paper, we propose a semiotic investigation of cultural practices and communication processes woven in recent years, around the Romanian traditional blouse, *ia*, from the perspective of theory of sign production (Eco 1979). Practically, we continue the series of articles dedicated to our traditional blouse, *ia*. In a previous article (Corduneanu and Drăgan 2016) we treated the Romanian traditional blouse as a multi-dimensional semiotic object with a complex semiotic structure (Sonneson 1992: 190). It is no news that clothes are regarded as complex semiotic systems (Bogatyrev [1937] 1971; Barthes [1967] 1990; Enninger 1984; Danesi 2004; Todorović et al. 2014). For example, according to Peter Corrigan (2008), the semiotic system of clothes can be studied at two levels. Clothing as a *phenomenon* – endowed with certain semantic markers (which generate the mechanism of interpretation) – and clothing as an *object* – endowed with certain syntactic, material, perceptible markers (as surrogate markers that contribute to the construction of the mechanism of interpretation). The first dimension recreates structural aspects, working, for instance, as markers of social class. The second dimension refers rather to relational aspects, to the manner in which social relations are structured in the field to which the object belongs.

We illustrate this double articulation of the semiotic system of clothes through a project recently developed in Romania. Through the project *Ia-Aidoma* ‘Ia-Alike’, a few dozens of such old blouses, preserved in great museums of the world, were recreated and brought to the present time through replicas called *aidoma* ‘alike’. We present and examine this semiotic phenomenon

par excellence, put into practice by the community *Embroidered Signs in Action*.

In the first part of the article, we present the *Ia-Aidoma* project, a project that aims to restore the meaningful ties between past and present, the balance between tradition and innovation in an exemplary and unique manner. In the next section, we examine a few aspects of the methods for the sign productions in the creation of an *aidoma* replica. Section 4 provides a case study, the creative solutions used in the process of creating an *aidoma* replica in the South-western part of Romania. The last section presents conclusions.

2. *Ia-Aidoma* project. Between tradition and innovation

We recalled earlier the fact that the authors involved in this semiotic experience are members of the community *Embroidered Signs in Action*. This group is the first and the biggest digital sewing bee in Romania that promotes the sewing techniques of our traditional blouse. Presently, over 20,000 women are part of this group constituted on Facebook, in March 2014. In a recent article (Drăgan 2016), we have explored the way in which virtual communities have replaced old sewing bees (p. 38). We showed there how the experience of modern living, in a networked society, could happily meet the traditional experience of the community. The lanes of the global village, which are now the connections enabled by social networks, can be a place to meet and to experience life as a group.

This context generated the idea for the *Ia-Aidoma* project, essentially a project of heritage recovery. Firstly, the principle requires intense labour in the recovery of the object itself (the model-blouse). We are actually talking about an effort to identify and choose the original model from a set of objects (Eco 1979: 151). The process required individual, detailed studying of the blouses in the area approached, throughout the period provided by the project. Each participant has individually chosen the starting model for the construction of an *aidoma* replica. We will therefore provide the detailed selection criteria for a certain model.

Usually, original models, dating back to the end of the 19th century, beginning of the 20th century, are not displayed to the public within permanent exhibits. They are kept either in collections or deposits of various international museums – The Metropolitan Museum of Art, New York City, Textile Museum of Canada, The Ethnographic Museum of Geneva, Textile Museum of Lyon, Horniman Museum of Great Britain, The Russian Ethnography Museum of St. Petersburg –, or in private collections. According to Victor Ieronim Stoichiță ([2006] 2011), the experience of the object displayed at a Museum is, “the consequence of triumph of the *image* over the *object* in ‘the work of art’” (5). The prohibition “Do not touch!” establishes the visual experience and the “sole and legitimate means of access to the work” (Stoichiță 2011: 5). How can this type of visual experience, of pure contemplation be transgressed? What other means of “linking Art and Life” (Stoichiță 2011: 5) can there be found in order to bring model-blouses closer to the public to become a communication experience? The solution proposed by the participants was the creation of replica *aidoma* ‘alike’. A replica that may be worn and admired.

From semiotic point of view, manufacturing and wearing your own *ia* it is a kind of *signifying practice*, a concrete *process of meaning production* (Kristeva, 1980: 251). The object-blouse (the model) goes beyond the realm of contemplation and into the realm of communication. The creation of an *aidoma* replica allows the object to be communicated in different ways, other than the visual experience. The strictly visual experience proposed by the Museum or Collection is replaced by the idea of a communication event and interaction (Marcus 1989: 33).

These replicas were called *aidoma*. This is a word describing an object that wakes up the same emotion, impression, mood, but not intended to be simple replicas, or identical.

In Romanian, the semantic markers associated with the word “aidoma” suggest a high similarity with the object. We understand this similitude in the sense of Umberto Eco (1979), as

“a matter of cultural convention”, even more so since the original models discussed imply a “previously culturalized content” (Eco 1979: 204). As we will see thenceforth, the model-blouses possess certain *qualisign elements*, whose *rules of production* are scantily accessible and which render the creation of an identical copy, of a *duplicate* (Eco 1979: 182), almost impossible. Such elements, among others, allow the participants to carry out various creative acts.

Secondly, we are dealing with a project that aims to recover the intangible heritage. The effort of recovering, updating and transmitting archaic methods for producing signs regarding the traditional Romanian blouse starts with the accurate selection of the most suitable materials, the tailoring of the cut, the definition of the composition and finally, of the sewing and embroidering practices and techniques.

A significant challenge was to restructure the models based on photographs, some of them being in black and white, dating back to the 20th century. Then, in order to create the blouses, the challenge was to resolve the equation of a balanced composition: adapting the model depending on fabric and fibres, finding the ideal sewing pitch, determining the cadence and classifying the models, so as to generate the correct proportions. Another effort was to observe the chromatic of materials used in the past: arnica, silk, wool, gold and silver thread, fine silver coated copper braid, golden butterflies.

Each *aidoma* replica is based on an original model. As shown before, the participants were required to consider various compromise procedures between the object (original model) and method, to create an object modelling process. According to Solomon Marcus (2011), any modelling act “is based on an invention act” (155). Moreover, “a model cannot be obtained by mere observation, induction or generalization; it must be envisioned. Therefore, the attempt of modelling begins with a hypothesis, a promise that is converted into a model only on occasion” (Marcus 2011: 155).

The more the historical background is considered, the more complex the effort proved to be. As recalled earlier, the model-blouses at the base of the construction of exact replicas dates back to the end of the 19th century, beginning of the 20th century. During such time, information concerning the sewing techniques and practices for the traditional Romanian blouse were passed on by oral tradition, within the family, usually on a maternal line. They were cultural experiences where the social exchange of signs was facilitated by the recognition and cultivation of certain *overcoded rules* (Eco 1979: 134).

Later on, the communist period generated a rupture in the natural rhythm of the lives of members of the society. Although oral tradition has lost its force, such knowledge continued to be passed on in this way and, more sporadically, within the shops of folk art schools. The ethnographic studies and folk art notebooks published during the communist period feature scant theoretical references assessing this aspect. This explains why certain pieces of knowledge regarding the rules governing the compositional elements of the traditional blouse have been lost or have become difficult to access.

At present, the participants were challenged with recreating the original model “in the absence of previously established reliable rules” (Eco 1979: 202). Practically, they produce replicas *aidoma* through *acts of undercoding* (Eco 1979: 138). They have to proceed from “non-existent codes to potential codes” (Eco 1979: 136).

Via the *Ia-Aidoma* project, the authors restore the connection between archaic and contemporary, between tradition and innovation in an authentic manner. The communities of women who preserve the craft of sewing our traditional blouse try to restore the old significance connections of the systems of ancient signs in our traditional culture.

3. Concerning the methods for producing signs in the creation of an *aidoma* replica

In the effort of creating an exact replica, we have seen the participants experimenting with different manners of producing signs. Below, we examine a few structural particularities occurring in the construction of an exact replica, the criteria that have determined the choosing of the model blouse, as well as the general conditions for creating an *aidoma* replica.

3.1. Structural aspects

In the structure of the traditional Romanian costume, the traditional blouse, *ia*, is one of the main costume pieces. The *ia* blouse distinguished the status and the personality of its owner.

According to Marcel Danesi (2004), clothes in general are the main way to assert one's identity, of "*presenting persona*" (178). They can be regarded as signs coding semantic markers relevant for the wearer's personality, social status or character traits (Danesi 2004). From ancient times, clothes propose an appearance, a story that I tell others about myself (Danesi 2004: 182), thus triggering the mechanism of interpretation. Wearing your own *ia* is like wearing a passport, valid not only for this world but also for what's beyond it – it is a shirt for both body and soul. Wearing it for a social gathering, be it a religious festival or the traditional dance on Sundays, made it easy for people to know your exact place of birth, social and marital status but also your personality and virtues and they could decide, at a glance, if it was worthy to approach you in any way. Because the eyes of the people from the past could 'scan' your *ia* and get the message. It is one of the reasons why such a great importance is set on the structural particularities for creating our traditional blouse.

3.1.1. The tailoring system (the cut)

In terms of the topological structure of the traditional blouse, the cut is the main element underlying the construction of an *ia*. On the cut, the *ia* blouse redefined the wearers silhouette. The fabric (cloth) was used in a very efficient and optimized manner, based on well-established criteria. On the one hand, we have functional criteria, basically – obtaining a thermal and functional comfort -, and on the other hand, we have social hierarchy criteria, i.e. the recognition of a certain social status. For example, the excess fabric used for the tailoring of an *ia* blouse expressed a high status of the wearer. The cut is the creative solution to the environmental conditions and man's activities.

In addition, the cut is critical for the ornamental composition elements. Composition does not aim to contradict anatomy, but rather to turn it into an advantage. Composition is translated by great splashes of colour, visible from afar, created by embroidery, in vivid colours. They mark certain areas of the body, such as the wrists and/or limbs. They highlight the edges of the blouse, the length of the arm, etc. Sometimes, even by not taking into account the chromatic, composition also highlights ages.

3.1.2. Decorative composition. Compositional elements (ornamental fields and motifs)

The ornament is also a defining feature of the region, occupation, age and social status, meaning that there are certain limitations in the sewing techniques necessary to illustrate a certain ornamental motif.

An ideal ornamental motif, drawn on paper, seems universally applicable. The difficulties occur, however, when such must be illustrated on certain fabric formulas (cloth) or with certain threads for sewing. This is when regional particularities come into play: a thicker cloth, imposed by weather conditions, the lack of natural dyes for the colouring, the lack of fine threads for the embroidery. These are added to the social and material limitations. Certain types of fabric and

sewing threads were not accessible to everyone, which determined the limitation of this type of motif. The finer the cloth, the finer embroidery threads may be. Thus, a centimetre fits several sewing points. As a result, on a set area of cloth, the authors have two options. The first allows fitting a greater number of repeats within a simple motif on such area. The second option allows sewing a more complex, enriched motif for an equal number of repeats from the basis of a simple ornamental motif called *core*. Both imply certain types and forms of creativity from the authors. For example, the first option tends to the creation of an algorithm procedure. It is more related to elements of the sewing technique and to the optimum distribution of a simple model on a certain area. On the other hand, the second option tends to “stray from the rules and algorithms, by creating unique motifs” (Marcus 2011: 122). In both cases we are faced with an act of fine invention, characterized by a certain *manner* of working which makes the solution selected by a means of cultural creativity (Marcus 2011: 122).

Therefore, the motifs and the way they are organized on the fabric acquire a creative dimension, they are not mere replicas or “replicable *stylizations* with intertwined *pseudo-combinational units and programmed stimuli*” (Eco 1979: 259). They become thus an invitation to reading and (re)interpreting the language of embroidered signs. From this point of view, this kind of concrete process of meaning production is a “world of possibilities” (Marcus 2011: 163).

3.1.3. Qualisign elements

Thanks to its density, expressed in the number of threads per centimetre, cloth determines the scale for representing *izvoadele* ‘ornamental motif the patterns’, implicitly the number of repeats fitting into the corresponding piece of cloth. Some women have sought to use old cloth, manually weaved from hand-processed natural fibres. This type of cloth features natural irregularities that contribute to the general authentic appearance.

However, industrial cloth was made available and used by the vast majority of the people who took part in this project. This type of cloth provides the advantage of a regular structure that supports the efforts of applying an even, organized sewing pattern. Particularly, people preferred the “nature” cloth, not subjected to chemical whitening treatments during the production process. The cloth was tailor-made to be used in the creation of traditional blouses. As a result, the density formula of the cloth used featured a high degree of similarity with the original.

All such aforementioned factors have defined the aesthetic styles and criteria specific to the respective villages, subareas, areas and regions, going beyond the administrative borders. Therefore, we cannot talk about a national style, but rather about local versions thereof.

3.2. Criteria for choosing the object (model-blouse) and the conditions for creating an *aidoma* replica

Most women who have been enlisted for this project wanted to duplicate a blouse from their birth region. Models coming from the areas where their grandparents were born have become the foremost criterion in justifying their choice. For 42% of participants, this is the main reason for choosing a model. The blouse they are to sew and wear thus becomes a testimonial. It serves as a means of declaring their appurtenance to a certain region. It is the primordial step in expressing who they are. Their character and customs will be consonant with the education received, as well as with the practice within their region of origin.

A great number of participants (39%) stated that they did not know, could not define the criterion for choosing a model. They argued that, in fact, the model is the one choosing them, alluring them and all they do is bring that action to fruition.

Only 10% choose according to *pattern* or *izvod* (ornamental motif), acknowledging that they

can adapt it to any region and any sewing technique, through a suitable composition. They chose to be creators from the very beginning, in an undertaken, conscious and responsible commitment. A low percentage (2%) choose to sew an *izvod* only because it has never been sewn before, preferring to differentiate themselves through the *izvod*, regardless of actually harnessing it within a composition. The arguments for the other participants, up to 100%, is based on the familiarity and ease of the sewing techniques identified in the model-blouse, arguing that “it has been sewn before, it is easy to sew”, etc.

Moreover, most women choose the *ia* blouse and embroidery as a therapy or as a means for restoring emotional affinities, to rediscover themselves or to find a hobby. As a result, they will take comfort from sewing according to a model, using aesthetic criteria that have already been defined and verified. They will only intervene on the model if forced to do so by the materials used, only to adapt the model to their silhouette.

However, the *Ia-Aidoma* project is aimed at those who have managed to retain their objectiveness and managed to intercede with the model for subjective reasons. The participants have strayed or made changes only to the extent to which the materials available forced them to adjust the proportions or number of repeats. For the very reason provided by the subject of the project, namely to restore the object via a faithful replica, not just by the recovery of knowledge, practices and techniques for reacting a traditional blouse.

Therefore, in order to create replicas as faithful to the original as possible, several conditions must be fulfilled, aiming to: *recover the izvod* (it must be visible and easily decipherable), *use identical work materials and identical work practices*. When of these three factors are not met, the other two are required to even out the process.

Beyond the chromatic harmony, perhaps the easiest to replicate, is the compositional harmony. This is a subservient of the cut and the element associating a blouse with the regional specifics. As a whole, setting aside colour, the eyes rapidly manage to read and to fit the composition within a time and space pattern. Only upon close inspection, can the eyes effectively assess the ornamental motif (*izvod*) and may observe the small details. At the first level of reading, the *aidoma ia* blouses have managed to fulfil their objective. Seen from afar, they leave the impression of being old or identical to old *ia* blouses in museums or private collections. Yet by displaying them next to old photographs or photographs of the originals, the *aidoma ia* blouses have appeared to the public as new, slightly different creations.

This project has determined the public to study them closely, for the very reason that the eye, being intrigued, sought to discover such small differences. In turn, such slight abatements have represented the creative response of the authors to the conditioning imposed by the materials available.

4. Case study. Creative solutions in the construction of an *aidoma* replica

The *aidoma* replica discussed was created based on a black and white photograph where the blouse is not fully displayed. It required great effort to visualize the cut based on the particularities of the area where the model-blouse originated. Considering that, the ornamental motif (*izvod*) on the broad shoulder sleeve was frequently used in the respective area, the cut of the other blouses sharing the ornamental motif on the shoulder was observed. Ornamental motif is the most important element in the composition of a blouse.

All these blouses had a cut specific to the Southwestern part of Romania, from the Mehedinți area. It implies a tailoring system with a broader sleeve than the normal model, from one and a half times the width of cloth. This half (1/2) width was inserted at the armpit, in order to widen



Figure 1. Embroidered smock (the model-blouse) from the Mehedinți area, situated in the historical provinces of Oltenia and Banat, from the end of the 19th century (Oprescu 1922: 86).

the sleeve more than necessary, to indicate the high status by using excess fabric. Usually, the joinery between the basic cloth sheet used for the sleeve and the excess sheet, small sewing is used, peppered here and there into a rhythm, intentionally placed to underline the joinery solution, in order to highlight this type of cut, ensuring its visibility without a semblance of a doubt. These small splashes of embroidery taking part in the joinery solution are not visible in the photograph of the original blouse (model). They were taken as a part (reference) from the embroidery *izvod* of the sleeve.

To the same extent, the embroidery on the chest was reinvented to replace the lack of clarity of the ornamental motif in the photograph. We are faced with an act of invention, understood as a “code-making” (Eco 1979: 250). New solutions were required in the effort to recreate the original *izvod*, “new coding possibility” (Eco 1979: 272). The starting point of this reinterpretation was the observance of the principle of solid and gap ratio established by the embroidery. This is subordinate to the solid-gap ratio used on the sleeve, which in turn is subordinate to the one on the shoulder. The embroidery on the shoulder must be denser, because, within the composition, the shoulders must be covered in splashes of colour, marked as being important and defining for a silhouette. If the ratio between the embroidery and white spots on the shoulders reaches 75% - 80%, the ratio for the sleeve must be around 50%.

The embroidery on the sleeve is created “on the board”, meaning the ornamental motif (*izvod*) patterns are very small, interconnected via a network of small lines. This entire network (called table or board) will be fitted into a rectangle which, more often than not, will be narrower than the embroidery on the shoulders, when a horizontal band called curl is applied to the upper side of the sleeve (regardless of its functional curling role or its lingering on the sleeve simply as a decorative element). If the sleeves are tailored with a separate broad shoulder sleeve, this is highlighted by the embroidery, the composition being used to underline the cut. In such a situation, the shoulder features a more compact embroidery and the differentiation from the rest of the



Figure 1. Aidoma replica created and carried by Ioana Corduneanu, founder of the community Embroidered Signs and initiator of Ia-Aidoma project (personal archive). This embroidered smock, created according to the model of the Mehedinți smock, was presented at the opening of the Ia-Aidoma Exhibition at the Romanian Peasant's National Museum, on December 3, 2016.

sleeve is done by this horizontal embroidery band, created by a special technique, called *încrêț* 'smocking'. Under this band, the sleeve embroidery worked "on the board" is less dense than the one on the shoulder. If the sleeves are tailed from a single cut, the network of ornamental motifs (the board) covers the entire sleeve. It is discontinued by neither the cut, and implicitly, nor by the horizontal band called curl.

Although a simplified *izvod* was used for the chest, compared to the one in the photograph, the replica-blouse achieved its objective of being considered an *aidoma*. The basic assessment criteria discussed in section 3.2 have been met. The tailoring system specific for the area (Mehedinți), chromatic, *izvod* patterns on the sleeve used at the same scale as the ones in the original model, have determined, via a correct number of repeats, the correct composition of the sleeve. The discussions here were mostly focused on the sleeve, because it is the tailoring element that features the most zonal or regional particularities. In addition, in many situations, blouse chests were often covered with other heavier costume pieces, such as the *ilic* 'doublet', *vesta* 'vest' or *bundița* 'sleeveless jacket'.

5. Conclusion

In this article, we present and examine a cultural project recently developed in Romania, from the perspective of theory of sign production (Eco 1976). Through this project, called *Ia-Aidoma* 'Ia-Alike' and put into practice by the community *Embroidered Signs in Action*, a few dozens of such old blouses, preserved in great museums of the world, were recreated and brought to the present time through replicas called *aidoma* 'alike'.

We have shown that the process of reconstructing the original model (model blouse) via an exact replica is an extremely complex process. Such an effort inevitably implies various means and acts of cultural creativity from the authors. It is also a way of understanding the complexity of the problems and meanings coded in a particular area of culture, namely in folklore and in our ancient traditions (Culianu, 2009). This project continues the configuration of a semio-

sphere around this cultural object, the Romanian blouse *ia*, as we explained in previous articles (Corduneanu and Drăgan 2016).

In a recent book, Dario Martinelli (2016) tried to capture, on the one hand, the difficulty of building and communicating a cultural project, and, on the other hand, to emphasize the need to recover the “social relevance” (2016: vii) of such significant practices. Through this type of cultural projects we trying to make a small contribution “to promote humanistic practices at their best” (Martinelli 2016: vi). Therefore, the paper highlights this aspect of such significant practices and contributes to the development of the semiotic culture.

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AGAINST POST-MEDIALITY. SEMIOTIC AND AESTHETIC REFLECTIONS FOR A MORE COMPLEX VISION OF THE MEDIA SYSTEM

Antonio Dante Maria Santangelo
Politecnico di Torino, Italy
antonio.santangelo@polito.it

Abstract

In order to explain the many changes the media system is going through, some scholars propose to start thinking that we live in the *post-media condition*. A good way to schematize their vision of things is in the words of Eugeni (2015: 27-28): “The media are everywhere. We ourselves are the media. And this is the reason why the media don’t exist anymore”. What they point out is that today it does not make sense to distinguish between a medium and another, as we used to do in the field of media studies. However, many authors of modern manuals for the creation of trans-media, cross-media or inter-media communication projects, whose increasing diffusion and importance is one of the main reasons why the changes of the media system are becoming so visible, still underline that even if they aim at creating involving and very immersive experiences, they do not forget that every single medium of their *media mix* is different from the other and that it must be used with a specific function. It is very important to give their addressees the possibility to deal with the complex communicative architectures they produce. Given these opposite ways of thinking to nowadays media, this article aims at defining the theory of the post-media condition, reflecting on the advantages and on the disadvantages of using it and then at proposing another metaphor, the one of *complexity*, to understand what the media system is becoming today, without abandoning the idea that there is still a difference between a medium and another.

1. Is it still possible to distinguish a medium from another?

Due to digitalization and to the progressive evolution of cross-media, inter-media and trans-media communication strategies by the most important content producers and distributors all over the world, a new debate is rising about *the post-media condition*, which comes from the field of aesthetics (Krauss 1999), lies on Jenkins’ theories about *convergence* (Jenkins 2006) and in

Italy is mainly carried on by the works of two scholars: Eugeni (2015) and Arcagni (2016). More or less, the idea is that it is no more possible to distinguish a medium from another, because the same contents run into different platforms and are used in too many different — or in other cases, as it will be shown, in some too much similar — ways. For example, it is difficult to say if a video which was first published on YouTube and then, due to its huge success in terms of visualizations and sharing, is broadcasted with no changes on TV, raising the same interest and buzz, is indeed a web video or a television one. In such a case, the supporters of the post-media condition theory say that following the old way of thinking one should wonder if, by broadcasting this content, television remains itself or, on the contrary, if by displaying it, YouTube becomes like a sort of a traditional television. But in their opinion this discussion upon the differences of the media in the media system is starting to look pointless and, what is more important from a semiotic point of view, *meaningless*.

However, if one reads the manuals for trans-media content producers (Bernardo 2011; Phillips 2012; Giovagnoli 2013), he discovers that professionals underline that different media must have different functions in their projects, because they believe their users/recipients/audiences - whatever they may be called — have different ideas and expectations about what they look for when they think about, for example, watching a movie at the cinema or a television programme at home. Maybe the problem is that the media system, and consequently the definition of what a medium is, is becoming more *complex*. It is true that technologies, devices and interfaces which in the past ages of communication were much easier to be distinguished, now are starting to look interchangeable. But this is giving more importance to the languages, formats and social usage practices that define the media in the mind of people. These are hybridizing and changing as well, but anyway, if one looks at how the most popular cross-media, inter-media and trans-media projects are built, it still seems possible to make a distinction between a medium and another. This is indeed what makes these kinds of projects *meaningful*, as far as they look like a clever way to mix, for example, television and the world wide web, cinema and the videogames, etc. Hence in the following part of this article, it will be sustained that we do not find ourselves in a post-media condition but in a *complex media* one.

2. The terms of the debate

For the supporters of the post-media condition theory, due to *digitalization* and to the phenomenon of the transformation of computer into a *meta-medium*, that is an instrument to produce, distribute and display any other media content, the old mechanical and electronic media have gone through a sort of a *remediation* (Bolter and Grusin 1999), which have led them to share some common qualities with the new digital ones. Quoting these features from some of the books and articles dedicated to the evolution of all media in the digital age (Arvidsson and Delfanti 2013: 14-18; Ferraro 2014: 41-64; Arcagni 2016: 3-35), they can be summarized by the following key words: non specialization¹, multiple distribution², mobility³, personalization, convergence⁴, hybridization of languages and of usage practices, modularity and non linearity of contents, interactivity, hyper-textuality, presence of forms of undelimited textuality⁵, necessity of recurring to meta-texts as instruments to gather different and dispersed contents, transformation into actual and not only virtual social spaces.

1 This means that any media today can perform many functions which once belonged to different media.

2 Many media have become multi-channel, multi-platform and multi-timing, and their contents are distributed via the narrowcasting method.

3 Here the keyword is multi-placing, as many media can be used everywhere.

4 Once again, the complex meaning of this word refers to what Jenkins ([2006] 2007: XXXVII) writes about it.

5 Like in trans-media storytelling projects.

Moreover, talking about the characteristics of the digital media, Eugeni (2015: 26-28) underlines that the whole media system has moved towards the *separation of the text from the dispositif* — something he defines, using a French word that recalls Foucault's theories, as the media technology together with the social rules that determine the way media technologies are used-, *the separation of the dispositif from its typical context*, and the fact that *things and people are becoming media*. As an example of the first phenomenon he talks about movies, which nowadays can be watched at cinemas, but also at home, in a train on a PC or in a bus on a tablet. To give an idea of the second trend, Eugeni refers to the video walls, which take cinema into public and open spaces where people do other things rather than watching the movie that is displayed on the screen. To illustrate what he means for the third observation he talks of the *internet of things* and of *augmented reality*, which are based on the production of data out of the way we employ or interpret the objects that surround us, or even out of our bodies, so that we can use and take profit of this information, often by sharing it. Driving his conclusions, Eugeni writes that “the more the media become pervasive, the more their *dispositif* loses a clear identity and disappears [...] The media are everywhere. We ourselves are the media. And this is the reason why the media don't exist anymore” (Eugeni 2015: 27-28)⁶.

Eugeni's theories that take the distance from the clearer distinctions which could be done between different media in their first mechanical era and then in the following electronic one, when for example the *dispositif* of cinema could easily be differentiated from the one of television, and both of them, together with their contents, were clearly separated by all the other spaces and activities of everyday life, are based on the consideration that if media are, as Bourdon writes, “technique + organization + content + audience” (Bourdon [2000] 2001: 7), all these elements have changed in the digital era, so that we can't talk about media themselves in the same way we have always done. This is the reason why Arcagni, the other main scholar who, as it has been written, has raised the debate about the post-media condition in Italy, especially focussing on the audio-visual digital media, affirms that if we want to understand what audiovisual digital media are today:

it is very hard to recur to the interpretative categories we used for cinema or television [...] in my book I have used a wider multi-disciplinary approach, keeping together media studies, film studies, sociology, internet studies, computer studies, design, architecture, game studies. I've had to do it because we are in front of an audiovisual world which has become fluid and impalpable (Arcagni 2016: VIII - IX)⁷.

Between all the many examples he takes, Arcagni considers Vice and Nucleus Medical Media. The first one is a worldwide famous video journalism platform which produces video-reportages made by free-lance journalists with their light technical equipment, that can be distributed and displayed indifferently on the internet — maybe on YouTube or on a newspaper website —, on television, on an application for tablets and mobile phones, on a big screen at cinemas, etc. Hence Arcagni wonders how such a kind of audiovisual products should be classified, whether as TV programmes, web documentaries or anything else. A similar question may be posed for the second of Arcagni's examples, which refers to a YouTube channel created by an American centre for medical imaging that posts on the internet some computer graphics videos of births, surgical operations, development of illnesses and of their cures, seen in the perspective of the inner parts of the human body. These products have become so famous, clicked and seen all over the world that they usually reach and surpass the audience of a typical thematic television

⁶ The translation is mine.

⁷ The translation is mine.

channel. Thus, they raise some doubts about the difference between the contents of two media that once seemed so clearly distinguishable. As far as some similar observations can be done for the Machinima videos, for the videos of people playing videogames on YouTube and for many other cases, Arcagni simply notices that their contents, their languages, the way they are used in the *dispositifs* that display them, give birth to *something new* which mixes the cards and goes far beyond our old idea of the electronic media and of their different identities.

3. Advantages and disadvantages of “thinking post-medial”

If one thinks that the media do not exist anymore, or at least that they do not exist as we have always known them, he can explain some interesting phenomena of our everyday life. Eugeni (2015: 32-48) talks for example of the *naturalization of the media* as the end of the distinction between mediated and authentic experiences, culture and nature, “reality” and “fiction”. As a semiotician, he analyses some texts that talk about this topic. He compares some Philip Dick’s novels to James Cameron’s *Avatar* (2010). In fact, in the first ones there is the idea that media give birth to an artificial experience of the world, mediated indeed by a screen, by the page of a newspaper or by any other interface. Moreover, these interfaces are based on the presence of another important mediator, that is *the language* which is used to produce the discourses they make visible. All these things work as filters that prevent people from living immediate experiences of what surrounds them, so that many dystopias can be told about regimes that alienate entire populations, lie to them and imprison them into fake visions of reality. But in Eugeni’s opinion these are stories of an old age, of the old media era. On the contrary, *Avatar* talks of a technology that permits men and women to enter the bodies of aliens and to communicate to other aliens in a direct and natural way, as if their communication tools were transparent, not even existing. Moreover, aliens themselves possess a wire which is part of their body and that they can connect to animals, trees and plants, once again to directly communicate with them, without even the need of sharing a language. To Eugeni, this is a metaphor of the way we use our digital media today, as far as they are everywhere, being part of our environment, becoming intertwined with our bodies; we don’t recur to them as *filters* between us and the world, but as instruments to *augment* our experience of the world itself.

Another metaphor of the contemporary digital media age is, to Eugeni (2015: 49-63), the affirmation of the visual technique of the *first person shot* far beyond the field of videogames⁸. The first person shot represents *subjectivity* as something in motion, interactive, inter-defined with the objects and with the space it explores, so that it looks very different from the “stillness” or from the “otherness” — in the sense that it was built and posed by someone else, with no possibility for the recipient to actively deal with it — of the point of view offered by the media of the past, especially by classic cinema and television. To Eugeni, nowadays the relevance of the first person shot, as a way to install people into the world of media products, shows some analogies with the *changes in the rules of socialization* through the usage of media themselves, in a time that has seen the passage from an individual conceived as a *couch potato*, that is a passive spectator of mass communication, to a more active and self aware person, giving birth to theories such as the ones of the *individual in the net* (Rainie and Wellman 2012), of *mass self communication* (Castells 2009), of the *connected audiences* (Arvidsson and Giordano 2013), etc.. As a matter of fact, today people consciously recur to media contents to build their social identity and to stay together. To explain what he means, Eugeni quotes the famous TV series *Lost* (2004-2010) and *The Lost experience*, an Arg connected to the television programme which consists in joining the

8 Now this technique is also used in movies, like for example in *Hardcore!* (Naishuller 2016), and in other audiovisual products.

forces of spectators, their information, their personal capacity to solve riddles and other tests, with the aim of collectively understanding what was going on in the world of the series itself. Even the metaphor of the story told in *Lost* looks very meaningful, in this sense, as it is about the exploration of a mysterious island by a group of survivors of a flight crash who, with their “first person shot” into the woods and into the mysteries of that place, must find a way to know each other and to give value to each other’s capacities to discover how to return to their previous lives. In other words, thanks to such a popular TV programme and to its trans-media interactive communication strategies, the spectators can connect, promote themselves, socialize in small or big nets of other people, transforming what was once lived as a solitary and passive media experience, clearly separated from everyday real life, into something different, at the same time subjectively and collectively relevant.

As it looks clear, Eugeni’s theories are very interesting. However, as a matter of fact, we still go to the cinema, watch television, listen to the radio, read a book or a newspaper, accepting that they are media and so that they mediate our experience of the world. When we think about *Lost*, we know it mainly is a TV show and we expect it to be such a product, while when we decide to live *The Lost experience* we are aware we are going to play an Arg. The same can be said about *Avatar*, that with no shadow of a doubt in our mind is a movie we like to watch on the big Dolby surround 3D screens of cinemas, even if we know we can download it and display it on a tablet or on a PC. And obviously we can easily distinguish *Avatar* from the videogame that has been produced to exploit its franchise on another medium. It seems that even if the theory of the post-media condition can help us to see some new trends of nowadays communication and of our culture, on the other side it prevents us to catch a glimpse of what remains of the “old media” in the contemporary media system and especially of which role the old media play to make us understand the meaning of what we perceive as the “new ones”.

As far as in semiotics the meaning of anything lies in the *differential relationship* it maintains with the other elements of the system it is part of, it does not sound good to delete every diversity, as Eugeni seems to do. He is surely right to say we have gone beyond a certain past idea of the media, but even in the same examples he takes to support his position it is easy to see that it makes sense to watch a movie at the cinema or a serial on TV and *then* to take part to a trans-media storytelling experience. Without knowing that millions of people all over the world watch every week an episode of *Lost* on TV, thinking that at the end they will catch the sense of all the mysteries they have been told, maybe it would not be meaningful to participate to an Arg to give one’s own contribution to find and share some hints and their interpretation while the show is on air and *before* it is over. Without seeing in the movie a human character who enters the body of an alien and then explores a small part of the marvels of the planet Pandora, sharing the culture and the destiny of its inhabitants against the greed of human invaders, maybe the player of the videogame that comes from *Avatar* would be less motivated to play at it, using a *dispositif* — the one of his videogame machine — which for sure offers a less spectacular experience, but gives him the possibility to continue the exploration of that world and the battle to defend it⁹.

Hence if we want to recur to the terms of Eugeni we should say that *the media still exist*. Talking about a post-media condition looks too simplistic, because it means to give up identifying the role of every single medium in the digital era. The media have actually become more complex than in the past, so maybe it is better, as it has been written before, to talk about a “complex media condition”. The meaning of the media experiences we live today depends on a *redefinition*

9 To say the truth, *Avatar*. The game gives the player also the possibility of fighting for the human armies against the aliens, but Frank Rose ([2010] 2013: 43-54) criticizes this decision as it proves that game designers haven’t understood the reason why people find the world of *Avatar* as a meaningful one: because it is based on a story of defence of ecological values and of the beauties of a marvellous natural world which is worth to be seen and explored.

of the differential relationships that occur between all the media, the “old” and the “new” ones. It is true that the media are changing, that they are everywhere and that we ourselves are the media. But this simply means that they involve us into communicative experiences that look more and more complex than in the past and as Arcagni suggests, in the passage mentioned above, it is necessary to find out new analysis categories to understand them.

4. Remediation, not death: the dynamics of beyond/behind

One of the new analysis categories that have just been mentioned could be called *the dynamics of beyond/behind*. As Bolter and Grusin have noticed, most of the times a new medium is invented to make human communication more *immediate* (Bolter and Grusin [1999] 2002: 27-43), so to reproduce our experience of the world more directly and to make it sharable in an easier way. This means to go *beyond* what once could be shared using the old media, especially in an *aesthetic* sense, as the new medium seems to better reproduce our way to perceive the things we want to communicate. This is what makes the previous media look “old” and, what counts more here, “*hyper-mediated*” (Bolter and Grusin [1999] 2002: 44-55), as they suddenly prove to be constructed, explicitly descending from the usage of a “language” by the individual who expresses through them, whose subjective glance in choosing how to show and how to describe the world becomes apparent. With its immediacy, the new medium demonstrates that the old ones were just media, in the sense that the latter only seemed to give direct access to people’s vision of things, but that “access” was filtered actually by the old media *dispositif* and language, to use Eugeni’s words. This is what happened, for example, when photography came and made a certain way of painting look old and hyper-mediated, as from that moment on a “realistic” painted portrait or a landscape, that once were used to “objectively” describe what they showed, have automatically proved to be the subjective artwork of a painter. Something similar happened when cinema appeared and, adding the movement first, and later the live sound and speech registered on stage, looked more immediate than a certain kind of photography. Or again this occurred when television was invented and looked more immediate than the radio, etc. Now virtual reality promises to be more immediate than any other previous audiovisual media.

But as Bolter and Grusin notice, most of the times a new medium does not kill the old ones. It simply pushes them to *remediate* itself. Now, there can be many dynamics of remediation. One of them has already been described in the second paragraph of this article, and it is the one that today leads someone to talk about the post-media condition: it consists in trying to reproduce some features of the new medium, hybridizing with them, with the aim of experimenting to reach more immediacy. For example, Ferraro (in Volli eds. 2002: 344-375) writes that when web cams appeared and through the internet gave people the possibility of watching live factual videos of what was happening around the world, autonomously choosing their own “palimpsest” and without the mediation of anyone, television, which had always been seen as the most immediate audiovisual media, suddenly understood it had a competitor. That was the reason why *Big Brother* was invented, the worldwide famous TV format which recurred to still video cameras put in the rooms of a house as if they were web cams and gave its audience the possibility of personally deciding which one to watch, either through the web site of the programme — something that, in Eugeni’s perspective, could have allowed someone to talk about post-media even at that time — or through the “mosaic” channel of a satellite television company, which simply reproduced the multi-windows aesthetics of an internet website, being actually a television channel and hence giving people the option of doing, with the television *dispositif*, some of the things they may have done through the web.

There is however another way of remediating which may less recall the experimental activity of the *avant-guards*¹⁰, but that is also very recurrent when a new medium appears: the individuals who operate through the old media understand that the new one is by the nature of its *dispositif* more immediate, so they take advantage of the sudden “revelation” of the hyper-mediated nature of their “old” way of communicating, to explore what there is *behind* the immediacy of the newcomer. This is again what happened to painting after the invention of photography, when for example the impressionists abandoned the naturalistic techniques to portray people and landscapes and moved towards the representation of what a photograph will never be able to directly show: our inner way of seeing and perceiving the world. Impressionist painters often took photographs of the subjects they wanted to picture but then they worked to explicitly display their own presence, their language, the diaphragm of their art, to show that if the new medium had succeeded in going beyond the representation of the world their old medium was capable of, the latter was still useful to represent something, but something of another nature. Something that cannot be immediately captured and communicated without the mediation of an entire “old” *dispositif* and of the language used to craft its contents, both obviously employed as metaphors to indirectly reveal another kind of truth.

This dynamics of beyond/behind can be anyway less complicated. For example, at the beginning the *Big Brother* format contemplated the usage of a web site and of a mosaic satellite TV channel to enhance television, so to give it the possibility of reaching the immediacy and the interactivity of a web cam on the internet, but in that mechanism a very important place still belonged to the old way of crafting a TV programme. As a matter of fact, even if people were given the tools to see 24 hours per day what was going on in front of the video cameras, personally choosing what to watch without any imposition by a troupe or by a programme director, that simply proved to be impossible. Neither a spectator who had dared to try and watch *Big Brother* all day long could aspire to directly see everything, because he should have paid attention to what was going on in front of every video camera at the same time. Consequently, to have a clear vision of the meaning of what he was capable to see, he needed someone to tell him the story of it. In other words, he needed someone to show him what was *behind* those images. And to fulfil that necessity there was the “old” television, a good traditional TV programme that, like a documentary, was able to cut the most important sequences of the facts happened in front of the video cameras and to make a meaningful montage of them.

5. Inter-medial, trans-medial projects and old media as meta-media to frame a world

Big Brother is considered as one the most famous examples of inter-medial TV programmes (Santangelo 2012: 33-34), which anticipated a trend that today is very visible in the whole media system. It consists in using different platforms, *dispositifs*, languages and contents to expand a *franchise* (Jenkins [2006] 2007: 81-29, 348), so that it can reach its audience every time, everywhere and to every device (Scaglioni and Sfardini 2008: 21-31). But instead of just displaying the same contents on different media, as it usually happens with cross-media strategies, *Big Brother* has been projected to give every medium which is part of its format design a *specific function*. The live video cameras on the web and on the mosaic satellite channel permit people to watch 24 hours per day what happens in every single room of the house where the programme is shot. The 30 minutes daily strip on the broadcasting classic television channel must tell a story about the most important facts that everybody must know to understand the meaning of what is going

10 Many observers, and between them Ferraro, have claimed that the first edition of *Big Brother* has been a remarkable *avant-garde* experiment on TV.

on. The 3 hours weekly talk show must give the audience and some experts the possibility of discussing and of judging the stories that have birth in the house. The paper review must show the behind the scenes. The web site must give the basic information to know the protagonists and to recap what happened in the last days, as far as the programme goes on for months. None of the instruments that have just been mentioned are experimental, in the sense that they remind typical TV programmes, reviews and web sites: the whole project is complex, but its parts are very simple and easy to be understood. This communication strategy is typical of nowadays inter-medial products¹¹. It aims at creating some franchises that give people the possibility of living an overall *new media experience*, but they lean on old media to *frame* it, so to be able to give a clear vision of what is going on in the entire “*world*” of the project itself, any time one wants to know it, from any place and from any device. It is as if the old media were a sort of *meta media*, that is tools to have a more comprehensive glance on the complex mechanisms of the franchise.

Now the most recent evolutions of the media system see trans-media storytelling as the new frontier of what has just been discussed. What is innovative, if compared to inter-medial strategies, is that now the worlds created by the franchise have birth thanks to stories that evolve from a medium to another, in the sense that a part of them is told on a web site, another on a book, another on a movie, on a videogame, etc., and all the pieces must fit like in a puzzle, to show some connections and an overall meaning. Even if trans-media is not the fruit of a technological evolution, in the sense that no new technology has been invented to surpass in immediacy the old media, it shows the main characteristic of remediation, in the sense that its objective is to give people the sensation of finding themselves into the world of their favourite trans-media project, often by engaging them in Alternate Reality Games, meet-ups or in other situations in which fictional worlds overflow in the real one. But even in these cases, the old media, used and perceived as hyper-mediated tools, if compared to the overall feeling of being immersed in a very involving media experience, are projected as meta-media, having the function of framing all the information that is needed to understand what is going on, to move and to coordinate with other people participating to the same “thing”.

As anticipated at the beginning of this article, the manuals for trans-media storytelling are full of technical words that simply say what has just been written. Giovagnoli (2013: 100-104) recommends for example to build, with the old media, “referrals” and “omnivorous communicative systems” called “touch points” to help people know where they are in the story and to help them recover all the information they need to go on. Moreover, these manuals talk about a *specialization* of the media they recur to, operating some precise choices about “the main and the secondary storytelling platforms” (Giovagnoli 2013: 23-24), that are again old media. For example, in the world famous *The truth about Marika* (SVT 2007), a TV drama series was transmitted on the national Swedish television channel SVT about a disappeared woman, to take the problem of disappearing people in Sweden to the attention of the public opinion. After the first episode, a talk show followed, to discuss of that topic and a woman called to say publicly that Marika was not a fictional character, but a friend of hers and that she was investigating to find her. She said she had a blog and a website to carry on with her investigation and she asked the help of everybody. The newspapers hence wrote of the case, the radios treated it too and all the Nation mobilized to find Marika, looking everywhere for hints. A sort of a treasure hunting took place, coordinated by SVT, where the “touch point” was the website of Marika’s friend who called the TV talk show, the “omnivorous communicative system” was the talk show itself, which collected and framed all the information people started to accumulate. The “main storytelling

11 Today almost every radio has its web TV or its TV channel, the most important national newspapers communicate through a web site, a YouTube channel, maybe a TV channel, some comics publishers have their own cinema production house, etc.

platform” was television that, as a meta media, directed all the operations, revealing at the end that everything was just a game projected to teach citizens that joining their forces the problem of disappeared persons in Sweden can be fought.

6. Conclusions

One can think that projects like *The Truth about Marika* are new media experiences that with their interactive and immersive design push the media system towards remediation. This may be true, but it is very clear that in its game design *The Truth about Marika* simply uses old media in their most typical ways. Broadcasting mass television was needed to give the franchise the widest visibility and to be sure to trigger a viral mechanism that would have taken the news about the contents of the programme everywhere in the information sphere (newspapers, TV news, blogs, etc.). The TV drama and the talk show that were transmitted weekly were needed to make the story clear to everybody and to give a rhythm to the game, so that people were committed to solve the riddles, to find some hints, to join their forces in time for the next episode. This management of the time of the game through the timetables of a television palimpsest was also intended to create an active community, because if the audience had seen the TV drama or the talk show many months later than the rest of the Nation, as it happens for example on Netflix or on many on demand television platforms, the game wouldn't have worked, as all the “referrals” and the storytelling platforms would have been full of spoilers from the players who had already finished the game.

The Truth about Marika, like many other trans-media storytelling or inter-media communication projects is therefore a very complex new media experience, but its interest is in the way it mixes old media in a clever way, inventing something different from what we were used to see with old media themselves. After all, Morin (Morin and Le Moigne 1999: 58-97) writes that one of the characteristics of complexity is the holistic principle that the entire is more than the sum of its parts and that what is complex has some *emerging* features that are not possessed by its smaller components. We can hence consider the communication strategies that the defenders of the theory of the post-media condition study as something truly new, but maybe we don't have to forget that — quoting Eugeni again — even if in such new projects the media are very pervasive, they are everywhere and we ourselves are media, this doesn't mean that media don't exist anymore, but simply that we use them in a very refined and aware way, to reach some communicative goals that once we could only dream of.

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ARTIFICIAL INTELLIGENCE AND CUSTOMER EXPERIENCE – LIVING THE BRAND STORY OR BEING EXCLUDED FROM THE STORY

Yagodina Kartunova
New Bulgarian University, Bulgaria
yagodina4@gmail.com

Abstract

Artificial intelligence (AI) is already adopted by companies with the intent to improve the customer's experience with the brand, e.g. Amazon, Google, Facebook, etc. In just a few years, it is highly likely that individuals will use various AI-enabled smart devices on a daily basis. Its applications are almost limitless but its main purpose in terms of marketing is to enhance the customers' experience by offering them solutions, which save them time, money, effort, etc. On the one hand, this could improve the customer's life but on the other, there are some emerging threats. By satisfying the needs of the customers before they even arise, the companies exclude them from the decision-making process. Will this make customers more satisfied or will it set limits to their experience and exploration of new things? One of the valuable resources for brands is to use the semiotic approach to analyze customers' behavior and needs. Computational semiotics could help marketers to understand the creation of meanings, the world modeling and behavior generation of customers in the virtual space in order to use this knowledge in the application of AI. This will help companies not just to create smart objects but also to involve the target audience in a process of customer-brand interaction.

1. Introduction

The predictions are that in 2022 there will be around 29 billion connected devices, of which 18 billion will be related to the Internet of Things (IoT). In 2018, mobile phones are expected to be surpassed in numbers by IoT devices, which include connected cars, machines, wearables and other consumer electronics (Ericsson Mobility Report, 2017). The companies implement artificial intelligence (AI) in the products to make them not only connected but also smarter – to be adjustable to the customers' preferences in order to be able to help them with their everyday

decisions. They give them information about their physical condition in real time, they advise them how many steps to make every day or which road to take in order to avoid the congestion, they remind them what their appointments are or what they need to buy, etc. On the one hand, this sounds very convenient and just as another logical step of the technological development but it changes radically the way customers take the decision to buy, interact with brands and consume the products. There is a chance that in the near future marketers will have to build relationships with the smart machines rather than with customers themselves. The aims of this article are to present some of the possible effects of the marketing in the artificial intelligence age and the impact on the customer's behavior and to suggest a semiotic approach of overcoming some of the possible negative effects.

2. Definitions and predictions

John McCarthy introduced the term artificial intelligence in 1955 and defined it as the science and engineering of making intelligent machines (Peart, 2017). The expectations related to the artificial intelligence's development back then were not too ambitious. The scientists were focused on creating machines that think and could perform simple logical functions. 61 years later, there is a great variety of artificial intelligence definitions. In his book, *Artificial Intelligence* Richard Urwin defines it as a "tool constructed to aid or substitute for human thought. It is a computer program, whether standing alone in a data center or a PC or embodied in a device such as a robot, which plays the outward signs of being intelligent – those signs being the ability to acquire and apply knowledge and skills in order to act with reason in its environment" (Urwin 2016:5). It is an example how with the technological development the expectations have changed and nowadays it is assumed that AI will be able to perform more complex tasks – to have the knowledge and skills to act with reason and even to substitute human thought. In 2016, IBM conducted a Cognitive Advantage study in which over 600 cognitive decision makers participated worldwide. It reveals that nearly six in ten early adopters see AI as a must have to remain competitive within the next few years because it is expected that half of all customers will interact with cognitive technology on a regular basis. Eighty-five per cent of the respondents say that the Internet of Things (IoT) will play an important role in their cognitive initiatives within 2 years (IBM, 2016).

3. Artificial intelligence and customer relationship marketing

3.1. Marketing application of AI

There are many different applications of AI in the product development and the communication with customers and their number is constantly increasing. In the first place, companies implement artificial intelligence in the products to make them not only connected but also smarter. Their ultimate goal is to create customized products which are able to adjust to the customer's preferences. For example, Nest thermostat programs itself adjusting to the typical behavior patterns of its users. AI plays an essential role in the development of the Internet of Things. The combination of both makes it possible not only to create connected devices but also to have devices, which add value to customer's life. Moreover, AI helps the companies to manage Big Data. All the connected devices provide a great amount of valuable data and insights but it needs to be analyzed. AI systems overcome the great challenge to review and understand all this information and to find patterns that can be learned from. They give meaning to the large volumes of digital data by providing predictions and recommendations.

One of the most common uses of AI is the recommendation tool. For example, companies like Amazon, YouTube and Netflix use it to suggest products, songs or movies, etc. to the customers based on what they have learned about them – their previous behavior, their profile, etc. Another popular use of AI are the wearables – smart devices, which keep track of the customer's health, condition and give advices how to improve it. Some companies, like Tesla for example, are using AI to create a collaborative learning system. They are working on producing self-driving cars, which are connected, and when one car learns something about driving, the others adopt it too. There are also intelligent applications such as Siri, Alexa and Google Home that understand a number of voice commands, for example ,to find certain information online, to play a song, or order a pizza. Probably in the recent years with the conversational AI apps, the customer will be able to control almost any device by giving voice commands to the personal virtual assistants. Another popular topic, related to the use of AI, is the implementation of bots in the customer relationship management – companies use a software, which is designed to automate some actions, such as various customer service requests. For example, the famous outdoor brand North Face's has developed a bot, which is trying to recreate the experience of shopping in a store with an assistant. It asks where and when the customer will be using the jacket, then analyzes the weather forecast and other relevant data and recommends the best jacket for the customer. This results in higher customer engagement and improved experience with the brand. The implementation of chatbots is becoming a trend in Facebook Messenger. Since Messenger became an open platform last year over 34,000 bots have been developed. The main reason is that AI enables computers to process natural language and exchange information with customers in an automated conversation. This gives the brands the opportunity to be available in the absolute instant that a potential customer connects with the company (Duhig, 2017). Facebook is also using AI for deeper understanding of the images and their context. Google uses in its algorithm learning artificial intelligence system called *RankBrain* that analyzes the search query and makes an assumption about its meaning so it can be answered in real time without prior human research. One of the most interesting examples comes from Amazon. The company is investing in the development of a service called *predictive delivery* – it sends the customer products based on his purchasing behavior before he even orders them.

3.2. AI customers

Currently connected and smart devices are part of the lifestyle of people who are young, well educated, tech-savvy, and open minded, concerned about their health and the environment. They want to have full control, to be smarter, better and more efficient. These customers want an added value and are looking for brands who are similar to them – innovative and creative. That is why an increasing number of companies focus on their digital marketing strategy and change the way they interact with customers (Ericsson Mobility Report, 2016). For example, Hyundai has launched its Genesis Intelligent Assistant smartphone app, which combines data from the vehicle, the owner's smartphone and the internet with multiple layers of intelligence in order to enhance the customer experience by sending notifications and recommendations. The app estimates appropriate departure time analyzing the traffic, is sends reminders for upcoming meetings, it also allows the owner to remotely control the temperature inside the car, and it searches for nearby gas stations and has many other features.

3.3. AI development

Increasing the brand value and improving the customer's experience are becoming the main goals of the companies. For example, IBM declares that the company goes even beyond artificial

intelligence with its Watson products. It believes that in the next five years, every important decision, whether it is business or personal, will be made with the assistance of AI. This is the vision of the IBM president and CEO Ginni Rometty. For example, the sports cloth company *Under Armour* has used Watson to create an app that serves as a personal trainer to the customer (Bort, 2016). In a press release about the new product IBM states: “A 32-year-old woman who is training for a 5 km race could use the app to create a personalized training and meal plan based on her size, goals, lifestyle. The app could map routes near her home/office, taking into account the weather and time of day. It can watch what she eats and offer suggestions on how to change her diet to improve performance” (Gaudin, 2016). Artificial intelligence becomes increasingly popular for business goals because companies see it as an opportunity to be more efficient, to interact better with the customer and to deliver an improved product/service.

4. Possible disadvantages

As more and more devices become part of customers’ lives by making recommendations and participating in every step of the customers’ journey there is a possibility that marketing and the interaction with the customers will change significantly. Dr. Susanne Hupfer, a researcher and consultant, predicts that in the near future, people are likely to allow the digital brain to enhance their decision-making. In the more distant future, “we may even trust the digital brain to take certain actions upon our behalf” (Hupfer, 2016). She uses the term collective digital brain to illustrate how the human brain will transform because of the dependence on AI-powered smart devices.

The possible disadvantages for the companies are related to the fact that as more and more devices become part of customers’ lives, there is a possibility that brands will end up marketing to them. For many years now, marketers have been focusing on building relationships with the customers in order to turn them into loyal brand ambassadors. But if companies keep working on creating devices which help the customer or even make the purchase decision for him, are brands going to build an emotional bond with the machine? Maybe this prediction is too bold but there is already a significant change in the customers’ behavior and expectations. They want to be delivered targeted and relevant information as fast as possible as there is an overflow of data. The customers highly appreciate the convenience of leaving some everyday tasks to the virtual personal assistant, such as ordering food, shopping, arranging appointments, checking the weather or traffic, etc. A survey revealed that one of the main reasons for owning a connected car is the convenience and the feeling of “making my life easier” (Ericsson Mobility Report, 2016). Relevance is the currency of the digital economy, so it is no longer just enough to deliver personalized customer experiences – those experiences need to be smarter, faster and in the right context. AI makes this new personalized experience possible by recognizing behavior patterns, recommending the best options, predicting outcomes and becoming smarter about the customer (Afshar, 2016). In brief, customers are looking for relevant and simple information, fast and convenient service and are willing to rely on connected and smart devices to help them. In this way, customers believe that they will have more time and energy to focus on more important tasks and projects. However, if individuals leave all the small cognitive tasks to the AI what will be the impact on their behavioral and mental capabilities?

The fact that AI predicts the customer’s needs and tries to satisfy them before they even emerge will have a great impact on the existing purchasing path. The active role of smart devices in the process of decision-making could eliminate the impulse buying and limit the customer to his previous purchase behavior missing out potentially interesting brands. Marketers will have to find a way to influence the algorithm that analyzes price, relevance, previous purchases, recommendations, user’s data, etc. This will change the marketing focus from building rela-

tionships and personal communication to providing highly targeted and reasonable data. Task automation will leave many unpopular brands in an unfavorable position as the chance to get recognized by the smart device will be limited. For example, a smart refrigerator is expected to monitor its content and order the groceries or drinks which are about to finish. It orders the brands which the customer is already using making it harder for new brands to reach its owner. When researchers refer to intelligence of smart devices, they use the word to describe the process of analyzing data to act in a rational way – following rules and predefined structures. Many brand stories are not rational, they appeal to the emotions of the customers in order to make a connection with them and make them not only buy the product but feel happy about it. Smart devices, on the other hand, do not take into account if the owner of the company has quit his job to start his business with no money and has fought hard for his success, the machine analyzes if the Zappos' shoes match the needs of its owner.

There are possible disadvantages for the customers too. They are expected to live in the so-called filter bubble where AI will limit their choice to what it thinks that is the most appropriate. Practically the customer will be excluded from the brand story and the decision making process. Maybe the most important thing is that AI will probably have an impact on people's cognitive capabilities. Marshall McLuhan believes that media transforms the cognitive and behavioral models of individuals thus changing whole civilizations (McLuhan, 1994). If customers leave more and more tasks and decisions to the smart devices, this could result in the inability or frustration to take an everyday decision. For example, what to eat for dinner, where to go on a vacation or what gift to buy for a friend. This hypothesis will be supported or denied with time but we are already experiencing some changes. The writer Nicholas Carr believes that the Internet has changed our mental habits. In his book *The Shallows* Carr states that our brains change in response to our experience and the technologies we use to process and share information can reroute our neural pathways. The Internet in this sense is related to skimming rather than deep reading, making sense of small bits of information instead of concentrating on long texts. He believes that this way we are losing the ability to contemplate and reflect (Carr 2010). Similarly, AI could have an impact on the human brains in the long term making them dependent on the smart devices. AI offers almost unlimited possibilities to enhance the customer experience and deliver improved and highly customized products and services. The main threat is that this process will go too far and the customer will be excluded from the buying process leaving the decisions and the communication with the brands to the smart devices.

5. The semiotic approach as a solution

One way of overcoming the challenges is changing the marketing perspective. Companies should focus on engaging and involving the customer and not making it easier for him to skip the process and ask the smart device to take the decision for him. The smart machines provide a great amount of customer data, which can be used not just to offer recommendations to the customer based on his profile and previous behavior but using the knowledge to engage him in the communication and process of decision-making. Marketers should deliver meaning to the customers. The field of AI could benefit from the use of semiotic approach by focusing on the meaning making process of customers and their use of signs to construct reality. A quantitative survey of more than 10 000 marketers from 92 countries, conducted by Harvard Business Review, reveals that brands are distinguished by their ability to integrate data on what consumers are doing with knowledge of why they are doing it, which gives new insights about consumers' needs and how to best meet them. This way companies are not only focusing on what the customers are doing, when and how but are looking for the true reasons behind their actions. The brands, which suc-

ceed in developing relationships with their customers, provide not only functional benefits, but also emotional and social benefits, which enhance the value of their products by creating customer experiences (Arons, 2014). In brief, there are two possible approaches for the companies. To offer ready-made solutions to limited minds or to understand the obvious limitations of the human mind and to present it possible methods for evaluation to generate solutions.

The second one is the method used by Clarisse de Souza and her research method – the Semiotic Engineering. At first, it was presented as a semiotic approach to user interface design but with time it evolved into a theory on human-computer interaction (HCI). In brief, it studies the principles, materials, processes, effects and possibilities for producing meaningful interactive computer system discourse. The main principles of semiotic engineering are that HCI is a computer-mediated communication between designers (producers of the message) and users and that computer systems should focus on the communication tools of the system and not only on the user's needs (de Souza, 2005). The main idea that could be the core of the AI development is that there should be metacommunication between designers (brands) and customers. In this process, the producers of the signs communicate their meaning potential to the users and give them interactive tools to respond. First, the designer studies the users, their activities, and their environment and then expresses, in the form of computer technology, his views about how the users, their activities and environment may or must change in order to meet their goals. Then the users interpret the message by interacting with the system and respond to the message. Thus, communication is seen more as a collaboration between designers and users and interpretation is seen as a continuous process (semiosis).

In this process, the designer of the message should take into account the culture of the customers and the social group, to which they belong. This idea is opposed to the mainstream interface unification related to the challenge of creating products, which meet the needs and expectations of people with different cultural and social backgrounds. Clarisse de Souza defines five cultural viewpoint metaphors – a conceptual design tool that can be used by brands when creating cross-cultural product design (de Souza et al., 2009). The designers can use them when creating the user interface:

- the domestic traveler: the user's culture is dominate;
- observer at a distance – the designer uses interface elements which represent cultural practices from the customer's culture;
- guided tour visitor: the design provides contrast between two cultures. The customer's culture is dominant and serves as a reference;
- foreigner with translator: the content is the same for all customers, only translation of the words is provided;
- foreigner without translator: the culture of others is offered as it is (ibid).

By focusing on the culture of the individual and his way of creating and interpreting meanings, the AI-enabled devices could be designed to meet his needs and involve him in a meta-communication with the brand, which will enhance the customer's experience and will inspire a process of relationship building.

6. Conclusion

Most brands and customers are experiencing the digital transformation related to deep behavior, mental and social changes. The smart devices and artificial intelligence are becoming an extension of the human body and its capabilities. This controversial trend has its advantages and disadvantages, which have a great impact on the brand development and customer experi-

ence. The semiotic approach could be used to actively involve the customer instead of offer the convenience of leaving the marketing communication and purchasing decision to the smart devices. It could help marketers analyze how meanings are generated, negotiated and transformed in order to engage the customer in an active sign exchange and thus improve his experience.

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FINITE SEMIOTICS: A NEW THEORETICAL BASIS FOR THE INFORMATION AGE

Cameron Shackell

Queensland University of Technology, Australia
c.shackell@hdr.qut.edu.au

Abstract

This paper argues that the arrival of the information age and its “attention economy” compels a new theoretical stance for semiotics: that semiosis is a function of the finiteness of human cognition and the allocation of that resource by the intermediating world. On this basis, and proceeding from only basic ontological commitments regarding cognition, a model is sketched that offers novel definitions of sign, semiosis, and semiotics, and develops two new analytical constructs: the semiosic field and semioformation. The new theoretical standpoint is illustrated with two related examples. Firstly, a finite semiotic examination of metacognition, exemplified by “memory”, is used to reveal a contradiction in the direction of its supposed recovery of thought and the occasion of its recovery. Secondly, such “recovery functions” are shown to be a central mechanism exploited by technology to restructure cognition and categories of the real. Their further study is proposed as an important area for semiotics.

1. Introduction

This paper introduces and illustrates a new approach to semiotics based on the finiteness of cognition called *finite semiotics*, which is detailed in two articles to appear in *Semiotica* (Shackell In press-a, In press-b).

The paper is organised into three sections. In the first section, the marginalisation of semiotics from the innovation and evaluation of information technology is explored. This lack of engagement is traced to how technologists perceive the notion of the sign, which to them does not provide a quantum for computational applications.

The second section provides a primer in finite semiotics, which seeks to bridge this gap by grounding the sign in the finiteness of cognition. It introduces the theory’s ontological commitments and the constructs built upon them.

The third section provides two illustrative applications of the new theory. Firstly, the notion of metacognition is deconstructed to reveal an important paradox. Secondly, the ability of technologies like Facebook to mutate patterns of semiosis is modelled using finite semiotics.

2. Semiotics and technology

The semiotic forces driving technology and the information revolution are reflected in the questions haunting its innovators and consumers. A few of these, for example, are:

- What will be the next big thing? (The next Google, Facebook, or Uber?)
- How do I avoid losing out without missing out on social media? (In common parlance, FOLO, Fear Of Losing Out, versus FOMO, Fear Of Missing Out)
- Should robots be given legal rights?
- Can democratic processes now be manipulated by technological monopolies such as Facebook and Google?

Much incisive and relevant work has been done in semiotics on the effects of technology. Semiotic analysis is no stranger to memes, viral videos, website design, or the mechanics of social networking: for example, Shifman (2014), Frobenius and Harper (2015), Marino (2015), and Leong (2016). There has been a general failure, however, of semiotics to engage with the actual process of technological innovation or evaluation. Some very specialised branches of semiotics such as organisational semiotics (Stamper 1973; Liu 2001) and semiotic human-computer interaction engineering (De Souza 2005) do impinge, but with very specific domain focus and uneven popularity. In comparison to the broad historical and sociological strokes of semioticians such as Barthes, Foucault, and Eco, there has been little attempt to model the questions driving technology as systemic, nor to inform the creation of new competing “semiotic” technologies. In the words of Nadin (2011: 153): “If it [semiotics] ever shows up on the radar, it is rather a blip than a foundation of computer science – contrary to what many semioticians have claimed or hoped is the case.”

2.1. Motivation for a new theory: a closer engagement of semiotics with technology

The situation described above is surprising. In the early 1990s semiotics was enjoying a heyday with a popular ascendancy lead by Eco’s theoretical and fictional oeuvre. It even counted enough adherents to qualify it as a combatant in the “science wars” (e.g. Ross 1996). At the same time, the World Wide Web was beginning its own ascendancy until, by around 1996, it was clear that something remarkable was taking place in patterns of semiosis. A gold rush has ensued in which human computer interaction has been normalised to the point of becoming an obligation. Libraries, art galleries, and museums are now virtual presences in homes, and every realm of commercial and social life has undergone “disruption”. Universities now cater for digital natives with online courses; employers attract workers with fringe benefits such as free iPhones on unlimited data plans. Yet, in the technological world – the world of technological innovation – semiotics has been the word on virtually no one’s lips. A Google search for “Silicon Valley semiotics” is all that is required to confirm this moribund state of affairs. (The masochistic might also contrast the number of job openings in the technology sector calling for semiotics expertise with those calling for cognitive science expertise.)

How could semiotics have been marginalised during what has essentially been a semiotic revolution? Semiotics is anything but a surface level discipline. It is capable of more than retrospective comment. Yet this would seem to have been the *status quo* in regard to technology.

To better understand this eventuality, it is necessary to address a fundamental disconnect that still endures between semiotics and technology: the sign as a quantum.

2.2. The sign is not attractive as a quantum for technologists

In his introduction to semiotics, Chandler predicts that, when told that semiotics is the study of signs, most people will ask, “What do you mean by a sign?” (Chandler 2017: 1). Chandler is quite rightly pessimistic that any answer will be well received. This is doubly true when addressed to technologists. To be told that signs are everywhere and that we all obey sign codes is not seen as much use. In short, to the innovator the notion of signs seems vaguely descriptive but, upon reflection, functionally useless.

2.3. A different question

How do we go about unlocking the vast potential of semiotics in relation to technological design? The answer is not to reject the tradition of the sign as the basis of semiotics: much analysis demands impressionistic sign identification as a starting point. However, to facilitate a re-engagement with the questions of the information age, it is opportune to re-examine the sign.

This can begin simply by asking a different question. Instead of the qualitative question “What is a sign?” let us ask the quantitative question “How many signs are there?”. For example, let us ask a provocative riddle such as the following: In all the data storage on earth (2.5 exabytes is a nominal estimate), how many signs are there?

Suddenly, we have a question of interest to both semiotics and technology.

2.4. The common basis of the ideas of Barthes, Foucault, and Baudrillard

Three influential ideas in semiotics are: that we live in a system of mythologies (Barthes [1957] 1972); that genealogies of thought lead to closed and limited epistemes (Foucault [1966] 2002); and that technological reproduction and simulation give rise to new “hyperrealities” (Baudrillard [1981] 1994). Each of these ideas already has its own well-travelled applicability to information age outcomes. None, however, has translated into much direct influence on which technologies are produced or how technologies are evaluated – mainly because they do not provide a methodology appealing to technologists.

One central problem is that identifying signs is no longer an easy task. To baptise something as a sign was once quite practical and defensible: signs were relatively sparse and stable; agreement about them was well supported by social structures and, more crucially perhaps, a crypto-prescriptive academic establishment. Today, however, stimuli are propagated with such dynamism and at such saturation levels that any agreement about any particular sign must be fleeting. Social structures today, in fact, are only in evidence by the mechanism of being in flux: their identification immediately motivates the entry and exit of followers and disrupters. Meanings are more codified by *likes*, *upvotes* and *wikis* than by media-beset politicians, prestigious university dictionaries or industrially-invested publishers.

We will find no direct answer to our question about the number of signs in digital data from the pre-internet works of Barthes, Foucault and Baudrillard. But as always from works of great insight and scope, we can glean a hint. Their seminal ideas all imply that signs operate upon a *finite* substrate. For Barthes, each of us may live out multiple mythologies, but it is our subset relative to others that defines us. For Foucault the limitations of thought in any age derive from the limitations of the passing age. For Baudrillard, the real cannot be separated from the amount of thought it consumes. In each case, it is patterns in this finite *cognitive* substrate that create

what we experience as signs and meaning. In the era of Barthes, Foucault and Baudrillard this inference was perhaps obvious and trivial. In fact, it is still largely considered so today despite the need for “multitasking” and the considerable effort devoted to the study of “cognitive load”. Semiotics, however, has the opportunity to make of this misunderstood and underestimated *ontological* fact a deeper basis for itself and for the “attention economy” built upon it. For from the simple premise “cognition is finite” we can deduce that “signs are finite” and so establish a finite basis for semiotics.

So how many signs are there in all stored data? One answer must be: as many as the finiteness of thought allows.

2.5. Two benefits of a finite semiotics

A treatment of the sign as finite is urgent and relevant for an obvious reason: the level of semiosis currently being stimulated by technology represents an acceleration, compression and distortion of finite thought to absurd limits. Myriad technological externalities are in evidence with barely a vocabulary to describe them, much less a theoretical framework to compensate for them. Some, such as the side-effects of Facebook, are existentially tragic (Kross et al. 2013); others, like climate change inaction, are potentially apocalyptic (Hulme 2009).

A second benefit in pursuing the finiteness of cognition as the quantum basis of semiotics is theoretical precision. It can bring new clarity to general semiotic theory due to the minimal ontological commitments required. Making these commitments explicit allows us to define constructs such as semiosis and the sign transparently and build grounded and justified methodologies.

3. Finite semiotics: a primer

As discussed above, the very useful concept of the sign is nonetheless very difficult to define. In analysis, the sign is something organic, arising naturally from focused, purposive reading. However, this inferential, impressionistic method, which works so effectively in certain domains of the humanities, is a limitation that has alienated semiotics from the realm of technological development. Moreover, the information age has revealed that the process of sign identification itself is highly fluid. We should not, therefore, begin with a declarative definition of the sign but with an examination of the first principles from which a tenable definition might arise. To this end, the section below sketches the ontological commitments of finite semiotics (presented more fully in Shackell [In press-a]).

3.1. Ontological commitments of finite semiotics

The most basic of premises is that the world changes. This can be represented formally as in Figure 1.

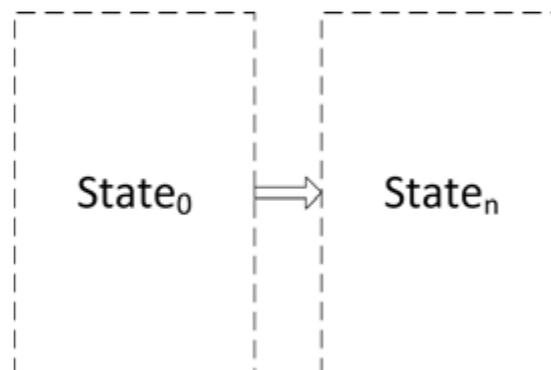


Figure 1. Formal representation of how the world moves from one state to another (Shackell In press-a).

Each of us, of course, is a part of this changing world. We are aware of our membership because it is the primary function of our thought to divide or *discretise* the world into separate objects: and so, as a first move, we assert a discrete identity or self. It does not matter whether we assert our identity implicitly or explicitly: it is a performative contradiction to deny that we exist (for we have conceded our existence as the asker), or to deny that we think (for we must think the denial). Hence, we can locate ourselves as discretising agents within the changing world as in Figure 2.

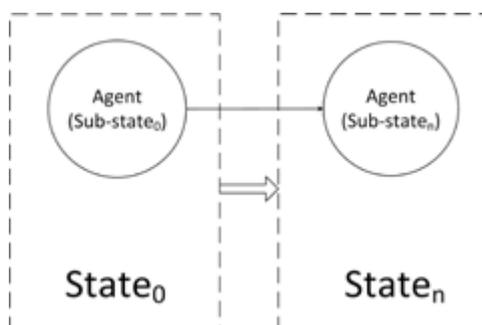


Figure 2. Discretising human agents as sub-states of the universal state (Shackell In press-a).

The imperative to discretise gives rise to the continuity of the world becoming for us a reduced, finite system of objects – something already explored in relation to consumerism, for example, by Baudrillard ([1968] 2005). Any attempt to interrogate this process of discretisation leads to a new discrete object commonly labelled thought. Hence for any agent, any interrogation of existence will insist it is a series of thoughts or cognitive states as in Figure 3.



Figure 3. The consciousness of an agent as a series of identified cognitive states (Shackell In press-a).

3.2. Semiosis and semiotics

In the context of the simple ontology above, *semiosis* can be defined as the process by which thought moves from one cognitive state to another. This is illustrated in Figure 4.

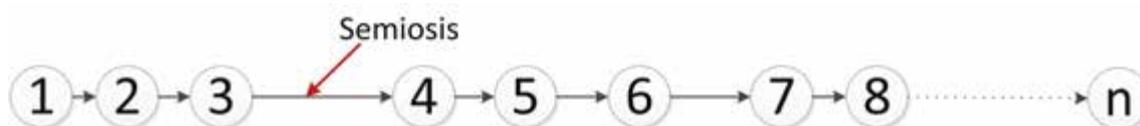


Figure 4. The consciousness of an agent as a series of identified cognitive states with semiosis being the movement between those states.

Semiotics, then, is the study of how, why, when and at what rate this occurs. If one reflects on semiotics as a whole, this is not inconsistent with it as an endeavour and is discernible as a background over its modern history.

3.3. Semiotic valency

The effect of semiosis on the cognition of other agents (through action of the body as part of the world by speaking, for example) can be called its valency. The asymmetric, reticular effects of valency on semiosis come to equilibrium over time. This leads to the stability of sign systems such as language. It is important to note, however, that not all valency derives from semiosis. Our environment introduces stochastic elements (weather, for example) around which the system of

valencies has long adapted. The continuous process of valency and semiosis seeking equilibrium is labelled in finite semiotics with the term *semioformation*.

3.4. The semiosic field

The above definition of semiosis, applied at the population level, allows us to construct the semiosic field which is simply a formal model of global cognition highlighting the relativity of the cognition of any one agent. A basic representation is offered in Figure 5.

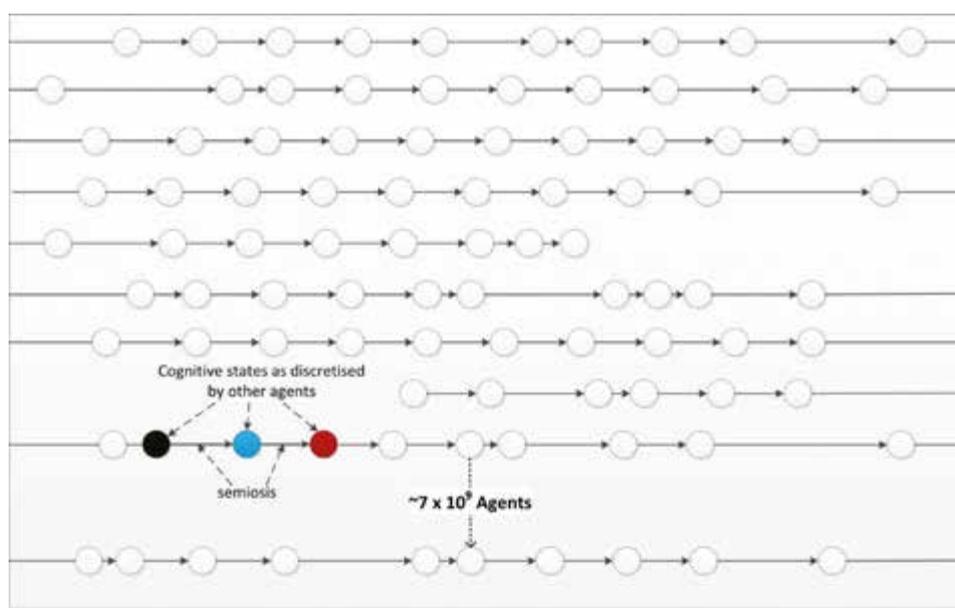


Figure 5. The semiosic field of all agents.

If the semiosic field seems like an intractably ambitious construct, consider that if values for cognition were asserted, such a model could easily be run as a simulation on contemporary computers. (Even just seven gigabytes of memory, for example, would store approximately one byte of data per agent.) Moreover, there are in fact many similar partial maps of cognition in use – political polls, marketing surveys, behavioural analyses, and web site metrics, for example. It is not commonly recognised, however, that these maps are partial maps of a complete theoretical territory: a fact that perhaps retards their understanding and usefulness, especially in regard to observer effects.

3.5. Equivalence of the semiosic and epistemological fields

An important corollary of finite semiotics is that due to the dependence of knowledge on thought (for what is never thought cannot be knowledge), the semiosic field is coextensive with epistemological space. This is seen as a possible source of relativistic effects in examination of the field by any single agent. The closed system created by this equivalence is consistent with Foucault's concept of the *episteme* (Foucault 2002) in which each identification of knowledge is indistinguishable from knowledge itself.

The ambiguity of knowledge and semiosis meets in the concept of the sign, which we may now finally come to reframe. The sign is simply a special type of *identification* prevalent in the semiosic field. Semiosis is inevitable; the sign is optional. Signs are recovered *by semiosis from semiosis* for specific purposes. Hence, an observer paradox pertains when identifying signs: semiosis involves cognition moving from one state to another in which signs are motivational forces (the Stop sign we see when driving, for example, causes cognition to tend towards the ac-

tion of stopping). However, it is only by semiosis that we are able to identify signs. The sign then is an artefact derived from a certain persistent discipline of interrogation of cognition and its observable effects: namely, formal and folk semiotics.

3.6. Summary of the postulates of finite semiotics

The formal foundations for the theory of finite semiotics can be summarised as:

1. Cognition being finite, each agent (human being) is, or is not, having a thought at any moment.
2. As cognition is finite there is a sequence to cognition.
3. The sequence of cognition bears a relation to the world. For example, hot weather often accompanies thoughts of drinking water.
4. The movement from one cognitive state to another we can label semiosis. The study of how this movement occurs we can label semiotics.
5. The effect of semiosis on the cognition of other agents (through action of the body as part of the world, for example) can be called its valency.

4. Illustrative Applications

4.1. Analysis of metacognition: memory or “recall”

A theoretical concept very much in use – either explicitly or implicitly – in practically every intellectual endeavour is memory or “recall”. Without an assurance that the past is static, real and available, knowledge would seem impossible. The essence of recall is that some thought we have had in the past can, at will, be replayed, recaptured, resumed or otherwise interfaced to present thought. In these terms (and in contrast to some other more assumptive usages in psychology, for example), we can categorise recall as a type of metacognition: thought about previous thought.

Finite semiotics allows us to model metacognition with some clarity. An illustration is provided in Figure 6. When I remember my childhood dachshund Fido, my cognition (seemingly under my volition) reaches back to bear some relation to previous cognitive states. I would not maintain that my recall of Fido is precise or is an exact replay of thoughts I had in the past, but overall the thoughts I have now relate by some function (however complex) to the thoughts I had in the past. These functions can be labelled as “recovery functions”, and it is by some recovery function, for example, that I recall that Fido’s muzzle was light brown, that he liked lamp chops and so on. The direction of any recall is retrograde: we can only recall what has happened in the past.

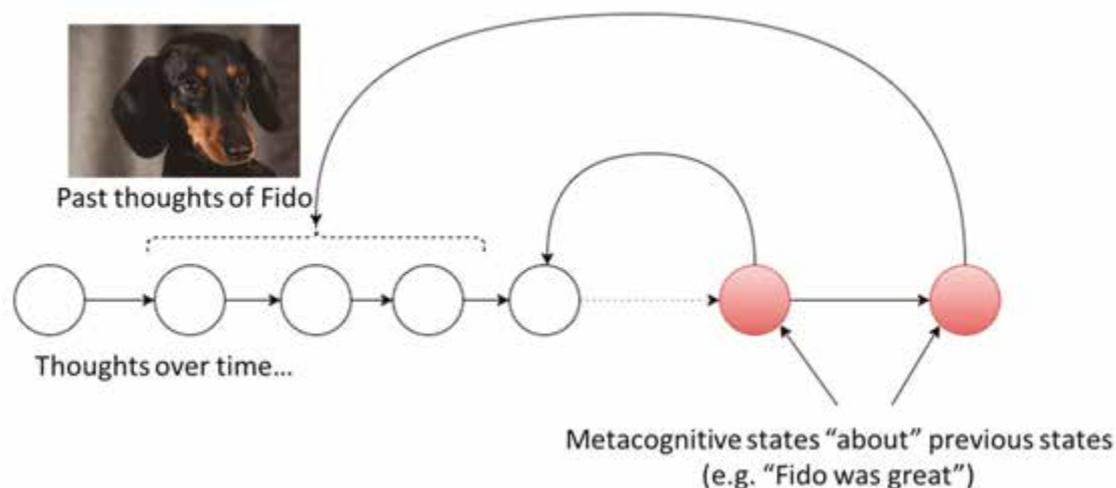


Figure 6. An example of metacognition in terms of finite semiotics. Present cognitive states relate in some way to past cognitive states (adapted from Shackell [In press-b]).

4.1.1. The path dependence of thought

Consider the causal chain involved in memory. If I had never had a dachshund called Fido, would I be able to recall Fido? This seems a ridiculous notion. Obviously, due to the finiteness of cognition, we only recall things that we have had thoughts about in the past, otherwise they would have never entered cognition to be available for recall. I do not seriously recall a purple unicorn I had as a five-year-old because I never had such a pet. There is therefore a dependency between thoughts in the past and thoughts in the present: if we never thought of something in the past, it will never be recalled as “a memory” to determine our thoughts in the present. This can be generalised as path dependence in thought: what we think now shapes the conditions of possibility for what we can think in the future. (Such a notion is in fact the rationale for learning and education.) In terms of the example of remembering Fido, this path dependence can be represented as in Figure 7.

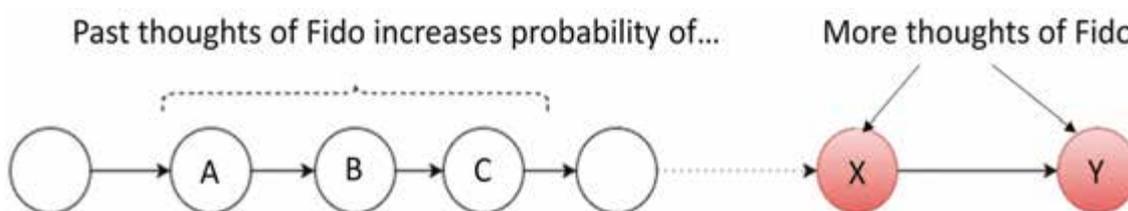


Figure 7. The path dependence of cognition. If I had never thought of Fido, I would not think about him now. The occurrence of X and Y occur due to the prior occurrence of A, B and C.

4.1.2. The paradox of recovery functions

If metacognition involves integration of past cognition into present cognition, how is this to be reconciled with past cognition leading to the act of metacognition itself? As shown in Figure 8, the directions of causality are contradictory.

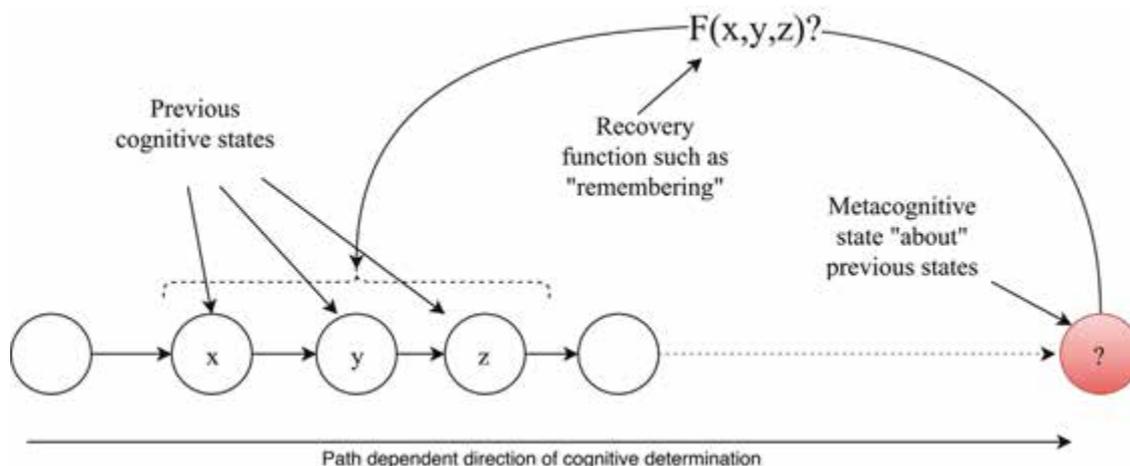


Figure 8. The contradictory directions of metacognition and path dependency of thought (adapted from Shackell [In press-b]).

It is beyond the scope of this paper to delve deeper into this paradox, or to expand examination of it into the multiple agent case (which we can call trans-metacognition). Both the thought recovery paradox and trans-metacognition are explored more fully in Shackell (In press-b). The pertinent fact for present purposes is that finite semiotics has been useful in modelling and uncovering a paradox in the notion of metacognition.

4.2. An application to technology: reality as consumption of thought

In the above example, finite semiotics is used to problematise one commonly held belief about cognition. Finite semiotics is similarly useful in the analysis of the effects of technology, especially where these effects impact the category of the real. To better understand how technology evolves and distorts reality, let us refer once again, as a starting point, to the principle that cognition is finite.

4.2.1. Reality as consumption of thought

Baudrillard offered the concept of *hyperreality* to describe changes in modern society impacting what is considered real. He defined hyperreality as “the generation by models of a real without origin or reality” (Baudrillard 1994: 1). Finite semiotics can offer a rationale for hyperreality: reality for any individual over some interval cannot be distinguished from what that individual thinks over that period. If we are immersed in the virtual world of a video game during an hour, that is our reality for that hour. We can expand this theoretical notion as far as required. An individual’s total reality must consist of the full set of thoughts over their lifetime; globally it must consist of all peoples’ thoughts over all their lifetimes. Just as for knowledge, no reality can lie outside what is thought. Our notions of what lie beyond reality are but structural elements of reality itself.

As Baudrillard claimed, the tendency of technology is to introduce homogenous artefacts (reproductions) into our local environment where they affect our cognition through our sensoria. Not only do these artefacts have an immediate effect on our reality as we watch television, interact with apps on mobile phones and watch YouTube videos on our notebook computers, but, due to their ubiquity, they become the common objects occupying our cognition far beyond the time spent focussed on them. Hence they lead to a progressive restructuring of thought with new realities implied by the thought they consume.

Let us take Facebook as an example. Devotees spend time with Facebook’s affordances, often prompted by a stream of event-driven alerts to do so. Over time, Facebook begins to alter their cognition by skewing their choice of activities. They gravitate to activities that will look cool in a “selfie” posted to Facebook, for example. This in turn alters how they conduct themselves at relevant activities (interrogating a concert venue for the best selfie locations, for example), which brings a new range of exposures, feedback and semioformation. These subtle evolutions have their own cascading effects as new stimuli are encountered, new agent commonalities are forged, new affordances are added to Facebook, and so on. Such mechanisms are not highly individuated or complex, but have become, by virtue of technology, accelerated and coordinated. They are now highly valent, serving to establish new equilibria of cognitive allocation, often closely reflecting underlying economic patterns. A regulatory tax on Facebook, for example, would likely alter cognition on a massive scale.

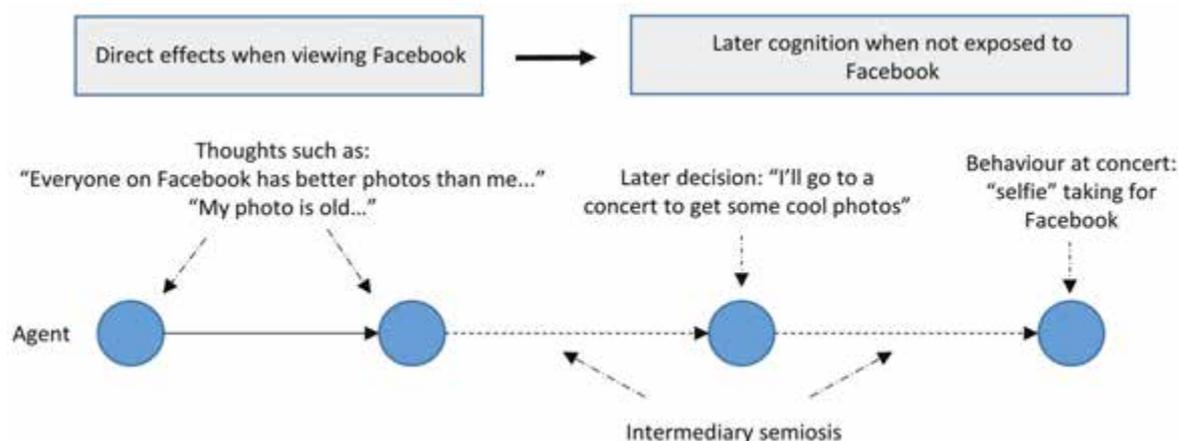


Figure 9. Finite semiotic modelling of structuration of cognition due to Facebook engagement.

Figure 9 illustrates the scenario discussed above. The semiosis regarding concerts and selfies accrues economic benefit to concert promoters, mobile phone manufacturers and other agents as well as Facebook. Facebook thus assumes a power-reality position of being able to evolve the reality of its users for the benefit of commercial customers. The economic good traded is effectively the reality of its users.

4.2.2. The extinguishment of interrogations of reality

In response to the above, one might object that technology merely aids us in dealing with an objective reality that we always remain aware of. This would suppose that at any point in our dealings with technology we can ask ourselves the question “Is this real?” and satisfy ourselves with an answer. But “What is real?” is a recovery function to which the metacognition paradox discussed above applies. To interrogate what is real, we must have already been lead (as always via the path-dependence of thought) to that interrogation. Hence, the absence of an interrogation is the only necessary condition for an instance of “reality”. With such a mechanism in effect there can never be any stabilisation of what is real, for it is always vulnerable to mutation of the circumstances in which such interrogation takes place. If objects persist in our environments for substantial periods of time, interrogations about their reality tend to be extinguished from the semiotic field.

An example is the *Pokémon GO* craze of 2016 (Niantic Incorporated 2016). Many players would no doubt claim to have always kept the *Pokémon GO* characters in the category of the “imaginary”. This may have been true initially, but by the time they were fully engaged and standing at crowded *PokéStops*, how many were still asking if the character Bulbasaur was real?

As Baudrillard suggests, the equivalence of the focus of our attention and reality leads, via the modulations of technology, to rapid shifts in what is considered real. Undoubtedly this is a phenomenon that has always applied to the evolution of human thought: a mechanism of environmental adaptation. But technology, with its powerful ability to reproduce objects and make them ubiquitous – in other words to modulate our environment – saturates and structures the semiotic field with unprecedented speed and tendentiousness. Intergenerationally this is plain to see. Consider how “real” social media is for most grandparents compared to how “real” it is for the average teenager.

5. Conclusion

This paper introduced a new perspective on semiotics that seeks to reinvigorate its links to technology. The tradition of the sign holds an invaluable contribution to the discourses emerging in the information age. Engagement in this area, however, requires an evolution in our conception of the sign to account for the speed and agility with which technology is shaping semiosis.

The germinal notion of the new theory – that cognition is finite – may seem an unlikely epiphany. But if one begins to refer to it in the face of semiotic dilemmas – particularly those raised by technology – a new sensitivity becomes possible: not only to what semiosis and the sign mean now, but more importantly, what role a discipline devoted to their study must play in the world to come.

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**FROM THE SESSION
“SEMIOTICS OF
MULTIMODAL
DIGITAL TEXTS”**

MULTIMODALITY AS A NEW LITERACY: LANGUAGE LEARNING IN THE AGE OF MULTIMODAL SEMIOTICS

Maria Lebedeva

Pushkin State Russian Language Institute, Russia
m.u.lebedeva@gmail.com

Abstract

Both researchers and practitioners deduce that there is a need for a revision and reconceptualization of what constitutes the concept of ‘being literate’ in the 21st century. It is evident that nowadays literacy is no longer confined to the reading and writing of plain handwritten or typed text. The comprehension and production of a variety of multimodal texts – instant messages, social media posts, blogs, vlogs, etc. – become an inevitable, daily communication practice.

How does the theory of language learning reflect the multimodal literacy and assess its opportunities and limitations in the language classroom? How can language teachers use multimodal text in their practice? How are on-screen texts able to support the development of different language skills?

This current study examines the concept of multimodality, its role in digital communication practices, and some arguments of using multimodal texts in a Russian as a foreign language classroom.

1. Multimodal texts: introduction and background

Although the linguistic research in multimodality was begun in the 1990s (O’Toole 1994; Kress and van Leeuwen 1996), nowadays the phenomenon of multimodal and multi-semiotic texts remains underexplored, and the very term is subjected to varying interpretations.

In their introduction to a *Special Issue of Semiotica*, T. Stivers and J. Sidnell examined the multimodal nature of human communication and indicated that “face-to-face social interaction is necessarily multimodal” (Stivers and Sidnell 2005: 6). A handful of academic papers have discussed the phenomenon of multimodality in connection with face-to-face communication or video recording of a spoken interaction (Baldray and Thibault 2001; Taylor 2004, etc.). In Russian

linguistics, it is also more usual to use term “multimodality” to describe the complex of spoken and nonverbal communication (Kibrik 2010).

Another area of research, which started with Kress and van Leeuwen’s paper *Reading Images* (1996), focuses on the multimodal nature of texts, for example, newspaper or magazine articles, advertisements, etc. Multimodal texts are concerned with a variety of sensory modes and semi-otic resources that do not necessarily even include the verbal mode, working in a synchronized way to construct meaning. Such semiotic resources may include: written language, visual images, different fonts, colours, spatial organisation of a text (for printed texts), spoken and written language, sound effects, music, static or dynamic images, fonts and special organisation (for digital texts). Later in the next paragraph, we will discuss the peculiarities of digital texts in detail.

The relationships between different modes can vary. For example, written language can be dominant, while other signs, for instance, visuals, can repeat and support it. Also, different semiotic resources can represent complementary aspects of a message, so that it is impossible to decode the whole meaning of the message without considering all the modes. The message delivered by a multimodal text can even be inconsistent, when different modes convey contrasting meanings, for example, in an ironical context (pic.1).



Figure 1. Inconsistent digital communication: enthusiastic text is combined by a gif with a crying woman.

2. Multimodality of the modern digital communication

The majority of communicative practices of modern people are carried out in digital spaces, in online environments, which are multimodal by their nature. Woods and Hastings (2009) mentioned that nowadays an average consumer of media is bombarded with hundreds of thousand words, most of which are accompanied by different kinds of visuals. Digital genres, such as social media posts and comments, tweets and longreads, blogs and vlogs, emails and instant messages, etc. are mostly hybrid and consist of different types of signs. The most obvious and widespread example of multimodal texts in digital communication is a printed text combined with iconic symbols called the “emoji”. Picture 2 shows how emojis can complement “traditional” texts – the Russian classical poetry; picture 3 demonstrates the ability of emojis to construct a meaningful text by themselves (this resembles ancient pictographic writing systems).



Figure 2. Mobile game by Azamas: some words in A. Pushkin's poem are replaced by emoji icons.



Figure 3. Emojis are able to replace the verbal text.

The possibilities provided by modern media allow enhancing the meaning of the text by using multimodal effects. An exemplary case is a longread about the tragic accident in Karelia, Russia, when 14 children from a summer camp drowned in a lake during a storm (Chesnokov 2016). The article is accompanied not just by illustrations, but by an animated background with sound, which represents a calm (and horrifying, due to the article content) water surface. The language mode is dominant in this case, as the main message of the article is concentrated in the printed text, so that it can be understood without consideration of other resources. The role of aural and visual modes is to underline the essence of the story, to create an appropriate atmosphere and to enhance the emotional mood of the article.

Another hybrid digital genre is a very popular internet phenomenon called the “meme”. Generally, memes can take different forms, such as a word or a phrase, a hashtag, a gif, a video, etc., but the most common type is an image accompanied by a text. Such kind of memes are usually derived from a weird, funny or peculiar in any other way memorable picture or freeze-frame, which has begun to be shared in social media and to be associated with a specific situation or concept. A good example in the Russian context is a meme Ждун (Zhdun, which literally means ‘a person who always waits’ and in English is known as “Snorp”, originally named “Homunculus Loxodontus”), a funny creature by the Dutch sculptor Margriet van Breevoort. It was intended to capture the emotion of a hospital waiting room, while in Russian internet culture it became to represent the patience and naivety of Russian mentality (pic. 4).



Figure 4. Zhdun as an experienced PC user. [I clicked on something and everything disappeared].

Internet memes can illustrate how different modes of a multimodal text are able to complement each other. For example, one of the most popular memes with the character by R. Downy Jr. consists of visual and verbal parts (pic.5). A verbal part by itself is an ungrammatical construction, an incomplete sentence, but in conjunction with the visual part, it makes sense.



Figure 5. Meme: when a text and a picture are a unitary whole.

3. New literacies in the language classroom

In the digital media age, when the screen became the dominant medium of information delivery and communication, the idea of “new literacies” is derived from the thesis that in modern life, people consume and produce mostly multimodal texts, from private posts in Facebook or Instagram to business presentations. “‘The world narrated’ is a different world to ‘the world depicted and displayed’”, G. Kress argued in his book *Literacy in the New Media Age* (Kress 2003: 2). Nevertheless, in traditional school-based literacies, linguistic modes of communication are privileged over the other modes, and this applies to the language classroom, both for L1 (native language speakers) and L2 (second and foreign language speakers) learners.

It is fair to say that some of the national educational standards have already included the concept of a multimodal text: for instance, it is integrated into the new National Curriculum for England and the Australian Curriculum. Meanwhile, the Russian educational system is more conservative, so multimodal literacy, as well as related notions, are not mentioned in the official documents.

In this paper, we would like to discuss some of the arguments for the wider implementation of multimodal texts into language learning and teaching practice.

The first one is that, as mentioned above, the literacy in the digital age requires new competences; therefore it is logical to teach students to create and decode those kinds of texts we are surrounded in our daily and professional life. Research shows that reading multimodal texts, especially in a digital format, demands other skills than reading written or printed texts: visuals attract attention more successfully than the language part; digital readers are more likely to skim very quickly through the text, focusing only on images and headings, but they struggle to read a text carefully and thoughtfully (Ziming Liu 2012; Rosen et al. 2013; Daniel, Woody 2013). This causes problems with the recall, when readers are not able to remember and retell what they have read about (Mangen 2010). Students and teachers should be aware of these peculiarities when reading and producing such kinds of digital texts.

The other argument is that multimodal texts can support language learning very effectively in terms of creating authentic tasks for language learners. Walker A. and White G. (2013) indicate that images and videos meet students' expectations and, even more importantly, can bring "real life" into the classroom: for example, creating a Tripadvisor post about an excursion is more authentic than writing an essay on the same topic, telling a story in Instagram or Snapchat is more authentic than writing a "one-day-in-my-life" essay. Moreover, such kind of tasks makes students be more responsible for their results, because their work can be viewed and commented by not only a teacher, but also by their classmates or even the users from outside.

When a typical A1 level text about the weather is designed as a Facebook post, it meets the requirements of the communicative approach to create authentic environments for learning a language (pic. 6).



Figure 6. Classical A1 text about the weather looking like social media post

In the case of foreign language teaching, it is important to remember that online space is often the first place where a learner meets the authentic, not-from-textbook, language, as well as the native speakers of the target language.

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SEMIOTICS OF ANIMATED IMAGES AS A NEW WAY TO PRESENT GRAMMAR SEMANTICS

Regina Shamsutdinova

Pushkin State Russian Language Institute, Russia
regi93_sh@mail.ru

Abstract

The paper deals with the analysis of semiotics of animated images as a modern way to present grammar phenomena. In semantization of new lexico-grammatical material using animated images coupled with a text can enhance the effectiveness of training. Traditionally, the text has taken the central position in the field of pedagogics. However, multimodal nature of the digital space affected the text so that now it often operates in close concurrence with the visual semiotic units. Moreover, the combination of animated images and verbal text is becoming more widespread. The application in the teaching of foreign languages, particularly in teaching Russian as a foreign language can significantly increase opportunities for linguistic education.

Animated images allow verbalizing most visually a certain lexico-grammatical material that as a rule has abstract meaning complicated to comprehend. One of the most difficult parts of Russian grammar is the system of verbs of motion. Since they denote different ways of motion, their lexico-grammatical meanings are closely related to the visual component. In this case, animated images help to illustrate in dynamics the meaning of every new language unit, as well as specific lexico-grammatical characteristics that complicate learning of the language material. Thus, they aid to clearly distinguish between unidirectional and multidirectional verbs of motion (идти / ходить 'to go') and between transitive and intransitive ones (идти 'to go' / нести 'to carry'), explain the features of denotation of motion (идти 'to go on foot', ехать 'to go by vehicle') and when dealing with prefixal verbs of motion to refine various meanings of a certain polysemantic prefix (зашёл в магазин 'went to the shop', зашёл за угол дома 'went around the corner of the house') and show that they can have different antonyms depending on the denoted situation (принести 'to bring' – унести 'to carry away', принести 'to bring something from' – отнести).

1. Introduction

Because of its multifunctionality text always remained the key instrument of pedagogics. However, as informational technologies develop, the world around us changed noticeably that could not but affect the text. Firstly, a text was obviously incorporated into the digital space and has become an integral part of a display, which now accompanies us almost every second, therefore it is possible to talk about new display form of text existence (Kostomarov 2014: 54–55). Secondly, the digital text has included visual and sometimes audiovisual elements, now “все чаще мультимодальные знаковые композиции вытесняют привычные, в большинстве своем исключительно письменные тексты” [multimodal signed compositions more often dislodge habitual, mostly solely written texts] (Kress 2016: 79). So we can argue that the text, as a unity of interrelated verbal signs, has changed significantly and nowadays is characterized by the feature which is called multimodality. Functioning of the text in close concurrence with the image undoubtedly increases opportunities for linguistic education, particularly for teaching Russian as a foreign language. As Gunter Kress rightly points out, “понятие может быть объяснено уже не ‘словами’, а изображением” [a concept can be already explained not by ‘words’, but by image] (Kress 2016: 79). Nevertheless, text supplemented with static image has been used for different purposes for centuries. These are well-known illustrations in books, which help us to imagine what we read, this is advertisement. Today, thanks to evolving technology and the availability of the digital space, the combination of animated images and verbal text is becoming more widespread. The combination allows us to illustrate a certain statement in dynamics, and therefore achieve maximal visibility in demonstrating and semantization of new lexical and grammatical material.

2. The challenges of teaching Russian as a foreign language

Grammatical meanings of language units are often abstract and complicated to be verbalized. Moreover, in students’ mother tongue one or another lexico-grammatical group can be realized completely differently rather than in target language. As our empirical experience shows, such situation is most typical for the learning process because native speakers of the languages that are not closely related for Russian like English, Chinese, Spanish, Italian, Arabic usually constitute the main contingent of students.

The class of verbs of motion is one of the most difficult parts of the Russian grammar. They represent the special separate group, which has some grammatical and semantic peculiarities, that complicates its acquisition by foreign students. Our research is devoted to the analysis of semiotics of animated images as a modern way to present grammar phenomena, namely, to present Russian verbs of motion and meanings which are peculiar to them in order to increase the productivity of acquisition of the part of the Russian grammatical system.

3. The system of verbs of motion in the Russian language

There are 14 pairs of original verbs of motion without prefixes in the Russian language: идти – ходить ‘to go, to walk’, ехать – ездить ‘to go, to ride, to drive’, бежать – бегать ‘to run’, лететь – летать ‘to fly’, плыть – плавать ‘to swim’, лезть – лазать ‘to climb’, ползти – ползать ‘to crawl’, брести – бродить ‘to wander’, вести – водить ‘to lead’, везти – возить ‘to carry (by vehicle)’, нести – носить ‘to carry’, тащить – таскать ‘to drag’, гнать – гонять ‘to chase, to drive’ (Yudina 2009: 511). The first nine pairs of them are intransitive, the last five pairs are transitive and therefore they require a direct object in form of accusative case. It is no coincidence that the verbs are represented in pairs since such way of representing can help to reflect the specificity of the lexico-semantic group. The main distinction between them is that some of them mean motion in one direction and are unidirectional (идти ‘to go on foot’, ехать ‘to go by vehicle’),

and on the contrary, other ones are multidirectional as they mean differently directed, repeated motion. Furthermore, each pair means a certain way of motion. The four of them correspond to the English verb *to go*, but the difference is that *идти* and *ходить* mean motion on foot, whereas *ехать* and *ездить* mean motion by transport. The same distinction is characteristic of the transitive verbs *нести – носить* ‘to carry’ и *везти – возить* ‘to carry by vehicle’. All verbs of motion without prefixes mean process and are imperfective verbs. Because of prefixation, the unidirectional verbs form the prefixed perfective verbs of motion (*прийти* ‘to come’, *приехать* ‘to come, to arrive’) and multidirectional verbs form the prefixed imperfective verbs of motion (*приходить* ‘to come’, *приезжать* ‘to come, to arrive’). Meanwhile, prefixes do not have the only grammatical meaning of imperfective or perfective aspect, some of them can realize different meanings depending on the context.

4. The current ways of verbs of motion semantization in teaching Russian as a foreign language

In the textbooks and special manuals of Russian as a foreign language usually different schemes and tables with examples are used. They may be supplemented by illustrations that represent moving people, or arrows which show direction of motion, that is combination of verbal and visual component (Antonova et al. 2013: 129–130, 140–141, 167–168; Bogomolov and Petanova 2008: 6-7, 11; Chernyshov 2009: 151, 174-175, Chernyshov and Chernyshova 2009: 49; Esman-tova 2012: 94, 132, 210; Khavronina and Shirochenskaya 2016: 225, 231, 235; Skvortsova 2003: 6-14, 59). Nevertheless, as practice shows, the static images do not contribute to better understanding and acquisition of this part of Russian grammar by foreign students. Indeed, it is very difficult to learn verbs of motion without motion.

The use of animated images permits to simplify both the process of explanation and the perception of the grammatical phenomenon functioning features by students. Unfortunately, the modern technology does not yet allow us to use animated images in printed textbooks, but through the use of appropriate technical equipment, we can involve in studying process digital texts very easily or combine oral explanation, examples and animation, which allows to show the idea contained in a certain language unit very clearly, whereas in comparison with application of solely verbal means – “использование сочетаний модусов предоставляет более полный набор средств для передачи смысла” [usage of modes combinations provide more complete set of tools for transmission of meaning] (Kress 2016: 86).

5. The ways of usage animated images in teaching Russian as a foreign language

The following options for usage of animated images are possible. Firstly, the animation should be applied when it is necessary to present and verbalize new lexico-grammatical material. In this case, a short text is complemented with a visible animated image illustrating the way of motion. For example, if we talk about the distinction between verbs *идти* ‘to go on foot’ and *ехать* ‘to go by vehicle’ it is possible to use short text like *Мы в городе. Мы на улице. Кто это? Это Андрей. Он идёт. Что это? Это машина. Машина едет* ‘We are in the town. We are on the street. Who is he? This is Andrew. He is going. What is this? This is a car. The car is going’, that is accompanied by the animated image, which is showing a person walking in the street and a moving car. Other ways of motion can be represented similarly: *Это дельфин. Дельфин плавёт.* ‘This is a dolphin. The dolphin is swimming’ / *Это птица. Птица летит.* ‘This is a bird. The bird is flying’ / *Это спортсмен. Спортсмен бежит* ‘This is a sportsman. The sportsman is running’, where every verbal example is accompanied by an appropriate animated image. The transitive verbs of motion which require an obligatory direct object that is an object whose motion is caused can be submitted likewise. For instance, in interpreting of the verbs *нести* ‘to carry’, *везти* ‘to carry by vehicle’ we can use animated images that show very clearly the distinction between these verbs, so students see that in the first case a subject moves an object with his

hands (a person is walking along the road and carrying a book in his hand; a person is walking and carrying his child in his arms), while another animated image should contain a mean of transport (it can be a moving car with the word “Milk” on it – Машина везёт молоко ‘The car is carrying milk’; a person is on the train who shows souvenirs – Человек едет домой из Китая и везет друзьям сувениры ‘The man is going home from China and bringing souvenirs for his friends’).

Then students may be offered the tasks aimed at the testing of acquisition of lexical material itself, where students may be offered to replace an animated image with an appropriate word, to match a sentence and an animation, or to choose a correct answer, using a given animated image.

Secondly, animated images help to distinguish between concepts of unidirectional and multidirectional motion. This is especially important, because foreigners, as a rule, do not feel this crucial difference thereby potential mistakes like *Студент сейчас ходит в институт while correct – Студент сейчас идёт в институт ‘A student is going to the institute’ are possible. In this case in explaining we should use animated images illustrating motion in one direction and motion in different directions (a person who is going from door to window / a person who first goes from door to window and then goes back – here it is better to repeat the motion three or four times). The more special case like regular motion that is realized by the verbs of the second group (ходить) can be represented with animated image that shows a person who constantly makes the same motion, where regularity would be emphasized by date (a student goes to the institute: the motion repeats for three or four times, every next time in the corner we see a calendar that shows the next date like Monday, the 2nd of October, Tuesday, the 3rd of October and etc.). The semantization of bidirectional motion (to there and back; a visit to the place) can be complemented by animated image that shows a person who goes to one direction and reaches a certain place (from home to pharmacy), then he is present there for some time (he buys medicine, for instance) and comes back (he comes home).

Finally, animated images help to facilitate remembering of meanings peculiar to prefixes, including cases when prefix is polysemantic or when prefixed verbs according to the denoted situation get different antonyms (принести ‘to bring’ – унести ‘to carry away’, принести ‘to bring something out’ – отнести ‘to take something off’). For example, the prefix за- means, firstly, additional motion on the main way from point A to point B, secondly, motion directed behind an object. In explanation, we can delineate these meanings using verbal examples in combination with animated images. The first one would represent a person who goes from one location to another and additionally goes somewhere else on his main way (a person goes home from the institute and goes to shop on his way home – По пути домой он зашёл в магазин ‘He went to the shop on the way home’). The second one shows a moving subject that makes the movement that is directed behind the frontal side of an object (Машина заезжает за угол дома ‘The car goes around the corner of the house’). Animation also can help to represent cases when prefixed verbs of motion form different antonymous pairs. The above examples принести ‘to bring’ – унести ‘to carry away’, принести ‘to bring something from’ – отнести ‘to take something to’ can be presented and explained using the set of two animated images. In the first one a person comes into the room and bring something, for example, a bouquet of flowers, with him, then he goes away and takes away any other subject, for instance, a book. In the second one, we watch the following situation. A person shows us a broken thing, such as watch, and carries it in for repair (У него сломались часы. Он отнёс часы в ремонт ‘His watch has broken. He took it to repair’), then we see that he again goes to repair workshop, takes his watch and come home with his watch (Он ходил в ремонт. Он принёс часы из ремонта ‘He went to repair workshop. He brought his watch from repair’).

6. Prospect for the implementation an animated images card index

Under appropriate technical capabilities, individual card index of special animated images can be created in a two-dimensional format by graphic artists. Implementation of the card index

as an illustrative content can be carried out within the framework of developing educational portal. Furthermore, the Internet as a huge digital resource allows us to choose necessary animated images which meet our requirements and serve the needs and the tastes of students. For example, the animated images with animals can be very popular among students due to evoking pleasant feelings as well as positive educational effect. Apart from that, the modern video editing programs allow us to mount short animated images on the same topic. For instance, we can create animations based on a feature film or cartoon. Animated images based on the cartoons will be especially relevant in the classroom of primary and secondary school-age children.

7. Conclusion

In our opinion, usage of animated images helps to create bright associations in studying of new grammar material, that contributes to its better understanding and acquisition and allows students to interpret relevant verbal signs correctly in the future. In the practice of teaching foreign languages, animated images may be used both during the class work (in the context of presentation of new material, under the testing or individually during the implementation of tasks using appropriate devices) and the independent work, as well as in distance learning, in e-learning courses and mobile applications both in theoretical and practical aspects.

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EXISTENTIAL SEMIOTICS

**FROM THE SESSION
“(THE) NEW PARADIGM
OF EXISTENTIAL
SEMIOTICS”**

BEING IN THE WORLD AND BEING FOR THE WORLD IN THE EXISTENTIAL MODELS OF REALITY

Zdzisław Wąsik

Adam Mickiewicz University, Poznań, Poland
zdzis.wasik@gmail.com

Abstract

Departing from existential universes of animals (*Umwelt*) and humans (*Lebenswelt* and *Dasein*), this paper confronts a number of views on the subjective experience, or modelling systems of reality, developed in the philosophy of nature and culture. The first part examines how the semantic relationships of non-human and human organisms to their environments are outlined in phenomenology as a study of individual experience from a subject-oriented perspective. Respectively, animals are admitted to have meaningful relations with actual things through an outward extension of their body, but they are stated to lack a direct access to the things in themselves and to their various forms of being, because they cannot transcend the imprisonment of their surroundings. In the second part exposing the mundane background of semiotic phenomenology, the existence modes of animal and human subjects are considered in terms of being-in-the-world as immanence and being-for-the-world as transcendence. Immanent subjects are seen as existing in their environments, and transcendent subjects as being able to go beyond their life-world. Reassuming by positively marked or unmarked interpretations of existence and life in the semiotic universes of humans and animals, the author arrives at a conclusion that the extension of the study on reality and world might enrich the framework of existential-transcendental phenomenology if the human organisms' relations to the world they dwell in were considered from the viewpoint of their becoming in the world and the becoming of the world as a result of their interactions.

1. Subjective universes of animals and humans as semiotic spheres

In the first part of this paper, the terms *Umwelt* introduced by Jakob von Uexküll and *Lebenswelt* put into the use by Edmund Husserl are interpreted with regard to animal and human environments basing on their applications and interpretation in existential phenomenology, philosophy of biology, and biological semiotics (for details see Wąsik 2001).

1.1. The phenomenology of the animal world in the light of biosemiotics

The term *Umwelt* denoting the ‘surrounding world’ derives its connotation from Jakob von Uexküll who has investigated how living organisms perceive their environment and how this perception determines their behavior. Pertaining to the subjective world, this term was coined by Uexküll in his *Umwelt und Innenwelt der Tiere* early in 1909. As Kalevi Kull remarked, “in his article of 1907 he still uses the term ‘Milieu,’ as different from ‘Außenwelt” (1999: 390; cf. Uexküll 1907). Soon afterwards, Uexküll’s framework was enriched with a new term *Umweltröhre(n)*, ‘environmental pipe(s),’ introduced in *Theoretical Biology* (1926 [1920]; cf. 1928 /1920/). Moreover, in the 2nd edition of *Umwelt und Innenwelt der Tiere* (1921 /1909/), a complementary term *Funktionskreis* was added, rendered as “functional circle” or “functional cycle”. Metaphorically modelled as a “soap bubble”, *Umwelt* was referred to a particular environment of an animal that acts in a “functional circle” of, e.g., medium, food, enemy or sex (cf. Uexküll 1982 [1940]: 59-60, especially 71), and *Umweltröhren* appeared to show a sequence of environmental circles that an individual organism had to pass in a stroll of its life understood as a journey through invisible worlds according to Jakob von Uexküll and Georg Kriszat (1992 /1957/[1934]) and Jakob von Uexküll (1936).

Having studied the behavior of organisms entering into relationships with their environments, Uexküll (1982: 27-31) noticed that animals at all levels, endowed with the property of the so-called “ego-quality” — from unicellulars to hominids — are capable of discerning meanings from environmental indicators.

1.2. Interpreting the mundane phenomenology in terms of sign-behavior

Another kind of subjective universe was proposed by Edmund Husserl under the label of *Lebenswelt* describing the pre-given world in which humans live. The spherical dimension of human surroundings is visible in Husserl’s definition provided during his lectures, held at Prague in 1935 and Vienna in 1936, edited for the first time 1954 and translated into English in 1970, as *The Crisis of European Sciences and Transcendental Phenomenology*:

In whatever way we may be conscious of the world as universal horizon, as coherent universe of existing objects, we, each “I-the-man” and all of us together, belong to the world as living with one another in the world; and the world is our world, valid for our consciousness as existing precisely through this “living together” (Husserl 1970 [1954]: 108).

In his description of *Lebenswelt*, Husserl adheres to a dualistic division between empirical and rational facts. This separation of sensible from the intelligible generates the conception of one life-world which encompasses two distinct worlds, of nature and of mind/psyche (Husserl 1970: 60).

What is significant, Husserl links the use of world to the appearance of a special subject-oriented psychology combining empiricism with rationalism to generate “a psychophysical anthropology in the rationalistic spirit” (Husserl 1970: 62). A phenomenological concept of world in Husserl’s interpretation should not only overcome the hitherto kept opposition between empiricism and rationalism but also have the extent to include at the same time the spiritual world, the ideals world and the life-world.

Thus, Husserl’s life-world conception demands a more authentic understanding of subjectivity and objectivity, as far as to live is always to live-in-certainty-of-the-world. Walking life is being awake to the world, being constantly and directly conscious of the world and oneself as living in the world, actually experiencing and actually effecting the ontic certainty of the world. But there exist a fundamental difference between the way individuals are conscious of the world and

the way they are conscious of things or objects, though together the two make up an inseparable unity (cf. Husserl 1970: 142-143).

It was, however, significantly earlier, in his manuscript of 1890 “Zur Logik der Zeichen (Semiotik)”, when Husserl (1970 /1890/) gave some thoughts to the origins of sign behavior, summarized in four statements: firstly, that all animals react to phenomena as signs of relevant objects or situations; secondly, that when they are able to grasp causal or regular connections between some parts of situations they usually chose these as signs of the whole; thirdly, that when communication occurs with the use of signs then it must be preceded by sign consciousness and, finally, that at further evolutionary steps the users of signs must be aware of regular effects of their intended use(s).

1.3. The reality of everyday life as an intersubjective world

Discussing Husserl’s *Lebenswelt*, one should add that the term “life-world”, used in mundane phenomenology as the translation from the German original, was abandoned by social constructivists, Peter Ludwig Berger (1929-2017) and Thomas Luckmann (1927-2016), in favor of the term “the reality of everyday life” (cf. Berger & Luckmann 1966: 23). Nevertheless, the term *structures of life-world* was continued in the work of Alfred Schütz (1899-1959), an Austrian philosopher and sociologist, first in the English and then German editions, by Thomas Luckmann (cf. Schütz & Luckmann 1973 [1975]).

Following the belief of Berger and Luckmann (1966: 23):

The reality of everyday life further presents itself to me as an intersubjective world, a world that I share with others. This intersubjectivity sharply differentiates everyday life from other realities of which I am conscious. I am alone in the world of my dreams, but I know that the world of everyday life is a real to others as it is to myself. Indeed, I cannot exist in everyday life without continually interacting and communicating with others.

Subsequent to social constructivists, the society is the creator of knowledge, although an individual human being, as organism, experiences, *de facto*, the reality while receiving various kinds of information from the environment.

1.4. *Animal Symbolicum* on the evolutional scale of communication systems

While reading Husserl’s ideas pertaining to the awareness of signs, Ernst Cassirer (1874-1945) took stand to mutual relationships between sensuous bearer of meaning and the meaning itself in several places of his earlier works. However, he had created his phenomenology of symbolic forms under the influence of his contemporary friend and scientific colleague, Jakob von Uexküll. Entering into the epistemology of biology, Cassirer poses, in his summarizing book *An Essay on Man*, published in America, a question: “Is it possible to make use of the scheme proposed by Uexküll for a description and characterization of the *human world*?”. And he answers it consecutively: “Obviously this world forms no exception to those biological rules that govern the life of all the organisms. Yet, in the human world we find a new characteristic which appears to be the distinctive mark of human life ... a third link which we may describe as the *symbolic system*” (see Cassirer 1962 /1944/: 24). As he expounds there:

[M]an lives in a symbolic universe. ... Instead of dealing with the things themselves man is in a sense constantly conversing with himself. He has so enveloped himself in linguistic forms, in artistic images, in mythical symbols or religious rites that he cannot see or know anything except by the interpretation of this artificial medium. ... He lives rather in the midst of imaginary emotions, in hopes and fears, in illusions and disillusion, in his fantasies and dreams (Cassirer 1962: 24).

Cassirer argued that animal behavior includes only signals but not symbols. Even when practical imagination and intelligence is attributed to an animal, it is only man who has power over of “a symbolic imagination and intelligence” (Cassirer 1962: 33).

1.5. On three levels of modelling the mundane reality in the semiotics of nature and culture

The background of Cassirer’s concept of symbolic forms was noticed by Thomas A. Sebeok in his paper “From Vico to Cassirer to Langer” (cf. 1994 [1992]) placing him between the historiosophical thought of Giambattista Vico (1668-1744) and the philosophy of Susanne Langer (1895-1985), pertaining to mentalist symbolism in language and art. Worth mentioning is the rapport between Vico and Juri Lotman (1922-1993), discussed in Tuuli Raudla’s article “Vico and Lotman: poetic meaning creation and primary modelling” (2008).

In conformity with Uexküll’s and Cassirer’s separation of animal and human universes based on a semiotic opposition between the signs of nature and the symbols of culture while being opposed to the distinction of primary and secondary modelling systems authored by Lotman, Sebeok postulated to distinguish three levels of the modelling of reality, answering a question (posed at the Semiotic Society of America Meeting in 1987): “In what sense is language a ‘primary modelling system?’” (cf. Sebeok 1988).

In his theses on “The place of art among other modelling systems”, Lotman ([2011 [1967]: 250) describes a model as “an analogue of an object of perception that substitutes for it in the process of perception”, as far as: “Modelling activity is human activity in creating models” (Lotman 2011: 250). Accordingly, “A modelling system is a structure of elements and rules of their combination, existing in a state of fixed analogy to the whole sphere of the object of perception, cognition, or organization. For this reason, a modelling system may be treated as a language” (Lotman 2011: 250).

While taking stand to Lotman’s position, Sebeok puts forward his modelling system theory based on the discrimination between non-verbal communication and verbal systems. At the same time, he mentions that it is very likely that the *Homo habilis* had the capability of language without any verbal expression claiming that: “Solely in the genus *Homo* have verbal signs emerged. To put it in another way, only hominids possess two mutually sustaining repertoires of signs, the zoosemiotic non-verbal, plus, superimposed, the anthroposemiotic verbal” (Sebeok 1988: 55). According to Sebeok, what the Russo-Estonian semioticians call “primary” — i.e., the anthroposemiotic verbal — is “phylogenetically as well as ontogenetically secondary to the nonverbal; and, therefore, what they call ‘secondary’ is actually a further, tertiary augmentation of the former” (1988: 55).

In his studies on the semiotic self under the title *A sign is just a sign*, Sebeok (cf. 1991 /1979/; and 1991) postulates three modelling systems of reality. Accordingly, the primary modelling system (PMS) of reality is found on the level of animals that act through effectors and receptors. The secondary model system (SMS) involves, the reality of everyday life construed by the use of verbal means of signification and communication, which occur as such only in the realm of human organisms. The tertiary modelling system (TMS) is characterized as encompassing the whole sphere of language and culture and civilization where the representations of extrasemiotic reality are artificially created by humans only.

Describing the triadic relationship between “developmental” stages of an individual organism, Thomas Sebeok and Marcel Danesi have maintained that (1) PMS is “the system that predisposes the human infant to engage in sense-based forms of modelling”; (2) SMS is “the system that subsequently impels the child to engage in extensional and indexical forms of modelling”;

and (3) TMS is “the system that allows the maturing child to engage in highly abstract (symbol-based) forms of modelling” (Sebeok & Danesi 2000: 10).

2. Interpreting the being modes of human subjects in terms of existential semiotics

The second part of this article is devoted to a search for the roots of existential semiotics characterized by the category of *Dasein*, which is central to the mundane phenomenology of Martin Heidegger. It begins with rethinking the layouts of human-centered semiotics developed by Eero Tarasti in the light of philosophers who pay attention to “existence” as a dwelling in the real world and “transcendence” as going beyond the concrete reality and starting a trans-mundane journey to other realities through the acts of subjective sign-and-meaning-creation (semioses), in his subsequent works published in the last decades, two of which namely, (1) “What is existential semiotics? From theory to application” (Tarasti 2009) and (2) *Sein und Schein. Explorations in existential semiotics* (Tarasti 2015) which appear to be most advanced for a detailed consideration.

2.1. The worldhood of the world through the vantage point of *Dasein* as being-in-the world

The existential relationship of the human subject to the world in which he lives, should be exposed on the basis of Heidegger’s works: *Being and Time* (1962 [1927]), “On the essence of ground” (1998 [1929]), and *The Fundamental Concepts of Metaphysics: World, Finitude, Solitude* (1995 [1983]). As Heidegger notes in 1929, *Sein und Zeit* constitutes the second of three different approaches to the problem of the world (see Heidegger 1995 [1983]: 176-177).

The first approach in “On the essence of ground” [“Vom Wesen des Grundes”] (1998 [1929]), deals with the historical development of the word and concept of world. The second approach, in *Time and Being [Sein und Zeit]* (1926-1927), addresses “the phenomenon of world by interpreting the way in which we at first and for the most part move about in our everyday world” (see Heidegger 1995: 177). And the third one, in turn, discussed in *The Fundamental Concepts of Metaphysics* (1929-1930), 1995 [1983] rests on a “comparative examination” of man, animals, plants and stones (see Heidegger 1995: 177).

What makes *Being and time* distinctive is its emphasis on the world as not a concept but as a phenomenon. A phenomenon describes something that “shows itself” something that becomes “manifest” and “shows itself in itself” (see Heidegger 1962 [1927]: 28-29). Thus, the world as a phenomenon should give us the world itself. For Heidegger, however, the manifestation of the world in “our everyday life” reveals “the phenomenon of the world as a problem”.

This problem which arises in *Being and time* Heidegger approaches in *The Fundamental Concepts of Metaphysics*, is the world from the vantage point of *Dasein*, and we therefore find dealings “that which is so close and intelligible to us in our everyday dealings is actually and fundamentally remote and unintelligible to us” (Heidegger 1995: 177).

What Heidegger addresses in his third approach are thus the three concepts, namely world, finitude, and solitude, which form a unity. Therefore, the discussion of animality must be contextualized as belonging to this larger analysis of metaphysics and the essence of man. Without a doubt, Heidegger’s famous tripartite thesis constitutes an attempt to understand the essence of “the other beings which, like man, are also part of the world”, with regard to their relationship to and difference from the “having world” that marks man: “[1.] the stone (material object) is wordless; [2.] the animal is poor in world; [3.] man is world-forming” (see Heidegger 1995: 177).

2.2. Philosophical positions of existential semiotics

The foundations for a human-centered paradigm of existential semiotics were laid by Tarasti at the 9th Congress of the IASS/AIS, Helsinki-Imatra, 11-17 June 2007 (cf. 2009). To understand

the contribution of Tarasti (2015) to the semiotic-existential interpretation of transcendental forms of human subjects who cross the boundaries of their life-world by means of signs and sign-processing activities, one should especially attend to the relationship and the difference between the understanding of existentialism in the works of Martin Heidegger and Jean-Paul Sartre (1905-1980).

However, the sources and direction of reasoning of the former, Heidegger, and the latter, Sartre, were completely unrelated (cf. 1990/1960/ [1936-1937] and 1956 [1943]). The way of Heidegger was leading from the forerunners of existentialism, Søren Kierkegaard (1941[1846]) and Karl Jaspers (1962 [1946/1913/]), and that of Sartre from the speculative philosophy of Immanuel Kant (1941 [1846]) and Georg Wilhelm Friedrich Hegel (1910 [1807] or 1977 [1952 /1807/]). Therefore, Tarasti (2009, 2015) proposed to go back to Hegel, the first philosopher who characterized his approach to reality as phenomenology alluding to Kant, but who, unlike Kant, expressed his conviction that phenomena constitute a sufficient basis for a universal science of being.

Having departed from the study of human experience consciously realized by the senses (or lived through) from a subjective or first person point of view, Tarasti focused on rethinking the semiotics in the light of philosophers who paid attention to the such notions as “subject”, “existence”, “transcendence”, and “value”. These selected concepts were placed on the background of such categories of existential phenomenology as *Umwelt*, *Lebenswelt* and *Dasein*.

The primary point in Tarasti’s (2009, 2015) inquiry constituted Hegel’s categories of *An-sich-sein* ‘being-in-itself’ and *Für-sich-sein* ‘being-for-itself’ distinguished in his phenomenology or mind/spirit (1910 [1807] or 1977 [1952 /1807/]). These categories were confronted with the philosophy of Kierkegaard (1941[1846]) who spoke about an individual as an observer of him- or herself or the observed one.

Sartre, an attentive reader of Hegel (1977 /1910/ [1952 /1807/]) and Kierkegaard (1941[1846]) simultaneously, referred to Hegelian concepts using the French terms, *être-en-soi* and *être-pour-soi*. For Sartre (1956 [1943]), the being as such becomes aware of itself through an act of negation, and when becoming an observer of itself, it shifts its interest into the position of being for itself. Having noticed a lack in its reality, the being begins with the first act of transcendence as far as it strives to fulfil what it lacks.

2.3. Individual and social being forms of human body in the semiotic phenomenology

In his studies on Hegel’s phenomenology (cf. 1977 /1910/ [1952/1807/]), Tarasti (2009, 2015) was influenced by Jacques Fontanille’s corporeal semiotics (2004: 22-23), Hegelian categories *An-sich-sein* and *Für-sich-sein*, were further extended in Tarasti’s existential semiotics (2009: 1761-1763; 2015: 22-24) through *An-mir-sein* and *Für-mich-sein* (*être-en-moi* ‘being-in-myself’ and *être-pour-moi* ‘being-for-myself’).

In his appropriation of Hegelian categories, Fontanille (2004), presented a distinction between individual and social being forms of human body (*soma*) in an entirely new phenomenological sense (*séma*). While proposing to detach the body experienced inside of their organism as a flesh, which forms the center of all physiological and semiotic processes, from the body observed outside of their organism, which shapes their uniqueness and behavioral characteristics, he introduced a distinction between *Moi* and *Soi* as two categories referring to the same acting individual. As he assumed, the *Soi* is that part of ourselves, which me, *Moi*, projects out of itself to create itself in its activity. Likewise, the *Moi* is that part of ourselves to which the *Soi* refers when establishing itself. In Tarasti’s interpretation: “The *Moi* provides the *Soi* with impulse and resistance whereby it can become something. In turn, the *Soi* furnishes the *Moi* with the reflex-

ivity that it needs to stay within its limits when it changes. The *Moi* resists and forces the *Soi* to meet its own alterity” (cf. Tarasti 2009: 1761). These labels, *Moi* and *Soi* connote the existential and social aspects of the subject or, rather, the individual and communitarian sides of the whole self as an investigative object of neosemiotics.

2.4. Human subjects in existential acts of self-awareness

After considering Hegel’s (1910 [1807] or 1977 [1952 /1807/]), Heidegger’s (1962 [1927], 1995 [1983]), Sartre’s (1990 /1960/[1936-1937] & 1956 [1943]) along with Fontanille’s (2004) scaffolds as they have influenced Tarasti in his elaboration of a semiotic model of the corporeal and mental, individual and social existence modes of human subjects in the real world and transcendence from it into other realities, it is worth enumerating the four modality acts of their self-awareness, reconstituted in a cohesive description (cf. Tarasti 2009: 1766; or 2015: 25):

1. Being-in-myself – *An-mir-sein* – *être-en-moi* in which an individual is willing to appreciate his/her/its existential bodily self-worth;
2. Being-for-myself – *Für-mich-sein* – *être-pour-moi* in which the individual can reflect upon him-/her-/it-self while transcending to the position of an “observer”;
3. Being-in-itself – *An-sich-sein* – *être-en-soi*, in turn, in which an individual transcends to probable chances that he/she/it must either actualize or not actualize in society;
4. Being-for-itself – *Für-sich-sein* – *être-pour-soi* in which an individual refers to an actual role he knows how to perform in the existential world of society.

3. Life and existence as conscious being-in-the-world, being-for-the world and becoming-of-the-world

Summarizing similarities and differences between existential modes of (non-)human subjects in terms of their being in the world as immanence and being for the world as transcendence, one can say that immanent subjects are assumed to exist in or with their environments and transcendent subjects as being able to exceed the universe of their (human) life. A significant dissimilarity between animals and humans, is noticeable in the meaning of ‘life’ and ‘existence’ in terms of conscious awareness of being alive and taking stand to the existence in the surrounding and existing for the surrounding.

Important is the statement that all organisms cohabit (dwell in) the same world. One might therefore be entitled to assume that considering thus the organisms’ relations to the world they cohabit, it is the matter of their becoming in the world and, subsequently, the becoming of the world as a result of these relations.

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LA CRISE DU SENS ET DE LA COMPREHENSION DES DISCOURS MYSTIQUES. UN NOUVEAU PHENOMENE DANS LE MONDE CONTEMPORAIN

Marzieh Athari Nikazm

University of Shahid Beheshti, Tehran, Iran
m.atharinikazm@gmail.com

Abstract

Dans cet article, nous allons analyser les particularités discursives et énonciatives du discours des mystiques et des soufis persans. Nous voulons montrer qu'il y a de modèles différents de l'énonciation chez ses derniers : la danse Samâ, la poésie et des versets labiaux. Dans toutes ces énonciations, c'est toujours la question de la transcendance, un *Soi* qui se met en scène. En effet, leurs discours montrent un dépassement de soi qui atteint à un *Soi transcendantal* et qui entraîne un débordement du sens. Des valeurs individuelles, ils atteignent aux valeurs ontologiques.

L'objectif de cette recherche est de montrer que pour comprendre les discours mystiques, il faut considérer l'ancien système de valeurs des mystiques et des soufis pour qui la connaissance de soi est celle du *Soi* surhumain et infini qui est le seul Réel même. Ce système de valeurs est en contradiction avec le système nouveau dans le monde d'aujourd'hui. C'est pourquoi le sens est en crise et d'une certaine manière incomplète. C'est la constante « affirmation de l'Un » qui aboutit à l'« extinction » de l'illusion existentielle dans la « réalisation de l'Essence (suprême) ».

1. Introduction

Le monde moderne remet en question les idées de la transcendance et d'un Etre suprême. Les systèmes des valeurs changent ainsi naturellement. Avec ce changement de système de valeurs, comment pourrait-on comprendre les textes des mystiques ?

Il est bien évident que dans les discours des mystiques, c'est toujours la question de la transcendance, des valeurs et de l'éthique. Dans tous ces modèles de l'énonciation que ce soit avec le corps et par le langage non-verbal comme la danse mystique ou par le langage littéraire, il y a un

Soi qu'ils essaient de mettre en scène. C'est la mise en pratique du « croire sans voir » qui atteint son point culminant dans la concentration permanente d'un *soi-ipse* sur le principe surintelligible. Ce qui compte pour ces sortes de discours, c'est la dimension mystique, un sous-ensemble de la dimension cognitive, qui contribue au sens qui reste incomplet et toujours dans le voile pour les gens ordinaires. Tout cela mène à une sorte de philosophie l'Unité de l'existence abordée et expliquée par Ibn Arabî.

Pour expliquer le sens de ces textes, nous profitons de l'argument de Jacques Fontanille selon lequel les valeurs pratiques prennent forme dans l'organisation du cours d'action. Nous devons nous référer également à la sémiotique des cultures. C'est une sémiotique-objet à part entière, une macro-sémiotique constituée d'un plan de l'expression et d'un plan du contenu, des codes et des règles systématiques. « La contribution des pratiques à la formation et à l'évolution des cultures tient à leur propension à produire des valeurs, notamment éthiques et esthétiques, par le moyen des processus d'accommodation, et donc sur l'axe syntagmatique » (Fontanille 2008 : 293).

Comme le note très bien Fontanille, la production des formes culturelles avait déjà été étudiée par Denis Bertrand sous la forme de la praxis énonciative. En effet l'énonciation n'est pas seulement un appareil formel ou un simulacre projeté dans l'énoncé, cette praxis est une réalité linguistique et culturelle qui est actualisée et réalisée par une performance discursive. L'énonciation est un lieu de traditions et d'innovations, un lieu d'usages et de créations rhétoriques. C'est une sorte de la dynamique linguistique.

Le système de valeurs proposé par les mystiques est plutôt centré sur dépassement par un Idéal ou un autre. Manque de sens résulte non de l'absence du sens mais du débordement du sens vers l'idéalité et l'altérité. C'est un élargissement de la sphère du *Moi*, En effet les discours reconstruisent les systèmes de valeurs autour d'une altérité, la transcendance de l'Autre. C'est une question existentielle. Nous devons ajouter également que la question éthique se pose à propos d'un homme engagé dans l'action pratique dès que cette action a des effets qui dépassent son opérateur, son acte et son objectif et qui concernent l'Idéal, l'Autre et une utilité généralisable.

Après cette petite introduction, il faut étudier l'histoire du soufisme et du mysticisme, ensuite nous allons parler de trois modèles de l'énonciation pour notre analyse.

2. L'histoire et la philosophie « Unité de l'existence »¹

La vision mystique est l'ensemble des consciences qui se crée pour l'être humain dans le monde avec tous les phénomènes, toutes les choses et prennent du sens sans recourir à l'observation directe, au raisonnement, c'est la compréhension sans intermédiaire. La vision mystique est une connaissance illuminative et intuitive. Et celui qui comprend intuitivement est un mystique. Cette vision est une sorte de sagesse et elle n'est pas basée sur les cinq sens. Les mystiques aspirent à enlever les voiles et de trouver le secret de ce monde.

Dans cette voie, ce qui compte est d'abord l'illumination, ensuite la croyance à l'Unicité, et finalement la notion du temps qui n'a pas assez de sens. « Le résultat de cette intuition est de voir jusqu'au plus profond des choses. Pour les scientifiques, c'est la partie droite du cerveau qui contribue à l'intuition et à la connaissance de la totalité » (Farshad 1989 : 82). Pour les mystiques, la Réalité est à l'intérieur de nous. La connaissance mystique ne suit pas la logique d'Aristote, mais suit une sorte de l'expérience qui va d'un niveau à un autre. La tradition mystique existait depuis toujours dans le monde entier, mais il y a certaines cultures qui le développent davantage avec leur propre point de vue. Chine, Inde et l'Iran ont créé un grand système culturel qui

¹ La philosophie de Vahdate Vojud, Etre suprême a mandé Son ipséité par Lui-même de Lui-même vers Lui-même, sans aucun intermédiaire ou causalité (extérieure) que Lui-même.

s'appelle le mysticisme de l'Orient. Le mysticisme en Iran est inspiré des idées de Mithraïsme du culte zoroastrien. En effet, c'est l'Iran Antique qui a inspiré l'Inde. Avant l'arrivée de l'Islam en Iran, le culte zoroastrien, le culte « mani » ont créé un mysticisme.

Dans le système oriental, la vision et la connaissance intuitive sont plus importantes que le raisonnement. Ils essaient d'atteindre un hyper-savoir. Une sorte d'inspiration. Pour cela ils n'ont pas besoin des 5 sens. A côté du mysticisme, il y a un courant de pensée qui est une secte religieuse, c'est le soufisme. D'après un philosophe iranien, Shafi Kadkani, le mysticisme a un regard esthétique sur la religion, le soufisme et le mysticisme sont tellement liés qu'on ne peut les séparer parfois. On peut dire que le soufisme est à la fois la religion et le mysticisme.

Le mysticisme pense plutôt à une éthique, une sorte de morale qui n'a pas de racine dans la religion et les prescriptions mais s'inspire de différentes religions. C'est une nouvelle éthique qui commence par Rabee Adviye (713-801), nommée Martyre de l'amour divin, Hossein Mansour Halladj (858-922), Bayazid Bastami (848-874), Abol-Hassan Kharaghani (963-1033), et plus tard Shamsoddin Mohammad Hafiz (1315-1390) étaient des mystiques. Il y a aussi des mystiques et gnostiques qui sont des idées philosophiques, Shahaboddin Sohrevardi (1154-1191) très célèbre pour sa philosophie de l'Illumination et il y a aussi Eynol Gozât Hamedani (1098-1131) qui a des lettres et des idées philosophiques. Ils pensent à une Unité dans le monde, et non pas à la Pluralité, c'est le culte de l'intérieur.

Ajoutons encore que l'histoire du soufisme remonte au II^{ème} siècle (de l'Hégire, VIII^{ème} de l'ère chrétienne), les adeptes de cette secte étaient les gens qui préféraient être ascètes et les modèles de l'annonciation chez eux étaient très variés, trois modèles d'annonciation pour exprimer leur point de vue et leur état d'âme qui sont très distinctives : la danse *Samâ*, la poésie pleine de métaphores, de sens figuré et les expressions propres à ces gens et la prose poétique avec des versets labiaux « *Shâth* ». Et parfois chez un seul soufi, nous pouvons voir différents modèles de l'annonciation : par exemple chez Faridodin Attar (1145-1221) et Jalol Din Mohammad Rûmi (1207-1273). Pour les soufis, ce qui était important, était d'abord la religion « *Shar* », ensuite la voie « *Tarigat* » et enfin la Vérité. Il y a deux écoles importantes pour le soufisme : école de Xorâsân et l'école d'Ibn Arabi. La première est basée sur l'humanisme et la présence dans la société et la deuxième est plutôt isolement et l'ascèse. Et Rûmî et Attar font partie plutôt de la première.

Le soufisme n'inspire que la transcendance de l'âme. Essentiellement dans la pratique de l'ascèse et de la vertu, il s'accomplit de proche en proche dans des structures plus élaborées introduisant des notions comme l'anéantissement (*Fana*), l'union (*ittahâd*), et la liaison (*ittisâl*) entre autres, si bien qu'il atteint le point culminant de son évolution au IX^{ème} siècle. On peut dire aussi : « C'est une philosophie de la vie et son but est de présenter à l'être humain une voie concrète lui permettant d'atteindre une conscience plus haute et de pouvoir comprendre, grâce à cette conscience élevée, sa relation avec l'Être suprême » (Ali Shah 1998 : 9).

La base essentielle de la pensée de ces poètes soufis est l'Unité de l'Existence (*wahdat-e-wujud*): l'esprit humain est séparé de son origine par l'individualité de son être provisoire, aussi éprouve-t-il la nostalgie du retour à sa source et de l'union avec elle.

Pour les soufis, l'homme doit trouver la joie mais une joie spirituelle et celui qui désire obtenir la joie de l'union avec le divin doit tout d'abord percevoir intuitivement l'unicité de l'Existence, non avec les yeux du corps, mais avec l'œil du cœur. Dans la voie d'une telle recherche, ce qui importe, ce ne sont pas que les règles et les rituels religieux, mais aussi la connaissance mystique (*'irfân*) et les moyens de l'acquérir, tels que la vision, le dévoilement, l'illumination et l'intuition.

Nous devons dire que leur but est l'abolition du sentiment du « moi ». Cette abolition détermine la conscience de la présence d'un « Soi transcendantal ». On a appelé cette conscience,

l'intuition du divin. Les soufis et les mystiques persans appellent cette conscience, illumination. C'est la négation complète de la volonté, la modalité de Vouloir. D'ailleurs, la disparition de la pensée logique est automatique, puisque sans une passivité intégrale et sans une négation complète de la volonté (on doit nier la modalité de vouloir) il n'y a pas d'illumination. Le moi cède la place à non-moi. Par contre, la pensée discursive met en relief la dualité du sujet pensant et de l'objet pensé. L'objet pensé est comme un jouet sous la pression de la variation des opérations intellectuelles; tandis que dans l'illumination, la personne pensante est obnubilée ou plutôt victime devant l'infusion ineffable de l'immanence de Dieu.

Ajoutons encore les propos d'un autre philosophe très important et un grand soufi du IX^{ème} siècle Ghazali, dans *Les Prodiges du Cœur*, définit les quatre modes par lesquels la connaissance parvient au cœur:

La connaissance « naturelle » relève de l'expérience sensible; elle est possédée par tous. La connaissance acquise par l'« effort » et la « recherche réflexive » ; propre aux « savants de l'extérieur ». La connaissance obtenue par « inspiration », surgissant dans le cœur, sans que l'on appréhende toujours la réalité de sa provenance ; c'est celle des soufis. La connaissance obtenue par « révélation », impliquant la vision de l'Ange qui la transmet au cœur ; c'est celle des prophètes (Chauvin 2001 : 53-54).

Et chez eux, le style devient lui-même sens et acquiert une nécessité qui fait du texte un architexte. Ils sont plongés dans une extase par le récit de ses visions. L'objet de la vision et de la connaissance, c'est l'au-delà, un être transcendantal. Ainsi peut-on voir un rapport entre leur discours et leur vision, un rapport entre le texte et l'expérience visionnaire. La vision se mue immédiatement en discours comme si celui-ci absorbait le visible dans sa textualité et le transmutait en parole. Déjà chez Rûmî, l'énonciateur c'est l'esprit: si le cœur est le lieu de la vision, c'est l'esprit qui est le vecteur du discours. Le discours se fait entendre en devenant visible. La révélation de la majesté est affirmation de l'unicité, d'une telle unité que le mystique n'est rien d'autre que cet être transcendantal dans sa solitude. Il découvre que la véritable distance qui existe entre les créatures et Dieu est celle de la connaissance et non celle de l'étendue.

L'image de l'au-delà apparaît comme un pur stéréotype. Ce qui est important, c'est que toute immanence n'a en effet de réalité que par la transcendance qui l'excède et la suscite. Leur discours semble renvoyer à un vide à la fois sémiotique et ontologique. C'est le vide interne, le silence interne de l'énonciateur qui rend possible le discours, mais il est acquis et révélé par l'expérience du visionnaire. C'est le vide de l'anéantissement volontaire de l'énonciateur dans la transcendance. Il est temps maintenant d'analyser trois modèles de l'énonciation.

3. La Poésie

La poésie est le premier modèle de l'énonciation chez les soufis. La forme devient différente. Chez Attar, de plusieurs sujets on arrive à un seul, de la pluralité, on arrive à une sorte de singularité de l'existence. Chez Rumi, les différents actants apparaissent et ils arrivent tous enfin à la connaissance. Ce qui compte c'est la dimension cognitive du discours. Chez Rumi et d'autres poètes, nous voyons que la dimension cognitive du discours est important, si un seul sujet est cognitif d'autres aussi arrivent à cette connaissance. Déjà il y a une polyphonie énonciative qui compte. Chez certains poètes (Hallâj, Araghi, Hafiz) parler à la première personne renvoie à une expérience particulière. Ils s'objectivent dans le discours. C'est à partir de « Je » que non seulement le spectateur et mais l'auditeur peuvent se constituer. Par exemple chez Hallaj, l'instance projetée est le « Je » : « J'accours à toi, j'accours à toi, ô mon secret et mon salut, J'accours à toi, j'accours à toi, ô mon but et mon idéal, Je t'appelle, ou plutôt tu m'appelles à toi » (Ruspolli 2005 : 114).

Dans ces vers, nous constatons que Hallâj pose les repères du cadre énonciatif du discours à partir du « je » pivot central et de la visée réglant le rapport des personnes verbales. Je signifie en effet la coexistence de l'expression et de l'impression, une sorte de synthèse des fonctions. Par ce signe nous avons aussi la mise en présence d'un Autre qui est « Tu ». Je qui devient débrayé Tu.

Le Moi, érigé en instance suprême du sens, commande le filtre essentiel de l'univers du discours de Hallâj. Sujet sensible et passionnel, parfois sujet passif qui éprouve l'amour et la passion, autant d'effets de sens qui sont de l'ordre de pâtir. Un embrayage énoncif et énonciatif qui devient double c'est le dédoublement de l'instance embrayée nous avons affaire à une organisation subjective de l'énonciation.

En effet le sujet passionnel est repérable dans un « Je » qui est régi en sujet pragmatique qui cherche à se connaître, à se voir. Il est pris aussi en charge par le faire cognitif d'un observateur qui est lui-même.

Il s'agit donc d'un actant « Moi » et la perception de son identité est en grande partie proprioceptive. La dialectique du Moi (instance de devenir) et du Toi (Instance de référence) est exprimée par une sorte de passion. Pour cela, il a besoin aussi d'un savoir qui est inscrite dans un système axiologique de la connaissance de soi.

4. Les versets labiaux

Après avoir parlé de la poésie, parlons de certaines proses poétiques dans lesquels il y a un débordement du sens. D'abord disons que pour les soufis, ce qui compte c'est le cœur et non pas le raisonnement et la Raison. Quand on dit le cœur, ce n'est pas seulement le muscle de chair et de sang mais on doit le prendre au sens figuré, où l'emporte son rôle intellectuel. La nature intellectuelle du cœur ne saurait nous conduire vers un Soi et nous fournit sa connaissance tant qu'il n'est pas illuminé par la grâce divine. Quand le cœur est purgé des péchés et des pensées mauvaises, il brille comme un miroir et reflète la connaissance d'un Être. Cette lumière dirige le croyant et le détourne de l'égarement. En effet l'Univers est un miroir qui reflète l'Être transcendantal et le cœur de l'homme est un miroir qui reflète l'univers et toutes les qualités se reflètent. Dans ce cœur, on voit : l'extinction des passions et des désirs et la concentration est la contemplation des attributs divins.

La connaissance est une connaissance dotée de concepts intellectuels. Dans l'extase, les soufis et les mystiques perdent leur activité sensori-motrice. C'est l'activité spirituelle qui compte. Ils arrivent à *wajid*, la prééminence à l'ouïe et c'est plutôt l'audition de la parole d'un Soi transcendantal. Pour eux, le cœur est l'organe de la connaissance, l'esprit, l'organe de l'amour divin et c'est l'âme qui contemple la beauté transcendantale.

Parmi les versets labiaux, deux sont très célèbres : « Je suis le Vrai Divin » (Hallâj), ou bien; « Gloire à moi; que ma certitude est grande! » (Ba Yazîd al-Bistâmi). Ils sont arrivés à un degré sublime et que son être intime est l'être intime d'un Soi transcendantal, sans aucune transformation d'attributs ou transsubstantiation d'être intime. Et il voit qu'il n'y a ni âme ni existence sauf la Sienne.

Les mystiques disent, « ce n'est pas toi, mais Lui ; Lui et non toi; qu'Il n'entre pas dans toi et tu n'entres pas dans Lui ; qu'Il ne sort pas de toi et que tu ne sors pas de Lui. Tu n'existes absolument pas et que tu n'existeras jamais ni par toi-même ni par Lui, dans Lui ou avec Lui. Tu es Lui et Lui est toi. Sans aucune dépendance ou causalité » (Chauvin 2001 : 29-30).

Au temps d'écriture, l'énonciateur est le sujet, au temps de l'expérience est le non-sujet malgré le pronom « je », il est soumis à un pouvoir transcendant. Ce débordement du sens n'est pas à cause du manque, parce qu'il dépasse le sens par le biais d'un Autre transcendant (un Idéal), c'est

la sphère de moi qui s'élargit, «on agit de telle manière que l'âme et le corps disent la même chose, c'est la réflexivité de la conscience » (Chauvin 2001 : 32).

5. *Samâ'* et concert spirituel

Défini comme une danse mystique des Derviches tournants, *Samâ'* constitue une chorale, ou plus précisément un concert spirituel ou « danse cosmique » où l'on voit que ces derviches font ensemble des danses spécifiques au son de la flûte de roseau (*nay*) et du tanbur (une sorte de luth). C'est un état (*hâl*) spontané qui transporte le soufi dans le ravissement (*wadjd*). Les derviches ou « les disciples tournent autour du maître, en même temps que sur eux-mêmes. Ce qui évoque la giration des planètes autour du soleil, aussi bien que celle des âmes en quête du 'Soi' » (Chauvin 2001 : 73).

Ajoutons qu'il y a un lien indissociable de l'Amour et de la Mort qui se manifeste dans le costume des « derviches tourneurs »: la coiffe de feutre symbolise la pierre tombale, la robe blanche, le linceul; le manteau noir, le tombeau, présage d'une renaissance à l'Esprit.

Il convient de souligner que ce mot désigne l'« audition », en concert, de poésie, musique ou chant ; c'est une « écoute » et un « entendement ». *Samâ'* a en effet pour fonction — dans le contexte du soufisme — de faciliter l'actualisation et l'accroissement des potentialités spirituelles des participants. Il s'agit d'une expérience sacrée, à la fois personnelle et communiale. Bien plus qu'un phénomène culturel maniant à merveille l'affectivité et les sentiments, il provoque l'émergence d'« états » de conscience (*hâl*); il dévoile l'Être, ou la Conscience elle-même, suivant les prédispositions et la part de grâces de chacun. « Quand l'audition spirituelle frappe les oreilles, elle éveille ce qui était caché au fond des êtres » (Kalâbâdhi 1981 : 184).

Nous devons ajouter que *Samâ'* existait avant l'islam. C'était une poésie chantée, solidement ancrée dans la culture arabe antéislamique, et s'adaptait fort bien à la musique instrumentale (*daf*, tambour sur cadre; *nay*, flûte de roseau; *rebâb*, sorte de violon carré à six angles; vieille *kamântche*, ...), lorsque la civilisation islamique s'étendit aux aires aryano-persane et indienne. On attribue à Dhûl-Nûn Misrî, le soufi iraquien, d'avoir répandu cette pratique, « à une époque, souligne Jean During, où précisément l'art musical était en train d'atteindre son apogée à la cour de Bagdad » (1998 : 140). A la fin du même siècle, Junayd, le grand maître bagdadien, d'origine persane, donnera ses lettres de noblesse au *samâ'*: « La Miséricorde de Dieu descend sur le soufi quand il mange par nécessité; quand il parle, par devoir, et quand il auditionne (*samâ'*) dans l'extase » (cité par Chauvin 2001 : 111-112).

Sémiotiquement parlant, nous devons dire que le *samâ'* est une attitude globalement « passive ». L'énonciation d'un Nom apparaît comme une trace symbolique de la Création, et l'invocateur re-naît et co-naît en vérité, puisque le Nom d'un être transcendantal est parfaitement plein de la Présence d'un Soi. Celle-ci « devient opérante dans la mesure où le Nom prend possession du mental de celui qui l'invoque. [...] L'union au Nom divin devient l'Union à Dieu même » (Burckhardt 1977 : 81). Cela favorise la réceptivité du cœur à l'égard des influences spirituelles. C'est la relation entre l'ouïe et la danse.

Ajoutons encore que cette danse nous met en présence d'une sémio-sphère dans laquelle de la pluralité du corps, on arrive à une fusion menant à une transcendance. Nous savons très bien, comme le note Fontanille dans son œuvre *Corps et sens* (2011), que le corps a fait un retour explicite en sémiotique dans les années quatre-vingt, avec les thématiques passionnelles, avec l'esthésie et l'ancrage de la sémiose dans l'expérience sensible. Chez Jean-Claude Coquet, « le corps est d'abord le siège de l'expérience sensible et de la relation avec le monde en tant que phénomène, dans la mesure où cette expérience peut se prolonger dans des pratiques signifiantes et/ou dans des expériences esthétiques » (Fontanille 2011 : 1).

Durant cette danse, nous sommes en présence des sujets épistémologiques dotés d'un corps, qui perçoivent des contenus signifiants et qui projettent les valeurs. Mais le corps n'est pas en référence à une expérience sensible du monde phénoménal mais une expérience intelligible d'un monde transcendantal et des pratiques de l'esprit. Le corps ici n'est pas substance du contenu (sémiotique) mais une forme du contenu, forme sémiotique de l'actant énonciatif, et substance n'est pas concevable facilement. Il n'est pas seulement un actant mais un acteur. C'est une instance énonçante par excellence qui exprime son état de conscience (*hâl*). Dans ce corps qui a la chair, il y a aussi l'âme que Fontanille appelle le corps propre : « Le corps propre serait donc porteur de l'identité en construction et en devenir, et il obéirait quant à lui à une force directrice » (2011 : 13).

Le corps est l'énonciateur, c'est le Moi de l'individu. S'il y a plusieurs corps, c'est-à-dire que le Moi que Fontanille, à la suite de Paul Ricoeur, appelle « le point de repère des coordonnées du discours, et de tous les calculs de rétention et de protension, à la fois référence déictique, centre sensori-moteur, et pure sensibilité » (Fontanille 2011 : 13), va vers l'autre, le Soi. Le soi se construit par répétition, par recouvrement et confirmation de l'identité de l'actant par similitude (le *soi-idem*) mais aussi avec l'altérité (le *soi-ipse*). Durant cette danse, plusieurs corps sont en train de construire un « Soi » vers l'autre transcendantal, ce sont les « Moi » qui se déplacent et ils doivent obéir aux règles générales de ce que Fontanille appelle la « figuralité » : « la morphologie et la syntaxe figurales reposent principalement sur les différents états et les différentes étapes des interactions entre la matière et l'énergie » (2011 : 14).

Pour les musulmans, l'âme (*nafs*) a plusieurs degrés. Il n'y a pas un seul degré pour l'âme : l'âme animale, soumise aux sens ; l'âme instigatrice du mal, l'âme qui blâme, consciente de sa corruption, et qui souhaite y porter remède ; l'âme guérie, qui a réintégré l'Esprit².

Les soufis considèrent le désir de la chair et de l'âme charnelle comme ce qui voile l'être transcendantal. « Celui qui connaît son âme, connaît la nature totalement illusoire des désirs qui la préoccupent. Connaissant ce qui est sans racines autres qu'imaginaires, ce qui est limité, périssable, éphémère, il connaît ce qui est éternel. Connaissant le serviteur, il connaît le Seigneur. Jonayd caractérisera ainsi l'*union* avec Dieu comme un *renoncement au désir* » (Chauvin 2001 : 83).

Comme dit Burckhardt, il faut donc que « les puissances de l'âme ne se laissent point déterminer par des impulsions de l'extérieur, mais qu'elles répondent à l'activité spirituelle, centrée sur le cœur » (1977 : 25). En effet, *in divinis*, à l'activité principielle de l'Esprit, répond la parfaite passivité de l'Âme universelle. C'est pourquoi nous avons parlé de la passivité chez le soufi. Il convient donc d'apprendre à fermer le cœur, volontiers versatile, aux sollicitations imaginatives de toute provenance, jusqu'à le rendre réceptif au seul être transcendantal. Par cette philosophe, nous devons dire que le monde des mystiques n'a pas seulement deux dimensions, il a un espace profond avec plusieurs versants : le monde du sensible, le monde intelligible, encore le monde exotérique et le monde ésotérique, *Alfîkr* (La raison) doit être avec le *Zîkr* (Prière), le monde spirituel. A part le monde physique, il y a le monde de l'imagination, le monde de la Raison et le monde de l'amour. En effet, l'âme est intermédiaire entre le corps et l'esprit. Par rapport à la triplicité constitutive de l'homme, le domaine « terrestre » correspond au « corps » (*sôma*). L'« âme » (*psyché*) reflète l'« Escabeau » (le monde de la royauté de l'Être suprême) et l'« intellect » (*nous*) représente « le passage vers les mystères de l'incréd et du Soi ».

Les derviches avancent alors lentement, et font trois fois le tour de la piste. Ces trois tours symbolisent les trois étapes qui rapprochent de Dieu : la voie de la science, celle qui mène à

2 « Les degrés de l'âme font l'objet de divers classements. Jilânî en retient sept, auxquels il associe autant de 'couleurs' : l'âme animale, bleue ; la consciente, jaune, l'inspirée, rouge ; la convaincue, blanche ; la satisfaite, verte ; la bienheureuse, noire ; la parfaite, incolore » (Chauvin 2001 : 99).

la vision, et enfin celle qui conduit à l'union. Dans la danse *Samâ*, viennent à la fin les derniers saluts et l'évocation de Dieu: *Hû* (Lui). C'est vers Lui seul qu'est montée cette adoration.

Alors c'est en tant que moyen de connaissance illuminative que se justifie le concert spirituel : la musique et éveil de l'âme, elle la fait se souvenir d'une partie oubliée.

Nous voyons que pour la sémiotique du *samâ*, il ne faut pas seulement parler de l'expérience corporelle, bien que le corps soit placé au cœur de la production du sens. Il faut parler d'un « champ sémiotique », c'est le terme de Fontanille, qui est « un domaine spatio-temporel que l'instance d'énonciation se donne en prenant position » (2011 : 57). En montrant le corps en mouvement, les derviches offrent un monde spirituel. Par le déplacement d'un corps réel, ils rappellent en même temps un monde virtuel (supra-sensible).

Disons encore que l'instance d'énonciation circonscrit ce qui relève du monde de Soi, et plus précisément de la présence à un *Soi transcendantal*, dans cet état d'extase, c'est la pure présence d'un *non-Moi* à un *Soi transcendantal*. Ils vont vers l'autre, l'altérité. Un Autre transcendantal qui est accepté comme *propre*. Les gestes de leurs mains montrent une sorte de *proprioceptivité*. C'est l'union entre ce monde et l'autre monde. Durant cette extase, nous ne devons pas parler du monde sensible, ils sont dans un état où ils ne voient rien, ils n'entendent rien. C'est un champ entièrement débrayé par rapport au système sensoriel. Ce débrayage est contrôlé par une vision, qui est une sorte de méditation. Ils entrent en contact avec un monde transcendantal. Et ils essaient de s'unir avec l'Être suprême. C'est l'unification de la multiplicité.

6. Conclusion

Avec cette étude, nous avons montré qu'il existe trois modèles d'énonciation chez les soufis et les mystiques. Ces modèles sont en rapport avec leur philosophie, l'unité de l'existence et le soufisme qui considère la singularité et l'Être unique dans la pluralité. Tout cela est difficile à comprendre dans le monde actuel où on attend un raisonnement empirique et scientifique, et on doit accepter la crise du sens. La révélation de cet Être est l'affirmation de l'unicité, d'une telle unité que le mystique n'est rien d'autre que cet être transcendantal dans sa solitude. Ils découvrent que la véritable distance qui existe entre les créatures et cet Être est celle de la connaissance qu'ils doivent acquérir intuitivement. L'homme incarne, dans son être, deux aspects différents : l'esprit, son côté divin, et le corps son côté ténébreux et matériel, éphémère et limité. Lors de l'énonciation, nous voyons que la plupart du temps, il y a une pluralité, non seulement des actants mais si on analyse profondément leur poésie, une pluralité spatio-temporelle où apparaît la transcendance, comme un non-lieu et non-temps, impliquant une sorte de saisie *supra-sensible*. Et parfois un dédoublement de l'Être, qui montre un lien réflexif. Pour comprendre leur texte, il faut définir une autre dimension, un sous-ensemble de la dimension cognitive : dimension mystique qui est propre à la poésie persane et qui est liée à l'Unité de l'existence.

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IN THE SEMIOTIC NETWORK: SIGNS, SUBJECTS, OBJECTS AND ALL IN BETWEEN

Katarzyna Machtyl

Adam Mickiewicz University in Poznań, Poland
machtylk@amu.edu.pl

Abstract

Signs themselves are no longer the only object of semioticians' interest. Semiotics is no longer able to focus solely on langue structures and discourse. Following this way of thinking, I discuss the case of complex relations between signs, objects and subjects within the so-called semiotic network. By "semiotic network" I mean a sophisticated idea, founded on the combination of two contemporary theories: Bruno Latour's object-oriented philosophy and Eero Tarasti's existential semiotics. Such an idea requires, of course, some references to classic theories like Charles S. Peirce and Algirdas-Julien Greimas' semiotics that are also mentioned in my paper. There are some crucial notions common to all these theories, like dynamics, processuality and transition. Bringing these concepts mentioned above all together would only succeed when considering the crossing axes, rather than a strange mixed hybrid. They differ in as much as they are similar, but I am convinced that the points where all these theories converge are really worth studying and discussing.

1. Instead of introduction. Intuitions and ideas

The above juxtaposition of the distinct theoretical concepts, which grew from completely different philosophical sources, may seem quite risky therefore, to be on the safe side, I would like to emphasize that the assumptions I will present here have the character of an "intuitive-report", and they are, so to speak, work in progress. But I would not like to discourage anyone from reading this text at the beginning so let me remark that I trust, as a counterpoint at least, my observations will turn out interesting. My intuitions are as follows: in certain aspects and considering certain reservations the concept of semiotics presented by Charles S. Peirce (1955), relational ontology proposed by Bruno Latour (Latour 1993, Harman 2009) and the existential semiotics advocated by Eero Tarasti (2000, 2005) are to a certain extent parallel and analogous. Suffice it to say that they include overlapping groups of similar notions, such as: object, relations, transition and translation, network, flux or motion. In my essay, I would like to outline these parallels

and indicate these elements, which make it impossible to bring all of the three above-mentioned concepts to one common denominator. However, we should point out that the lack of such a common denominator is not a gloomy or negative perspective. It is merely an observation of the distinct character of these various concepts despite their structural similarities. This however, does not exclude their comparison that can be quite promising.

2. Charles S. Peirce – sign and its object

Let us begin with a short outline of Peirce's observations, which are the most important for my text. First, his concept should be indisputably considered referential, i.e. the one that takes into account a relation of sign to extra-semantic reality. Let us observe that this proposal is founded on the ground of Peirce's philosophical idea, i.e. on the ground of pragmatism, and that is why it has a strong epistemological and cognitive bias. According to this author, a full sign was the one consisting of three elements: a sign itself (*representamen*), an object and an interpretant:

A sign, or *representamen*, is something which stands to somebody for something in some respect or capacity. It addresses somebody, that is, creates in the mind of that person an equivalent sign I call the *interpretant* of the first sign. The sign stands for something, its *object*. It stands for that object, not in all respects, but in reference to a sort of idea, which I have sometimes called the *ground* of the representamen (Peirce 1955: 99).

The following Triad is a basic category of Peirce's (1955) thought: the First (the sign, *representamen*), is in a true relationship to the Second (the object) and determines the Third (interpretant). Such a process does not occur out of the Triad relationship. Let us remember also one of the three divisions of signs distinguished by Peirce – it will be important for our considerations when I try to juxtapose the project proposed by Peirce with the concept proposed by Tarasti (2000, 2015). The above-mentioned division was conducted on the basis of the criterion which allows to establish whether “the sign in itself is a mere quality, is an actual existent, or is a general law” (Peirce 1955: 101). According to this division, the semiotician distinguishes the three following categories: *Qualisign*, *Sinsign* and *Legisign*. The first means “a quality which is a Sign” must be embodied in order to become a sign. Albeit the embodiment does not have anything to do with the character of the sign as such. The second, *Sinsign*, is “an actual existent thing or event which is a sign. It can only be so through its qualities; so that it involves a qualisign, or rather, several qualisigns”. The third category, according to the discussed trichotomy, is *Legisign* – “a law that is a Sign”. While it should be remembered that the law is usually established by a human being. The second trichotomy proposed by Peirce is probably the best known of them, i.e. the division into icons, indexes and symbols. Let us remind a description of only the first of these types of signs: “An *Icon* is a sign which refers to the Object that it denotes merely by virtue of characters of its own, and which it possesses, just the same, whether any such Object actually exists or not” (Peirce 1955: 102). It will be important when confronting the semiotics proposed by Peirce with the concept of existential signs outlined by Tarasti.

Here we can briefly mention the distinction made by Peirce between a dynamic and direct object, in other words a real object and an object shown by signs. The former is an object, which exists independently of a sign, which is a thing in itself, before it becomes the Second in the Triad. The latter, i.e. a direct object, is a semantic representation of the thing in itself and consequently it only partly “shows” this thing. “Immediate object of the sign – Peirce writes –

does triadically produce the intended, or proper, effect of the sign strictly by means of another mental sign” (Peirce 1955: 275). Tarasti reminds that in the Peirce’s model of sign construction “the object of representation is already a ‘semiotic’ entity, but behind it looms the ‘dynamic object’, which is a real entity” (Tarasti 2015: 59). He adds that the only problem is how “the dynamic object can produce a direct object. Does this take place as a kind of casual relation, as organic development, or as transformation?” (Tarasti 2015: 60). These solutions lead the author to the conclusion that Peircean semiotics does not “go down” to the level of reality, it is immanent and stays at the level of phenomena. Can it then be convergent with existential semiotics?

3. Bruno Latour – actants and objects

Let us begin this part of our ponderings in a somewhat subversive way. Eero Tarasti in his book *Sein und Schein. Explorations in existential semiotics* (2015), which is an update and extension of his previous book *Existential Semiotics* (2000) not even once refers to the concepts of Bruno Latour ((Latour 1993, Harman 2009)). We will not find the name of this author in any indexes in these books. Even this fact can be a certain indication that my ponderings are going in the wrong direction. Nevertheless, let us take the risk and continue our considerations in this very direction following the hypotheses initially put forward. After all, there is a chance that this study will not lead us astray in terms of semiotic considerations.

In the book issued in 2009 by Graham Harman *Prince of Networks: Bruno Latour and Metaphysics*, the author faces a difficult task: “This book is the first to consider Bruno Latour as a key figure in metaphysics [...]. Latour has long been prominent in the fields of sociology and anthropology, yet the philosophical basis of his work remains little unknown” (Harman 2009: 5). What is interesting, Harman focuses in his study of the Latour’s ideas on the early period of his scientific research, as he discusses his metaphysics in 1984–1999. The project known as “flat ontology” is provocatively described by Harman as “one of the most powerful of our times”. What should be understood by this name? Latour, who emphasized relations between actants avoided a priori imposed hierarchies and orders of entities so he somehow “flattened” the inequalities between them. Therefore, one can speak about Latour a metaphysician or Latour a sociologist. Thus, it cannot be denied that the flat ontology and the theory of an actor-network are closely interlinked. Latour, contrary to most of representatives of other philosophical concepts, does not try to equal the world to another distinguished sphere of reality, on the contrary, he maintained that “everything will be absolutely concrete, all objects and all modes of dealing with objects will now be on the same footing” (Harman 2009: 13).

Not to summarize unnecessarily the whole book by Harman, let us just present after him four central ideas of Latour’s metaphysics. Firstly, “the world is made up of *actors* or *actants* (which I will also call ‘objects’) [...] all entities are on exactly the same footing”. It is useful to add a remark on temporality, which will turn out crucial when we juxtapose Latour’s concept with the semiotic proposal put forward by Tarasti: “All features belong to the actor itself: a force utterly deployed in the world at any given moment, entirely characterized by its full set of features”. It is important to notice the great emphasis placed by Latour to temporality, momentality and concreteness: the value of an actant is determined by its current position, current relationships that he in a given moment enters into, not an inherent quality given once and for all. Latour’s actant is here surprisingly convergent with the existential sign proposed by Tarasti and different from Peircean concept of sign itself. The second axiom of Latour’s metaphysics is a rule of irreduction, i.e. “no object is inherently reducible or irreducible to any other”. Thirdly, “the means of linking one thing with another is *translation*”, each layer of reality is a mediator, which is never neutral, but always adding something from itself while translating one item into another. Let

us emphasize here that the notion of translation is another key notion for comparing Latour's relational metaphysics with existential semiotics by Tarasti. Finally the fourth thing, "actants are not stronger or weaker by virtue of some inherent strength or weakness harbored all along in their private essence. [...] an object is neither a substance nor an essence, but an actor trying to adjust or inflict its forces" (Harman 2009: 14-15). All these metaphysical axioms as Harman assumes stem from one deeper principle: absolute concreteness: each actant is simply what it is, so it is essentially concrete, and it gains its real being in a specific time and place without having it inherently in its single self. An actant is always individual. Thus, here we have the outlined project of flat ontology resulting from metaphysical axioms. Latour a philosopher wants to tell us mainly that "the world is a stage filled with actors; philosophy is object-oriented philosophy". (Harman 2009: 16).

Since this term has been already mentioned we should define more precisely how it should be understood. What we have in mind here are the trends of contemporary humanities that are ontically oriented, hence object-oriented philosophy and object-oriented ontology. Both these trends assume a retreat from (post) Kantian epistemology, which has been dubbed the Copernican Revolution, and thereby a retreat from the so-called philosophies of access which define the access of the cognizing mind to the cognized world. Referring to the assumptions of metaphysical realism, contemporary researchers proposed a concept that they called speculative realism. Speculative realism somehow changes the optics of observation by emphasizing ontic categories at the expense of epistemological ones and giving priority to the notion of an object in relation to a subject. Here we come across the first insurmountable obstacle, the first significant difference between the project proposed by Latour and the concept put forward by Tarasti.

Let us change the perspective for a moment and reconstruct Latour's project emphasizing its threads, which are either inspired by Greimas or shaped similarly to semiotic findings. We will find such threads primarily in his theory of actor-network. This theory is characterized by translation and focusing on dynamics and relationality, thus it rejects a perspective of philosophical essentialism. The notions of translation and relationality should be emphasized as those, which are constitutive for our further ponderings. Krzysztof Arbiszewski, in his preface to the Polish edition of Latour's book: *Reassembling the Social – An Introduction to Actor-Network Theory* writes that the author is inspired by works of Greimas and perceives all studied objects through dynamic relations into which he enters with other objects, and mostly he uses the "actant" category treated relationally as proposed by Greimas. An actor (actant) in ANT is someone/something that acts (Arbiszewski 2010: XIII).

Two notions, namely, mediator and intermediary introduced by Latour may turn out interesting for semiotic considerations. In *Reassembling the Social...* he fathers creating active connections upon mediators, whereas passive ones upon intermediaries; translations created by mediators are uncertain and not predestined, whereas connections between intermediaries are stable, an intermediary does not bring any surprises. Latour metaphorically writes about zig-zag¹ transgressions from humans and objects, and specifies that it is not about elevation of an object in the subject-object relation, as there is no relation between nature and culture, between what is material and what is social. Actually, this distinction is artificial and mistaken.

In the important for our ponderings work by Latour entitled *We have never been modern*, the author accuses semiotics (generally understood) of excessive concentration on the discourse itself, at the expense of what that discourse may refer to and its users. In other words, Latour accuses semiotics of underestimating of objects, which constitute the whole network of media-

1 Interesting similarity to Tarasti's "Z model" (see below).

tions. Semiotics gave the discourse more autonomy; it concentrated on one of the mediators, i.e. language. However, Latour also notices assets of semiotic philosophies, as he calls them, stating that they developed a reflection on mediators and saved them from deep waters of referential dualism. Referring to semiotic dictionary of Greimas and Courtès he claims that:

"the greatness of these philosophies was that they developed, protected from the dual tyranny of referents and speaking subjects, the concepts that give the mediators their dignity - mediators that are no longer simple intermediaries or simple vehicles conveying meaning from Nature to Speakers, or vice versa. Texts and language make meaning; they even produce references internal to discourse and to the speakers installed within discourse (Latour 1993: 63)."

Everything that is important occurs in-between, between these sides, thanks to mediation, translation and networks.

4. Eero Tarasti – transcendence and subjects

Tarasti when introducing his concept of semiotics, on the pages of his first book dedicated to the mentioned issues (*Existential semiotics*, 2000) announces that eponymous "existential semiotics studies the ways in which signs are fixated into objective entities". Such semiotics must rely on hermeneutic and phenomenological background. Tarasti sees semiotics "in transition, shift, rupture, and flux, something that is 'becoming' rather than 'being'". The author sketches "a new philosophical basis for semiotic inquiry" (Tarasti 2000: Preface): as this proposal is inspired by e.g. Hegel, Heidegger and Sartre, he calls it "existential semiotics". However, this is not a simple return to the earlier phase. It is about the ways of reasoning. Fields of study distinguished by Tarasti are extremely significant for our considerations: processes, temporality, signs in flux, pre-signs ("signs in the states before fixation into a sign"). The author notices that by focusing on dynamics, change, shaping and creating, semiotics has a chance to pursue cognitively satisfying continuation.

It is very important for our ponderings to notice an issue which constitutes one of those fields in which the concepts presented here will overlap, i.e. that Tarasti refers also to the notion of event and adds that reality consists of "energy fields". He writes that "energetically negative or positive events are connected and strengthen each other". When we remember relational metaphysics by Bruno Latour (Harman 2009) some analogies become apparent². In the second book, written fifteen years later, Tarasti at the beginning remarks that he will be only interested in "philosophical reflections on what could be called 'ontologico-transcendental' issues of existential semiotics" (Tarasti 2015: v). He indicates the so-called Paris school of semiotics, created by Greimas, as the roots of this idea. However, it is particularly important for us that the founder of existential semiotics, which is a new paradigm within the discipline, adds that semiotics might as well be Greimassian, Lotmanian or Peircean, so not necessarily limited to neo-structural one. Establishing his concept on the notion of *Dasein* Tarasti introduces oppositions necessary to its description, such as external / internal, inner / outer, objective / subjective. It should be mentioned that in his book *Sein und Schein* (2015) the author adds another category to the previous ones of Being and Doing, namely the category of Appearing. It will address the new issues of representation including appearing and simulation. Hence, it is a field, which to a certain extent belongs to ontological semiotics, where the key role is played by *Dasein*, modalities, values and *Moi / Soi* distinction. The last notion will allow Tarasti to transform the classical semiotic square proposed by Greimas into "Z-model". In other words Tarasti, updating his project moves

² It should be added that in this context Tarasti invokes the concept proposed by Yuri Lotman and remarks that on the level of culture it might be an analogous way to capture reality as consisting of "fluxes", where presence is as significant fact as absence.

on from static figure in the shape founded by Greimas, i.e. to the dynamic “Z” model (“Zemic model”) and studies its “inner (emic) notions” (Tarasti 2015: 27).

Remaining for a while at the fundamental issues, we should observe that Tarasti describes Kant as a German speculative philosopher. However, it is necessary to bear in mind that this notion relates to other theoretical assumptions than the one used by contemporary speculative realists. The Finnish semiotician considers the concept proposed by Kant as one of the sources of his own concept of neosemiotics (as he refers to existential semiotics), while speculative realists constructed their project on a distinctive opposition to Kant’s ideas. Hence, the argument that philosophical sources of existential semiotics and relational ontology are incompatible is justified.

Coming back to the findings regarding the notion of *pre-sign*, let us quote the author who explains this issue: “the most interesting, existential moment of signs is in the moment before or after them, since the life of signs does not stop, of course, with their fixation into objects. In any case, if there are existential signs, they are always in a state of becoming” (2000: 7). Tarasti refers here to Peirce’s classification of signs into legisign, sinsign and qualisign discussed above. So let us repeat after Tarasti: terms which characterize signs on the ground of existential semiotics are “the continuous becoming”, “flux”, and “streaming of signs”. What is interesting, as if basing on the classification proposed by Peirce, Tarasti in the work *Existential Semiotics* distinguishes six types of signs: 1/ *pre-signs* (“in the process of forming and shaping themselves”), 2/ *trans-signs* (“signs in transcendence”), 3/ *act-signs* (signs which are “actualized in the world of *Dasein*”), 4/ *endo-* and *exo-signs* (“signs in the dialectics of presence/absence”), 5/ *internal/external signs*, 6/ *as-if-signs* (“signs that should be read *as if* they were true”) (Tarasti 2000: 19). In his concept of transitional signs Tarasti refers to Peirce’s distinction into dynamic and immediate objects and three types of signs which regarding their objective reference are divided into icons, indexes and symbols, and he states that “Yet the essential thing is what happens in between, that is, during the shift from *Dasein* 1 to *Dasein* 2” (Tarasti 2000: 24). However, it should be added that in his book from 2015 the Finnish semiotician observes that “signs are viewed as transiting back and forth between *Dasein* – Being-There, our world with its subjects and objects – and transcendence. Completely new sign categories emerge in the tension between reality, as *Dasein*, and whatever lies beyond it. [...] We have to make a new list of categories in the side in the side of that once done by Peirce” (Tarasti, 2015: 4). The author includes in these categories the following signs: trans-signs, endo-signs and exo-signs, quasi-signs (as-if-signs) and pheno- and geno-signs. This classification established anew seems to refer to the one proposed by Peirce, albeit naturally it is different.

Further, the author of *Existential semiotics* points out that “signs always appear in connection with a certain situation” and that “the sign emerges from its union with the structure”. These two closely related statements are in my opinion convergent with other two approaches very different from one another: with the semiology proposed by Ferdinand de Saussure (1983) and the ontic philosophy by Bruno Latour. As the former maintained that a sign gains its value solely by the position that it occupies in the sign system, so it does not have any inherent value but gains it by a given (hence somewhat temporal) location in a particular arrangement of the system. On the other hand, Latour, (when we remind the previous findings, being fully aware that this is not a semiotic project in any way but a philosophical and sociological one, however certain structure of reasoning seems to be analogous) remarks that an actant either gains or loses its significance and value due to the currently occupied place in the network or even more due to its ability or inability to maintain relations with the network. As Tarasti writes: “In some cases, signs get all their power from their situations” (2000: 7) and further “their significance grows from the situation in which they appear” (2000: 8) and these statements only confirm my belief

that certain analogies with Latour's project are unambiguously clear. Existential semiotics in Tarasti's approach is not a field based on stability. Situations are always concrete, changeable and the sign is not "in focus", only in dialogue, and the interpretation is possible only "in a certain moment". Nevertheless, these issues should be nuanced as in his later work Tarasti places his concept of values in opposition to the ideas proposed by de Saussure. According to the Swiss (Saussure 1983), the value of a sign stems from its position in the system, whereas according to the Finn values "are transcendental but become signs via the activities of the subject" (Tarasti 2015: 10). Hence, the agential force of the subject seems the necessary condition here.

The key category for existential semiotics should be introduced here, namely the category of a subject. And here simultaneously a certain turn in my argumentation occurs, namely, the first significant opposition appears which does not allow us to bring the concepts proposed by Tarasti and Latour to a common denominator. Shortly speaking: existential semiotics is subject-oriented, whereas relational metaphysics proposed by Latour is object-oriented. This distinction is quite restrictive and made on the basis of the theses derived from *Existential semiotics* albeit it has to be mitigated by the statement from *Sein und Schein*, i.e. that *Dasein* is a "collective entity, which consists of subjects and objects, of Others" (Tarasti 2015: 9). However, in the early stage of designing the new paradigm Tarasti seemed to marginalize the importance of an object and wrote, "The phenomena of an existential semiotic nature open themselves to a subject only through his/her presence. [...] The interpretation is only possible by being inside the world of *Dasein* – but at the same time transcending it" (Tarasti 2000: 10-11). "Who puts signs in motion?" – asks Tarasti and answers: "the transcending subject, of course, in his act of existing" (Tarasti 2000: 12). The sign which is in motion in the permanent state of "becoming" not "being", the sign which floats, creates unstable and dynamic semiotic system is also interesting for me here. However, motivation for sign movement can be varied. In the case of ontic philosophies it will be the activity of intermediaries and mediators, in the case of existential semiotics dissatisfaction of the subject.

Concentrating on the subject, Tarasti remarks that in his concept the meaning is born in dialogue, during the "journey made by the subject", hence it is closely connected with existence, with *Dasein*. This is certainly a quality which distances the project of existential semiotics from the theory developed by Latour. However, what unites these two approaches is understanding of signs, "signs come into continuous motion; – writes Tarasti – they are no longer fixed, ready-made objects, but are free to take shape in many completely new ways. [...] On this view, what is interesting in semiotics, are the states that both *precede* and *follow* the formation of signs" (2000: 19). In the book, updating the project Tarasti emphasizes that signs have their "perishable, temporal, spatial, and actorial part" (Tarasti 2015: 17). It does not have to be added perhaps that the last of the above-mentioned features brings neosemiotics closer to Latour's concept.

Summing up this part of my text let us observe that in relation to the primary version of the project of existential semiotics, in the updated version Tarasti introduces the following modifications: he pays more attention to the category of object, he attributes "actorial" features to signs, among others, he introduces "Z-model" as a new reference to Greimas' square and emphasizes that neosemiotics designed in this way is realistic not nominalistic in its essence. He also shows that within one paradigm one can easily combine two seemingly incompatible orientations of semiotics, namely the structuralist approach and Peircean approach. One can easily repeat after the founder of neosemiotics that it is based on the structuralist model that becomes Peircean triad³.

3 As E. Tarasti put it during the discussion after his presentation at 13th IASS-AIS World Congress of Semiotics Cross-Inter-Multi-Trans- Kaunas University, 26-30 June 2017.

5. Instead of conclusion. Disparities and convergences

Let us begin with the differences between the three approaches discussed here with particular emphasis on the relations between Peirce and Tarasti's concepts on the one hand, and Latour's on the other. The first and most obvious difference is that Peirce and Tarasti's approaches are of semiotic character, whereas Latour, albeit (as sometimes Tarasti) he refers to Greimas' notion of actant, does not represent semiotic orientation at all. However, on the ground of his relational metaphysics and flat ontology Latour develops concepts, which are parallel and analogous to the selected findings of Tarasti.

The next, more subtle, but still equally significant discrepancy concerns establishing the center of the ponderings by the presented authors. The core of existential semiotics is the figure of subject. Existential semiotics is "a journey made by a subject". Whereas under Latour's approach what makes the network of relations move is the "journey made by an object". Shortly speaking, we may state that if Latour's philosophy is "object-oriented", then – *per analogiam* – Tarasti's existential semiotics will be "subject-oriented".

Time for convergences. Existential semiotics has a temporal dimension; it is characterized by being in the process, coming to being, instability, processuality, flux, and dynamics. Are not the same terms used to characterize the project proposed by Latour and partly by Peirce, although in a different context? When we remind ourselves processuality and continuity of a sign, two superior theses proposed by Peirce, one might find only the confirmation of the intuitions presented here. Similarly *pre-signs* and *act-signs* by Tarasti can be juxtaposed with *iconic* and *quali-signs* by Peirce. Greimas, to whom Latour referred, became also an important author for Tarasti who invoked the figure of semiotic square – in the later stage of the project development it was transformed into "zemic model".

I am aware that Latour's proposal, as well as those of other ontic philosophers, will not support existential semiotics, even for a simple reason that the former are object oriented and the latter emphasizes the subjects. However, obvious parallels and analogies between the discussed approaches cannot be denied. I think that if existential semioticians and ontic philosophers looked in the mirror, they would recognize probably familiar faces rather than strange images.

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MODELING THE MULTIPLE SELF IN TRANSDISCIPLINARY INVESTIGATIVE APPROACHES

Elżbieta Magdalena Wąsik

Adam Mickiewicz University, Poznań, Poland
wasik@wa.amu.edu.pl

Abstract

This paper focuses on multiaspectuality of human self and its modeling with respect to inherent and relational properties determined by its existence modes. The subject matter of the following study constitutes a typology of the definitional models of the self that exist in language and culture. Exposed are here three levels of reality, on which the self as a person and subject operates, namely intra-level, inter-level and trans-level. The intra-level is dependent upon experiential knowledge, the inter-level is limited by contents of collective interactions, and the trans-level is achievable in intrapersonal communication when the subjective self exceeds the boundaries of its sensorial experience through pure reasoning and imagining.

Special attention is paid to aspectual conceptualizations of self, its constituents and aspects in functional characteristics that result from environmental factors. Regarding the many-sided approach to the self, a distinction must be observed between multi- or pluri-, inter- and trans-disciplinary perspectives. Multi- or pluri-disciplinarity consists in studying the object which belongs to the one and the same discipline through a variety of disciplines at the same time, and interdisciplinarity involves the transfer of methods specific to a discipline into another one. Transdisciplinarity, in turn, demands going beyond and above any disciplinary boundaries to create a holistic view of all features of investigated reality (cf. Nicolescu 2002 [1996]).

1. The human self as a sign of multiple experiences of the individual

The notion of human self refers to man as a creature endowed with a consciousness of being conscious. Encompassing both his mind and body, his self is his thinking that reflects and determines his experience, knowledge, and behavior. The notion in question allows approaching human consciousness in terms of mental representations of human feelings and actions. It implies the uniqueness of particular human beings, capable and aware of both enjoyment

and suffering and also intrinsically concerned for themselves. Hence, the self as a sign of individual personhood and subjectivity, with its body and mind, might be studied in relation to the world and the other(s) under the heading of living semiotics according to Susan Petrilli (2013).

As to the origin and functions of human self as a set of perceptions of the individual about him/herself, its development is set off by the rise of boundaries between self and non-self — i.e., by the emergence of personal identity of the individual in his/her childhood, when he/she begins to distinguish him/herself from the environment — and proceeds gradually in effect of its contacts with others. Each human individual has his/her many selves that are contingent on situation and time, exactly upon his/her distinct past experiences, present involvements and imaginations of the future. Multiple dimensions of self allow it to control its behavior, exactly the messages it sends about itself interpreted in terms of visible signs of the individual. The self, including both naming and valuing, being in change, manifesting itself in different behaviors, cannot be fully known, neither by itself nor by others.

2. Modeling the self in philosophical deliberations and empirical studies

Extensive knowledge about selfhood as the sense of individuality, encompassing both the faculty of human mind and product of socialization, comes from the philosophy of mind, phenomenology, developmental and cognitive psychology, psychiatry, developmental and evolutionary biology, neurology and neuroscience, artificial intelligence, computing and robotics, etc. Researchers in these investigative domains deal with modeling the multifaceted nature of human self with respect to its bodily and mental activities, to enrich the understanding of mechanisms of perception, awareness, and reasoning of the individual staying in temporal contacts and long-lasting relationships with other individuals.

The human self as an object of cognition is inaccessible to direct observation, and its essence can be grasped only through inference or speculation. Hence, particular attention deserves modeling as an explanatory method. Similarly to researchers who develop scientific theories as sets of propositions being exhaustive and logically interconnected or conceptual-methodological scaffolds as sets of assumptions, principles and premises which demonstrate the characteristic features of their investigative objects, scholars who deal with self-consciousness also create models of self for the purpose of increasing systematic knowledge about the domains of their study. According to Roland Posner (2003: 2345-2346), theories, as output of research, are used as models to explain, predict and change the properties of specific objects, when they function as sets of propositions approved as reliable approximations to the complex subject matter, even when they are not always and everywhere valid. Models, being useful for setting up new research goals, mostly serve as a starting point for a prospective further research.

The applicability of the models of self exposing the exceptionality of the human individual as a communicator, consists in the explanation how the communicative behavior of human individuals is regulated by psychosomatic and environmental conditionings. Being the result of the creative imagination of their authors, these models outline the characteristics of human mental operations as objects of cognition, the contents and structure of which are not available to researchers directly. The models of self make mental facts open to analyses, systematization, and confrontation with observable facts of real life situations.

To realize how the human self manifests itself in language and culture, it is necessary — while drawing on Yuri M. Lotman's (1977 [1974]) and Thomas A. Sebeok's (1988) terminology — to model it. However, both scholars conceived the term *modeling system* somewhat differently. For Lotman, language — specified as a set of verbal texts — is the primary modeling system,

which helps to understand the texts of culture forming thus the secondary modeling system in the world of humans. In a complementary view, for Sebeok, language is only the secondary modeling system, which functions above the primary modeling system, consisting of indexical symptoms and appealing signal, as communication codes of the semiotic self. The human self is able to communicate about culture through verbal and nonverbal signs, considered as a tertiary modeling system, including language as a social system of signification and understanding.

3. Aspects and constituents of the self

A survey of selected models of human self gives a picture of the internal organization of self-awareness of the human individual as an intrapersonal, interpersonal/intersubjective communicator, and a transcendental being. As it is the self who possesses the ability to experience itself as an object among other objects, it has two existential aspects, the knower and the known. This distinction, motivated by the fact that thinking processes of individuals are, as William James (cf., *inter alia*, 2001 [1892]: 43-83) argued, internal conversations in which their selves as subjects respond to their selves as objects. Hence, the pure ego (the subject of thought, the *I*, unifying its own past and present thoughts) is juxtaposed to the empirical self (the self as an object of thought, the *Me*, and the self objectively known).

Breaking with the traditional definition of the human being as a rational animal, with reference to Alfred Korzybski's work *Science and Sanity* (1994 [1933]: 369-561), J. Samuel Bois' (1972 [1966]: 18-23; cf. also DeVito (1976: 63-79) speaks in favor of approaching man as a single, but complex and integrated organism the behavior of which, with four aspects, such as thinking/speaking, feeling, self-moving and electrochemical activities, consists of continuous transactions with his space-and-time environment. Exactly, the human self (i.e., man) is — in Bois' depiction an environmentally conditioned semantic reactor engaging in communicative activities. As one might state, after Bois, the self as the whole organism of the individual, with both the momentum of its accumulated past and the drawing power of its anticipated future, situated in the environment, reacts, at a particular moment, semantically and comprehensively. Its semantic reactions express the values that it holds dear and maintain the ego-image that it has of itself. They are indivisible into any constituents and inseparable from each other while verbal and nonverbal messages constitute only their aspects.

Ways of specifying information about self coming from the environment have been distinguished by Ulric Neisser in his article "Five kinds of self-knowledge" (1988). Neisser presents different sources of the selves, each establishing their different aspects. In particular, the self generally grows due to: (1) the perception of oneself with respect to the physical environment, called as the ecological self; (2) the awareness of being a person engaged in a particular human interchange here and now, called as the interpersonal self; (3) the awareness of the own past experiences based primarily on personal memories and anticipations of the individual, called as the extended self; (4) the awareness that the own experiences are not directly shared with other people, called as the private self; and (5) the self-concept, that is, a concept of oneself as a particular person in a familiar world which originates in social life, called respectively as the conceptual self. As one might simply state, each individual derives knowledge about him- or herself from the multitude of his/her experiences which leads to the formation of essential constituents of his/her self.

4. Characterizing the self with regard to its intra-, inter- and trans-levels

The distinction between levels at which the self operates is helpful in explaining its symbolic capacities in relation to intersubjectivity, that is, the ability to assume the inclinations of com-

munication participants to share the same common-sense meanings. This implies that human individuals construct these meanings in communicative interactions/transactions. It is assumed that they are able to and actually resort to these meanings as to conceptual resources, while interpreting the signs in social situations and cultural contexts. The intra-, inter- and trans-levels of self might be characterized as follows.

Firstly, the intra-level of self includes perception and internal processing of data that come from perception. This level implies intra-organismic communication, that is, electro-chemical, self-moving, feeling and thinking activities; nevertheless, it could not exist without the inter- and trans-levels of self. The intra-level of self is, in the first instance, the experiential self, the first person felt experience of being across periods of time. But its development requires certain mental capacities, especially memory. It relates to experiential consciousness, to drives and needs of the individual and his/her emotionally organized feeling states. Accordingly, it also includes the internal self-consciousness system, when the private self appears as an internal narrator, commentator, or interpreter of what is going on. It is able to verbally narrate and/or to make sense of what and why something is happening. And it functions in consistency with or against attitudes, beliefs and values it includes. The self, essentially confined to the functioning of the nervous system of the individual, lives, at its intra-level, thanks to images coming from direct perception, and it discloses itself, or manifests itself, in part through one-directional, non-intentional and non-reciprocal symptoms, that may become signs for the observers.

Being aware that the whole self of the individual gradually matures throughout his/her life, one must divide the known part of it, i.e., the empirical self, or the self as an object or a person — in conformity with James' view (2001 [1892]: 43-83) — into three parts, such as the material self, social self, and spiritual self. According to James, the self includes (1) all the material items in the immediate environment of the individual, his/her body, parts of it, clothes, homes and other possessions, works of his/her hands and minds, (2) ways in which the individual presents him/herself to others, as well as (3) mental faculties and dispositions of the individual which become an object to his/her thoughts at a particular moment.

To all these contents of the empirical life, arranged by James into a tripartite structure, one should also add the psychological scripts, named as the life scripts, which constitute the intra-level of the individual oriented toward him/herself. As a key notion covering all mental contents of the individual comprising the whole course of his/her life. the concept of the psychological script, according to which he or she makes important decisions, has been developed by Eric Berne (1964) and Thomas Harris (1969) and subsequently extended by Berne (1975 [1972]), the inventors of transactional analysis, one of the therapy methods employed in interpersonal communications to stimulate changes of attitudes in intersubjective relationships. The psychological scripts (examined by Berne 1975 [1972], *inter alia*, 25-26, 244-364), including cultural and family scripts, as private scenarios of what could eventually happen in the lives of individuals, are equal to dramatic scripts in which the co-occurrence of certain characters and roles, scenes, dialogues, and plots is projected. Yet, as argued, they are not fully realized by individuals who follow them.

On the basis of the model of intrapersonal awareness, called the Johari window — after the first-name initials of their creators Joseph Luft and Harrington Ingham — popularized by Luft (1969 [1963]: 11-20), one can realize how information, attitudes, feelings, desires, motivations, ideas of communicating individuals have been conceptualized into open, hidden, blind or unknown selves, realized to different degrees in the course of mutual interaction. Respectively, in the authors' descriptions, the self may: (1) know itself, being at the same time known by others; (2) know itself but keep this knowledge to itself, not revealing it to others; (3) be ignorant of significant and/or insignificant information about itself which other people know about it (e.g.,

about some its habits, faults or virtues, personality traits, psychological strategies governing his or her behavior, past experiences, etc.); or (4) be unaware of some facts about itself of which also other people are unaware but do infer from different sources. What is to be deduced, the constituents of intrapersonal awareness are not loose, unrelated to each other, but intermingle with each other, influence each other, and evolve over time. In the case of different individuals, the open, hidden, blind or unknown selves as parts of their entire selves may vary in respect of size, depending on time and situation.

Contents and structures of human selves change with the passage of their life when they adjust themselves as communicators to specific situations in which they participate. As a matter of fact, validity of models which represent psychological mechanisms that direct the adaptive behavior of humans, can be verified as theoretical constructs on the basis of facts coming from both introspection and observation.

The known (i.e., personal, or empirical) self, defined in terms of intrapersonal communication variables, such as knowledge, beliefs or opinions and prejudices, attitudes and values, of which the individual is conscious to different degrees, develops, according, *inter alia*, to Larry L. Barker (1977: 126-128), due to his/her experiences in society. At the same time, as has already been stated by James (2001 [1892]: 18-83, especially 49-51), the originator of empirical studies of self-consciousness and self-awareness, all constituents of the self, which arouse its subjective feelings and emotions, trigger its personal actions. Searching for self-evaluating aspects of self at its intra-level leads to the detection of psychic mechanisms of self-seeking, self-estimation and self-preservation, particularly accentuated by James (2001 [1892]: 51-62) as well as ego states and life positions, described by Berne (cf. respectively, *inter alia*, 1964: 23-27; 1975 [1972]: 90-95).

Anyhow, the human self is a malleable, instable mental structure performing threefold functions, the cognitive, affective and conative ones. For psychologists, especially Hazel Markus and Elissa Wurf (1987: 315) and Tory E. Higgins (1987), the self-awareness of the individual depends on the functioning of his/her cognitive-affective-conative system which consists of three domains, such as the actual self, governed by the cognitive system, as well as the ought self and the ideal self, being respectively governed by the affective system and the conative system; the latter two direct yet again the actual self. So, the self — who organizes its experiential data being relevant for the maintenance of self-esteem and the optimization of balance between pleasure and pain during his/her life — is responsible for coordinating his/her behavior which can be habitual, probable, or unpredictable.

Moreover, the intra-level of self-study creates also the attribution that individuals may think of themselves similarly to how they believe in how other persons view and evaluate them, as has already been noticed by Charles Horton Cooley (1902), the creator of the concept of the looking-glass self. Cooley has appreciated the importance of psychological processes, called as reflected appraisal processes. The self-image of the individual develops, according to Cooley (1902: 151-153), just in effect of these processes, in three stages, exactly: (1) when the individual imagines how he/she appears to be in the eyes of another person; (2) when the individual imagines how he/she is evaluated by this person; and, finally, (3) when the individual feels good or bad depending on the imagined judgments of another person. In consequence, the internally oriented feelings of the individual do not result from pure reflections but from opinions which he or she imputes to other persons.

The tendencies of individuals toward self-evaluation through social comparison are the object of modeling in the theories on motivation for changing behavior. In particular, the cognitive dissonance theory, put forward by Leon Festinger (1957: 3, 260-266) and the self-discrepancy theory proposed by Higgins (1957) deal with the inconsistency of feelings experienced by hu-

mans, who, being in a psychologically uncomfortable situation, may be strongly inclined to reduce the dissonance and achieve consonance, in other words, an internal emotional consistency. Since it is important to human individuals to establish the inner harmony, a kind of congruity among their knowledge and opinions as well as attitudes and values they cherish, individuals are apt to change their behavior, initiate communication and/or control its content, change cognition, especially selectively acquire new information.

Secondly, by way of illustrating aspects of self as a participant of communicational exchanges - visually represented, nevertheless, through communication models and discussed, for example, by DeVito (1979: 20-26) — one must concentrate on its activities of sending and receiving messages in concrete social situations. Hence, it is right to speak about the inter-level of self, considering the collective nature of interpersonal and intersubjective communication in which the self of the individual manifests itself in concrete acts that he/she performs and in the spoken and written texts, being the products of their communicative activities.

The inter-level of self is thus its communication with others. Focusing on it, one can identify the patterns of interpersonal interactions which are usually established, and through which stimuli coming to the organism from the environment are processed. The individual self is recognizable as a person and its personality is detectable, as Bois (1972 [1966]: 274) put it, whenever it sees, hears, walks, speaks, writes in a manner it has acquired. Another matter is, according to Bois, that patterns of interaction oftentimes emerge due to early conditioning or conscious training; sometimes they permeate in body tissues of the individual at the electrochemical level, sometimes they are emotional and sometimes intellectual habits. In the case of each individual, alternations from one mental state to another are expressed not only in his/her appearance, facial expressions, body gestures, postures etc. but in words and other symbols of interpersonal communication; they communicate information about themselves through storytelling. What is observable in communication are interpersonal interactions, neither thinking activities as psychological states nor social networks.

Thirdly, the subjective self is able to achieve its trans-level when it exceeds the boundaries of sensorial experience in intrapersonal communication, particularly in pure reasoning and through imagination. At this level, the human self exists in language and culture; hence, it is also possible to define the relation between mind (consciousness) and reality.

At this point, one has to allude to transcendental idealism as a position (different from realism and idealism) represented by Immanuel Kant (1724-1804) and Edmund Husserl (1859-1938), who, focusing on the mental subject of cognition, emphasized the role of both critical reflection and the point of view in looking at the world. The issue of the metaphysics of the subject, raised in the context of transcendental philosophy or transcendental idealism, amounts, as has been shown by David Carr (1999: 49-64), to considerations whether there exist two distinct egos, such as the empirical subject and the transcendental subject, as one might also say, the real and the merely phenomenal subject, or only one with its two aspects. At any rate, the subject, who thinks, perceives and acts, is somebody, who in doing so relates to a natural and social world of meanings. As can be argued, *inter alia*, in keeping with Carr, the implicit distinction between empirical subject and transcendental subject implies that subjectivity of self has two aspects, namely, being an object in the world and being a subject for the world, but any of them can be neither underestimated nor set above the other. Even though there is perhaps no reason to distinguish between the two egos, each subject as such is related to the world both in non-intentional ways, because as a person (body), the self, situated in space relates to other persons (bodies) in objective space, and/or through its experiences, thoughts, and ideas as its properties. In this second case, the question arises how do these ideas relate to the objects and the world they are about. No less intriguing issues concern, among the other things, the role of

the body in shaping mental representations, the immediate experience as a source of knowledge of the individual, his or her self-consciousness and the notion of transcendence as the possibility to go beyond his/her experience, and/or capacities of grasping, intentionality, intuition, etc. It is why concentrating on human selves in their natural and social reality, one has rather to focus on individual and social means of signification and communication, having, at the same time in view that, emerging in human minds, they always have a subjective character.

For theoreticians and practitioners of postmodern semiotic studies and representatives of other disciplines interested in man in his social-cultural and personal conditioning, the trans-level of self, to which there is only an indirect access thanks to the behavior of the individual and its products, is essential. Therefore, it would be appropriate to refer to the investigative framework postulated by Eero Tarasti originally in his book *Existential Semiotics* (2000). As to human selves as signifying/communicating subjects, the following properties are to be ascribed to them, in keeping with Tarasti's model: (1) corporeality that implies bodily conditioned experiencing of reality; (2) subjectivity of feelings and emotions, connected with the capacity for modal thinking; (3) the ability to engage in signifying social activities; and (4) the ability to think in terms of not only individual, but also supra-individual values and social norms. Thus, even though communication and understanding begin on the somatic level, that is, cognitive/communicative acts of humans are at first influenced by their corporeality, they interact with one another as observed persons and mentality, but can understand each other as inferred subjects.

Thinking of the self in terms of self-knowledge, one must refer to the notion of transduction, introduced by Lawrence W. Barsalou (1999) for the tasks of behavioral sciences. Similarly to all knowledge, characterized by Paula M. Niedenthal et al. (2005: 35-38) in terms of amodal data structure, it must be then approached from biological and experiential perspectives. The self is in such a case an outcome of transducing modality-specific states that arise in (1) perception, (2) action and proprioception, the recognition of intra-organismic stimuli, and (3) introspection, the reflection upon the own mental states, as emotions, evaluations, motivations, ways of reasoning, memories, etc. into data structures that are amodal. Specific experiences of the individual activate his/her modality-specific states, the multiplicity of which is the source of division within self.

5. Conclusion

Accordingly, there is a need for transdisciplinarity in the study of both the human self and its semiotic manifestations, especially as the complex and multidimensional nature of human consciousness is not reducible to parts, or components, but translatable into terms of human existence. Human individuals as assumed mental subjects establish and apprehend intentional meanings, being observable objects to themselves in the context of others, seeking for values, making choices, taking responsibilities, developing their creativeness, etc. Most important semiotic extensions of human mind are texts where the multitude of which the self can be conscious to a certain degree finds reflection.

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MOZART'S PERSONAL STYLE AND PERIODIZATION: PERFORMANCE, CULTURE, AND TEMPORAL DISTANCE

Panu Heimonen

University of Helsinki, Finland
panu.heimonen@helsinki.fi

Abstract

The paper explores how we experience Mozart's personal musical style? For this purpose a model for expressing representations of historical/cultural features in music is put forward. Mechanisms of representation, such as simultaneization or spherization, are used together with music analysis to form an interpretation of contemporary experience. From these premises the paper questions the adequacy of historical periodization and asks if analysis of representation could provide a firmer basis for a contemporary experience of Mozart's personal style. This conjecture is further supported by an accompanying analysis of culturally conditioned dialogue relations in Mozart's piano concertos KV 456 and 482.

1. Introduction

Present paper attempts to delineate a view of Mozart's personal style. This is seen, however, not primarily as a music internal matter, but as depending on music's representational properties, especially how a sense of the contemporary arises out of historical references. Two piano concertos' 1st movements, KV 456 and 482, are presented as examples of how outer stylistic and historical features are projected inside a concerto movement. This brings the need to examine the question of periodization of the late classical style and to juxtapose it with the concept of representation. This also opens a view of how Mozart in a highly personal way uses extra musical factors to form his personal stylistic language.

When historical allusions are used, the concept of contemporaneity is evoked to bring forth and integrate a sense of stylistic integrity. Two analytical examples that are presented here do not suffice to give a comprehensive picture of Mozart's personal style. It however points to the direction where the answers could be found after more detailed and extensive analytical work.

2. Sense of the contemporary and the personal style

Musical style period needs to be experienced as more or less contemporary. It is essential that a style as such is experienced as belonging to the now moment in a broad sense. How can this be achieved, then? We are making a distinction between different styles partly based on the way they make use of their surrounding styles.

A personal style is something that is experienced in the present moment. It illuminates how Mozart appears to us. In being able to recognize the difference between not yet and no more a certain style is paradoxically able to invoke this quality in all style periods. There is a peculiar type of representation taking place here. The sense of the contemporary within a period is transformed to the contemporariness of the present moment. This must be, then, something universally recognizable. Otherwise we could not be able to have access to the otherness of a historical period. Historical presence serves to gain a universal being. There is the ability of art to cite, to make relevant again any moment from the past, to re-evoked that which it had declared dead (Agamben 2009: 50). It is this combination of temporal significations that gains a universal status and is able to deliver the message of the work regardless of the time where reception takes place. In this way an individual starts to elaborate on previously non-existent matters because there is a space available to do this.

2.1. Reinterpreting music analysis

Can the above theoretical picture be illuminated through music analysis? In the concertos KV 456 and 482 certain compositional solutions are truly novel and ahead of their time. Most central of these is the way in which there is an emerging interaction between S1 and R1. In KV 482 bb-minor theme comes up in a location where in the history of concerto form a corresponding theme has never appeared before. Historically this detaches the secondary theme from the conventional type of contemporary in a temporal sense. Here it is the *Moi* that is detached in bar 128 (Example 2) since in comparison to the first ritornello R1 the individual is highlighted and in a tragic vein torn apart from the frame of reference provided by first ritornello that is much more part of the conventional contemporary in Enlightenment music. This is a virtual representation of a future style. This is compatible with the idea of a supra-zemic level as a conveyor of performance knowledge since here representations are virtual by nature.

2.2. Types of representation

Tarasti (2015: 67-69) makes a distinction between different types of representation. Can one find those types in how the social has been represented in concerto discourse? Different kinds of historical detachments and disjunctions can be discerned in the way configurations of modalities come up in relations between the first ritornello and the first solo. These mechanisms can then be related to how a sense of the contemporary arises in musical performance. In terms of music analysis we are dealing with the *Soi*, and in terms of concerto form it is the ritornello that is in focus. Basically, we need to see how materials from different historical distances are positioned with respect to each other and how various anachronisms and disjunctions might work toward the formation of the contemporary. This kind of representation is then experienced in a unique way at the present i.e. contemporary moment. Is this the kind of formal quality that is experienced as universal but that is embedded in deep context?

Can the above be used even as partial criteria of periodization? In a sense this implies the relative nature of stylistic categorization when the trademark of contemporary has become the sense of the work being detached from history not the ahistorical nature of the image of the

work. How does all of the above relate to periodization? One could easily see that Mozart in his late style is on the verge of early romanticism. In his sense this would form an essential part of his personal style. The paper asks, however, if this is sufficient as a stylistic marker?

3. Periodization and conceptual change

The approach of this section is built on a twofold theoretical development. On the one hand, we are constructing an approach based on dialogue internal to the discourse and see how this can be put in a historical perspective and producing a relation of representation. Here Mozart's piano concertos (cf. Rosen 1997; Keefe 2001) serve as paradigm case, although other repertoire could be included. On the other hand, principles of periodization and the problem of change from one stylistic period to another one is addressed with traditional tools of historiographical periodization and then this approach is integrated with the first mentioned theoretical tools. The goal is to present a renewed view of late classical style and its historical embeddedness and to show how it affects Mozart's personal style.

We are basing our approach on the general idea that at some point stylistic qualities, which partly originate outside of work at supra-zemic level, become internalized within musical works i.e. *Soi* enters the *Moi*. It is to be expected that this will put stylistic characteristics into sharper focus and will possibly alter familiar divisions. This awakens the question of a work's relation or embeddedness in its context, which can be seen as a problem of representation. The research questions if a new conceptual regiment is entered in romanticism and to what extent and in which ways does this relate to late classicism?

3.1. Mechanisms of stylistic representation

When there are stylistic features in a corpus, such as piano concertos, a part of which belongs to a former style and another part to the upcoming style, how or on what grounds should stylistic consequences be judged? This is closely related to the way in which concepts or clusters of concepts change and new concepts emerge. Customarily one has approached this phenomenon in terms of periodization. Yet, alternative mechanisms for representation between work and world can be discerned (Tarasti 2015: 69). They include possibilities such as simultaneization, spherization, temporalization, fragmentation or *Wiederspiegelung*, etc. How do these mechanisms then depict a sense of dialogue, which has been our main source of concern? Although only one facet of the problem of representation a concrete example is the conversational culture in Enlightenment and how it is represented in the art of the time on both individual and social levels.

We may ask which of the available mechanisms suits the Enlightenment and which might best fit in with the present world. There is always a tension between these perspectives. In this way it may become possible to trace the route that our experience discovers through historical musical styles. The remaining research task of the present project is how to reconcile the above mechanisms of representation with Enlightenment art and its relation to early romanticism, and to see how this changes our present understanding of late classical style and contributes to Mozart's personal style.

When we have already established the relation of the work to cultural practice of Enlightenment, we can now examine how this relation changes in the changeover from classical style to romanticism. This relation may possess stylistically noteworthy clues with regard to stylistic identities. From this base one can widen the approach to interpretations of the work as it exists today, or those various interpretations that can be thought to be implicit in it. In this sense, it is not only a question of musical features per se, but it concerns the way that an artwork is po-

sitioned with respect to the outer reality. Existential moments are born here. They exist both in music and the outer world and in fact they are an outcome of an interaction between the two.

3.2. Re-signification of late classical style

What we are putting weight on in our model is how we conceive of a work's relation to various facets of representation of reality such as how the work represents our own reality, how a cultural practice is represented in the work, how previous cultural practices are represented in contemporary reality? What are, then, the differences to traditional periodization? Whereas stylistic features in conventional periodization are mostly based on musical features, in the present framework it is the *Moi* as a criterion behind the style that remains invariant. What is changed in these ways of representation, when romantic features are emerging? It is the *Moi* that changes only when romanticism proper is entered. The *Moi* prescribes what is endogenized and what is not. Many questions arise. Does conversational culture change when romanticism starts to emerge? Do romantic features cause in some way a widening of distance between work and reality? Does the romantic imagination cause a loosening of representational relations that in Enlightenment was a tighter fit or does it possibly result in a change in their objects? Most importantly, when these romantic features come up in an environment basically belonging to classical style, how does this affect representational relations and consequently the related stylistic prescription?

This leads us to the question about Enlightenment conversational culture and its relation to artistic expression. It is widely acknowledged that Enlightenment highly valued conversational culture (Hanning 1989). Yet, the crucial question is how this culture talks to us today while manners of conversation today are certainly different, and communication has become increasingly fluid? Obviously, a sense of conversation can be represented in a musical work. How do, then, different modes of being function toward representing this cultural phenomenon?

The above discussion, it is conjectured, amounts to a reinterpretation of boundaries of late classical style. On the one hand, we need to consider how a work relates to its own time and its cultural and stylistic arrangements. On the other hand, one should consider what the properties are that remain relevant from the perspective of our own time. In other words, what is being carried over to the realm of contemporary performance practice?

As mentioned, what the more exact relation between the work and reality is, is a question of representation (Tarasti 2015), which can be expressed through mechanisms of representation or possibly also in terms of rhetoric (Greenblatt 1988). It could in fact be argued that for an existential moment to arise both these levels and their mutual relations need to be considered either in the form of negation or affirmation. In these instances, the work and outer reality become one in a metaphorical, experiential sense. It is the existential experience that finds a way to reconcile them. To generate an inner experience (internalized and represented *Soi* and *Moi*) we need here the outer world (outer *Soi* and *Moi*), the latter of which can be seen partly to exist in transcendence at supra-zemic level (Tarasti 2000, 2015). Basically, this recognizes the centrality of both the aesthetically positive experiences and the tragic ones as well. It is the relation of representation that is the driving force and initiator of changes and that is conceived in different terms at different style periods.

4. Cultural signification and representation in KV 456 and 482

There is no absolute force from the outside in classical style that makes things work in a certain way. Rather there is a spontaneous order that arises from within the musical discourse that then results in a peculiar manner or arrangement and order between the individual and society and

ing it in different ways in S1. In this sense there is a dialogue going on inside the S1 as well, but one whose origins nevertheless are in the formal section R1. This is a joint appearance of rhetorical figures of iteration (repetition of the proposition before drawing our formal conclusion, Cicero), incrementum (a kind of amplification which by steps of comparison scores every degree till it come on the top, Hoskins) and distribution (our statement may be distributed into parts, Cicero) (Sonnino 1968). The overall effect is one of distribution and enhanced significance. In terms of modalities this is shown as modality of must, combined with light buffo character that does not really move anywhere, therefore its seemingly harmless insignificance.

In terms of relation to society there arises a metonymic relation to the plural changes in various social and individual actant roles that are a consequence of changing relation between public and private sphere. It is suggested that these are reflected in Mozart's music. In terms of linguistic theory this is a question of not-at-issue, which is in the course of the movement transformed into a more meaningful and diversified role.

A side issue in bars 61-76 (not-at-issue) is taken and turned into something that can be considered the main target of elaboration, understood as a conversational reaction in S1 not development as such. Basically, this is a question of a motive consisting of repetition. In itself the figure does not have a clear form functional role, but in R1 it is turned into a cadential closing function (cf. Caplin 1998). It could even be said that in S1 there is a dialogue among the motive itself, a closed dialogue, which seems to imply that although he/she is on stage now the respective actor is not really in interaction with the rest of society. An upward 8th and a downward 5th motive is added to the repetition motive at bars 105-117 (Example 1). Through this transformation the repetition motive moves closer to the modality 'might'. Its buffo character is also strengthened. In a temporal sense it becomes more forward directed. This is the conversational content of R1-S1 relation. As a whole, the concerto seems to convey a sense of isolated forward moving patches and as a result a feeling of competition between these and more conventional discursive material such as main and subsidiary themes. Corresponding phenomenon of embracing a not important looking feature as a central target of attention happens to varying extent in other concertos as well. In Mozart the main theme rarely turns out to be a main theme except in the sense that it appears in the location that is conventionally reserved for the main theme. From a conversational point of view, we suggest that this is the case in Mozart's concertos. Perhaps it is these not-at-issue passages that are most capable to convey the meaning and changes in meaning of modalities in conversation and for this reason Mozart relies on them.

4.1.2. Representations of the contemporary in KV 456

Metaphorically this may signify the increasing possibility for entry to the public sphere of representatives of previously minor or so far marginalized and in this sense insignificant groups. This could be taken as a reflection of societal changes in the Enlightenment. A new significance is given to them in this part of concerto discourse. There is energy pouring into the society from the music and in this sense also a grounding for dialogue between the performer and audience has been provided. In this sense an artwork could be a reaction to the power relations in societal practices. At least it can be said that there are traces of historical knowledge that support this kind of interpretation. There seems to be various kinds of human characters that are raised to the front stage from the back through corresponding procedures.

Mozart is clearly playing with different temporal layers to overcome the sense of conventional contemporary. In KV 456 he evokes the abundance of rhetorical flourishing that one discovers in baroque style, closely resembling the kind of baroque sequences that are occasionally to be found in development sections of classical concertos. Here it is placed in the first solo to emphasize the agency of the individual, the *Moi*. This is a remarkable achievement for exam-

ple in comparison to a buffo character in bars 61-66 in an almost atemporal and inert passage where the society is clearly on hold Mozart brings along an entirely new topic and turns it into a baroque-like sequence (bars 105-117) which is in highly unconventional position in the exposition. There are many aspects in this procedure that are something that is not yet, but also aspects that express the not any more in a stylistic sense. It is this kind of construction of the contemporary that as representation it is possible to understand and gain an understanding of the present moment as well. It is this tension within the contemporary that can be sensed regardless of what the present moment in history is. This would seem to hold even though the experience is bound to be of a different kind. In the above sense there is a universal component involved in this historicizing process. Here we have the historical traces represented as a result of simultaneization. Different historical moments are superimposed into simultaneous presence in the work of art.

NMA V/15/6: KV 482/01

188

122

125

*) Vgl. Vorwort, S.X.

NMA V/15/6: KV 482/01

1

130

189

Violoncello

Bassi

Internationale Stiftung Mozarteum, Online Publications (2006)

Example 2. Piano concerto KV 482, 1st movement, bars 128-139.

4.2. Analysis of KV 482

4.2.1. Musical level in KV 482: Solo and ritornello as contemporary agency

The bb-minor theme in bars 128-139 (Example 2) is the only theme that can be measured against the main theme complex (bars 1-13) in rigor and majestic character. Most importantly as a modal mixture it is a negation (–) to the major mode or predominantly buffo world of

R1. This is a transcendental act of negation, which initiates a dialogue between R1 and S1. The individual stands against the world view represented by orchestral ritornello R1. In this sense there is a negation between the world views as well, where R1 stands for the “old world” (ancient regime) whereas S1 is a representation of novel, more progressive features of the Enlightenment and where things start to evolve around the individual. Thus, the two world views coexist in the Mozart concerto 1st movement. It is symptomatic and a possible sign of reconciliation that bb-minor theme does not appear again in the recapitulation, but the other two themes do. Perhaps it has fulfilled its destiny and may disappear in due course.

It is now interesting to ask how this kind of signifying strategy might be related to matters of musical performance. This can be accessed through the theory of modalities and temporal references that can be derived from modalities together with relevant contextual features. It is from interaction between modalities that a sense of dialogue based on temporality arises. This in its turn is expressive of the contemporary that is conveyed through the possibly contradicting or anachronistic historicities of the piece. As a Sturm und Drang topic the theme paves the way to romanticism, the forthcoming period. In KV 482 perhaps the most striking feature is the sudden shift to bb-minor half way through solo exposition with this Sturm und Drang topic. Without previous appearances in the movement and an energetic upward movement together with strong modality of ‘must_{Moi}’, the complex produces a strong forward directed temporal reference – perhaps the highest degree of modality in the whole movement. This is further enhanced in the latter part of the thematic complex although the reference is reversed into a backward one through several repetitions of the cadential gesture. This gives further credibility for the idea that within one phrase there tends to be two modalities combined with a historical reference within an alien historical context.

4.2.2. Representation of culture in KV 482

When the entry theme launches the solo exposition, it remains somehow indifferent in terms of modality because of overly simplified harmony, as though the actor did not have a clear volition. This is Singende Stil with a slight touch of buffo topic. When the basically same theme, although without the Galant features, arrives after the Sturm und Drang episode the underlying harmony enforces a more complex modality on it. The tonality is ambivalent, the theme does not seem to be able to decide between Eb-major (the previous tonality) and Bb-major (the forthcoming tonality, structural dominant). There is uneasiness about the Buffo character that was so eminent in R1. The actor does not seem to be certain of its identity and /or its manner of development. This can be seen as being largely due to alternating backward and forward directed temporal reference.

How does one find parallels to 18th century conversation? Conversational culture of the time should first be studied as such. Here we are entering the realm of cultural signification and the related cultural profile of the movement. At last instance we should also figure out how these forms of conversation are understood from today’s perspective and how anachronistic features contribute to the experience of the contemporary. In KV 482 this is also a result of simultaneization, but now there is also a sense of spherization in that the modes are arranged around the *Moi* or me as is evident in first solo where in bb-minor theme the individual takes a central position in relation to which other interpretation in the movement is done.

5. Summarizing the argument

We have located mechanisms of representation through which influences from historically distant periods are brought together to create a sense of the present experience. Our examples present two different cases of how the outer is projected inside a musical work. These can be

taken as instantiations of Mozart's personal style and how this style relates to stylistic and historical circumstances of its own period and how it might be experienced today. In KV 456 this is a matter of representing stylistic features of Baroque period in highly unconventional location in concerto form, while KV 482 presents Sturm und Drang features again in an unconventional location that are usually associated with development sections. Both cases deliver a sense of dialogue that emerges between R1 and S1 and that through historical categories results in a contemporary experience of musical discourse.

We may now ask, what is the relation between historical periodization and history seen through change in representation? Could it be that the whole concept of a period is getting redundant and that we should more readily trust on composer's personal stylistic profile that is born of analysis of representation?

6. Conclusion

In this way it has been shown already that an art work is not only a document of 18th century culture, but an imaginative combination of various even temporally distant elements that together are able to create a sense of the contemporary. How these elements are ordered can be depicted via mechanisms of representation such as spherization, simultaneization, localization or temporalization or a combination of these. They convey a sense of how a representation relates to the represented and how it is given a contemporary way of being. Along with the mechanism of representation the way the dialogue works appears to be subject to historical change. This manner of representation holds the key to understanding Mozart's personal style. In this way a step has been taken toward delineation of Mozart's personal style especially based on how Mozart's *Moi* may be seen to transform influences of the outer world into unique artistic creations.

Stylistic references that are either "not yet" or "not anymore" build up a network of representations of Mozart's personal style and convey the message of the music to our contemporary listener and performer. A specific type of dialogue emerges out of these disjunctions and juxtapositions of the historically impregnated references.

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URBAN SEMIOCRISES RESEMANTISING CITIES: BOUNDARIES, PRACTICES AND PLAYFULNESS

Mattia Thibault

University of Turin, Italy
mattia.thibault@gmail.com

Abstract

Urban areas are undergoing a semiocrisis, triggered by a change of episteme in our culture (Tarasti 2015). If globalisation already blurred identities, reshaped neighbourhoods and out-sourced industrial production far from the European cities (Cross & Moore 2001), today cities are facing a new mutation. Internet and ICT are eroding the everyday-life meaning of space, as they move on-line many tasks that used to require physical movement — the spaces of the city are, hence, partially de-semiotised and available to assume new meanings. As for all semiocrisis, the first reaction has been to resort to old values, reinforcing separations based on census (gentrification) and on origins (banlieues, Londonistans). However, the space of the city, relieved of the burden of ordinary-life functions, is also available to different semiotic domains, such as playfulness. This paper aims at investigating how the ludicisation of our culture (Bonefant & Genvo 2014) influences our ways of reading and writing the city. Playful practices such as flash-mobs, parkour and memetic street art will be engaged in order to shed some light on how the modelling system of play seems to offer a valid solution to today's urban semiocrisis.

1. What are semiocrisis?

This paper aims at applying the concept of semiocrisis to the contemporary urban environment in order to enrich the semiotic tools for a framework for urban gamification (already initiated in Thibault 2016).

The concept of “semiocrisis” is part of the wider theory of existential semiotics, developed in the last years by Prof. Eero Tarasti and well showcased in the book *Sein und Schein* (2015). Semiocrisis are due to a deep change of epistemes in a culture (Tarasti 2015: 142). In other words, while the immanent structures of social life have changed or are changing, its visible and observable signs did not, and therefore they do not correspond to it any more.

Semiocrises, I quote:

Can be to some extent anticipated but, *when* they take place exactly speaking, no one can tell. The conceptual orientations of a culture's deep level also move as slowly as continental plateaus. A semiocrisis emerges when these epistemic levels start to move. This becomes manifest when the prevalent discourse in a society does no longer correspond to the epistemic reality (Tarasti 2015: 142).

And again, in a semiocrisis:

Signs have lost their isotopies, their connections to their true meanings. (...) It is as if under the surface of the everyday reality there would loom a kind of sociokinetic energy field, which can combine things in unexpected manners. Just these changes in such a socio-energetic level are recognized as semiocrisis (Tarasti 2015: 143).

In these moments, then, a crisis is happening between the social signs and their meaning, a culturally-motivated “misworking” of semiosis. It is a gradual change, extremely slow, but when it reaches a breaking point it leaves the citizens in a structureless situation, completely exposed to the change. This, according to Tarasti, can have two consequences: either individuals become aware of themselves as existing subjects or, more commonly, they try to reject the lack of meaning opened by the semiocrisis, generally resorting to old or mythological values. The efforts to return to a previous stage, however, are doomed to fail, but they are not consequenceless, as it is well shown by the contemporary revival of nationalism in face of globalisation. Nevertheless, semiocrises can also be productive, as in a leap from nothingness to creation of a new meaning, a new semiotic identity may arise (2015: 144).

2. Urban semiotics

In order to approach *urban* semiocrises we have first to make some considerations on how we make sense of the city spaces — how we interpret them and how we “write them”.

In 1980 Michel de Certeau in his *L'invention du quotidien* proposed to consider the city as a textual form. This parallelism — metaphorically already implicit in the expression “urban fabric” — leads de Certeau to consider the cities as a real text, actualised (and transformed) by the practices of interaction and crossing of their inhabitants. The journey of the latter through the urban space, then, is nothing but an *enunciation* by which the individuals take possession of the cities and transform them by introducing their own subjectivity. The city, thus, is a text anything but fixed: it is the result of practices of enunciation that, at the same time, actualise and deeply modify the urban spaces. The metaphor of urban space as a text was later retrieved by semiotics as an important research direction. In one of the founding works of urban semiotics, Ugo Volli writes:

From the semiotic point of view, an expressive reality that is renewed and continually redefines itself such as the city, is defined a discourse: a signifying practice which, however, at all times projected behind itself a text. The city is alive, it changes materially and in the meaning that it projects; but in every time it is stable and legible as a book (Volli (2005: 1 [my translation])).

The city, then, is not “really” a text, but rather works as a text — as a text it can be read, but also approached, analysed and understood (Volli 2008). The city, just like a text, is both an organic whole — that can be understood and labelled as a unique thing — and characterized by an irreducible structural heterogeneity — a city encompasses numerous texts smaller scale (neighbourhoods, streets, buildings, signs, street furniture, graffiti ...). All these smaller texts

are interconnected by their simultaneous presence within the city, which then becomes a web of meaningful elements connected to each other (Volli 2005). This is obviously an unstable and uncertain mingling, whose metamorphoses follow different times and rhythms, from the slow construction of new neighbourhoods to the quick work of street-writers and the ephemeral presence of advertising posters.

Urban spaces, then, are complex semiotic engines, where many layers of meaning coexist and sometimes clash. Our urban semiotic competence regulates our ability of living and moving through a city, guiding our interpretations. Nevertheless, this competence can never be definitive, as the continuous changes of meaning of the city require flexibility and adaptation.

In this frame, an urban semiocrisis is a *desemiotising* force that is able to impair our urban competence, as it questions the meaning that we are used to attributing to public spaces.

3. The urban semiocrisis

The general semiocrisis related to globalisation has strong effects also on cities. Through migrations, globalisation blurs identities and reshapes neighbourhoods rewriting the urban text on different dimensions, adding new layers of meaning to those already existing and, sometimes, erasing almost completely other layers (Cross & Moore 2001). Moreover, the outsourcing of industrial production far from the European cities left behind itself a series of *terrain vagues*, that cities are still trying with patience to refunctionalise and re-insert into the urban fabric.

As for all semiocrisis, the first reaction to this change of paradigm, has been to resort to old values. The cities have been reshaped then according to census — is what we call “gentrification” — of ethnicity — the rhetoric “Londonistans” —or both — like in Paris’ *banlieues*.

Nevertheless, while this crisis is far from solved, another one, potentially much more revolutionary, is also starting to show its effects. I’m thinking about the Internet and ICT revolution, whose impact is increasingly reshaping our lives. Among the many effects of this revolution, one has a direct impact on the everyday-life meaning of space. Today, many tasks that used to require physical movement require only an internet connection. We do not need to go to the post office for sending documents, nor to go to the bank for managing our account. Many certificates can be obtained online, without queueing in public offices, and working from home becomes more and more common. Netflix is a good substitute for Blockbusters and, in a certain measure, for Cinema; Amazon is replacing bookshops. The spaces of the city, then, are partially desemiotised: their traditional meanings and their isotopies are fading, as the use value of spaces is slowly disappearing.

4. Playing with the city: a possible solution?

The spaces of the city, now partially relieved of the burden of their ordinary-life functions, are however available to assume new meanings, to be resemantised. As signifiers orphaned of their signified, they become easily exploitable for the creation of new signs, and therefore for incorporating new meaning inside the city. There are, in fact, several operations of this kind and, interestingly enough, they often feature a pronounced playful nature. Let’s see a few examples.

Flash-mobs, nowadays, are perhaps one of the most widespread practices of urban play. Often located in the city streets, in train stations or subways, flash mobs involve the sudden creation of a crowd of people making an unusual performance characterised by a playful nature. These performances invade the space of traditional events (protest marches, sit-ins, fairs) and often replace them as ways of aiming at the same objectives (Turco 2012). There are flash mobs of political protest, others that promote moments of sociability (e.g. the *dinners in white*), or

purely recreational (zombie walks) or promotional. During flash mobs the spaces of the city are transformed in improvised stages for shows that involve masking, playful carnivalesque traits, and surreal spectacles. We face, then, a semiotic device acting on the border between everyday reality and play. Viewers of a flash mob become players without their knowledge: the communicative effectiveness of this practice is based on their interpretative disorientation, their temporary inability to distinguish between play and real life.

Urban games, on the other hand, are full-fledged games that take place in city environments, encouraging participants to move freely in public spaces, to socialize and interact with passers-by and to favour exploration, experimentation and the creative use of urban spaces. These games are mostly, but not necessarily, played in the squares and streets of the city, but can also take place on public transportation, libraries, shops, restaurants and universities. A special kind of urban games, typically digital, uses GPS devices and smartphones to transform the players' position in space in data exploitable for in-game purposes. *Locations based games*, as they are called, are games where the player has to move through the real space of the city in order to win or to progress in the digital game. These games frequently make use of augmented reality, or using a computer (usually a smartphone) to enrich the perception that the player has of the urban environment. These games are not limited to the resemantise the urban text, but they also write on it, adding digital textualities that will overlap intermittently to semiotic buzz that already characterizes the city. In some cases, these are purely recreational games — as the famous *Pokémon Go* (Niantic, 2016), while others may be gamified apps that spur the players to make physical activities (Nike+) — what they have in common is the attempt to give a value to the spatial dimension by replacing the traditional meaning with a playful one. In this way, if the growing digital media evolution always requires less to move by necessity, these games offer a new reason for crossing urban spaces whose incentive are no longer functional, but playful.

We could, of course, make many other examples, such as parkour (see Leone: 2009), or game-inspired street-art (Fig. 1).

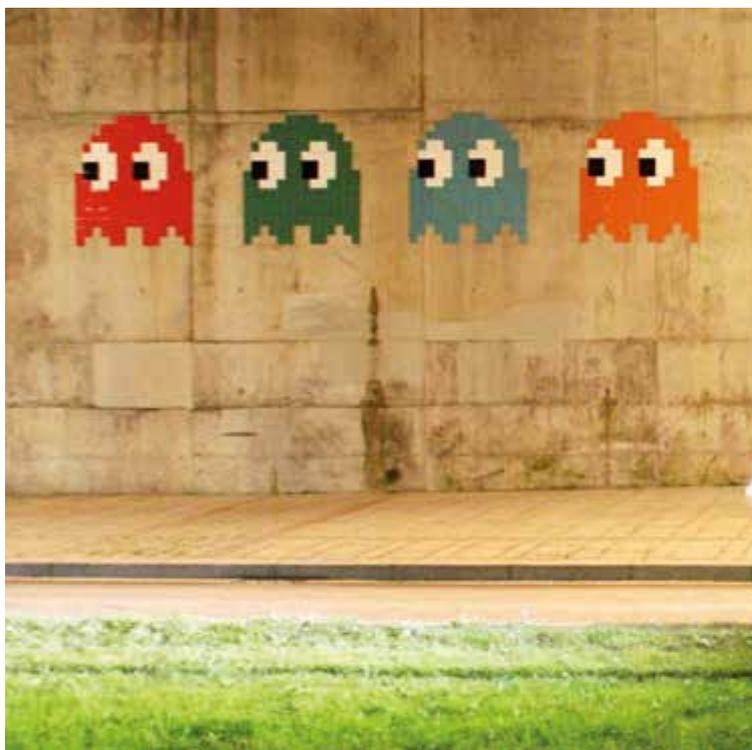


Figure 1. A graffiti from street-artist Invader.

Urban gamification, therefore, attempt to harness the ability of play to bestow city-authorship to the common citizen. With no need of actually modifying the city, the players/citizens can act on their own urban competence to re-interpret the city according to new logics, and therefore to fill desemiotised urban spaces with new meaning.

Play's efficacy to this task it is probably not innate, but it is probably rooted in another change of paradigm: the so-called *ludicisation of culture* (Bonenfant & Genvo 2014). This is a cultural shift that sees play become one of the most efficient universalistic metaphors in our culture. In other words, play and games are rapidly moving towards the centre of our semiosphere, and therefore they become more and more able to offer new meaning to our society, de facto also offering resources to replace what is desemantised by the ICT revolution.

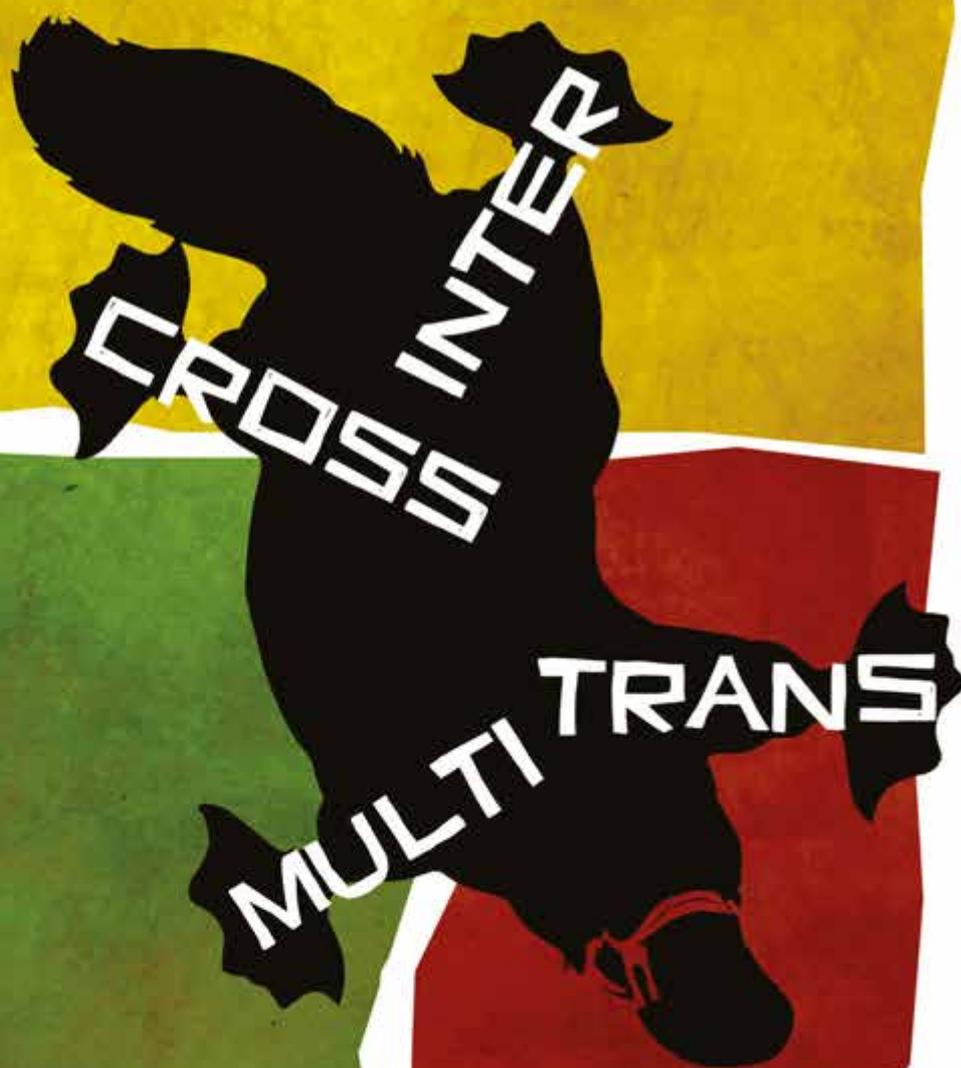
Approaching this topic in the frame of existential semiotics, in conclusion, allows us to see how play seems to offer an alternative to a reactionary response to urban semiocrisis. Instead of painfully recurring to old stereotypes and models to keep the city spaces under control and in the hopeless attempt to stop the semiocrisis, playfulness offers a way of investing the city of new meanings, particularly effective to foster a re-appropriation of the public spaces by the citizens.

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LANGUAGE, TEXT, TRANSLATION

**FROM THE 13TH
SYMPOSIUM SEMTRA 2017**

GLOCAL FOOD AND TRANSNATIONAL IDENTITIES: THE CASE OF THE MEDITERRANEAN DIET

Simona Stano

University of Turin, Italy, and International Semiotics Institute, Lithuania
simona.stano@gmail.com

Abstract

In 1958 the physiologist Ancel Keys discovered that a specific nutritional regime was associated with lower rates of coronary heart disease and mortality. This was the origin of the “Mediterranean diet”, namely a dietary pattern defined by a high intake of vegetables, fruits, bread, legumes and unsaturated fats, a moderate intake of fish, and a low intake of dairy products and meat (Keys 1980; Nestle 1995). Since Keys’ discovery, interest in the Mediterranean diet has increasingly grown, making it extend beyond the simple definition of healthy rules regulating nutrition and embrace the social and cultural implications of a specific “lifestyle” (UNESCO 2013; Moro 2014; Stano 2015a). Building on these premises, we aim to analyse the processes of “translation” (Stano 2015b) of the Mediterranean diet into different foodspheres: which changes affect the material and structural dimension of food? And what happens at the sociocultural and symbolic level? The analysis of relevant case studies will lead to general conclusions on the transition of the Mediterranean diet from a merely “scientific” to a predominantly “cultural” paradigm. Furthermore, it will help shed new light on the processes of identity-building and the ideological implications of food traditions and their transnational adaptations.

1. Introduction: contemporary foodscapes between globality and locality

Whether eagerly exalted or strongly criticised, globalisation is a factual characteristic of contemporary societies, and it has increasingly affected food: as Sidney W. Mintz and Christine M. Dubois state in *The Anthropology of Food and Eating*, “not only do peoples move across the globe, so also do foods” (2002: 105). As a result, a particular taste for the exotic and the ethnic has rapidly spread within contemporary societies, making people incline to what Claude Fischler (1980; 1988) calls *neophilia* -- which drives us to adapt to environmental changes and explore a multitude of new foods and diets. On the other hand, a special praise of authenticity, typicality, and locality -- which can lead to forms of *neophobia* and even xenophobia, as Leone

(2016) argues referring to the so-called “Km 0 phenomenon” -- has also become increasingly evident in present-day foodscapes.

2. The Mediterranean diet between globality and locality

2.1. The discovery of the “Mediterranean way”

Within such a perspective, it is very interesting to focus on a peculiar case study: the so-called Mediterranean diet. It was 1958 when the American physiologist Ancel Keys discovered that a specific nutritional regime seemed to be associated with lower rates of coronary heart disease and mortality. This was the origin of the so-called “Mediterranean diet”, namely a dietary pattern defined by a high intake of vegetables, fruits, bread, legumes and unsaturated fats, a moderate intake of fish, and a low intake of dairy products and meat (Keys and Keys 1975; Keys 1980; Nestle 1995). The reference to the Mediterranean context therefore initially came from the place where such a diet was adopted at the time of Key’s intuition, which was also the place where its healthy foods were *naturally* and *materially* available.

2.2. The Mediterranean Diet Pyramid and the Inclusion in the UNESCO Representative List of the Intangible Cultural Heritage of Humanity

In 1993, drawing on Keys’ observations, the American NGO Oldways, the Harvard School of Public Health and the World Health Organization (WHO) developed the so-called “Mediterranean Diet Pyramid” -- that is, a model illustrating the Mediterranean diet pattern by suggesting the types and frequency of foods that should be eaten every day. Already the original model (Fig. 1), which mainly consisted of simple words, included regular physical activity within it,



Figure 1. The 1993 Mediterranean Diet Pyramid (© Oldways Preservation & Exchange Trust; <https://oldwayspt.org/>).

therefore recalling an ample definition of the word “diet” -- which, coming from the Greek *δίαιτα*, *diáita*, goes well beyond the simple ingestion of food and embraces a real “way of life”. Moreover, the 2000 edition (Fig. 2) gave an iconic form to the advices on physical activity and brought them inside of the pyramid, within the daily section, further increasing the need of combining exercises to food choices.

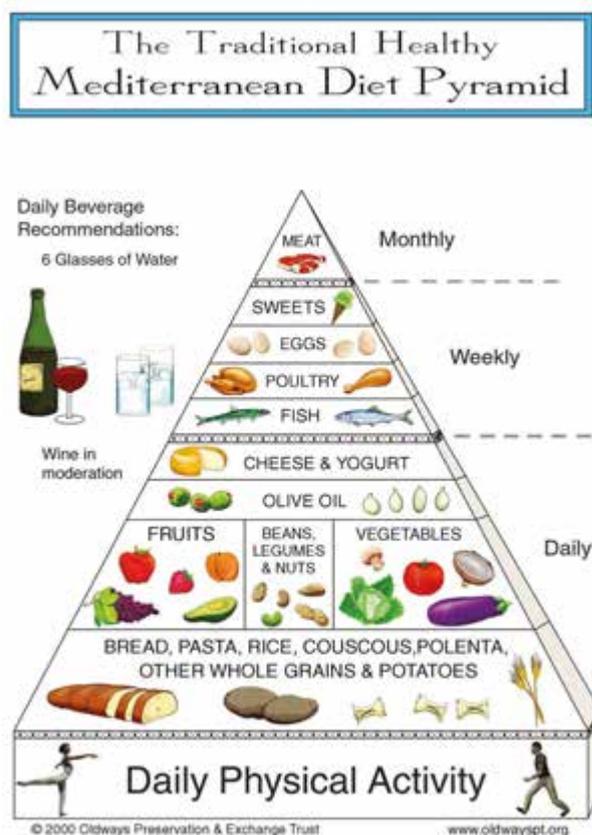


Figure 2. The 2000 Mediterranean Diet Pyramid (©Oldways Preservation & Exchange Trust; <https://oldwayspt.org/>).

The 2009 update (Fig. 3) then introduced other interesting novelties: herbs and spices, for instance, were added for reasons of both health and taste, as well as on a cultural base – since they were recognised “to contribute to the national identities of various Mediterranean cuisines” (Oldways n.d.: n.p.). Furthermore, together with images recalling physical activity, it introduced a reference to a new element: a family sitting at a table figuratively recalls the words on the right (“Enjoy meals with others”), highlighting the importance of *conviviality* as a key element of the Mediterranean diet.

Since Keys’ discovery, in fact, interest in the Mediterranean diet has increasingly grown, making it extend beyond the simple definition of healthy rules regulating nutrition and physical activity to embrace the social and cultural implications of a specific “lifestyle”, in which conviviality plays a crucial role. In this sense, the genealogy of the inclusion of such a diet in the UNESCO Representative List of the Intangible Cultural Heritage of Humanity is emblematic. When the first proposal was submitted to the agency of the United Nations, in 2008, it was rejected. Among

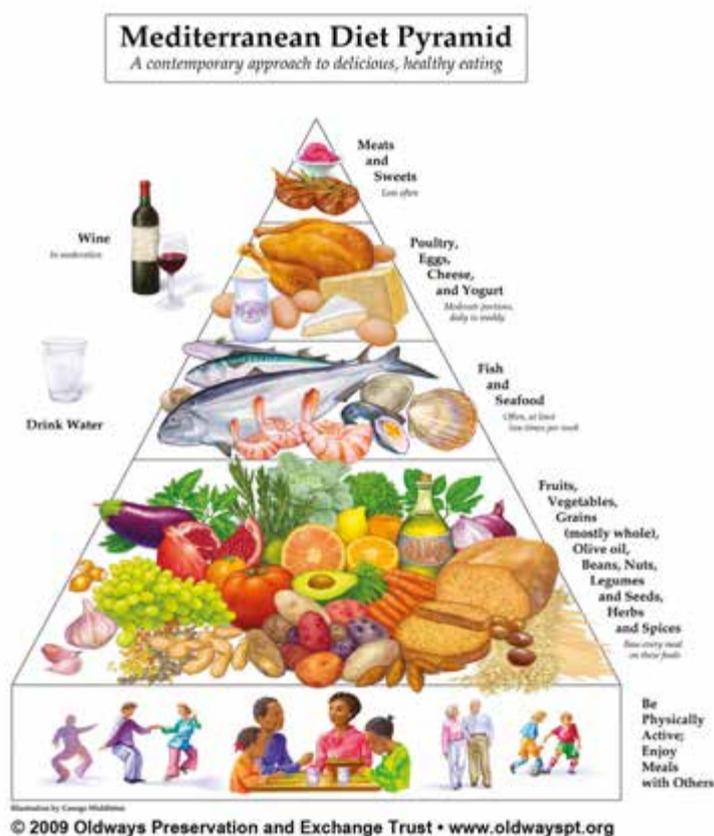


Figure 3. The 2009 Mediterranean Diet Pyramid (©Oldways Preservation & Exchange Trust; <https://oldwayspt.org/>).

the reasons for such a refusal, UNESCO reported that the definition of the Mediterranean diet provided in the request was limited to nutritional criteria and factors, almost disregarding anthropological and cultural aspects. This made it hardly applicable to the extensive and very varied context (i.e. Spain, Italy, Greece and Morocco) to which the application made reference.

Only in 2010, after substantial redefinition, such a problem of “translatability” found a solution, and the Mediterranean diet was included in the List of the Intangible Cultural Heritage of Humanity, also coming to encompass Portugal, Croatia and Cyprus in 2013. What made its acceptance and extension possible was precisely the inclusion of sociocultural elements in its definition:

The Mediterranean diet involves a set of skills, knowledge, rituals, symbols and traditions concerning crops, harvesting, fishing, animal husbandry, conservation, processing, cooking, and particularly the sharing and consumption of food. Eating together is the foundation of the cultural identity and continuity of communities throughout the Mediterranean basin. The Mediterranean diet emphasizes values of hospitality, neighbourliness, intercultural dialogue and creativity and plays a vital role in cultural spaces, festivals and celebrations, bringing together people of all ages, conditions and social classes (UNESCO 2013: n.p.).

Such a definition, which evidently recalls Tylor’s description of culture, i.e. “that complex whole which includes knowledge, belief, art, law, morals, custom, and any other capabilities and habits acquired by man as a member of society” (1871: 1), does not merely refer to the peculiar climate and geographical conformation and so the foods characterising the Mediterranean area, but encompasses social interactions and cultural values which are inherent to food systems. This



Figure 4. The 2010 Mediterranean Diet Pyramid (©Fundación Dieta Mediterránea; <https://dietamediterranea.com/nutricion-saludable-ejercicio-fisico/#pyramid>).

in turn stresses the need of emphasising such elements at the visual level, as Oldways did immediately after the initial rejection.

In addition to Oldways' models, a number of other Mediterranean diet pyramids exist. The pyramid designed by *Fundación Dieta Mediterránea* (Fig. 4) highlights another crucial element, that is, the role played by “traditional, local and organic food” in the definition of such a diet. This in turn emphasises two interesting aspects:

First of all, a sort of supposed “naturalness” thought as inherent to the Mediterranean diet; according to a well-spread contemporary trend, such a naturalness is generally conceived both as the praise of everything that opposes artificiality – as the adjective organic suggests – and as a return to an original and idyllic past, namely a “tradition” crystallised in “authentic” recipes, “typical” restaurants, etc. (Marrone 2011; Stano 2015; Sedda 2016).

Furthermore, a particular emphasis is put on locality, following another current trend in the food realm, as it was argued above.

But if, on the one hand, locality is emphasised, on the other hand, the Mediterranean diet has soon gone well beyond the borders of the Mediterranean area, becoming very popular abroad (cf. Moro 2014). What has this caused? No evident changes seem to have affected the material and structural dimension of food, since the Mediterranean diet can be mostly seen as the “non-diet” *par excellence* (Ventura Bordenca 2015): while common diets rely on regulating systems

requiring the subject to strictly follow a number of peremptory prescriptions and procedures, which are generally dictated by an external authoritative entity (cf. Grignaffini 2013; Stano 2014), the Mediterranean diet is a safe nutritional model *by definition*, which does not imply acting as an *engineer* (that is, following a system of strict regulations and prohibitions), but allows acting as a *bricoleur* (Lévi-Strauss 1962; Floch 1990), inventing new contingent solutions by reusing and readjusting the various tools (i.e. food products and practices) at one's disposal. So, if common diets involve programming and predictability, the Mediterranean way rather implies adjustments and unpredictability (cf. Landowski 2005). By contrast, more consistent changes can be noted on the sociocultural and symbolic level, as it will be described in the following sections, which will deal with two relevant case studies referred to the collective imaginary of the place where Key's intuition originated: Italy.

2.3. The 2013 commercial by Nicola Paparusso

In 2013 the Italian Ministry of Agricultural, Food and Forestry Policies decided to celebrate the confirmation of the inclusion of the Mediterranean diet in the UNESCO Representative List of the Intangible Cultural Heritage of Humanity with a commercial¹ realised by Nicola Paparusso. Since the first monochrome frames, the isotopy of rural tradition is evident: the first sequence shows a cart pulled by a horse, which brings a young woman, her husband and their son back home through a sunny street in the countryside. The next sequence introduces a strong opposition by showing a military car (modernity vs. tradition) that crosses the same environment. When meeting the young boy in a field of olive trees, the two American soldiers who are driving the car ask him in a broken Italian where they can eat macaroni and wine ("Hey boy! Come on, come on... we mangiare maccheroni ...vino, vino"). The young boy answers with the stereotyped paraverbal sign expressing his inability to understand them, therefore symbolising a substantial incompatibility between the two semiospheres that these characters represent. This is when the animated rhythm of Glenn Miller's *In the Mood*, which opened the commercial, gives the way to Dean Martin's *Mambo Italiano*, whose first verses, song by a choir, recall the acoustics typical of folk songs and explicitly refer to the Italian context through their lyrics ("A boy went back to Napoli because he missed the scenery / The native dances and the charming songs"). In the meanwhile, very short sequences show a young lady dancing with an elder woman, then a plough tilling the soil, and finally the previously introduced young couple joyfully running through a field of spikes. Then the camera moves to some fruits and vegetables on a big table, and finally it is captured by the sensual dance of another young couple, whose harmonious movements re-interpret traditional food rites (such as setting the table or pressing the grapes by feet, as it was usual in Italian rural societies) with a ludic tone. Suddenly, the American soldier reappears on the screen, moving closer to the young lady dancing on the grapes and offering her an apple (a sin fruit?). She winks at him and takes the fruit, but finally pushes him away, just a second before the arrival of another young bare-chested boy (whose outfit reveals his rural identity), who takes her off the barrel where she was pressing the grapes and continues dancing with her.

The soundtrack then slightly changes to a more recent version of the previous song, *Mambo Italiano* by Flabby Feat. Carla Boni. At the same time, polychromy invades the scene and fading figures referring to different cultural backgrounds (such as Asia, France and the United States) appear on the screen. The final sequence takes place in a restaurant, where the child appearing in the opening of the commercial brings some "maccheroni" to the American soldier, who is now wearing a different outfit. The screen then turns black to host the white mes-

¹ Available at <http://www.nicolapaparusso.it/2016/09/22/spot-dieta-mediterranea/>.

sage: “DIETA MEDITERRANEA – AMBASCIATRICE DELLA SALUTE NEL MONDO” [THE MEDITERRANEAN DIET: AMBASSADOR OF HEALTH IN THE WORLD]. Finally, the emblem of Italy and the name of the Italian Ministry of Agricultural, Food and Forestry Policies appear on the screen, together with the Italian flag, thus legitimising the entire message.

“Here” and “there”, local and global, past and present, which are at first radically opposed (so as to originate incomprehension and incommunicability), find in the end their point of contact in the Mediterranean diet — which is presented not only as a set of healthy foods, but also and above all as a real “lifestyle”. In Flochian terms (Floch 1990), the resulting valorisation is a *uto-pian* one, since the basic values of local identity and global otherness are here opposed to each other. A *ludic-aesthetic* valorisation is also noticeable, and finds expression in the fusion of food rituals and the passionate dance of the young characters. Health, which is made explicit by the verbal language in the closing of the commercial, is also incarnated by the Italian characters’ toned and beautiful bodies. Such a “form” (Boutaud 2013), as opposed to the clumsiness characterising the American soldier (who is also muscular, but lacks the other characters’ “innate” lightness and easiness of movement), allows the Italian men and ladies to take part in the sensual and harmonious dance that embodies Italian identity. Definitely, health does not merely depend here on the nutritional value of food products, but rather on identity, nature, and tradition. In Ferraro’s terms (1998), the first part of the commercial is therefore marked by a *positional* regime, according to which participating in the harmonious dance requires belonging to the represented rural “here”, while no access is given to “others” coming from any “there” (as the young lady pushing away the American soldier, or the lack of communication between the soldiers and the child prove). Yet the end of the commercial somehow celebrates inclusion, partially recalling a *multiperspective* regime by means of specific figures (i.e. the ideograms, the Eiffel Tower and the Statue of Liberty) and plastic formants (i.e. polychromy).

2.4. RAI commercial for Expo 2015

A more critical perspective is presented in the commercial² released by Italy’s national public broadcasting company RAI on the occasion of Expo2015. The first scenes of the video show a natural environment that is similar to the one characterising the previously analysed example: the image of an insect moving on lettuce follows that of a plough tilling the soil, and finally gives the way to an aged hand cutting a bunch of grapes and another one picking up a tomato. At the same time a voice over says: “Nella Campania povera del dopoguerra, il medico americano Ancel Keys nota un fatto singolare: i contadini che fanno una vita dura e mangiano una grande quantità di frutta e ortaggi, oltre a pane, pasta, pesce e pochissima carne, hanno un cuore più sano dei ricchi borghesi napoletani dalla dieta molto più ricca” [In poor post-war Campania, the American doctor Ancel Keys noticed a curious fact: the farmers, who made a hard life and ate a lot of fruits and vegetables, as well as bread, pasta, fish and a very low quantity of meat, had a healthier heart than the rich Neapolitan bourgeois, whose diet was much more varied].

At this point an infographic is added in order to clarify this concept: while fruits and vegetables correspond to a pulsating heart that gets bigger and bigger, meat and sausages are associated with a broken heart. So the voice over continues: “La stessa cosa la osserva nel resto del nostro Sud e in Grecia. Nel 1975, con un libro che diventa subito un best seller, Keys annuncia al mondo le virtù della dieta mediterranea. Nel 2010 viene persino riconosciuta dalle Nazioni Unite come patrimonio immateriale dell’umanità” [The same fact characterised other southern Italian regions and Greece. In 1975 Keys announced to the world the great virtues of the Mediterranean

² Available at <http://www.expo.rai.it/non-sola-salute-vive-dieta-mediterranea-expo/>.

diet, through a book that immediately became a bestseller. In 2010 the Mediterranean diet was even recognised by the United Nations as part of the intangible heritage of humanity]. Then the camera moves from the rural background to a metropolitan setting, showing the United Nations headquarters and, finally, — a restaurant. Accordingly, the relaxed rhythm characterising the presentation of the places and subjects inhabiting the former suffers a sharp acceleration, leading to the frenetic movements of some waiters, who are in fact barely visible. The voice over then introduces the crucial issue animating the commercial: “La dieta mediterranea, insomma, si è globalizzata, ma la seguono soprattutto quei salutisti che si possono permettere vegetali freschi e pesce, piatti ben cucinati e ore di sport alla settimana” [The Mediterranean diet, definitely, has been globalised. But it is now mainly followed by health-conscious people who can afford fresh vegetables and fish, well cooked meals, and hours of sport a week].

After showing images of the mentioned health-conscious people, an urgent contemporary concern is introduced, while on the screen the hand of a child quickly “steals” an apple (here used as a symbol of health) from an elder hand (symbolising tradition): “Lì dove è nata, invece, non esiste quasi più” [By contrast, there where it was born, it has almost disappeared]. A new infographic therefore illustrates better this issue, together with the voice over: “I consumi di ortaggi e frutta scendono anno dopo anno, e aumentano quelli dei cibi spazzatura. Oggi, proprio in Campania, quasi una persona su due è sovrappeso, e una su dieci è obesa” [The consumption of vegetables and fruits decreases year after year, while that of junk food is increasing. Today, precisely in Campania, almost half of the population is overweight, and one person in ten is obese]. The rhetorical figure of irony is used to reinforce such an idea: a fat man in a pink tutu struggles to keep standing while trying to dance (which can somehow be conceived as a meta-textual reference to the harmonious dance analysed in the previous case). The voice over finally informs that the problem is not limited to Campania, but concerns a wider reality: “E il resto del Sud, come la Grecia, non sta molto meglio. La dieta mediterranea tornerà mai a casa?” [And the other southern regions, as well as Greece, are not better”. Hence the commercial ends with a provocative question: “Will the Mediterranean diet ever come back home?].

Interestingly, in this case the emphasis is put primarily on the beneficial effects of the Mediterranean diet, which can rely on natural food products and traditional practices, or rather on physical activity, depending on the case. In rural past societies health was a characteristic natural to all people, therefore finding expression in the quiet smiling figures of elderly men and women. By contrast, in globalised present societies it necessarily involves playing sports and physical activity, whose lack leads to “deformation” (Boutaud 2013). This change reveals a practical valorisation of the Mediterranean diet, which is here associated with a causal regime: the “Mediterranean way” — with all the benefits deriving from it — is no longer enabled by geographical or cultural belonging (that is, a “being” that is natural to human beings), but rather by people’s will and actions (namely a “doing” characterising only a few individuals — the health-conscious ones — who play sports and do not succumb to junk foods). And such a condition is presented precisely as a direct consequence of “globalisation”.

3. Conclusion

As the above-analysed case studies effectively show, the case of the Mediterranean diet significantly recalls the oxymoronic tension between globality and locality characterising contemporary foodscapes: while the definition of such a dietary regime emphasises locality, by making reference to a specific and circumscribed geographic area, as the considered pyramids also highlight, the collective imaginary concerning it rather insists on its globalisation, and the effects deriving from it. Such effects, as it was highlighted above, have a highly dysphoric connotation,

since they are charged with having caused the contamination and in some cases even the disappearance of the Mediterranean diet. More precisely, oppositions such as tradition vs. modernity, or rural vs. metropolitan environments, are used to emphasise the shift of the Mediterranean diet from a utopian valorisation and a positional regime based on *being* (“Mediterranean”, which generally means “naturally healthy”) to a practical valorisation and a causal regime based on the dogmatic *doing* typical of common diets. Such a doing somehow challenges the pyramids analysed in the first paragraphs, since it seems to deny the complementarity of nutrition and physical activity, and even the conjunction between the material and cultural dimension of food, by strongly opposing them. To conclude, therefore, the case of the Mediterranean diet clearly shows that the globalisation of food is not just a matter of the movement of food stuffs between nations; nor is it simply the amalgamation or accommodation of different cuisines. On the contrary, it is a complex interplay of meanings and values continuously redefining our relation with food, and hence our relation to the world surrounding us and, last but not least, the way we conceive our very identity.

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SCIENCE IN TRANSLATION: MEMORIAL TO SOLOMON MARCUS (1925-2016)

Dinda L. Gorlée

Wittgenstein Archives
University of Bergen, Norway
gorlee@xs4all.nl

Abstract

Thomas A. Sebeok introduced Solomon Marcus to me in Bloomington (1988). Marcus advised me to read his article “Eight types of translation in the scientific language” (1975) in *Revue Roumaine de Linguistique*. The Romanian journal was politically unknown in the West. Marcus, a passionate genius for mathematical language and mathematical poetics, contributed to the East-West discourses across global divides uniting science and culture. Concretely, Marcus constructed mathematical linguistics in natural and artificial languages, reshaping literary translation into the novelty of scientific languages and cybernetic systems, linguistics, literature and arts, and cultural patterns. The memory of Solomon Marcus’s 1975 article speaks for his cultural friendship and multiple pedagogy. The translation of scientific language has synonymy as strategy. The battle from natural to artificial language and vice versa was violated by the “replacement” with “paraphrase” in deconstructive set of homonyms. Artificial or mathematical language is the algebraic notation for synonymy in scientific reasoning. Marcus’ translation in eight different types points to semiosis and quasi-semiosis of semiotranslation anticipating the dynamics of Western cryptography, automatic language and computational linguistics.

At the Research Center for Language and Semiotic Studies at Indiana University in Bloomington, Indiana, USA, Thomas A. Sebeok introduced Solomon Marcus to me in the summer of 1988. In our first conversation, Solomon Marcus (Bucharest) suggested that I should read his 2-page article “Eight types of translation in the scientific language” (1975), that appeared in the *Revue Roumaine de Linguistique* in Bucharest. This journal was politically unknown for the Western world. In his long scholarly career, Solomon Marcus was especially concerned to advance “the literary dimension of human creativity in fields like exact sciences, natural and engineering sciences, information sciences, linguistics, medical sciences, economics, sociology, psychology, juridical sciences, etc.” (Marcus 2016). Those were his last words to the semiotic members during the 12th World Congress of the *International Association for Semiotic Studies* (IASS) in Sofia, Bulgaria (2014).

Solomon Marcus focused his attention on human language and literary poetics to formulate the fictional narratives into the system of mathematical linguistics, and *vice versa*. He explored the notion of translation as a technical philosophy of automatic information processing about the parallelism of concrete languages and abstract codes. The goal was to represent the possibilities of integrating semiotics into hard and soft sciences. Marcus' special background and knowledge prepared these scientific and cultural fields for the East-West interrelations, pointing out that mathematical linguistics can be applied to the transformation between natural and artificial languages. Professor Solomon Marcus was considered in the West as the passionate genius of the intellectual conscience of Eastern Europe. Invited by many Western Universities, he was regarded as a priceless teacher and a cherished colleague.

Marcus' article influenced my views to broaden the computational and statistical theory of the conservative practice of translation to discover alternative or radical theories of translation theory from the broad range of semiotics. The philosophical and logical foundations of Roman Jakobson, Charles S. Peirce, and Charles Morris have expanded my imagination, reshaping the old idea of translation into the new discipline under a semiotic approach of cybernetic systems, linguistics, and literature to establish the cultural patterns of the arts in the idea of "semiotranslation" (Gorlée 1994, 2004, 2007, 2015). As described in my contribution to Marcus' *Festschrift* for the *Meetings with Solomon Marcus* (Spandonide and Paun 2011, 1: 753-754), we have from 1988 through all those years remained close friends. I wish to express my profound sense of loss in the untimely passing of the pioneering mind of Professor Solomon Marcus, who unfortunately died on March 17, 2016 in Bucharest.

On the occasion of this lecture, the short article "Eight types of translation in the scientific language" (1975) serves a serious purpose: the obituary to Solomon Marcus' cultural friendship and multiple learning. He was well aware of the fact that "scientists, artists, and artisans tend to develop a terminology of their own" (Freudenthal 1960: 1). Yet Marcus' horizon of understanding and responding to the idea of translatability was for him the special fields of formal mathematical linguistics and informal mathematical poetics, brought together within the doctrine of semiotics. The history of the term "scientific language" was referred to the language of medicine, astronomy, mathematics, optics, logic, geometry, and natural philosophy, including the mythical aspects of anthropomorphic thinking about astrology, alchemy, and geomancy (Marcus 2016, Montgomery 2000). Marcus reduced "scientific language" to the technical terms of mathematical language transformed from plain language into the expert system of scientific language, such that the abstract logic is translated into the equivalent metatext of the "corresponding symbolic representation" of mathematics. In the language of logic, which is done partly in mathematical symbols, the "particular form of transformation between synonymous strings" settles the language of science, which must reflect the truth, but continually pushing towards the illogical untruth. The norm of the translation of scientific language is the two-way trade of synonymy between the source and target texts, applicable to the symbolic translation of natural language into artificial language or even artificial language translated into natural language.

Marcus explained, but did not define in the short article (1975), the terms natural and artificial languages. While natural language is the active skill of learning the cultural native language, such as English, French, and even Latin, the artificial language is no longer concerning with the historical project of foreign languages, but refers to scientific and "unnatural" languages, invented by a definite author (sign-maker). Artificial language is enlarged into coding and decoding the mathematical rules of technical terms of symbolic logic in Morse code, Esperanto, Lincos, as well as other mathematically transparent languages developed through the rules of coding and decoding. Regarding the unnatural languages, Esperanto, composed by the Polish physician,

L.L. Zamenhoff at the end of the 19th century, is a constructed language made of features of natural languages. This means that Esperanto is not a formal language subordinate to scientific language, such as the Morse code for the technical tool of communication. Lincos, composed by Hans Freudenthal (1960), is genuinely a formal language, identifying a basic set of intelligent rules to construct the artificial language. Freudenthal's notion of "cosmic intercourse" translated the intransparent messages of astronomical intelligent beings to give information and signification to artificial life. This signified that the political metamorphosis of "cosmic language" (Freudenthal 1974) in science fiction tales were not enjoyed as rhetorical technique of cognitive estrangement in Otherness, but as science fact during the East-West conflicts in the Cold War (Suvin 1979, Gorlée 2015a).

Below the synonymous sequence of translating signs, words, and symbols, other forms of translation are called by Solomon Marcus forms of "replacement". The replacement is an attempt to translate pervasive features of language into one string of "paraphrase" in the simple set of homonyms. The term of "replacement" took on an increasingly depreciative sense of ambiguity, vagueness, and metaphor in untranslatability (Scheffler 1979). Translatability demands Marcus' "conjunction" to learn the system of transformation rules and transform common or plain language into new languages.

The description of the synonymous and quasi-synonymous qualities of the eight coded and uncoded types of translation, presented by Solomon Marcus' article on the level of increasing sophistication, moved from simple to complex representations (Marcus 1975: 375). **First, (a)** the "replacement" of the natural feature into another natural feature of a different language. Marcus' example means from plain Russian into plain English. **Second, (b)** the "replacement" of the artificial feature into another artificial feature. For example, from the mathematical symbolic representation into another one, such as the geometrical figures of logical diagrams or charts to check results obtained by algebraic formulae. **Third, (c)** the "replacement" of the natural feature into an equivalent artificial feature. For example, human interpreters (translators) can write from natural language computer programs or even the artificial language of (extra) terrestrial nature, such as Esperanto or Lincos (Freudenthal 1960, 1984). **Fourth, (d)** the "translation" of the artificial feature into natural language. This "translation" is, for Marcus, a practicable policy, because humans on Earth do not think in robotic or even cosmic language but in "ordinary" natural language.

In terms of logical terms and mathematical diagrams, the three cases of "replacement" are Marcus' "primitive" activities of human interpreters (translators) to try to transact the special knowledge of scientific language. The one case of "translation" could even manipulate the translatability of science fiction narratives into the human thrill of understanding the natural (for aliens) or artificial writing (for us). The degrees of the simplicity of "translation" in binary arguments stands for a single proposition of source and target not linguistically labeled nor conceptually or culturally connected; yet the bipartite graph has the complex structure to deal with the fuzzy logic and multimodal logics of scientific expert statements of "translation". Marcus' areas for exploration of the possibility of scientific translations are the "conjunctions" combining the sections **(a)**, **(b)**, **(c)**, and **(d)**, in which the mathematical figures are considered compound statements, based on the restraints placed on a set of variables. Marcus' compound statements with parenthetical expressions give various combinations of scientific reasoning to achieve high truth-values in mathematical representation of scientific translation.

In Marcus' article (1975: 375), **fifth, (e)** is the "conjunction" of **(a)** and **(b)** as the adherence of some artificial formula explained into two natural languages. In his words, "when a mathematical theorem, with a standard proof, is exposed in both French and English — by means of

different mathematical symbolism and terminology". While the artificial formula was a coded system of signs, the natural language was an incompatible system of coded and uncoded signs, that is ruled and creative signs. This fifth "conjunction" is a motion of non-confidence in the loss of scientific language, which must be covered formally in some described manner to be a truth-functional proposition.

Sixth, (f) is the "conjunction" of **(a)** and **(d)** in the combination of the artificial feature in an algebraic theory in a French book explained to an English student "who knows neither Algebra nor French". The interpreter (translator) explains the artificial arguments into natural "French to English and from the algebraic symbolism into the natural language, by converting, for instance, algebraic simple facts in arithmetic ones". The strategy **(a)** gives an idea of the reduction of the variables of mathematical problems, transformed backwards into arithmetic problems. The artificial study of arithmetic about counting numbers constructs simple numerical conclusions. However, when re-phrased into the complex artificial system of mathematics, including arithmetic, algebra, calculus, geometry, and trigonometry, the "conjunction" almost included both fields into logical reasoning. The one-to-one correspondence of the calculation of logical words was further inferred into one-to-many rules to formal (or better, formalized) logic. The results of **(a)** to **(d)** can accurately be explained (translated) from the artificial systems of signs and symbols into the thought processes of natural language.

Seventh, (g) is the "conjunction" of **(b)** and **(c)** in the artificial translation of the formal theory of conceptual graphs translated from French terminology and notation into English. A graph is a network of words connected by lines, hyphens, and curves to construct sentences to imagine artificial parts of natural speech. For example, one of the pictorial representations I recall is the artificial model of the "dendrite" in the form of a tree to indicate growth and connectivity of natural language. Noam Chomsky's *Syntactic Structures* (1957) argued that artificial arguments provide the grammatical terms of natural language. In Chomsky's transformational grammar, language has a certain asymmetry, moving away from codes into uncodedness. Chomsky reconstructed language into formal relations of logic, analogous to using "chemical theory" (1957: 48) as theoretical, but artificialized, ground to discover the symmetrical grammar to analyze all possible compounds in natural language. Chomsky supplemented *Syntactic Structures* with appendices of notations in vocabulary and terminology (1957: 109-110), by which he described the "deep structure" of the formalized properties of linguistic structure. Abandoning the syntactical examples of Chomsky, Marcus moved away from of natural language into the experiment of artificial logic in logical terms and predicates, Marcus formulated artificial translation in the theoretical coherence of syntax with semantics (see Guenther and Guenther-Reutter 1978). Marcus went further, since he mentioned the artificial technology of graphs and hypergraphs, written by Claude Berge in French (1958) and translated into English (1973).

Finally, **eighth, (h)** is the "conjunction" of **(c)** and **(d)**. Marcus signified the possibilities, or better the practicalities of the translatability of natural into artificial features, together with artificial into natural ones. The activity of bringing both activities together does not seem practical, since they "neutralize each other". Since natural language is the tool of humankind, other "conjunctions" seem "contradictory" affairs not to engage in. When the implications of the source text are true, they can generate false target translations or the opposite: false source text can generate true target translations. For Marcus, the concept of synonymy in translation hardly exists in translation in its strict sense.

Overall, Marcus' article (1975) intended to be a synthetic and critical survey of applying mathematical applications into contemporary translation theory, which at the time of his writing did not yet exist in its present form. Marcus displayed a bias toward the formalism of logic applied to two claims: the concrete part of natural language demonstrated by the imagination of

symbols in artificial metalanguage. He discussed that the problem of synonymy is beyond (c) the “replacement” of the natural feature into an equivalent artificial feature, and remains a truism. The accurate one-to-one facts of scientific translation may often correspond to one-to-many notations in the artificial correspondence in mathematical or chemical associations, or even accounting science-fiction tales to develop modern science.

Replaced into semiotic terms, the double articulation between Marcus’ “replacement” expressed linguistic and mathematical signs into the circularity of semiotic signs. The circularity of signs interact with each other in contradiction or truth with each other, but had to proceed in complementary steps in a spiral of signs without expressing the real sign of “translation”. Instead of the semiotic effect of Peirce’s genuine semiosis, “translation” in its degenerate activity engages in human pseudo-semiosis, in which certain “replacements” mean untranslatability. Human speakers (interpreters, translators, interpreters) tend to weaken the mathematical-linguistic idea-thought of semiosis into the practical purposes of successfully (not always truthfully) interpreting the meaning of external messages. Pseudo-semiosis defies ordinary analysis of semiosis into “experimental” untranslatability. Still referring back to the full (and sometimes scientific) meaning of translatability, untranslatability challenges the experiments of translation to accept the human creativity dealing with open-ended language (Gorlée 2004).

Marcus’ article (1975) has transformed the notion of translation into a hypothetical puzzle. The signification still refers to the scientific nature of natural language, but Marcus reasoned about the statistical problem of translation in the mathematical syllogism of artificial language. The translation into eight different types limits translatability to the negative sense of untranslatability (Catford 1965: 93-103). In the positive sense, the readability of scientific language points out the semiosis and pseudo-semiosis belonging to the procedure of semiotranslation (Gorlée 2004). One can emphasize that Marcus is the forerunner to present-day cryptography, automatic language, computer linguistics, and computer graphics. At the time of writing the 1975 article, he had not read the important essays of Brower’s *On Translation* ([1959]1966) with the contribution of Oettinger about automatic or mechanical translation of technical reference in English and Russian languages (1959: 140-267; see 1955, 1960) and other important essays, written by Jakobson, Nida, Nabokov, and Quine about translation. Nor had Marcus had the opportunity to read the classic book *The Mathematical Theory of Communications* (1949, 7th ed. 1978), written by Shannon and Weaver. They argued that translation is a patterned behavior in formal units with graphic (mathematical) signals coded in lexical forms, close to Marcus’ view of decoding codes with the risk of unequal probabilities. To get access to the mathematical theory of computing machines, Marcus had to discover on his own the eight types of “replacements” and “conjunctions” to include the scientific investigation of meaning and information in mathematical “translation”.

Fortunately, Professor Solomon Marcus was a scientific genius at the University of Bucharest; but unfortunately, his life with Jewish origins had to live through the anti-Semitism of the Iron Guards during the Second World War and the communist dictatorships of the socialist republic of Romania, dependent on the Soviet Union. For miraculous and even mythical reasons, Marcus became the worldwide semiotic master of mathematical linguistics. He was curiously irresponsible to authoritarian thought. Thanks to his sponsor, Thomas A. Sebeok of Indiana University at Bloomington, Indiana, who introduced him from his homeland, a communist country without free speech and free thinking, to the invitations of the Western world. Solomon Marcus enjoyed free access to both Eastern and Western worlds of scholarship. He was an idiosyncratic and iconoclastic critic, the sort of scholar with whom you do not mind sharp disagreements because his opinions are so intelligent, joyful, and original. Thanks to his enthusiasm and warmth in praising other scholars, Professor Solomon Marcus fully deserves the tribute to the long friendship with semiotics. Now that he is no longer with us, let us thank him deeply.

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**FROM THE SESSION
“TO THINK, TO SPEAK,
TO WRITE”**

HUMANISM OF OTHERNESS, RESPONSIBILITY AND JUSTICE IN EMMANUEL LEVINAS

Susan Petrilli

The University of Bari "Aldo Moro", Italy
susan.petrilli@gmail.com

Abstract

Levinas is among the authors in contemporary philosophy who has most contributed to the critique of Western worldview based on identity and monologic egocentrism. Under this aspect his work can be related to contemporary trends in semiotic studies such as Bakhtin, Morris, Sebeok, reoriented in the direction of semioethics. In this framework, human semiosis is investigated in its vocation for otherness with special reference to the I-other relation, responsibility and justice.

1. Otherness and responsibility

The problem of identity as traditionally conceived in mainstream Western thought, focused on theory, representation, knowledge, subjectivity and their implications, plays a central role in the philosophical investigations of Emmanuel Levinas. Originally from the city of Kaunas in Lithuania, Levinas resided in France, Paris where he lived as a foreigner at home. In his critique of Western culture and core concept of identity he typically raises the question of the other. Otherness thematised by Levinas indicates existence of something on its own account, autonomously, independently of the I's initiative, of volition, of consciousness, of willful recognition. The objectivity of otherness tells of the impossible evasion of signs from their destiny, which is the other. The inevitable implications of reading the signs of the other has contributed to reorienting semiotics in the direction of *semioethics* (Petrilli and Ponzio 2003, 2010; Petrilli 2010, 2014).

In Levinas, the I-other relation, the other *from* self and the other *of* self, is a relation that cannot be explicated solely in cognitive terms. I and other are not united in an intellectual synthesis, nor can this relation be reduced to the subject-object relation. Far from intellectual abstraction, the I-other relation is one of involvement among singularities, grounded in bodies whose distinctive feature is otherness, not relative but absolute otherness. In his discussion of the relation of otherness, in fact, Levinas writes "other" with a capital letter, intending to specify

that his reference is not to the other as s/he is interpreted, evaluated, understood or tolerated, or refused, in logic the other as an object, but rather this is the other on its own account, the other as absolute alterity. Echoing Mikhail Bakhtin and Charles Morris, the I-other relation is a relation of participation and responsiveness among unique, unrepeatable members forming the open community, demanding nothing less than dialogic intercorporeity, participative interconnectedness, responsiveness among differences, singularities unindifferent to each other.

In his conception of the otherness relation Levinas attributes a central role to the notion of “substitution”, “one-for-the-other” which leads to conceiving identity in the accusative. To speak is to speak with the word of others, which implies to keep account of the other, in a relation of involvement, mutual implication, such that to speak is always to respond, to answer to the other and for the other – firstly to answer for oneself, to justify oneself (Levinas 1998: 122-133).

In dialogue with Levinas at his home in Paris, 20th November 1988, Augusto Ponzio questions him on his conception of substitution in light of Western reason and his critique thereof (“Responsabilité et substitution”, in French in Ponzio 1996; in Italian in Ponzio 1989 and in Petrilli 2017). At the time Levinas had authored *Totalité et infini*, *Humanisme de l'autre homme*, *Autrement qu'être ou au-delà de l'essence*, *Hors Sujet*, and Ponzio had already published two monographs on him, *La relazione interpersonale* and *Soggetto e alterità. Da Lévinas a Lévinas*, with others to come (cf. Ponzio 1995, 2005, 2007).

Levinas relates the notion of “substitution” to “responsibility”. To substitute the other does not imply a relation of identification, empathy, convergence among two separate entities become one, whereby one replaces the other, becomes the other, to feel as that other feels, even the other's discomfort and desperation. Instead, to replace the other is to “bring comfort” to the other, to take responsibility for the other.

Identity of social roles is differentiated through the otherness relation, “relative otherness” limited by boundaries defining behavior according to roles and relative responsibilities. Instead, otherness irreducible to roles and identities is “absolute otherness”, connected with “unlimited responsibility”. Unlike “limited responsibility” and its alibis, “unlimited responsibility” does not admit of indifference to the other, but tells of total exposition to the other, vulnerability in the face of the other, otherness unshielded by alibis. Absolute responsibility for the other is responsibility without alibis, unlimited responsibility, understood as accounting not only *to* the other, but *for* the other.

The vocation for Being (Heidegger) in the human world is interrupted by another vocation, that for the other's existence, for the other's destiny. My neighbour's existential adventure is more important to me than my own, such that I am immediately responsible for this other in his or her daily trials.

The other is necessary to the constitution of the objective world in its species-specifically human form, but is at once the condition by which the I (the same) can never claim to reach a final, absolute truth.

The relation to the “other in one's otherness” comes to fruition as ethics. Levinas clarifies that “We call ethical a relationship between terms such as are tied neither by a synthesis of the understanding nor by a relationship between subject and object, and yet where the one weighs or concerns or is meaningful to the other” (Levinas 1967, Eng. trans.: 116). This is a relation which knowledge, the concept, abstract thought can neither exhaust nor unravel. Ethics in Levinas's understanding comes before ontology, the State or politics, given the implications of ontology in political realism, but it is also “ethics beyond ethics” (Derrida 1999). This is something different from “ethics” as traditionally understood. Levinas thematizes “ethics as first philosophy” as a re-

sponse to the problem of the relation to the other, to the other's singularity, a relation charged with responsibility towards the other, irreducible to an ethical formula and self-righteous assurance, with all the implications this involves for human action and communication (cf. Arnett 2017: 17).

Levinas considers the "face-to-face" as a primary relation. His reference here is not only to the direct relation to the other. No opposition is implied therefore between speech and writing, spoken language and written language, as instead has been erroneously implied. Well before it is fixed in representation, the face is language, an appeal to the consideration I owe others. Levinas speaks of "dés-inter-essement" (disinterestedness), the materialisation and modeling of encounter in the face of the other.

According to Levinas the sense of responsibility toward the other has no limits to the point that if the other is guilty for something, to some extent I too am involved in his or her guilt, to the point even of being even more guilty than another. Evoking one of Dostoevsky's characters from *The Brothers Karamazov*, Levinas maintains that we are all guilty, but I myself more than anybody else. Like Levinas, Dostoevsky, a master in literary writing, traces the "original constitution" of the I (*je*), uniqueness, in responsibility for one's neighbor, the other, and in impossible withdrawal from such responsibility, in the impossibility of replacement by anybody else.

It is this situation of irreplaceability precisely of each one of us in the face of the other that renders the each one singular, unique. To the I (*je*)'s uniqueness there corresponds the other's uniqueness, the other's face as other, and the uniqueness of responsibility occasioned for me by that other. I (*je*) and other in their uniqueness are not just individuals that belong to an assemblage, group, class, as anonymous members in the logically extended concept. The relation to the other as other, in its otherness, "*autrui*", is irreducible to subjective experience.

Recognition of the other as other implies the primacy of ethics, not ontology, in human understanding, love for the other, which does not begin in the erotic. The "beloved", the "loved one" is unique in the world for the "lover", the "enamoured". Love here is clearly the disinterested love of responsibility, love in responsibility. Impossible escape from responsibility is not passive slavery, but election. As world religions teach us "election" is indicative of the supreme dignity of the human.

Responsibility for the other is asymmetrical: the other is elected and taken upon one's shoulders, in a relation that is unequal. The person I answer for is also the person I answer to. I must answer to the person whom I must answer for. Responsibility in the face of the person I am responsible for: responsible for a face that regards me (in French *me regarde* means both "looks at me" and "concerns me"), for its freedom. The other is out of proportion with respect to the I's power and freedom. Moral consciousness is this lack of proportion; it interrogates the I's freedom. But interrogation is constitutive of the I and at once of the I's freedom, it sanctions the transition from spontaneity to consciousness, from freedom as passive *jouissance*, that is to say the I's happy spontaneity, to freedom as a right and speaking that right. It is the other who renders me free each time s/he asks me for something simply with his or her presence, given that I can accept or refuse the request.

From the very beginning, the I's conscious is ill at ease, a bad conscience in front of others, which attempts to justify itself to the point of being able to present itself as a good conscious, a clean conscience, at peace, having found justifications and alibis that can guarantee it. In this way, the primordial situation of the I in the accusative, of the I that must account for itself, transforms into the I as it normally presents itself, as the I in the nominative, as subject, capable of making decisions and self-sufficient. As from this situation of being interrogated, accused, there come to be established the I's freedoms, the I's rights – "human rights" – elaborated to defend self summoned by the face of the other to account for the rights of others, in this sense to defend itself as "I."

In front of the face of the other, identity is called to question. Through its nudity, exposition, fragility, the face says that the other will never be eliminated. The otherness of the other resists to the point of calling for recourse to homicide and war — evidence of the other's irreducibility. Another one, *autrui*, this other puts the I into the accusative, summoning it, questioning it, calling it back to the condition of absolute responsibility, outside the I's initiative. Such responsibility allows for neither rest nor peace. Peace functional to war, intrinsic to war, a truce, is fully revealed in its misery in light of absolute responsibility.

Levinas thematizes the “properly human” given in the capacity for absolute otherness, unlimited responsibility, dialogical intercorporeity among unindifferent differences, characterized by a propensity for the nonfunctional, the unproductive by contrast to the functionality of identity and relative roles. The properly human tells of the condition of vulnerability in the relation to the other, of exposition to the other. Instead, functionality, productivity, competition is fostered through social roles based on the centripetal forces of identity, short-sighted egocentric identity, which regulates behavior connected to those roles.

In the time-space of otherness, nonfunctionality, and excess, differences understood as singularities interrelate dialogically, are responsive to each other. By contrast to *indifferent differences*, these are *unindifferent differences*, differences that are not indifferent to each other. Otherness thus described is not enfolded in roles, cannot be reduced to roles, but transcends and at once subtends the boundaries of roles and identities.

The places that best evidence the properly human are where time is given in terms of the relation to the absolute and nonfunctional other, the unproductive other; the time of mothering and nurturing, of friendship and eroticism, of aesthetic discourse (whether literature, figurative arts, music, cinema and their signs), of inventiveness and scientific progress, of the “play of musement”, the imagination, the ephemeral, the ineffable, the time of disease, aging, death. This is the time of otherness, excess with respect to closed identities, of dialogical de-totalization and proliferation of differences that cannot be recruited and put at the service of the World as-it-is. Despite our social form based on interest, self-serving advantage, gain, profit, we all know that parental care, friendship, love involve relationships and feelings that regard each one of us in our total nonfunctionality, as an end and not as a means. But most unfortunately, differently to the “private” sphere, in the “public” sphere the other's functionality, usefulness, productivity are generally, by law even, the conditions for hospitality toward the other (cf. Ponzio 2007).

Reading Levinas, “World” is associated with vulgar forms of realism, dominant ideology, identity, being, the order of discourse, the coherent and well defined subject with a clean conscience, the lying rhetoric of political systems and mass media. All this is functional to homologation in a totalizing world, to dominant ideology in today's globalized world. But the flourishing of special semioses, different languages and cultures signal the human potential for resistance and critique in front of globalization reductively understood in terms of the dominant values regulating the global market, of power and control exerted worldwide (Petrilli and Ponzio 2005).

A question raised by Levinas is whether there be no other sense than that of being in the World and for the World; whether the properly human can exceed the space-time of objects, of identity, with Morris (1948) “closed identity”; whether there exist relations that cannot be reduced to identity thus conceived, to relations between subject and object, based on exchange, equivalence, functionality, self-interest, productivity; whether there exist inter-human relations altogether *other*, yet at once material, earthly, corporeal; whether there be a sense that is other with respect to sense in the world as-it-is, a world of objects and relations to objects. Such questions are oriented toward a form of humanism different to the “humanism of identity”, what with Levinas we may designate as the “humanism of otherness” (1972).

The humanism of otherness implies a “movement” without return to the subject, a movement which Levinas calls *oeuvre*, exposition — at a risk — to alterity, hybridization of identity, fragmentation of monologism, evasion from the subject-object relation. *Hors-sujet* is the title of a book by Levinas; “hors-sujet”, outside the subject, also off the subject, unresponsive to thematization, representation. This orientation is founded on otherness, the condition of possibility for a form of humanism which in light of the rights of others interrogates the good conscious, the clean conscience, human rights understood as the self’s rights. The propensity for otherness contrasts with Reason without reasonableness, which incorporates and legitimizes the reasons of identity, forever ready to overwhelm and subject the other, to the extent even of acknowledging the reasons of war.

2. Otherness and justice

Humanism of the other is a pivotal concept in Levinas which overturns the sense of Western reason. It asserts human duties over human rights. Humanism of the other privileges the centrifugal movement of otherness, encounter with the other, responsibility for the other, responsiveness to the other over tendencies of the centripetal and egocentric orders that exclude the other.

Originally the relation to the other is characterized by unindifference, by impossible non-involvement in the life of other. Such unindifference, inevitable involvement is expressed in terms of responsibility for the other.

Recourse to justice, the invention of justice, the formation of courts and judges arise from the fact, as Levinas says, that my relation to the other is not only to *one* other, but to *many* others. The problem arises of why I am compassionate toward one and not the other, why I care for one and not for the other. I must welcome the first comer, but then there’s a second, a third. And so the question arises of why I must care for others, while others do not do the same for me, do not care for me. Consequently, there is a need for regulations, for laws, to equate that which cannot be equated, the singularity, uniqueness of each one of us, all equal before the law.

Intervention of the law and formation of the State regulate and limit responsibility of each for the other. Consequently, Levinas signals an essential contradiction between the primordial ethical orientation and the juridical order. All the same, laws, the State, comparison between that which is incomparable, that is, between the singularity of each, in the last analysis, justice, all this arises from the need for hospitality, listening, compassion toward everybody and not only toward some, toward the most distant even, and not only those who are closest to me.

From this point of view, proximity (my “neighbour”) transforms from a concept of the spatial order to a concept of the ethical order. Proximity becomes the same as responsibility. My neighbour close or distant as s/he may be is the person I am responsible for, whomever s/he is. And justice, laws, the State arise for the sake of this irreducible concept of responsibility. This, according to Levinas, is the positive aspect of the constitution of laws, even if my responsibility is circumscribed and regulated. And in this beginning, in this motivation for the formation of laws and the State, there is also an implicit indication that justice and the laws that govern it are always, and always again, perfectible.

Contrary to Hobbes who posits that justice and the State arise from the original situation of *homo homini lupus*, instead for Levinas at the beginning of the State is charity, love for the other; justice and the just State are the way to charity in the human multiplicity. In Levinas, the State must place limitations on charity, but despite this it is at once anchored in love. That laws and justice of the State are perfectible means that the liberal State, the State in democracy can also better review and improve its laws and justice.

A just State must be established with just laws to guarantee freedom and avoid the danger of tyranny. Order based on the logic of closed identity, of differences indifferent to each other inevitably backfires in the form of fixed and inflexible law, it too tyrannical and violent. Law thus conceived is based on the self's rights as regulated by closed identity — in the extreme form, by commanding war, considered an inevitable means of defense, the realistic face of being, of the interests of the individual and community. The I is open to blackmail from the impersonal order to the point of accepting the *extrema ratio* of war, in the name of freedom, its own. The reasoning is that violence can only be suppressed through violence, which is mistaken. The being of things as realistically administered by the impersonal discourse of law — in the context of which war is presented as ineluctable violence and self-sacrifice — has its otherwise than being in its very foundation, in the face-to-face condition.

This condition is truly realistic: the face-to-face condition implies a relation of commandment without tyranny, which is not yet obedience to an impersonal law, but the indispensable condition for the institution of such a law. The opposition of a nude face, the opposition of disarmed eyes, with no protection, as from which self is constituted as responsibility, is not the opposition of a force, a relation of hostility. It is peace-loving opposition, where peace is not understood as suspension of war, violence withheld in order to be used more effectively. On the contrary, the violence perpetuated consists in eliminating this very opposition, outwitting it, ignoring the face, avoiding the gaze.

As a member of a group I am obliged to keep faith to this responsibility and to relate to every other indifferently, not only to a singularity, but to the other as a member of a group, the same affiliation. I am obliged to relate to the individual as a member of a given genre, assemblage, community, whom as such is interchangeable with any other individual member of the same genre, and in this sense indifferent to me. To know, judge, do justice, confront two individuals in order to identify the guilty one requires generalization through logic and the State, thereby equalizing singularities on the basis of a genre, an assemblage of some sort, insofar as they belong to the same State as citizens. The relation to the other is mediated by institutions and juridical procedures. In this context responsibility, that of each one of us for every other, is at once generalized and limited. The need for a State is connected to this type of generalization.

The action of the State is added to the work of interpersonal responsibility, responsibility as expected from the individual in his or her singularity — in a sense denying it. The work of interpersonal responsibility is that of the individual in his or her singularity. We are responsible in an absolute sense: like a hostage who must answer for something s/he did not do, for a past never his/her, never present to him/her (Levinas in Poirié 1987: 118).

With Levinas the Hobbesian concept of *homo homini lupus* is at last inverted: at the origin of the State is not fear *of* the other (as Hobbes recounts), but fear *for* the other (Levinas 1998; "Ideology and idealism," in Levinas 1989: 247; cf. Poirié 1987: 104-105 and 115-119). The function of the State is to limit and define the pre-political and pre-logical condition of absolute otherness which precedes institution of the State. On Levinas' account, the State, or State justice, does not found personal responsibility towards the other, but places boundaries on it while at once guaranteeing limited responsibility to members of the community, responsibility with alibis, through generalization of the law.

On the contrary, unlimited responsibility, unconditional, unqualified, absolute, moral responsibility is not inscribed in the law, is not written in the letter, does not converge with State justice. From this point of view State justice is imperfect with respect to human rights understood as the rights of the other as other, as foreigner. Preoccupation with human rights is not a State function, but rather a non-State institution in the State, the appeal to humanity yet to be accomplished in the State (Levinas in Poirié 1987: 119).

Fear of the other, the fear I as a subject experience of the other as an object, ensues from the constitution of identity. Whether individual or collective identity, the institution of identity requires separation from the other, limitation of the interests of identity on the basis of which is determined that which belongs to identity and which does not, that which regards identity and which does not —as much as the gaze of the other, however, regards me always (both in the sense of concerns me and looks at me). Identity means to determine and demarcate responsibility, defined and limited responsibility. As such responsibility has recourse to alibis which put the subject in a position to circumscribe fear *for* the other, for the other's well-being, for the other's happiness, by contrast to fear *of* the other which, instead, tends to increase.

Identity is delineated on the basis of difference, but difference and identity require indifference. Difference understood as identity relates to a given genre, class, community and requires indifference to the other, lack of interest in the other, absence of fear for the other. Difference and identity call for limited responsibility which begins and ends in a genre, class, an assemblage of some sort, with the function of guaranteeing identity. *From unindifference to the other to difference and relative indifference*: this is the trajectory through which identity is constituted and delineated.

Thus outlined identity progressively reduces that which regards me to that which regards identity's self-interest. Such reduction finds justification in limited responsibility sustained by alibis. Moreover, as anticipated, the more we forsake *fear for the other*, the more *fear of the other* increases to the point of exasperation. Here "fear of the other" signifies fear that the subject experiences of the other, the object. In this case "of the other" is understood as a subject genitive, the subject's fear of the other, where the other is the object of fear. But logic distinguishes between the *subject genitive* and the *object genitive*. If in the expression "fear of the other", "of the other" is understood as an object genitive, then it is the other, the object, who fears. Reference here is to fear as experienced by the other, by the object in the subject-object relation, the other's fear by contrast to the subject's fear, to my fear: subject and object. However, Levinas formulates a third case of the genitive as emerges in the expression "fear for the other", which abandons traditional binary logic and its dichotomies. "Of the other" in this third case is an "ethical genitive" and defines the third sense in which "fear of the other" can be disambiguated, that is, as "fear for the other". Fear for the other *implies to experience the other's fear and to fear for that other*. The distinction between subject and object no longer holds, nor reference to community identity: the relation among differences does not imply community identity, indifference among differences and identities. In the case of the *ethical genitive* the relation between parts is one of unindifference among differences, among singularities considered in their absolute otherness, a relation in which one cares for the other, one is important to the other.

Contrary to Hobbes's proposition, fear of the other is not a natural condition, but rather ensues from social organization, from the formation of States, and from current relations of each State to every other.

The essential characteristic of social relations today is that they take shape as relations among individuals ever more indifferent to each other, separate from each other. The relation to the other is suffered to the end of achieving one's own private self-interests. Exclusive preoccupation with one's own identity, one's own difference indifferent to the other, even sacrificing the other, increases fear of the other. Here community is the passive result of identity interests indifferent to each other. But the community so construed is a compact identity only for so long as its interests call for cohesion and unification.

In today's world the expression "fear of the other" has two main meanings. It either indicates that the other causes fear, or that the other is afraid; that I fear the other or that the other fears me. That which is ever more circumscribed, even rare, is fear of the other perceived as fear *for*

that other. But this is exactly what we need to recover: the feeling of fear *of the other*, where “of the other” is not a subject genitive (the other who fears), nor an object genitive (the other who causes fear), but a sort of ethical genitive, fear for the other, fear for that other’s life conditions, precariousness, difficulties. This case in logic does not need to be invented because, as Levinas says, it is the first case in the otherness relationship. If anything, it must be re-invented, re-activated. Fear *for* the other must be recovered at the very earliest.

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THE MAN BECOMES ADAM

Mony Almalech

New Bulgarian University, Bulgaria

almalech@abv.bg

Abstract

The paper is focused on Genesis 1:1-3 where the primordial man אָדָם [adàm] is created and he was given the proper name Adam אָדָם [adàm].

In Hebrew *man* and *Adam* are the same word, spelled the same way – אָדָם [adàm]. Different translations of Genesis 1-3 use for the first time the proper name Adam in different places (Septuagint Gen 2:16; Vulgate Gen 2:19; La Sacra Bibbia Nouva Reveduta and La Nuova Diodati Gen 3:17; King's James Version Gen 2:20; The Estonian Bible Gen 2:22; Bulgarian and Russian Synodal (Orthodox) versions Gen 2:25; The German Luther Bible Gen 3:8; Some English Protestant versions Gen 3:17; Bulgarian Protestant and many English Protestant versions Gen 3:20-21). The paper decodes the phenomenon by studying the Hebrew original and several semiotic views on common and proper names (Lotman 2009, Toporov 1993, Losev 1929, Pierce 1992-1998). Through these opinions the important question “Who wrote the Bible?” is discussed. The analysis interfaces the new linguistic relativity theory (after 1990).

Four layers of symbolism are decoded: 1. The man became Adam; 2. The two men in Gen 1:27 (“Let us make man in Our image, after Our likeness”) and in Gen 2:7 man אָדָם [adàm] is made by earth, ground אֲדָמָה [adamà]; 3. The two men in the New Testament (1 Corinthians 15:45-49); 4. Edom, Adam and cultural discourses in both Testaments.

1. Introduction

This article investigates the reasons for significant differences of the first appearance of the proper name Adam in various translations of Genesis 1-3. To resolve the translation puzzle, data is adduced from Hebrew, whose written norm has no capital letters and the word [adàm] can denote the common name *man*, and the proper name *Adam*. Semiotic perspectives of Lotman (2009), Losev (1929), Toporov (1993), and Pierce (1992-1998) of the proper name are highlighted but they cannot account for the theological world-view encoded in Hebrew. This article is part of *Semiotics of Colours in the Bible* project, where colours are considered under two ideas - the colours in the Bible are treated as a text within the Bible text (Text within the Text, Lotman 1985 [1996]), and the first appearance of the proper name Adam is part of the extended text of the Cultural Unit Red in the Bible (Colour as cultural unit Almalech 2017 on Eco 1985 [1996];).

2. The proper name Adam

No other proper name in the Bible has such drastic differences about its first appearance in the Indo-European and Finno-Ugric translations. The proper noun אָדָם [adàm] (Ἀδάμ, Adam, Адам) appears for the first time in different places, in the different translations.

The problems and specifics:

- There are no capital letters in the Hebrew Alphabet. It is hard to decide whether it is a proper or a common noun.
- Genesis 1-3 is not just a fairy-tale for children. It is the description of creation of the world in every-day terms. Jewish Kabbalah seeks for centuries the hidden content behind the story of creation in Genesis 1-3.
- Genesis 1-3 can be treated as a mythic-poetical text.
- It seems that the first appearance of the proper name Adam is a matter of doctrine.
- The word אָדָם [adàm] means 1. man; person; 2. mankind; 3. the proper name Adam.
- In Hebrew, the definite article is received only by the common names and never by the proper names.
- If there is a preposition and conjunction written together to a name, the construction holds the category of definiteness in Hebrew.

3. Semiotic treatments of the proper name

A question becomes important: What is the difference between common and proper names? To answer that question I turn to semiotics rather than to linguistics because of the symbolic character of the Bible, especially of Genesis 1-3. I must emphasize that semiotic opinions do not inspire or influence the choice of translators for the first use of the proper name Adam, but serve as a scientific tool to explain the logic of translators to choose precisely a place of the first use of the proper name. I call the choice of translators a doctrine. The names of doctrines are given by me.

The first semiotic treatment of proper names is Yuri Lotman's (2009: 33-34):

Perhaps the sharpest manifestation of human nature is in the use of proper names and, linked to this, the isolation of individuality, the uniqueness of the individual personality as foundational values for "other" and "others"; "I" and "other" represent two sides of the unified act of self-consciousness and one is impossible without the other. (p. 31) [...] Here begins the game between proper names and common names, between "this" and "every". And precisely because the concept "this and only it" is a new concept, it first of all attracts the attention of the neophyte. There is no "I" without "others". But only in human consciousness do "I" and "all others, except me" hide within themselves something that is both unified and conflicting at one and the same time. One of the fundamental semiotic mechanisms inherent in humanity begins with the possibility of being "only itself"; to be a thing (proper name) and to simultaneously appear as the "representative" of a group, as one of many (common noun). This possibility of stepping into the role of another, of acting as a substitute for someone or something, indicates that you "are not what you are".

The second opinion is of Vladimir Toporov¹ (1993: 204) and it concerns cosmological texts: "The mythic-poetical nominalism puts/sets/lays the name before the referent for which it is a name". [translation is mine]. The Creation of the world is a cosmological text. Genesis 1-3 is also a construction of a mythic-poetical nominalism.

Another opinion on proper names is expressed by Aleksei Losev:

The name is a tool of communication mainly with the animate objects, and with persons. [...] The name supposes that I want to communicate with the object which I do understand; the name also necessarily sup-

1 Vladimir Toporov is one of the prominent members of Moscow side of Tartu-Moskow Semiotic School.

poses that the object hears that name, answers my call, sympathize with, correspond to it, and answer to it. Without this mutual understanding between the signifier and signified there is no naming/nominalization. The sense of the nominalization is that the signifier reacts consciously to that nominalization. Otherwise, the name ceases to be a name (Losev 1929: 19-20) [translation is mine].

The last semiotic opinion is by Charles Peirce and it will be presented after statistical data for appearance of word [adàm] in Hebrew.

4. The facts on the first use of the proper name Adam in translations

Genesis 2:16

Old Greek Septuagint LXT, Modern Greek Vamvas VM, Current Ukrainian UKR.

For Genesis 2:16 the first appearance of Adam can be called “The Doctrine of Prohibition/Taboo” or “The Command”, because in this context God commands Adam not to eat from the fruits of the Tree of Knowledge and of the Tree of Life.

Genesis 2:19/20

The difference in the verses is due to the different tradition of numbering, and the content is the same.

Latin Vulgate VUL, 4-th century; English KJV, RWB, WEB, RSV, NIV, ESV, NAU, NET Bible, NAS, King James 2000 Bible; Romanian Bible (RO), Serbian SRB; French DRB; Dutch SVV; Portuguese ACF; BUL 2; Czech Bible Kralická, BKR. The proper name Adam is missing in Genesis 2:19 in modern Czech version (CEP).

In Genesis 2:19/20 the first appearance of Adam can be called “The Doctrine of the man giving names to the animate objects”, because the primordial man gives names to “every living creature”: “And out of the ground Jehovah God formed every beast of the field, and every bird of the heavens; and brought them unto the man to see what he would call them: and whatsoever the man called every living creature, that was the name thereof “ (ASV Genesis 2:19)

This doctrine can be named also “The man has creative accomplishments as “God’s likeness” (Genesis 1:26).

This doctrine corresponds to Losev’s understanding for communicative essence of the name, and name as a relation between animated objects, as well as the process of mutual understanding between signifier and signified, also Losev includes feelings like sympathy in the communicative process.

Genesis 2:22

Estonian Bible (EST) is the single translation that uses the proper name Adam for the first time here. The doctrine may be called “God creates the primordial woman from the rib of the primordial man”.

Genesis 2:25

Russian (RST) and Bulgarian (BUL 2) Orthodox versions insert the proper name here for the first time.

In Genesis 2:25 the first appearance of Adam can be called “The Paradise unity of man and woman” because the just created primordial woman (she will receive her proper name, Eve, much later) and her husband did not consume the primordial sin.

Another name for this doctrine could be “Paradise unity God-man-his wife before the primordial sin”.

This is not a valid solution for all Orthodox translations; for example, the proper name is missing in this verse in Romanian Bible (RO). In other Orthodox Bibles (Ukrainian, Serbian) –

Gen 2:19 after the proper name is introduced, it appears systematically everywhere the Hebrew word [adàm] appears. This is a usual practice in most of the bibles.

Genesis 3:8

The German Luther Bible (LUO, LUT) use for the first time Adam at Genesis 3:8. The first appearance of Adam in Genesis 3:8 may be called “The unity of man and woman in the primordial sin” because the primordial man and woman felt shame after they ate the forbidden fruit. Not all German versions follow this solution. It may also be called “Martin Luther’s Doctrine”.

Actually, the primordial sin is breaking the God’s commandment and not the sexual union *per se*.

Genesis 3:17

In many English Protestant translations the proper name Adam appears in Genesis 3:17: ASV, NAU, RSV, NRS; German ELB. It is interesting to note that some of the modern Italian translations LND, NRV prefer the same place but not the place used in traditional Vulgate (Genesis 2:19). The same is in Portuguese ARA; French TOB. (“And unto Adam he said, Because thou hast hearkened unto the voice of thy wife, and hast eaten of the tree, of which I commanded thee, saying, Thou shalt not eat of it: cursed is the ground for thy sake; in toil shalt thou eat of it all the days of thy life;” ASV)

The first appearance of Adam in Genesis 3:17 may be called “The Punishment Doctrine”.

Genesis 3:20/21

Bulgarian Protestant (BUL 1); Hungarian (HUN); French LSG, BFC; Spanish LBA, RVA.

The doctrine may be called “The logic of woman’s proper name appearance” because the proper name of the primordial woman Eve appeared for the first time in verse 20.

Modern Protestant versions accepted Genesis 3:17 or Genesis 3:20/21 as the most appropriate place to use the proper name Adam for the first time.

The first appearance of Adam in Genesis 3:17 or Genesis 3:21 in the modern Protestant and modern Italian versions may be called “The Punishment for the primordial sin makes Adam and Eve as human beings closer to usual persons, to us”. This corresponds Lotman’s opinion:

Perhaps the sharpest manifestation of human nature is in the use of proper names and, linked to this, the isolation of individuality, the uniqueness of the individual personality as foundational values for “other” and “others”; “I” and “other” represent two sides of the unified act of self-consciousness and one is impossible without the other (Lotman 2009: 31).

The primordial sin (to break the God’s commandment and not the sexual union *per se*) is closer to the notion of “I” but not to the notion of “the others”. *Ergo*, the first appearance of the proper names Adam and Eve here is a comment for the start of the humankind with the “two sides of the unified act of self-consciousness and one is impossible without the other”.

Genesis 4:25

Any of the previous doctrines for use of the proper name for the first time do not fit in Polish Bible (BTP). A proper name appears in Genesis 4:25. The first three chapters use the words człowiek [‘human’] and mężczyznę [‘man’, ‘male’, ‘masculine’].

The use of mężczyznę [‘man’, ‘masculine’] for the first time in Genesis 2: 19-20 is particularly relevant to the Vulgate. However, before that, in Genesis 1:27, word “mężczyznę” was also used to name the male half of humanity alongside the female.

Finally, here the doctrine is to avoid the theological and the common sense contradictions existing in the Hebrew use of the word אָדָם [adàm]. In the earlier Polish version (BGP) the proper name appears in Genesis 2:19.

5. Differences are provoked (governed) by features of the Hebrew text

Barrick and Busenitz (2004: 58) pointed out that the Hebrew spelling rule that “when the inseparable preposition is followed by the definite article, the ך is omitted, allowing the preposition to usurp the position and pointing of the article. The presence of the article is identifiable by the nonprepositional pointing of the preposition.” For the two instances of the name thus used (Genesis 3:17; 21), it is clear that the category of definiteness is implanted.

Hence, if there is a use of the word אָדָם [adàm] without the definite article הַ [h] and with “nonprepositional pointing of the preposition” – this should be a proper name. Let us note the fact that, if there is a definite article to the word [adàm] in Hebrew, it can be a common noun, it has not escaped the attention of at least two commentators.

In this one place, there is no article, and our version may be right in regarding it as a proper name. (Smith 1900: 22); we should undoubtedly here read “for the man” (lâ-âdâm) in accordance with the general usage in this section. The LXX introduces the proper name at Genesis 2:16, Lat. Vulg. at Genesis 2:19: both ignore the definite article here and in Genesis 2:21-23 (Ryle 1921).

Translators through the centuries were also familiar with this fact, but they had their individual approaches.

There are 22 uses of the word אָדָם [adàm] in Genesis 1-3:

Uses of the word אָדָם adàm in Genesis 1-3	Chapter and verse
1. אָדָם adàm	1. Genesis 1:26
2. אָדָם־הַ ha-adàm	2. Genesis 1:27
3. אָדָם־הַ ha-adàm	3. Genesis 2:7
4. אָדָם־הַ ha-adàm	4. Genesis 2:8
5. אָדָם־הַ ha-adàm	5. Genesis 2:15
6. אָדָם־הַ ha-adàm	6. Genesis 2:16
7. אָדָם־הַ ha-adàm	7. Genesis 2:18
8. אָדָם־הַ ha-adàm	8. Genesis 2:19
9. אָדָם־הַ ha-adàm	9. Genesis 2:20
10. אָדָם־הַ ha-adàm	10. Genesis 2:21
11. אָדָם־הַ ha-adàm	11. Genesis 2:22
12. אָדָם־הַ ha-adàm + (man-אִישׁ [ish] + woman-אִשָּׁה [ishà])	12. Genesis 2:23
man-אִישׁ [ish]	Genesis 2:24
13. אָדָם־הַ ha-adàm	13. Genesis 2:25
14. אָדָם־הַ ha-adàm	14. Genesis 3:6
man-אִישׁ [ish]	Genesis 3:6
15. אָדָם־הַ ha-adàm	15. Genesis 3:8
16. אָדָם־הַ ha-adàm	16. Genesis 3:8
17. אָדָם־הַ ha-adàm	17. Genesis 3:12
18. אָדָם־לִּי u-le-adàm lit. and to the man	18. Genesis 3:17
19. אָדָם־הַ ha-adàm (Here is the first use of the proper name Eve)	19. Genesis 3:20
20. אָדָם־לִּי [u-le-adàm] lit. and to the man	20. Genesis 3:21
21. אָדָם־הַ ha-adàm	21. Genesis 3:22
22. אָדָם־הַ ha-adàm	22. Genesis 3:24

The striking fact is that there is only one use of אָדָם [adàm] without a definite article - in Genesis 1:26. Hebrew spelling gives a possibility to speculate that God inspired the prophet because Adam in Hebrew should be in the moment when the *man* or the *mankind* had been in His intention, as an idea. (“Then God said, “Let us make man in our image, after our likeness; and let them have dominion over the fish of the sea, and over the birds of the air, and over the cattle, and over all the earth, and over every creeping thing that creeps upon the earth.” RSV).

Genesis 1:26 represents a single possibility to have the proper name in Hebrew. The word אָדָם [adàm] should be understood as *humankind* but not as *man*. The materialisation of man in the next 21 cases does not involve a proper name.

The Hebrew single option for a proper name (in Genesis 1:26) has an excellent treatment according to the semiotic point view of Charles Peirce (1958, vol. 2: 329):

A proper name, when one meets with it for the first time, is existentially connected with some percept or other equivalent individual knowledge of the individual it names. It is *then*, and then only, a genuine Index. The next time one meets with it, one regards it as an Icon of that Index. The habitual acquaintance with it having been acquired, it becomes a Symbol whose Interpretant represents it as an Icon of an Index of the Individual named.

The first use of the noun אָדָם [adàm] prompts some interesting interpretations – it is in Genesis 1:26 and it is the only use of the word without definite article, i.e. without the category of definiteness. Consequently, we accept that here is the only one Hebrew possibility of the word Adam to be a proper name.

Verse 27 completely reaffirms the idea of Peirce because Adam is “in the image, and in the likeness of God”, i.e. Adam is a “genuine Index” of God.

6. Primordial man is a part of Cultural Unit Red Text within the Biblical text. Philosophical and theological aspects of cultural unit red.

Some people claim the Jewish God is androgen, because they accept that “in our likeness” leads to “male and female”. It should be understood as an idea, a plan for mankind, but not to be treated “in our likeness” as a man and a woman. Actually, Hebrew words for “male and female” [zahàr ve nekevà] in 1:26-27 are two different words from man ([adàm]: man [ìsh]) and woman, wife ([ìshà] used further next in Genesis 2-3.

Genesis 1:26-27

Then God said, “Let us make mankind [adàm] in our image, in our likeness, so that they may rule over the fish in the sea and the birds in the sky, over the livestock and all the wild animals, and over all the creatures that move along the ground.” So God created mankind in his own image, in the image of God he created them; male [zahàr] and female [nekevà] he created them (NIV).

In Platonic terms (Timeus, Parmenides), man [zahar] stands for the idea of *mankind*, not a single *man*. Many translations prefer to use *man* instead of *mankind*.

In Timaeus, the evolution of the world goes from perfect to imperfect, i.e. Adam in verses 26-27 is the perfect being. In the following verses, the idea of perfect Adam deteriorates, as he takes on a more material form and becomes increasingly imperfect. The materialisation began in Genesis 2:7 (“Then the LORD God formed a man from the dust of the ground and breathed into his nostrils the breath of life, and the man became a living being.”) with materials that are some of Plato’s elements – earth/ground and breathing, i.e., air, and also two kinds of soul.

One of the souls is connected to the breathing, i.e. air, the other - to the souls of animals. The whole process correlates to Greek philosophy with terms such as “aer, pneuma, psyche, zoe, theion” being constantly employed, according to Peters 1967: 4.

In his analyses and presenting the Kabbalah, Scholem (1978 [1974]) uses word “Neoplatonic” more than 100 times. Along with the original Hebrew ideas and style, Neoplatonic influence in Kabbalah is undeniable. However, here we have the canonical Hebrew text of Genesis 1-3. The grammar facts for the noun אָדָם [adàm] imply presence of a Platonic type of Creation – from the perfect “Adam” to the imperfect material “man”.

In the Jewish tradition, the אָדָם [adàm] from Genesis 1:26-27 is called “man from heaven” and from Genesis 2:7 – “man of the earth”.

Paul’s text of 1 Corinthians 15:47-51 reflects a discussion between Alexandrian and Jerusalem schools on the issue who is the first and who is the second – the “man from heaven” or the “man of the earth”. Paul, presenting Jerusalem side, thinks that the “man of the earth” (Genesis 2:7) is first and after that comes the “man from heaven” (Genesis 1:26). It is strange that Paul writes to the Corinthians on this issue, because the whole dispute presupposes knowledge of Hebrew, namely that God formed man אָדָם [adàm] of dust from the *ground* אֲדָמָה [ad-amà] (Genesis 2:7), i.e. the man was formed from its feminine derivate in grammar terms.

One more extension of the cultural unit Red, which passes from the Old to the New Testament, is Edom אֶדוֹם [adòm] (meaning “red”): Edom is the second name given by God to Jacob’s twin brother. Edom was applied to Esau because of his selling his birthright for the *red* stew. (Genesis 25:25-26; 30 Esau asked Jacob to give him to eat “of this red pottage”). His descendants are called Edomites. Herod the Great was born in the land of Edom around 74 B.C. Red colour became symbol of Rome and the dynasty of Herod at Roman province of Judea.

If we speculate until the end, Lotman’s idea on proper names fits the theological opinion expressed in Genesis 1-3: the Bible is written by people, but under the dictation of the Holy Spirit, i.e. God is the author of the text. The Platonic essence of Genesis 1-3 reveals that when the “man from heaven” is at the closest position to God, to the author, it is identified with the “I”. (“I” and “other” represent two sides of the unified act of self-consciousness and one is impossible without the other (Lotman 2009: 31)). Thus, the heavenly man is Adam אָדָם [adàm] because he is at the closest space to the author of the text. The process of materialisation removes the creation from the idea of Adam as heavenly man and he becomes the “others” – the common name אָדָם [adàm] with definite article.

The idea of Pierce for a proper name as genuine Index when one meets with it for the first time is just one point of view. As we saw, there are also other possibilities. Another perspective concerns “the *inner form* of the words”. The terms world-view and inner form are usually traced back to Humboldt’s (date) philosophy of language, considering that the inner form is not equal to the worldview but an important element of the overall world-view of every language. For different implications of the term inner form see Leopold 1929.

7. Conclusions

My research has led me to the following conclusions about the drastic differences in the first appearance of the proper name “Adam” the Indo-European and Finno-Ugric translations of the Bible, differences that occur due to complex cultural reasons.

In the Hebrew original of Massoretic text, there is only one candidate for proper name – the first use of the word [adàm] in Genesis 1:26. This verse narrates about the intention of God to create the *mankind* [adàm].

The Hebrew spelling and grammar do not allow us to treat all subsequent uses of the word [adam] in Genesis 1-3 as a proper name because they have a definite article in the Hebrew language the word אָדָם [adàm] includes the definite article and as a result in the translations it is mistaken as a proper name.

All translations ignore the definite article and insert the proper name according some personal logic/doctrine.

None of the translations introduces for the first time the proper noun Adam in a way adequate to the original Hebrew spelling.

The translations of the Old Testament must deal not only with inter-linguistic asymmetry and dissymmetry, but also with cultural asymmetries and dissymmetries. Perhaps the hardest issue is to accommodate the monotheistic theology to the polytheism of Hellenic culture. The translators of the first ever (the Septuagint, third century B.C.) translation had their corresponding Hellenic ideological circle – Neo-Platonism. Thus, their decision to translate the only candidate for proper name, that is Adam as *mankind* ἄνθρωπος (Genesis 1:26), as well as to ignore the Hebrew original and to introduce the proper name in Genesis 2:16, is indicative of the deep and difficult processes of cultural and theological accommodation.

The linguistic inner form of the name reveals the tip of an iceberg of misinterpretations. For a proper interpretation, prospective translators should also consider the connection between the *red* colour אָדָם [adòm], *blood* דָּם [dam], and *ground* אֲדָמָה [adamà] (the feminine non-suppletive form of *man* [adam]), the material the first man was formed by in Genesis 2:7. The inner form is a reflex of a logical feature, which posits as a semantic basis for any word. The inner form is implanted into the word-derivation processes and etymology.

Usually inner forms present the Relativity but not the Universality of inner forms in different languages. Thus, the feminine derivate of אָדָם [adàm] is *earth, ground* אֲדָמָה [adamà], typical to Hebrew. Another word, deriving from the same root is *red* אָדָם [adòm].

The redness of the first man gives different perspectives for interpretation, and presents the Hebrew world-view and corresponds to Plato's Timeus. Actually, the Hebrew world-view always has been a major difficulty for translators. In any case the cultural unit Red in Hebrew (Biblical and Modern) should include the problem with proper and common names אָדָם [adàm] and their connection with *red* אָדָם [adòm], *blood* דָּם [dam], and *earth, ground* אֲדָמָה [adamà].

Another rank list and interpretations in Jewish heritage is formed by the different words/terms for *man* in Hebrew – [adàm], [ish], [enòsh], [gèver].

Semiotic interpretations concerning the proper name cast a new and original light on the specifics of research and the theological aspects of the Hebrew original and the interpretations of different translators.

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Bible Versions

Cyrillic

BUL 1 Bulgarian Protestant Bible 1940, 1995, 2005

BUL 2 Bulgarian Orthodox Version 1925, 1991

RST Russian Synodal Text of the Bible

SRB Serbian Orthodox Bible 1847

UKR Ukrainian Orthodox Version

Czech

BKR Bible Kralicka 1613

CEP Cesky Ekumenicky preklad 1985

Dutch

SVV Statenvertaling 1637

Finno-Ugrian

FIN Raamattu, 1933 käännös

HUN Károli 1993

EST Estonian Bible 2000

French

BFC French Bible en français courant 1997

DRB French Version Darby 1885

LSG French Louis Segond 1910

TOB French Traduction Oecuménique de la Bible 1988

German

LUO –Luther Bibel 1912

LUT – Revidierte Lutherbibel 1984

ELB – Revidierte Elberfelder 1993

Greek

LXT – Septuaginta Rahlfs'

VM – Vamvas Modern Greek Bible

English

ASV American Standard Version 1901

DBY The Darby Bible 1884/1890

ESV The English Standard Version 2001

KJV King James 1611/1769

King James 2000 Bible

NAB The New American Bible 1970/2011

NAS New American Standard Bible 1977

NAU New American Standard Bible 1995

NIB New International Version UK 1983

NIV New International Version 1984 (US)

NKJ New King James Version 1982

NRS New Revised Standard Version 1989

RSV Revised Standard Version 1952/1971

RWB Revised Webster 1833/1995

WEB The Webster Bible 1833

Hebrew

WTT Version 4.4 2005

Italian

IEP San Paolo Edizione 1995

LND La Nuova Diodati 1991

NRV La Sacra Biblia Nuova Riveduta 1994

Latin

VUL Latin Vulgate

Polish

BGP Biblia Gdanska 1632

BTP Polish Biblia Tysiaclecia. Wydanie 4. 1965/84

Portuguese

ACF Portuguese Corrigida Fiel, 1753/1995

ARA Portuguese Almeida Revista e Atualizada 1993

Romanian

RO Cornilescu Bible 1921

Spanish

LBA La Biblia de Las Americas 1986

RVA Reina-Valera Actualizada 1989

MULTI-LEVEL INTERPRETATION OF INDIRECT DISCOURSE NAMES

Maria Kiose

Moscow State Linguistic University, Russia
maria_kiose@mail.ru

Searching for the possible in the unlikely or the improbable
(Trifonas 2015: 845)

Abstract

This paper evidences the continuity of reference interpretation, which a reader faces when dealing with indirect discourse names in written text. Prior oculographic experiments have shown significant diversity in the readers' interpretation of textual stimuli containing indirect names with major differences concerning referent identification and reading time. One of the possible factors, which may have caused this instability, is the degree of the indirect name entrenchment, which in most experiments was neglected. Another factor is that the inability to recognize the referent does not necessarily mean that the reader did not have his idea of a sentence or text construal.

We hypothesized that "responsive understanding" (Petrilli 2016: 285) of non-entrenched indirect nominal constructions presupposes multi-level reference interpretation. To check the hypothesis an oculographic experiment was conducted to explore the eye movements and referent recognition of native speakers' reading texts containing non-entrenched indirect names (the ones whose meaning in the text differed from the entrenched metaphoric and metonymic meanings given in the dictionary or in the linguistic corpus) versus direct names.

1. The problem of indirect discourse referents interpretation

The problem of reference interpretation and reference ambiguity has received considerable attention in various spheres, including philosophy of language, linguistic semantics, discourse research, and cognitive semiotics. In terms of discourse indirect names the reference ambiguity is mostly treated through the criteria of heuristic decision-making procedure (Kahnemann, Tversky 1979; Jaszczolt 2005) determined by various salience factors (Giora 2003). The reader's decision about the direct or indirect name status (and the name reference) is taken on the basis of syntactic and construction semantics salience (Langacker 2000), discourse event roles salience (Chafe 1994; Iriskhanova 2014), embodiment models salience (Barsalou 1999), primary

metaphoric and metonymic conceptual models salience (Gibbs, Matlock 2008), salience of analogical conceptual models (Gentner 2001), etc.

These criteria play a significant role in indirect names interpretation but either taken in isolation or viewed integrally, they cannot in all circumstances explain and predetermine the reader's line of reference interpretation. They serve to model the researcher's mode of inference when the researcher sets the criteria of interpretation and tests them identifying their interpretive value (Pragglejaz Group 2007). This might be the reason why various experiments (including oculographic experiments) contrasting the reading time and referent identification index in sentences with indirect and direct names show different results ranging from significant changes in interpretation to absence of such changes (Glucksberg et al. 1982; Wolff and Gentner 2000; Coulson and Van Petten 2002; Kazmerzki et al. 2003; Gibbs and Matlock 2008). In oculographic experiments these are the parameters of fixations number, fixations duration, and the referent identification index that serve to mark the cognitive effort in interpretation. When testing one factor (for instance, reference ambiguity in focal syntactic positions) other possible salience factors are often neglected.

Besides there are some other factors, which are far more difficult to test, for example, the factors of the reader's individuality, of Logos, of previous or recent experience that in the first instance guide the reference interpretation of discourse indirect names. Developing her theories of the Other and Otherness and Responsive Understanding within the new scientific semiotic paradigm but following the general paths of interpretive semiotics of Victoria Welby and Charles S. Peirce, Susan Petrilli writes:

Meanings evolve dynamically in open interpretive processes. The greater the degree of otherness in the relationship between interpretant sign and interpreted sign, therefore of dialogism, the more interpretation develops in terms of active dialogic response, creative reformulation, inventiveness, and critique rather than mere repetition, literal translation, synonymic substitution, and identification <...> The self converges with the chain of sign-interpretant relations in which it recognizes itself, to the point that experience of the self of another person is not a more complex problem than recognition of certain sign-interpretant relations as 'mine', those through which 'I' become aware of myself (Petrilli 2016: 855–856).

These cognitive semiotic ideas clearly testify in favor of a different, a reader or an interpreter's view on sign interpretation and reference ambiguity problem solution.

If we view the following excerpt:

[Wife:] "I think it might be possible that we are at this moment sitting in the presence of...of Franz Liszt himself! <...> This must be some sort of reincarnation". [Husband:] "You mean this lousy cat?" (Dahl 1995: 144).

We notice that there is a perspective shift which allows potential variants of referent identification as (a) cat, (b) Franz Liszt, (c) half-man, half-beast. Due to personal or occasional factors, a reader may construe the discourse event as: (1) husband, (2) wife, or (3) internal observer, and consequently identify the referent as (a), (b), or (c). Thus, both names of this *lousy cat* and *Franz Liszt* may get the status of indirect names, and the choice does not depend only on syntactic or discourse salience. What mostly matters is the perspective that a reader adopts. Then in case the perspective line chosen were that of the husband, the name Franz Liszt would be viewed as indirect; were it the perspective line of the wife, the name this lousy cat would turn out to be indirect. We may here conclude that indirectness of a discourse name or nominal construction (here it is the construction *lousy cat* or *Franz Liszt* depending on the perspective construed by the reader) presupposes a great deal of variation.

The key factor, which serves as a borderline, is the perspective adopted during the process of balancing the inferred focal elements of the referents construed while reading the text. The balance itself is guided by a variety of interpretation factors several of which we know from theoretical assumptions like personal relevance (Wadensjö 1998; Roy 2000), reading as problem-solution task (Gile 1995) or momentarily decision-taking (Janzen, Shaffer 2008), and some we can easily presuppose following cognitive semiotic guidelines (Nöth 1985; Manetti 2010). These may include previous successful experience factor (Welby 1893, 1896; Peirce 1940), irrational factors (Morris 1948), and inner dialogism factors (Bakhtin 1979 (1986); Barthes 1988).

At the same time, it seems obvious that most commonly though a reader will construe the discourse event more or less the same. In the text fragment given above in all probability it will be the perspective of a husband who is skeptical about his wife's fantasies. In this case the name *Franz Liszt* will be interpreted as indirect.

How does it happen that from different more and less likely and unlikely options a reader is able to choose a possible route to interpret the text with indirect names (even non-entrenched or unconventional ones like in the text fragment above)? What is more, even provided that the readers' interpretations were different and the name status inferred were different, do the reading schemes turn out to vary and reflect the itinerary of cognitive choice? These are the questions to be answered by means of conducting experimental research on how a reader interprets a text with indirect non-entrenched discourse names.

2. Methodology and experiment procedure

The central question is how the reading scheme of a text with indirect non-entrenched names differs from that of a text with direct names. I hypothesized that there might be different reading schemes depending on the factors of interpretation. The methodological idea was to use two similar stimulus texts, one with direct names, the other with indirect, where the salience factors are balanced. It was also important to apply different salience factors to alleviate the effect of one particular factor.

To prepare the reading stimulus we made it equal for the chances of direct and indirect nominal combinations referents in both texts to be identified. As I have mentioned above, there are some obvious factors that will facilitate the process of reference identification irrespective of the discourse name status (whether direct or indirect), so we have to balance them in both texts. For instance, the factor of salience (syntactic, graphic, stylistic, phonetic, etc.) affects referent identification simply because the referent name gets into focal (or marked) position. There are also psychological salience factors that might facilitate the identifying process during the oculo-graphic perception (Kliegl 2006; Rayner 1998; Staub 2015, etc.). Some of them are the length of the nominal construction and its position preceding the punctuation mark, which, in most cases, will provide the presence of a fixation (not a saccade). In our experiment, we compiled two texts for Russian native speakers where the length and the text position of the direct and indirect nominals was similar. By direct nominal phrases we meant any kind of word combinations with definite nominal reference though not necessarily expressed by names, which is explained by the necessity to counterbalance the characterizing effect of indirect names.

We checked that all indirect names were non-entrenched by means of corpus analysis (National Corpus of the Russian Language) where none of the indirect names ever occurred to signify the type of the referent implied in the text. Thus, we alleviated psychological, syntactic, and primary cognitive models salience. At the same time, we allowed different word frequency index of indirect names realizing that frequency index would influence the referent identification index.

The *EYETRIBE* eye-tracker running at 30 Hz and specially designed program *EyeTrackProc* were used for the experiment. The *EyeTrackProc* software helps receive the reading scheme in fixations, saccades and blinks and calculate the fixations duration.

The results can be presented in the form of a reading scheme graph (Fig. 1) and the fixations of exact position on the reading XYZ trajectory in Excel formats (Fig. 2). What counts is the overall reading time, fixations number, fixations position respective of the text fragments involving indirect and direct nominals, fixation duration. The reading XYZ trajectory results allow to follow the visual perception for both left and right eyes, but in our experiment, we countered on tracking the reading trajectory for one eye only (the left eye) as we did not test the psychological aspects of visual perception regimes.

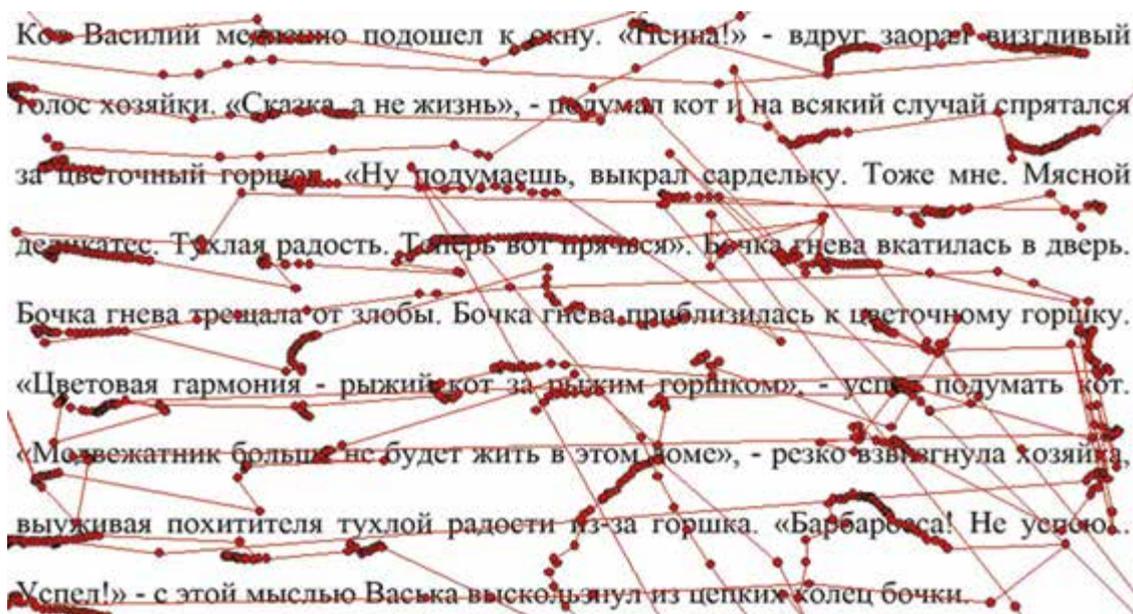


Figure 1. Reading scheme graph.

55	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	541.7888	285.2054	-285.205	fx	true	lefteye	"avg"	"x"	606.8504	265.8797	pcenter
56	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	546.6028	282.9629	-282.963	fx	true	lefteye	"avg"	"x"	599.7852	274.6451	pcenter
57	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	640.4359	269.9488	-269.949	fx	false	lefteye	"avg"	"x"	639.551	277.8386	pcenter
58	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	656.6225	274.9428	-274.943	fx	false	lefteye	"avg"	"x"	654.4831	279.821	pcenter
59	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	661.6802	278.6637	-278.664	fx	false	lefteye	"avg"	"x"	664.0493	282.8799	pcenter
60	"category"	heartbeat	statuscode	200							665.471	279.5943	-279.594	fx	false	lefteye	"avg"	"x"	630.3947	287.4239	pcenter
61	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	668.3718	280.2105	-280.211	fx	false	lefteye	"avg"	"x"	675.1809	288.1664	pcenter
62	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	671.0952	280.8246	-280.825	fx	false	lefteye	"avg"	"x"	679.2165	288.302	pcenter
64	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	673.4884	281.5146	-281.515	fx	true	lefteye	"avg"	"x"	683.2787	288.0249	pcenter
65	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	675.8666	281.9799	-281.979	fx	true	lefteye	"avg"	"x"	687.2448	288.7967	pcenter
66	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	677.4805	282.1693	-282.169	fx	true	lefteye	"avg"	"x"	688.4095	289.4205	pcenter
67	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	679.2513	282.2456	-282.246	fx	true	lefteye	"avg"	"x"	691.7987	284.0013	pcenter
68	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	682.1369	282.3278	-282.328	fx	true	lefteye	"avg"	"x"	705.1932	280.9394	pcenter
69	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	685.7121	282.1942	-282.194	fx	true	lefteye	"avg"	"x"	716.5904	280.7918	pcenter
70	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	689.7594	282.3035	-282.304	fx	true	lefteye	"avg"	"x"	728.404	278.3612	pcenter
71	"category"	heartbeat	statuscode	200							694.1654	282.1793	-282.179	fx	true	lefteye	"avg"	"x"	738.4661	277.8047	pcenter
72	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	698.8915	281.8237	-281.824	fx	true	lefteye	"avg"	"x"	747.1017	277.7471	pcenter
74	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	707.7405	281.159	-281.159	fx	true	lefteye	"avg"	"x"	756.3794	278.8712	pcenter
75	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	714.8308	280.382	-280.382	fx	true	lefteye	"avg"	"x"	762.8877	279.0809	pcenter
76	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	723.3578	278.1605	-278.161	fx	true	lefteye	"avg"	"x"	851.1871	291.1441	pcenter
77	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	732.0582	278.1773	-278.177	fx	true	lefteye	"avg"	"x"	835.8484	290.1566	pcenter
78	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	738.9424	277.3648	-277.365	fx	true	lefteye	"avg"	"x"	837.8031	284.7448	pcenter
79	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	747.5837	277.1112	-277.111	fx	true	lefteye	"avg"	"x"	837.8184	287.5519	pcenter
80	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	754.5641	276.3336	-276.334	fx	true	lefteye	"avg"	"x"	839.8975	287.2404	pcenter
81	"category"	heartbeat	statuscode	200							760.7971	274.8358	-274.836	fx	true	lefteye	"avg"	"x"	842.1955	283.5507	pcenter
82	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	767.0343	274.0603	-274.06	fx	true	lefteye	"avg"	"x"	842.4139	279.7516	pcenter
84	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	843.4935	284.5639	-284.564	fx	false	lefteye	"avg"	"x"	843.4935	284.5639	pcenter
85	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	840.2291	272.0867	-272.087	fx	false	lefteye	"avg"	"x"	845.9573	284.5651	pcenter
86	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	841.0908	272.2094	-272.209	fx	false	lefteye	"avg"	"x"	848.5764	283.982	pcenter
87	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	842.4661	272.7914	-272.791	fx	false	lefteye	"avg"	"x"	850.9529	282.055	pcenter
88	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	843.2552	272.8483	-272.848	fx	false	lefteye	"avg"	"x"	849.8569	280.716	pcenter
89	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	845.5254	272.3695	-272.37	fx	false	lefteye	"avg"	"x"	849.5058	279.2258	pcenter
90	"category"	tracker	request	get	statuscode	200	values	"frame"	"avg"	"x"	844.2241	270.8315	-270.832	fx	true	lefteye	"avg"	"x"	856.3006	277.9653	pcenter

Figure 2. Reading XYZ trajectory results in Excel format (for the left eye only, fragment).

The participants of the experiment were 24 native speakers of Russian aged 19-21, students, who were placed into two groups (10 and 14) with the first group reading first the text with direct names (Text 1), then the text with indirect names (Text 2), and the second group reading Text 2 first, then Text 1. Both stimulus texts with highlighted areas of interest (in the stimulus

texts these areas were certainly not highlighted) are given in Figures 3 and 4. As you can see, the highlighted nominals occupy the same positions within two contrasting texts, they have practically the same length and punctuation marks in pre- and postposition, which helps alleviate the visual perception differences.

Кот Василий медленно подошел к окну. «Обжора!» - вдруг заорал визгливый голос хозяйки. «Гяжела моя жизнь», - подумал кот и на всякий случай спрятался за цветочный горшок, «Ну подумаешь, выкрал сардельку. Тоже мне. Обычная сарделька. Не особо вкусная. Теперь вот прячься». Хозяйка ворвалась в дверь. Женщина вся дрожала от злости. Она приблизилась к цветочному горшку. «Интересное сочетание - рыжий кот за рыжим горшком», - успел подумать кот. «Этот кот больше не будет жить в моем доме», - резко взвизгнула хозяйка, выуживая похитителя вкусной сардельки из-за горшка. «Нападают! Не успею... Успел!» - с этой мыслью Васька выскользнул из цепких рук хозяйки.

Figure 3. Text 1 with direct names and nominal phrases.

Кот Василий медленно подошел к окну. «Псина!» - вдруг заорал визгливый голос хозяйки. «Сказка, а не жизнь», - подумал кот и на всякий случай спрятался за цветочный горшок, «Ну подумаешь, выкрал сардельку. Тоже мне. Мясной деликатес. Гухлая радость. Теперь вот прячься». Бочка гнева вкатилась в дверь. Бочка гнева трещала от злости. Бочка гнева приблизилась к цветочному горшку. «Цветовая гармония - рыжий кот за рыжим горшком», - успел подумать кот. «Медвежатник больше не будет жить в этом доме», - резко взвизгнула хозяйка, выуживая похитителя тухлой радости из-за горшка. «Барбаросса! Не успею... Успел!» - с этой мыслью Васька выскользнул из цепких колец бочки.

Figure 4. Text 2 with indirect names and nominal phrases.

The text is of a narrative type, the word-by-word marking and translation of Text 1 is given below.

Line 1

Кот Василий медленно подошел к окну. «Обжора!» – вдруг заорал визгливый
[He-cat] [Vasily] [slowly] [came] [to] [window] [glutton] [suddenly] [shouted] [shriek]

Male Cat Vasily slowly came to the window. “A glutton cat!” – there came out a sudden shriek

Line 2

голос хозяйки. «Тяжела моя жизнь», – подумал кот и на всякий случай спрятался
[voice] [missis] [difficult] [my] [life] [thought] [he-cat] [and] [on] [any] [case] [hid]
voice of Missis. “Life is a difficult thing” – the Cat thought and to be on the safe side he hid

Line 3

за цветочный горшок, «Ну, подумаешь, выкрал сардельку. Тоже мне. Обычная
[behind] [flower] [pot] [well] [thought] [sneaked out] [sausage] [well] [me] [usual]
behind a flower pot, “I guess it’s because I sneaked out a sausage. What the hell! A usual

Line 4

сарделька. Не особо вкусная. Теперь вот прячься». Хозяйка ворвалась в дверь.
[sausage] [not] [very] [tasty] [now] [well] [hide] [missis] [broke] [into] [door]
sausage. Nothing special. But now I have to hide my head”. Missis broke into the door.

Line 5

Женщина вся дрожала от злости. Она приблизилась к цветочному горшку.
[woman] [all] [convulsed] [with] [anger] [she] [approached] [to] [flower] [pot]
She was convulsed with anger. She approached the flower pot.

Line 6

«Интересное сочетание – рыжий кот за рыжим горшком», – успел подумать кот.
[interesting] [combination] [red] [he-cat] [behind] [red] [pot] [had time] [to think] [he-cat]
“Looks interesting – a red cat behind a red flower pot”, the Cat thought.

Line 7

«Этот кот больше не будет жить в моем доме», резко взвизгнула хозяйка,
[this] [cat] [never] [no] [will] [live] [in] [my] [house] [suddenly] [screamed] [missis]
“This cat won’t live under my roof”, Missis let out a screech

Line 8

выуживая похитителя вкусной сардельки из-за горшка. «Нападают! Не успею...
[fishing out] [thief] [tasty] [sausage] [from behind] [pot] [Assault] [don’t] [have time]
when fishing out the thief of the tasty sausage from behind the pot. “Assault! No time to bundle out

Line 9

Успел!» – с этой мыслью Васька выскользнул из цепких рук хозяйки.
[made it] [with] [this] [idea] [Vaska] [slipped out] [from] [clingly] [hands] [missis]
I’ve made it!” feeling happy Vasily slipped out of Missis’ hands.

In Text 2 with indirect names and nominal combinations the substitutions were made for the direct combinations of a *Glutton cat* (line 1) to ‘Псина’ [*Bitch*], *Life is a difficult thing* (line 2) to ‘Сказка, а не жизнь’ [*Life is a fairy tale*], *sausage* (line 4) to ‘деликатес’ [*delicacy*], *Nothing special* (line 4) to ‘Тухлая радость’ [*Rotten happiness*], *Missis* (line 4) to ‘Бочка гнева’ [*The Barrel of anger*], *This cat* (line 7) to ‘Медвежатник’ [*Robber*], *Assault* (line 8) to ‘Барбаросса’ [*Barbarossa*]. In four cases, metaphoric and metonymic models were selected for indirect reference, in two cases the transfer was based on disanalogy. When selecting the lexemes attention was given to the choice of non-entrenched indirect lexemes in naming the types of discourse referents. In the National Corpus of the Russian Language in the Basic Corpus we examined 1) the word frequency of the indirect lexemes in the Nominative Case and used the ones with different frequency index (FI) to balance the possible lexical frequency effects (FI of the lexemes chosen is 72–46690); 2) the reference of these lexemes basing on the first 100 text fragments to escape possible entrenchment effects.

We have also applied some slight changes in the choice of two predicates that are used in postposition to these noun phrases to escape the collocation misuse.

Thus, in preparing a stimulus text with indirect names and nominal phrases interwoven we

alleviated the effects of syntactic, lexical, and graphic factors, also the factors of visual perception. The only obvious factors left are the individual factors of the past experience, occasional factors, factors of relevance which it is extremely difficult to test separately from linguistic and psychological salience factors.

3. The experiment results and data analysis

The participants were asked to read the text attentively and get ready to answer some of the questions on the text contents offered by the interlocutor after the participant had finished reading.

The questions proposed concerned the reference interpretation of the indirect names and nominal phrases. They were offered in the following format about each of the indirect names used: What does 'псина' [*bitch*] mean? What does 'псина' [*bitch*] refer to in the text? No questions were later posed to the participants of Test Group 1 as they previously recognized the referents of the indirect names and nominal phrases. Only the participants of Test Group 2 were asked about the reference identification after their Text 2 reading.

In Test Group 1 the oculographic results of one participant (Participant 9) were inconsistent (the results of the calibration procedure were unsatisfactory after two consequent trials). In Test Group 2, two participants (Participants 23 and 24) demonstrated the reading schemes that lacked stable fixations and for that reason were not subject to further cognitive linguistic analysis.

The first parameter that I test is the reading time (RT) of Text 1 and Text 2 in the Test Group 1, and Text 2 and Text 1 in the Test Group 2. The results (in seconds) are presented in two tables, with the average reading time given below.

Test Group 1 Participants	Text 1 (direct names)	Text 2 (indirect names)
1	29,04 s	25,53 s
2	41,04 s	36,63 s
3	31,74 s	30,12 s
4	24,39 s	27,84 s
5	34,98 s	31,32 s
6	36,99 s	38,82 s
7	32,43 s	30,63 s
8	23,34 s	23,37 s
9	-	-
10	31,8 s	33,12 s
Average RT	31,75 s	30,82 s

Table 1. Reading time and average reading time in Test Group 1

In general, the second presentation of the text where seven direct names were substituted with indirect ones required 1,03 less time. Five participants' results demonstrated the decrease in reading time whereas there was an increase in the reading time results of three participants. One participant had approximately the same reading time for both texts. The results were somewhat misleading because we had expected a more significant reading time increase. At the same time, it was obvious that "top-down" strategy (Norman and Bobrow 1975; Rayner 1998) of reading (we suppose that the participants practically immediately recognized that they were facing the same narrative plot) prevailed which affected the decrease of the reading time for Text 2.

The increase of the reading time with some participants may be the result of a different reading strategy adopted, the one named a “bottom-up” strategy which presupposes that the initial access to word meaning is not totally dependent on contextual information with the lexicon being an autonomous processing module (Tatenhouse et al. 1979; Seidenberg et al. 1984; Kliegl et al. 2006).

Test Group 2 Participants	Text 2 (indirect names)	Text 1 (direct names)
11	42,09 s	36,66 s
12	34,32 s	30,18 s
13	42,39 s	37,62 s
14	35,13 s	29,88 s
15	43,35 s	39,48 s
16	44,88 s	33,6 s
17	31,08 s	31,68 s
18	42,12 s	30,06 s
19	34,62 s	31,11 s
20	37,11 s	32,79 s
21	41,28 s	32,7 s
22	37,23 s	32,7 s
23	-	-
24	-	-
Average RT	38,8 s	33,2 s

Table 2. Reading time and average reading time in Test Group 1

As compared with the results in Table 1, the exponential 1,17 decrease of Text 1 average reading time results seems indicative of the growing status of “top-down” strategy applied by the participants. It is worth specifying that this is true of all the participants who took part in the experiment. The graphs below demonstrate the difference in reading time (in seconds) and reading strategies of participants 1 to 22.

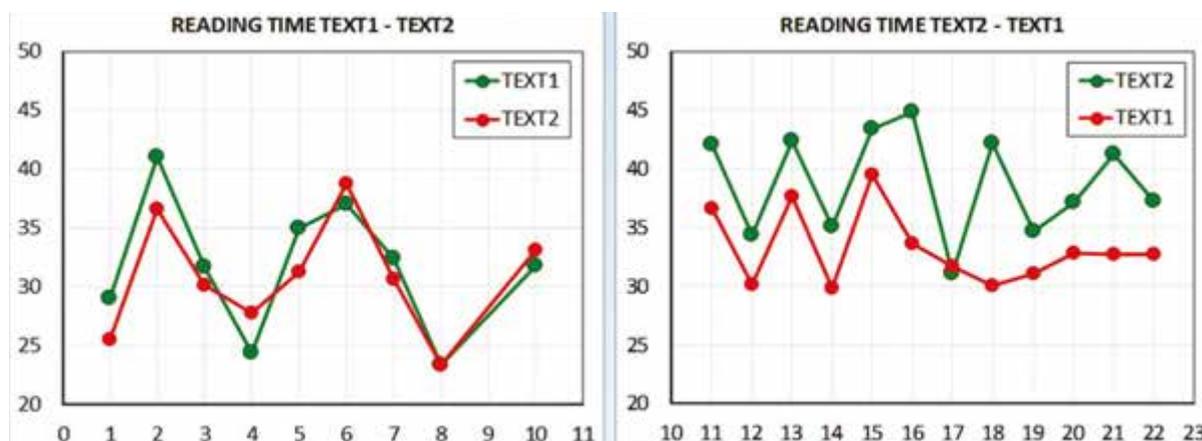


Figure 5. Comparative reading time results of the Test Groups.

These graphs give a visually exponential proof of the increase in reading time and consequently in cognitive effort spent on interpreting the text with non-entrenched indirect names.

Nevertheless, the question still existed whether longer reading meant better reference interpretation. I expected that there would be steady correspondences between the reading time spent on reading the fragments involving indirect names and the reference interpretation index. Consequently, I analyzed the results of the interlocutor's protocols on participants' reference interpretation. It was noticeable that indirect names with different lexical and syntactic salience factor (frequency index, syntactic focus) or the text fragments in postposition to these names required different reading time. But what was really striking was the fact that for the indirect names in less salient positions (those in Lines 4c, 7, 8) the index of reference correct interpretation was low (0,66, 0,66, and 0,33 respectively) while the fixation duration didn't decrease steadily.

A conclusion was made that apart from general referent interpretation which results in the referent identification there is some other way of path of referent interpretation, which helps the reading process continue.

First, I examined the reading schemes of those participants who were more successful in referent interpretation but whose indirect names fixations were not prolonged. The explanation to that was an expected one – to identify the referent the prolonged fixations in post-nominal groups were applied. This implied that prolonged reading of other text fragments helped to reconstrue the narrative. Thus, in all cases indirect names identification required prolonged overall reading time.

When I examined the reading scheme of the participants who did not give the right answers on referent interpretation I noticed that their reading trajectories did not involve those of reverse saccades (with repeated fixations on the indirect names) and there were not any significant fixations duration increase in post-nominal positions. The reading process could flow without exact referent identification, which economized the time. The only explanation I can give is that it was enough for the reader to interpret the event roles in the narrative (which is most obviously enough not to terminate the reading process), it economized cognitive effort and saved time.

All in all, there seem to be three distinct possibilities of discourse indirect names interpretation: referent identification by means of prolonged nominal fixations which is time-consuming, referent identification by means of prolonged post-nominal fixations which is also time-consuming, referent event-role identification which is more economizing, and failure to recognize either the referent or its event role which takes the shortest reading time just to cope with linguistic structures.

The indirect discourse referent interpretation is then a multi-level process that is subject to multiple individual factors.

4. Conclusion

The oculographic experiment testing the hypothesis of multi-level interpretation of indirect discourse non-entrenched names and nominal phrases showed that there is a formidable imbalance between the reading time (including the overall reading time of the text with non-entrenched indirect names and the reader's separate fixations duration), the discourse names status (indirect and direct) and the fact of referent identification. Although reading textual fragments containing non-entrenched indirect names did not always result in prolonged fixations duration, the general reading time spent on texts with indirect names compared to those with direct ones was significantly greater. One more observation, which seemed of importance, was the stable correspondence between fixations duration and levels of referent interpretation. The experiment data suggested three definite options of multi-level reference interpretation (as a

mental space, an event-role, or a linguistic semantics role) which affect the fixations duration. This is the way a reader adapts to the indirectness in the text and “responds” to the challenges the author of the text imposes.

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RELATIVE TENSES, LINGUISTIC RELATIVISM AND MEDIA LANGUAGE

Diana Burbienė

Kaunas University of Technology, Lithuania
diana.burbiene@ktu.lt

Saulė Petronienė

Kaunas University of Technology, Lithuania
saule.petroniene@ktu.lt

Abstract

Linguistics describes relative tenses as grammatical temporal expressions, in which a situation time is related to a contextually-given reference time; additionally, they are based on the conceptual opposition of anteriority/simultaneity/posteriority. Relative time reference is inherent to both non-finite verbs as well as tense-aspect interaction.

The aim of this paper is to detect correlations between the grammatical code of Russian gerunds and cultural practices in comparison to similar Lithuanian forms. To achieve this aim, the study gives a brief review on functional features of these forms in the use of different communicational contexts from historical and contemporary perspectives. In the examples, the study identifies how the convergence of spoken and written practices, which was inspired by media and literacy cultural processes, plays the crucial role in the evolution and functioning of these forms.

1. Introduction

Over the past century, two great discussions in the field of humanities have been identified, both based on the question of whether human thought is determined by a cultural environment.

One of these discussions arose in linguistics, starting from the Humboldtian tradition and ethnographic research, which encouraged the linguistic relativity hypothesis. Followers of the strong version of this hypothesis adhere to an opinion that linguistic categories limit and determine cognitive categories. Alternatively, supporters of the universalist approach substantiate universal ground for linguistic categories. The deep and sometimes very passionate discussion

among these two approaches gave science inspiring theories (e.g. the universal grammar theory, the theory of linguistic universals, the prototype theory, the conceptual metaphor theory etc.) and initiated remarkable debates (e.g. the colour naming debate, the debate on grammar of time in Hopi language etc.).

Although today the discussion is still vivid, eventually, it softened the strong positions and let the linguists come to a common attitude towards certain issues. One of the important conclusions drawn by linguists in this discussion is that it is not linguistic formal categories or conceptual categories that are universal, but rather relationships among particular situation types (Croft 2010).

Another discussion in the theory of communication gained impulse from Toronto School, which postulated that communication types impact the sociocultural and mental structures, and force historical change. The exponents of this school applied diachronic analysis of how the history of civilization is influenced by different communication media and technology (e.g., parchment, paper, alphabet, printing press, electronic media etc.). One of the most comprehensively analysed contrasts was drawn between orality and literacy (Havelock 1963, McLuhan 1962, Ong 2002).

The criticism of the Toronto School communication theory was based on its interpretation as a technological determinism. Nevertheless, linguistic investigations on the issue of spoken and written language (Biber 1986, Chafe 1982, Halliday & Ruqaiya 1976) impel researchers to reconsider traditional approaches in language teaching as well as discourse and intercultural communication perspectives. In this regard, scholars conceive orality and literacy as “epiphenomenal poles on a continuum” (Tannen 1982b), where orality and literacy distinguish many features, but in particular situations the spoken language can possess a number of features of the written language while the written language can have the features of orality. Speakers can apply different communicative strategies and these strategies vary by history and culture. As Tannen (1982a:18) summarises:

The difference between features of language which distinguish discourse types reflects not only — and not mainly — spoken vs. written mode, but rather genre and related register, growing out of communicative goals and content.

It is evident that humans express meanings which are relevant and that the meanings of the highest cultural and cognitive salience are structured in grammar (Bybee 1985:13–14). Therefore, the analysis of grammatical categories can be a worthwhile approach in cultural studies.

The object of this study is the relative tenses in Russian and Lithuanian.

The distinction of tenses to the absolute and relative ones appeared in linguistics in the 16th century. Linguistics describe absolute tenses as grammatical temporal expressions related to the time of an utterance. Relative tenses, in contrary, are the tenses in which a situation time is related to a contextually-given reference time. Roman Jakobson (1971) in his classification of grammatical categories indicated opposition between absolute and relative tenses. He adapted the term of Otto Jespersen ‘*shifter*’ for a linguistic code, where the general meaning can be defined only with a reference to the message itself. The tense has such a reference, while the aspect has not, so the tense is a shifter, while the aspect is a non-shifter. According to Jakobson (1971:134), relative tense is one of the grammatical phenomena of a broader category of taxis, which presupposes a narrated event with reference to another narrated event, but without a reference to the message. Such usage of a temporal expression can also be called secondary deixis (Aresian 1986). Gerund (rus. *деенричастие*) is the grammatical category, which expresses semantics of taxis in Russian. The closest categories in Lithuanian are adverbial participles (lit. *pusdalyvis*, semi-participle) and gerund (lit. *padalyvis*).

The aim of this paper is to detect correlations between the grammatical code of the Russian gerund and cultural practices in comparison to similar Lithuanian forms. Therefore, this study aims to give a brief review on functional features of these forms in the contexts of different communicational contexts from historical and contemporary perspectives.

2. Evolution of gerund in Russian

Linguists identified the roots of gerund evolution from the earliest surviving documents of Old Russian. Old Russian had two types of active participles: nominal and pronominal, each of them having forms of gender, number, case and verbal features of aspect, transitivity and tense. The Russian gerund has evolved from the nominative form of the nominal active participle.

The evolution of the gerund began with irregularities in agreement between subject and nominal participle in phrases, where the agent of the participle has a secondary role in the main clause. Such usage was registered in the oldest Russian texts of the 12th century (Zalizniak 2004:184). The examples of disagreement with the nominative subject are sporadic in this period, but it allowed linguists to assume that the process of the loss of agreement in a spoken language had already begun (Zhyvov 2012:180).

Both forms of nominal and pronominal participles functioned in parallel in historical textual resources of the 12-15th centuries. However, it is important to note that the amount of agreement errors in particular types of texts differed. In such classical texts as psalter, gospel, epistle there are almost no errors in agreement, which apparently occurred by rewriting any inaccuracy. From this point, the texts of chronicles are more interesting, because a chronicler is free to implement participles from both the written and spoken language. As Zhyvov (2012:182) points out, if the chronicler orientates toward exemplary texts, there the “agreemental intention” comes out even when the spoken norm differs. Conversely, if the chronicler implements his natural lingual skills he uses unadjusted participles. This leads to the gradual establishment of a written norm.

Birch-bark letters of Novorod in the 14-15th centuries shows such a high frequency of non-agreed participles that the principle of agreement in spoken language is considered to be lost by this period (Zalizniak 2004:185).

During the 12-15th centuries, the functional opposition between the forms of nominal and pronominal participle forms evolved. Pronominal forms tended to express attributive functions, while nominal forms gradually lost the agreement between subject and participle, and began to express predicative meaning. At the same period, the category of tense began to form the opposition in expressing temporal relation with main verbal predicate. This temporal meaning of participle gave the base to form other adverbial meanings: causal, conditional and intentional (Abdulkhakova 2007:42–43).

The forms of pronominal participle are found in sources of the late 18th century, but they are considered to be stylistically marked.

From the 15th until the 18th centuries a variety of gerund forms existed with perfective suffixes: *-a*, *-в*, *-виши*, *-ши* and zero; and imperfective: *-а*, *-ючи/-ащи*, *-в*, *-виши*, *-ши*, *-е*. At the same time, a tendency of fixation of certain forms to an aspect of gerund grew: the suffixes *-а(-я)* began to be more associated with imperfective verbs stems and *-в*, *-виши* with perfective (Abdulkhakova, 2007:36–40). Word forms, which do not correspond to this principle were decreasing during the last century with few exceptions (Dobrushina 2009). Linguists mark the gradual decrease of past imperfective forms from the first third of the 19th century (Kovtunova 1964: 376)¹. In contem-

1 Analysis of data in the Russian national corpus showed, that the frequency of these forms was already lower from the 18th century (table 2). Furthermore, according to the data of corpus there is a slight tendency of common gerund frequency decrease.

porary language, past imperfective forms are rare and function mostly as stylistically colloquial (Dobrushina 2009:18–19).

The fact that forms of past imperfective became uncommon lead to a narrowing of gerund semantics to a so called “single time period” (Bondarko, 1987:237), which means that events expressed by the main verb and the gerund cannot be detached in time, and the sentence from the example below (1) are unusual in contemporary Russian:

1. *Встречав ее в ранней молодости, он снова увидел ее через двадцать лет* (R. Jakobson).

Over the centuries, the norm of syntax of the Russian gerund changed according to a principle of same-subjectness, and the sentence below (2) found in fiction of the 18th century with passive forms fall out of modern norm:

2. *Подъезжая к Белеву, сделался мне прелютейший обморок* (D. Fonvizin).

3. Evolution of semi-participle and gerund in the grammatical system of Lithuanian

The closest functional equivalent of a Russian imperfective gerund form in Lithuanian is a semi-participle form.

The earliest surviving written texts in Lithuanian date from only the XVIth century, but still there is enough evidence that this special gerund form also gradually eliminates the active participle in the secondary predicate function, although the final differentiation between the forms is quite late in texts and it is not relevant in some dialects (Ambrazas 2006:361–362).

In comparison to the Russian gerund, this semi-participle retained its agreement forms: *sakydamas* (male singular), *sakydama* (female singular), *sakydami* (male plural), *sakydamos* (female plural).

As with the Russian imperfective gerund, these forms express secondary action made by the same agent as the main action. The action expressed by the semi-participle at least partly takes place simultaneously to the main action expressed by the finite verb in the main clause:

3. *Sėdėdamas prie stalo, svečias gėrė arbatą.*

In accordance with relative time meaning, the semi-participle constitutes an opposition to a nominative form of appositive past participle, which express an action prior to the main action:

4. *Sėdęs prie stalo, svečias paragavo arbatos.*

Meanwhile, in accordance with the relation to an agent of the main action, there is an oppositional category of gerund (*padalyvis*). This form expresses the action made by an agent which is different from the main agent. The action expressed by the past gerund is prior to the main action expressed by the finite verb in the main clause (5), the action expressed by the present gerund is simultaneous to the main action (6), and the action expressed by the future gerund is posterior to the main action (7):

5. *Svečiui atėjus, šeimininkai išvirė arbatos.*
6. *Šeimininkai pamatė ateinant per kiemą svečių.*
7. *Šeimininkai laukia ateisiant ypatingą svečių.*

In contrast to the semi-participle, these forms are the functional equivalent of the Russian gerund in impersonal sentences.

Lithuanian gerund forms evolved from old dative forms of active participles (Ambrazas 2006:433–435). In attributive constructions, these forms were pushed out by newer forms, meanwhile, in absolute constructions with the subject in the dative position, the old forms shaped a particular type of non-finite verb form.

4. Functioning in modern Russian and Lithuanian: copus-based analysis

Summarizing, the main features of contemporary gerund are:

1. the function of secondary predicate;
2. the adverbial meaning of prototypically temporal relation (Russian gerund – priority/simultaneity, Lithuanian semi-participle – simultaneity, Lithuanian gerund priority/simultaneity/posteriority);
3. semantic ties to the subject expressed by the verb in the first predicate (Russian gerund and Lithuanian semi-participle – same-subjectness, Lithuanian gerund – different-subjectness;
4. semantic ties between the actions, expressed by the verb in the first predicate and the verb in the gerund form, in so called ‘single time period’.

Functioning of the gerund in contemporary Russian is different in functional styles.

Quantitative analysis of gerund forms in the Russian National Corpus shows that the highest frequency of the gerund is in fiction and the lowest in spoken language, while frequency in subcorpora of journalism, science and internet communication (posts and messages from forums, blogs and messengers) is in medium range (table 1).

	Russian gerund	Lithuanian semi-participle	Lithuanian gerund
Fiction	0.83374%	0.22756%	0.10597%
Journalism	0.47046%	0.22132%	0.38235%
Science and Study	0.31582%	0.31840%	0.45939%
Internet communication	0.24689%	0.29584%	0.49582%
Spoken language	0.13789%	0.06110%	0.25141%

Table 1. Frequency of Russian and Lithuanian non-finite forms in subcorpora.

The comparison of this data with the frequency of semi-participle and gerund frequency in Lithuanian corpora (annotated Contemporary Lithuanian Corpus of Vytautas Magnus University for fiction, journalism, science and spoken registers, and collected data from internet for corresponding corpus) was performed. The analysis showed that the differences in frequency of corresponding verb forms in written registers are not relevant, but the frequency in spoken language is generally lower than in fiction language.

Taking a retrospective view of the spread of frequency in different registers of Russian, the proportion between registers is more or less constant from at least the 18th century.

	1700–1750	1751–1800	1801–1850	1851–1900	1901–1950	1951–2015
Fiction	1.43538%	1.58921%	1.21529%	1.18174%	1.38857%	1.19407%
Poetry	1.14352%	1.24079%	0.96920%	0.96549%	1.12976%	1.02575%
Science and Study	1.78000%	1.06095%	1.32987%	0.87873%	0.68127%	0.51036%
Official texts	1.03609%	0.95398%	0.92104%	0.70710%	0.72492%	0.23800%
Common corpus	1.45833%	1.29211%	1.16419%	1.04821%	1.03884%	0.85700%

Table 2. Frequency of Russian gerund in subcorpora by periods.

The most significant change took place in science literature, from 1.78% to 0.51%. During the last three centuries, the science register became to impersonal, formal, informative style, in which the gerund expressed mostly a pure temporal (8) or cause and effect (9) relationship, but does not have an expressive manner of action function as in fiction (10) (11):

8. **Отвинтив** болты, можно вынуть заготовку.

9. **Меняя** состав полупроводников, можем создавать светодиоды.

10. По морю, во всю ширину, **вставая и падая, поблескивая** в темноте гребнями пены, летел новый шквал (В. Г. Короленко).

11. Наконец **наговорившись**, а ещё более **намолчавшись** вдоволь и **выкуривши** сигарку в весьма покойных креслах с откидными спинками, он наконец как будто вдруг вспомнил и сказал секретарю, остановившемуся у дверей с бумагами для доклада: «Да, ведь там стоит, кажется, чиновник; скажите ему, что он может войти» (Н. В. Гоголь).

In Lithuanian science and education register, the semi-participle (13) (14) gerund (12) will be the equivalents of the Russian gerund in (8), (9) and deverbatives in (15):

12. **Atsukus** varžtą, galima išimti ruošinį.

13. **Keisdami** puslaidininkių sudėtį, galime kurti šviesos diodus.

14. **Spręsdamas** užduotis testuojamasis turi pažymėti vienintelį atsakymo variantą.

15. **При выполнении** заданий тестируемый должен отметить единственный вариант ответа.

This may explain why the frequency of these Lithuanian non-finite verb forms is higher in the science corpus in comparison to the Russian gerund. It is worth pointing out that in genres of reasoning, register phrases with the Russian gerund (*возвращаясь к ...*, *переходя к...*, *принимая во внимание...*) and Lithuanian semi-participle (*apibendrinami...*, *baigdami...*) and gerund (*grįžtant prie...*, *imant...*, *kalbant apie...*) play a role of conjunctive markers.

The frequency of some discourse markers in the Russian spoken language is high and they are often used as filler words (*точнее говоря*, *образно выражаясь*, *пользуясь словами* etc.). An important condition for such processes is the shortness of gerund forms and disengagement of agreement.

The loss of agreement also creates conditions for derivation of prepositions from Russian gerunds (*благодаря*, *включая*, *исключая*, *начиная с*, *спустя*, *несмотря на*, *невзирая на*, *судя по*, *смотря по*), derivation of adverbs (*лежа*, *сидя*, *стоя* etc.) and derivation of conjunction (*несмотря на то, что*; *судя по тому, как*; *благодаря тому, что*).

In comparison, the Lithuanian semi-participle obey the agreement, and does not resist such processes. However, there are examples of filler in spoken Lithuanian (*taip sakant*, *trumpai tariant*) and derivative conjunction (*nelyginant*) made from gerund. Although, in both spoken and written discourse, Lithuanian speakers are disposed to make errors in choosing the form of semi-participle or gerund, when they apply the same-subjectness and different-subjectness principles. Similarly, disregard of the same-subjectness principle of the Russian gerund particular occurs in narration of traveling, both in contemporary spoken Russian (16) and in classical fiction (17):

16. После моста, **проехав** пост ДПС, метров через 800 будет правый поворот (example from Onipenko & Bikkulova 2012).

17. **Проехав** немного, справа монастырь навис под горою и прилеплен к горе (А. Griboyedov).

The deviations in gerund usage are also relevant to the distinction between spoken and writ-

ten modes. For example, in Russian spoken dialects, the gerund functions as a predicate with meaning of resultative perfect:

18. *Судомойкой перебрали / а я замуж была вышедши* (example from Onipenko & Bikkulova 2012).

This example shows an inner language bias to fill the gap in the modern Russian language when literal norms do not have such active compound past tense forms. Unfortunately, Lithuanian linguists (Petronienė 2008) notice the opposite phenomenon, when the usage of some unique verb forms (*buvęs beišeinąs*) descend in a modern language because of the influence of languages that do not have such forms.

5. Grammatical processes in the context of medium

Both diachronic and synchronic data show that there is a contrast in the usage of Russian and Lithuanian non-finite verbs in spoken/written, science/fiction registers. This contrast is caused by a number of differences:

1. Primary and canonical language situation is a spoken language. In such situations, the context plays a critical part in the communicational exchange of meanings. Therefore, in an immediate spontaneous communicational situation there is a higher concentration of deictic expressions. Tannen (1982:1–2) summarizes this:

In oral tradition, it is not assumed that the expressions contain meaning in themselves, in a way that can be analysed. Rather words are a convenient tool to signal already shared social meaning.

Therefore, it is paralinguistic features (intonations, prosody, facial expression, gesture) that establish cohesion in spoken discourse. Meanwhile, medium interrupts canonical situations, it breaks the ties of shared direct attention to objects between addresser and addressee, and it decontextualizes the text. In such a decontextualized situation, as written text is, the cohesion is lexicalized, the relationships between propositions are explicit and therefore its syntactic structures are more complex. Finite verbs serve these purposes, therefore, they are more often in written texts.

2. Another difference is the time that a writer has for thought expression in comparison to spontaneous speech. A writer has the possibility to choose words and then adjust the forms, express the relations and produce a sentence as a solid structure. However, spontaneous speech is not often composed of complete sentences, while the speaker is adjusting grammatical forms, they risk losing the listener's attention. From this point of view, shorter grammatical forms have an advantage. This was one of the causes of Russian gerund evolution in spoken language.

3. Another important difference is that the growth of literacy causes a much larger proportion of the population to be proficient in written register, which may not only bring more sophisticated syntax and lexicon to a spoken language, but can also enrich written language by the phenomena created in spoken register.

In Russian history there were two remarkable periods of this kind. One was the Novgorod Republic (12-18th centuries) with birch barks culture and evidence from spoken register. Secondly, in the 18th century during the educational reforms and typographic reform, which simplified and fastened the procedure of typographic composition, bringing it closer to Western literal tradition. This was followed by the intense development of literary language, in which the most intensive periods of concurrent forms interfused and coexisted in the same language spheres.

Meanwhile, the history of literary in Lithuanian is not as long. Despite the fact that the first printed books begin to be published in the 16th century, and the first poetical and prose works

were only being printed in the middle of 19th century, dissemination of Lithuanian literature was complicated by a 40-year ban of printing in the Latin alphabet and forced russification. During these years, the language was mostly used in peasant families and its usage in administrative and educational fields, along with intense development of corresponding registers only began after restoration of independence post World War I.

4. Additionally, both written language and printed media tend to conserve lingual code, and traditional grammar tends to codificate. For this reason, written language sometimes still uses the forms that might already be eliminated from spoken language.

6. Conclusions

The differences of gerund functions and frequency in functional styles exists, because the most important function of a gerund in written narration is the expression of not so much the event or action, as the event or action together with a temporal relation. In the diachronic evolution of the Russian gerund, this was bounded to the loss of an attributive function as well as the ability to express autonomous adjectival predicate and parallel acquisition of an adverbial function. This process began in the spoken language because of economy, whereby the form began to serve the aim of compression of meaning. However, the compression of meaning was also important for written forms of language, with the requirement to express more sophisticated utterances with complex relations between predicates. Although in this new function it demands a cognitive resource to sustain complex thought and manage grammatical adjusting. For this reason, the Russian gerund as well as the Lithuanian semi-participle and gerund, are not so frequent in a spontaneous, interactive spoken situation.

However, the media and literacy cultural processes not only formed the demand for such sophisticated utterances, but also the historical background for evolution of different functional styles and genres, which gave a medium for different spoken and written practices to converge.

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SEMIOTIC AND SEMANTIC DYNAMICS OF THE LITERARY TEXT

Katalin Kroó

Eötvös Loránd University, Budapest, Hungary
krookatalin@freemail.hu

Abstract

The paper investigates the possibility and the sense of differentiating the semiotic and semantic dynamics of a literary text. The arguments treat historical, theoretical and methodological considerations, bringing into focus those interrelated text-generating operations in the literary discourse, which do not simply link the manifestation forms of semantic and semiotic transformations, but also separate them according to the role they play in the overall formation of the literary work, taken as a hierarchical intersemiotic system. In this context, the following aspects of literary semiosis are examined: the linguistic sign vs the discursive sign; the relationship between the syntagmatic and the paradigmatic discursive operations; simultaneity and developmental processes; text-level shifts. The paper at the same time aims to harmonise significant theoretical postulations within the domains of linguistics and philosophy of language (E. Benveniste, V. N. Volosinov/M. M. Bakhtin), structuralist discourse poetics (R. Jakobson, L. Doležal), general narratology, poetology and literary semiotics (W. Schmid, J. Faryno, J. Lotman). Empirical text analysis is presented in the form of a brief case study, turning to Lermontov's novel, *A Hero of our Time*.

1. The relevance of the differentiation between the semiotic and the semantic

Let us begin with a simple question. What sense might there be to make a distinction between semantic and semiotic dynamics in literary texts when any kind of meaning-generation is necessarily realised within a semiotic framework? Semiosis cannot work without the emergence of semantics; semantics cannot exist without being semiotically formulated. Then what is the real issue?

1.1. Historical perspective

Let us take the question from a historical point of view, going back first to the very well known statement from Benveniste (1981: 19–20).

Language combines two distinct modes of meaning, which we designate on the one hand as the *semiotic* mode, and on the other, the *semantic* mode. Semiotics designates the mode of signification proper to the linguistic *sign* that establishes it as a unit. [...] With the semantic, we enter into the specific mode of meaning which is generated by *discourse*. The problems raised here are a function of language as [a] producer of messages. [...] Semantic order becomes identified with the world of enunciation and with the universe of discourse.

The distinction is demonstrated by Benveniste (1981: 20) in his famous statement on “the difference in criteria of validity required by each. Semiotics (the sign) must be *recognized*, semantics (the discourse) must be *understood*” where understanding is always linked to the meaning of a new enunciation and not just to the discerning of the identity between the previous and the present, which would be recognition.

Language in this way is conceived with its meaning articulated in two dimensions. It is important to emphasize that in this sense the semiotic and the semantic both belong to the realm of meaning formulation, which is to say that these two dimensions are indeed interpreted within the framework of semantics. The capacity of language in its double articulation of meaning, the *semiotic* and the *semantic*, has significant consequences: “It is the prerogative of language to comprise simultaneously the meaning of signs and the meaning of enunciation. Therein originates its major strength, that of creating a second level of enunciation, where it becomes possible to retain meaningful remarks about meaning” (Benveniste 1981: 20) as constructed in other sign systems (this metalinguistic faculty is the origin of the interpretative relationship through which language embraces all other systems).

1.2. Meaning in terms of the linguistic sign and its discursive function

What are the characteristics of the meaning of the sign in the discursive operation as opposed to the linguistic sign?

Semantics linked to understanding (vs recognition) involves the faculty of the mind, lying in its capacity of discovering new enunciation (vs the discerning of the identity between the previous and the present). Semantic novelty/creation belonging to comprehension in this way is related to the problem of reception.¹ At the same time, semantic novelty emerging in the act of understanding must be interpreted from the point of view of meaning-generation within the framework of the part–whole relationship in the discursive operation: “the message is not reduced to a series of separately identifiable units; it is not the sum of many signs that produces meaning; on the contrary, it is meaning (*l'intenté*), globally conceived, that is actualized and divided into specific signs, the *words*” (Benveniste 1981: 20).

Interpreting further the aspect of novelty (semantic innovation) in new enunciations we remind Volosinov (Bakhtin) clarifying that

the constituent factor for the linguistic form, as for the sign, is not at all its self-identity as signal but its specific variability; and the constituent factor for understanding the linguistic form is not recognition of “the same thing,” but understanding in the proper sense of the word, i.e., orientation in the particular, given

¹ Cf. Volosinov (Bakhtin, cf. Volosinov 2000, *Bakhtin pod maskoj*) relating understanding to the act of giving response, in the context of the first formulation of the distinction between the signal (entailing recognition) and the sign (entailing understanding): “We shall see later that precisely this kind of understanding in the proper sense, an understanding of process, lies at the basis of response, i.e. at the basis of verbal interaction. No sharp dividing line can be drawn between understanding and response. Any act of understanding is a response, i.e., it translates what is being understood into a new context from which a response can be made (Volosinov 1973: 69). On Bakhtin’s role in the first formulation of Benveniste’s later developed ideas, see Ivanov 1975: 192, Ivanov 1999: 3. In detail, cf. Kroó 2016: esp. 160–176.

context and in the particular, given situation–orientation the dynamic process of becoming and not “orientation” in some inert static state (Volosinov 1973: 69).

Understanding in terms of the reception of meaning different from “the same thing”, i.e. meaning engendered in “the dynamic process of becoming”, is opposed to the “static”, in another translation (Ivanov 1975: 196), “immobile” state. The mode of “existence”, at the same time, is identified as *context* ensuring “orientation in formation” (Ivanov 1975: 196). The innovative semantic order within the enunciation is engendered in the universe of discourse, i.e. in the discourse context.

2. Discursivity as context and dynamics in the literary text

2.1. Discursive context

Putting the Volosinovian (Bakhtinian) and Benvenistian definitions to the issue of the opposition of two contexts, we have to underline their diverging features. With Benveniste (1981: 19) we can state that the conceptualisation of both types of context relies on their function of supplying, for the sign, special conditions to “assert its own meaning still more clearly in the midst of a constellation or among an ensemble of signs.” The semiotic (static) mode of recognisability of a sign in a given context is provided with those other signs of the same language, in relation to which that particular sign has distinctive features, i.e. which make it recognisable as an individual sign, having individual semiotic identity: “Taken in itself, the sign is pure identity itself, totally foreign to all other signs [...] It exists when it is recognized as [a] signifier by all members of a linguistic community [...], and when it calls forth for each individual roughly the same associations and oppositions. Such is the province and the criterion of semiotics” (Benveniste 1981: 19). The manifestation of the *semantic* mode of the sign is established by the dynamic discursive context, within which a particular sign is used and becomes a constructive element of an understandable enunciation/message.

2.2. Aspects of discursive dynamics

In literary texts, signs appear in their multiple discursive operation. In this case, meaning is the understanding of the system of discursive operations implying processual development in the “dynamic processes of becoming” (Volosinov 1973: 69), representing at the same time a syntagmatic construction of the “message” (a set of messages) – this can be called *syntagmatic semantic dynamics*. As compared to the sign’s self-identity outside the discourse context, discursive semantics cannot be interpreted in any way other than in terms of transformations – this can be defined as *transformational semantic dynamics* involving complex processes of resemantisation, developing into a semantic system. We should add that semantic development represents, at the same time, semiotic innovation revealing itself in the multiplication of sign relations within the discursive framework. The conditions for the permanent semantic and semiotic reformulations (resemantisations and resemiotisations) to create systematicity in the literary text are provided by paradigmatic relations under constant change – this can be called the *paradigmatic semantic dynamics* of the literary text. Paradigmatic relations ensure various shifts between text-levels, in this way segmenting the overall discourse. In these processes of creating smaller discursive contexts (or subdiscursive units with sub-contexts), the memory of the meaning of the signs outside the given sub-context is active. This kind of paradigmatic semantics works in a similar way to that which Saussure (1959: 123) called “associations” when considering the relationship between the element of the discourse and that beyond it. However, regarding the literary text, it is important to differentiate functionally two kinds of paradigmatic operations: associations with

non-discursive signs (meanings taken from the general language system interpreted as the static context by Volosinov [Bakhtin]) and Benveniste); and meaning paradigms arising from equivalences, i.e. the paradigmatic patterns outside or within a given syntagmatic chain within the discourse, also ensuring level shifts. In the literary text, the way discursive meaning differs from non-discursive meaning (taken from general language) also has significance, which in itself can become the source of a systematic meaning-formation through the creation of metaphor-chains, metaphoric sequences, etc. Paradigmatic semantic dynamics, in this way, is largely responsible for the formulation of an intersemiotic system, in which one element has its function in at least two systems. This is also true for the initial condition of literary meaning-generation, namely that the reader has associations coming from the realm of non-discursive (general linguistic) semantics and is able to interpret the literary meaning of a particular discursive (sub)context at the same time (cf. Ricœur's [1981: 293] point when he speaks of "cleft"/"split reference" in fiction in the light of "the suspension of the referential claim of ordinary language").

Intersemiotic dynamics, consequently, also emerges from the discursive meaning-formation process. The syntagmatic chains (the basic discursive operation, "semantic" mode of the signs) through paradigmatic dynamics (associations, equivalences) position the given signs in a new semiotic mode when removing them from the given discursive (sub)context through their links with text-external meaning or, and first of all, intratextual paradigm components. All kinds of paradigmatic formulations – the transpositions of signs into other discursive contexts – can be seen as resemiotisations. Regarding the "type of operation" (Benveniste 1981: 11), paradigmatic dynamics is based on the recognition of equivalences (similarities and differences) on the background of an affirmative or negative meaning concordance (sense simultaneity in a paradigm), which, however, can be interpreted only in the light of a transformational process of the evolution of the given paradigm. In the structure of parallelisms and equivalences, the semantic difference becomes sharpened, but for this, two semiotic systems are necessary. Here, too, the resemantisation process is inseparable from a resemiotisation, as the elements of a paradigm are usually linked to various discursive (sub)contexts or text-levels shaping semiotic micro-systems.

3. Resemantisation and resemiotisation

Arriving at the phenomenon of intersemiotic dynamics, it is important to evoke Roman Jakobson ([1958–1960] 1985: 71) on poetic function in his famous definition, which states: "The poetic function projects the principle of equivalence from the axis of selection into the axis of combination". This projection principle covers resemiotisation from a reverse point of view, saying that there is the regular transposition of the selection linked to the paradigmatic, based on equivalence (with the feature of non-linearity and non-temporality, cf. Wolf Schmid [2014: 14]), onto the syntagmatic axis of linear development, the axis of combination. When taking the emergence of poetic meaning from the perspective of resemiotisation, we arrive at an easier understanding of the similarity of Jakobson's two different definitions of poetic function. The second centers on the main characteristic feature of poetic language lying in its "set (Einstellung) toward the message, as such", which also means "focus[ing] on the message for its own sake" (Jakobson 1985: 69²). Here we have to recall Jerzy Faryno's reconceptualisation of Jakobson's definitions, where we again meet the interpretation of resemiotisation.

This idea emerges from Faryno's treatment of the problem of autoreferentiality. Starting from Jakobson's idea of the message pointing at itself, Faryno states that the message in fact should appear in a double function: "in the position of the message as such and in the position of its

2 See also the definition of poeticity in the sense of "poetic function of determinative significance". Jakobson [1933–34] 1985: 378.

own referent, i.e. the referent of itself”, where on both levels – those of its referential meaning (as Faryno says: the designated “world”) and the language means (its sign system) –, it must undergo a significant transformation. This defines a new sign–object relationship in the literary text. The object “as a sign of itself [...] being in the position of the sign, must lose its objectiveness, while its name (the word which introduces this object into the text) must lose its referential meaning and take up an ancillary position (i.e. remain in the innerlanguage meaning only)” (Faryno 1989: 293). However, we can also say that the object with its name in its first position, through its referentiality “constitutes some sort of world within the text, a world that could be localised outside the given text, in non-linguistic reality. The second position not only keeps this world within the frame of the text, but also shifts it [in]to the rank of [...] language, transforms it into the text about itself.” (Faryno 1989: 296). *Permanent semiotic dynamics, a systematic change of the sign–object relationship* consists of the reconstruction of signs at both levels, within the system of the signifier (language) and the signified (reference). In this process the extratextual object becomes an intratextual sign (language) which assumes a new reference through the mediation of the *semantic* operation of self-referentiality (this implies *semiotic* shifts when the sign turns into a referent), and also through internal linguistic referentialisation in those equivalencing processes which were at the focus of Jakobson’s attention (this chain of ideas in more detail cf. Kroó 2017: 128–129).

Semantic development in the literary text evolves through permanent resemiotisations when the status of the extratextual object (world, referent) changes into intratextual signs, which in further acts of repetition become sign objects of later signs in the process of the evolution of self-referentiality. This harmonises well also with Doležel’s interpretation of Frege’s *Bedeutung* and *Sinn*. Poetic discourse has no referents but its meaning is constituted as *Sinn* (Doležel 1982: 287). Doležel gives a significant corollary to Frege’s theory on “the postulation of two distinct domains of general semantics: a) a semantics of referential language where the concepts of truth-conditions and reference relations will be essential; b) a semantics of sense language (a semantics of ‘representations’) concerned with the regularities and patterns of sense organisation. Literary semantics can be seen as sense-language semantics and its prime task is the examination of the patterns of sense organisation, which are the carriers of ‘images’ and ‘feelings’” (Doležel 1982: 287). Even Mukařovský emphasizes – and Doležel puts this into his interpretation – that “the very distinction of ‘real’ and ‘fictional’ events in literature is relevant only insofar as it becomes ‘an important component of the structure of the poetic work’” (Doležel 1982: 289; Doležel’s interpretation as above and in more detail, cf. Kroó 2017: 127–128).

4. Resemiotisation and intersemiosis

When asking what guarantees the so-called “structure” of the poetic word ensuring “the regularities and patterns of sense organisation” (i.e. semantic development), we can state that it is the structure of semiotisation and resemiotisation, from where Benveniste began thinking. Where he really began was the thematically unlabelled phenomenon of resemiotising the sign in the discursive syntagmatic context. Taking the literary sign in discourse, we enter into a double system, conceiving cleft reference at the point of intersection of the text-external paradigmatic (in Saussure: association) and the syntagmatic levels. These are two separate semiotic contexts. The same double system of semiotisation holds true for Jakobson’s projection principle when reading together the two parts of his definition for poetic language. Faryno’s interpretation of the double system of creating message alongside the evolution of self-referentiality, represented by a new type of semiotisation (with the constant development of the object–sign relationship), again speaks of the dynamic dialogue of two semiotic systems. Wolf Schmid (2010: 2013) in his

narratology also offers the model of two entwining systems of semiotic operations in the parallel movements of diegesis and exegesis. All of the instances when two systems work in parallel, speak about a semiotic duplication accompanying meaning development – let them belong to the link between the signs of the abstract system and the signs in discursive operations; or the principle of the paradigmatic vs the syntagmatic; or message with “external” referent vs message with self-reference; or let us indicate the type of semiotic operation as simultaneity (Benveniste), parallelism / equivalence (Jakobson, Wolf Schmid) or dialogue (Bakhtin); and let us even call the type of semantic operation, which ensures the linking of the two systems, associations (Saussure), projections or interactions. This terminological diversity in indicating the duplication, and then in a set of links, the multiplication of the systems, nevertheless conspicuously outlines the point, the solid fact, of the intersemiosis in the literary text. It is characterised by semantic evolution mediated through constant resemiotisations. All these forms of resemiotisation are responsible for the semiotic dynamics of the literary text. And, of course, we must not forget what Jurij Lotman puts at center stage when speaking about constructional contexts he interprets also text-layers as interacting semiotic systems – cf. the Lotmanian metaphor of the game and also the idea of the “bonds-relations *between system-types*” as “established between the various levels of the text. A text is divided into subtexts (the phonological level, the grammatical level, and so on) each of which can be viewed as an independently organized text [...]” (Lotman 1977: 53).

From the semantic point of view the most valuable (i.e. functional) intersemiotic components prove to be those which acquire their meanings *at the intersection of the greatest variety of systems*, thus ensuring for the textual system as a whole a higher degree of poetic semantic creation: “Any ‘individual’ fact [...] in an artistic text [...] arises as the intersection of at least two systems and takes on special meaning within the context of each one. The greater the number of regular features intersecting at a structural point, the greater the number of meanings this element will acquire, the more individual and extrasystemic it will seem” (Lotman 1977: 72). This feature of the identity of the text is closely related to the system of semantic hierarchy it represents.

5. Lermontov: *A Hero of our Time*

In the final part of this paper I would like to illustrate very briefly a sequence of resemiotisations within the text of Lermontov’s novel *A Hero of our Time*. The focus of this very short illustrative close reading lies on the semiotic dynamics of the semantic development in the field of self-referentiality. This phenomenon is intimately linked to that which Wolf Schmid (2010: 211) characterises as a discourse story: the “totality of explicit evaluations, comments, generalizations, reflections and auto-thematizations on the part of the narrator”, as opposed to diegesis (storyworld). This discourse story, the exegesis, offers “the story of the narrative act, in the process of which the presentation of the narrative is produced” (Schmid 2010: 211). I would suggest that we treat the discourse story as a constantly developing metatext conveying information, partly explicit, partly implicit, on the emergence of the novel itself. In other words, this is the self-reflexive syntagmatic sequence of the novel, identifiable as a separate semiotic system, as Lotman (1977: 53) uses the term, a separate “subtext”, which leads the reader to grasp the semantics of the birth of the novel and to evaluate its characteristic features. To gain an insight into this, as an illustration, it is not necessary to remember the whole Lermontovian text, just the following peculiarities.

The novel tells the protagonist’s life-story taken out of chronological sequence, in five parts, i.e. chapters, seemingly independent short stories, though linked. They present various phases of Pechorin’s, the protagonist’s life, and embody various points of view and narrations. In this way the beginning and the end of the novel do not coincide with the beginning and the end of the

life-story; the reader does not even know where Pechorin's life really begins and does not see his death in Persia. All of the stories told in the five chapters with the intrinsic system of equivalences semantising human death and the journey to it, and also the interruptions of certain life-periods with the ensuing end of the relevant text parts narrating about them and then interrupted by a following text, consequently, project the problematics of the beginning and end of life to that of the text. From the first lines of the novel, we enter a double system with the mastertrope variants of the motifs of the *beginning* and *end*. These motif equivalences concern biography as the life of the hero and biography as the novelistic text about his life; and also treat the opportunities of free will or intention as human choice, or carry the meaning of the denial of personal control, and offer instead events ruled and played out by *fatum/fate*. In this semantic light, conspicuous parallels emerge, linking semantically *life* and *text*, *story* and *metastory*. Moreover, in the same way as life periods are always interrupted, turning chronology upside down, narration itself is broken, from time to time, by the thematisation of the discourse story. The thematic formulation is transparent because a two-chapter unit is inserted in the novel within the framework of Pechorin's journal, i.e. personal narration appears; it is completed and characterised by segments of the discourse story, in the sense meant by Wolf Schmid, through the thematisation of the act of writing and reading. This journal of the protagonist also has a foreword written afterwards, in the same way as the foreword is attached to the entire novel retrospectively. The equivalences generate a complete system of resemiotisation. The story represented by the plot (storyword), with its motif paradigms, is projected onto the thematisation of plot narration, i.e. the discourse story of narrating on Pechorin's fate. However, this mutual projection, one onto the other, of the text of the plot and the metatext of plot narration is complicated by the diversity of the narration in the novel, including the protagonist's Ich-Erzählung diary narration. In this way, the overall third-person narration and the protagonist's creation are also involved in a certain parallel, and finally the two forwards call for being read side by side. What happens in the field of semantic and semiotic operations is as follows:

- I.
Plot
Semantic paradigm (1):
death / beginning–end / interruption : free will vs fatum / predestination
- II.
Metatext of 3rd-person plot narration
Semantic paradigm (2) in equivalence with (1)
- III.
Metatext of Ich-Erzählung in equivalence with I. and II.
Semantic paradigm (3) in equivalence with (1) and (2)

Here we have to take into account three factors:

1. Equivalences as parallelisms offer simultaneity in semantic projection.
2. However, the semantic paradigms put in equivalence are developing gradually, i.e. syntagmatically, according to the Jakobsonian principle of projecting the equivalence from the axis of internal motif selection to that of combination.
3. As a result of the syntagmatic evolution, i.e. the discursive “continuity” of the semantic patterns establishing parallelism, whole dynamic semiotic subsystems are projected onto one another, i.e. semantisation at one level is resemiotised at another. All this is conceived as a semiotic-semantic hierarchy within which the reader moves from the plot to the narrative metatext and from there to the metatext of the narrative metatext itself, up to the point when it

becomes clear that we have to see both – plot narration in the third person and personal narration in Pechorin's diary – only as sequential phases of the discourse story. This then points to the syntagmatic evolution of the entire discourse of the whole novel, including all of the elements of the plot, and the metatexts of both kinds of narration. Concerning the question of dynamics, it is crucial and evident that semantisation (paradigm/pattern construction) is conceived in the literary text within the framework of various forms of semiotisation, but also the relationship between the syntagmatic and the paradigmatic is worth analysing. When entire semantic paradigms, which have developed into complex systems, are conceived in parallel as equivalent semiotic systems, then the syntagmatic principle functionalising the semantic paradigms in discursive contexts is projected back to the paradigmatic axis. For this reason, we can see text layers as syntagmatically developing semantic paradigms representing independent semiotic systems. Further, in their intersemiotic relationship, they create a semiotic hierarchy in the literary text.

6. Conclusion

That which has been presented from a theoretical perspective and from empirical analysis, throws light upon the inevitability of the differentiation between the *semiotic* and the *semantic* conceptualised in a broader sense than defined in Volosinov's (Bakhtin's) and Benveniste's theories. From the point of view of the methodology of literary semiotic analysis, this kind of differentiation serves for functionalising the syntagmatic and paradigmatic semantic developments, interpreting them from the perspective of the evolution of complex semantic processes in the interaction of various interrelated semiotic subsystems in the literary text. Overall, it is impossible to construct literary theory on intersemiosis without conceptualising the difference between the semiotic and semantic dominant aspects within the dynamics of the multiple processes of resemantisation and resemiotisation, which take place in a literary text, resulting in a complex intersemiotic system.

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SIGNS OF THE OTHER. READING EMMANUEL LEVINAS¹

Augusto Ponzio

University of Bari "Aldo Moro", Italy
augustoponzio@libero.it

Abstract

Today more than ever before we must answer to the other not only for the self, but also for the very other. The problem of otherness and identity are pivotal categories in Western Reason and central issues in all of Emmanuel Levinas's works. On rereading writings by Levinas starting from *Totalité et infini* (1961), this paper focusses on an issue central to life and culture in today's world: the self's need for justification in front of the other.

1. Critique of the reason of identity

The problem of otherness and the critique of identity are central to Western Reason, as well as in the writings by Emmanuel Levinas (1905-1995). As a development on my monographs, *Subjectivité et alterité dans la philosophie de Emmanuel Lévinas* (1996) and *Emmanuel Levinas, Globalisation, and Preventive Peace* (2009), this paper investigates the problem of self justification in the face of the other. The possibility of justification subtends the constitution of identity in terms of the individual, class, nation, and community. All Western culture is a justification of identity, of the self in the face of the other. The reason of identity is the reason of self and not of the other. But at a certain point the self must answer to the other not only for the self's sake, but also for the other's.

Totality and Infinity (1961) offers an excellent perspective on Levinas's research, its sense and purpose, as much as on his method of investigation and writing style. As observed by Jacques Derrida (1967, Eng. trans. 1978: 312), Levinas's discourse forbids prosaic disembodiment into conceptual frameworks, being the first violence of all commentary, and as such deserves a study in itself. Derrida's comments on *Totality and Infinity* may well be extended to all Levinas's works:

¹ English translation from Italian by Susan Petrilli.

Further *Totality and Infinity* the thematic development is neither purely descriptive nor purely deductive. It proceeds with the infinite insistence of waves on a beach: return and repetition, always, of the same wave against the same shore, in which, however, as each return recapitulates itself, it also infinitely renews and enriches itself (Derrida 1967, Eng. trans. 1978: 312).

The predictive nature of Levinas's book considered in relation to today's reality derives from his profound understanding of the essential features of western reason and the logic of identity subtending it, which global communication today evidences ever more.

Levinas opens his Preface to *Totality and Infinity* ([1961] 1991: 21-30) with reflections on what he considers as the face of the real, namely the question of war:

The state of war rescinds ad interim, the moral imperatives, even better, renders them derisory. On the contrary, war extols politics, the art of foreseeing and winning it by every means, as the very exercise of reason. The trial by force is the test of the real (1961, Eng. trans. 1991: 21).

The face of being that shows in war is the face of Western reason. War evidences the connection between politics and ontology and together the subordination of individuals and identities to totality, that is, to an ontological order from which there is no escape. The concept of totality dominates Western philosophy and is confirmed by war which reduces individuals to bearing forces that command them unbeknown to themselves. Their sense is derived only from totality; their uniqueness is sacrificed to objective sense, which exists only in this totality.

But war also reveals the connection between ontology and history. The totality of being is revealed in objective history, for only the future may show objective sense. In such an order there is no sense beyond the totality and beyond history. Individual and collective identities depend on the judgement of history. In the logic of war, the realistic logic of being, ontology, politics and history, peace is only the peace of war, the end of war, a truce in preparation for war.

2. The I-other relation, a movement without return

The Preface to *Totality and Infinity* starts with the question of whether rational knowledge is aware of the possibility of permanent war. Given the irrefutable evidence of the totality and the opposition of peace to war, "evidence of war has been maintained in an essentially hypocritical civilisation, that is, attached both to the True and to the Good, henceforth antagonistic" (Levinas 1961, Eng. trans. 1991: 24). The only pathway to morality that is not naïve or hypocritical and to peace that is not based on war is to refer to a situation that can no longer be stated in terms of the "totality":

[...] We can proceed from the experience of totality back to a situation where totality breaks up, a situation that conditions the totality itself. Such a situation is the gleam of exteriority or of transcendence in the face of the Other [*visage d'autrui*]. The rigorously developed concept of this transcendence is expressed by the term infinity (Levinas 1961, Eng. trans. 1991: 24-25).

Totality and Infinity presents itself as a defence of subjectivity, but not in terms of a purely egoistic protestation against totality, nor of anguish in the face of death, of isolated "being-for-death" (Heidegger 1962). Instead, the defence of subjectivity is founded in the relation to the other.

The relation of the individual, of the "same" (*Même*) to the other (*Autrui*) reveals the possibility of breaching the totality, in Levinas's words, the "possibility of infinity" in a relation where the absolute other transcends the totality. The absolute other is "*autrui*" (Levinas 1961, Eng. trans.:

39). “*Autruï*” in French is a personal pronoun for the other, the other person, the other man. The other always overflows with respect to the totality, reason, identity, consciousness, thought. A real and proper “*infinition*” is produced in this overflow of objectifying thought. The other is that which the totality of being and of thought can neither embrace nor encompass. Infinity, that is, the breach of the totality, identity, of the order of discourse, which is produced in the relationship of the same with the other, “delivers subjectivity from the judgement of history to declare it ready for judgement at every moment and [...] called to participate in this judgement, impossible without it” (Levinas 1961, Eng. trans. 1991: 25).

The relation with infinity, which is experience of irreducibility of the other to the same, to the totality — therefore, experience in the fullest sense of the word, if experience means precisely a relation with the absolutely other — is also the breach of the harsh law of war (Levinas 1961, Eng. trans. 1991: 25-26).

The relationship with the absolutely other, that is, with what is irreducible to the Same, to Reason, to Identity, — the relation of the same to the other, in which is produced the experience of infinity — is not only beyond the totality, but is also the very basis of the totality.

Subjectivity contains the experience of infinity. It results essentially as welcoming the other, as hospitality. Identity is fundamentally a relation of otherness. All knowing presupposes the experience of infinity, which is experience of *non-adequation* in the fullest sense of the word. The relation with the relative *other* is based on the relation with an *absolute other*.

Identity contains more than it is possible to contain, because it is founded on otherness: there is in the finite the idea of the infinite, as Descartes calls it. According to Levinas who refers to Descartes, “infinite” means both *non-finite*, beyond the finite, and *in-finite*, inside the finite.

According to Levinas the relation of otherness is neither reducible to *being-with*, Heidegger’s *Mitsein*, nor to Sartre’s *being-for*. Otherness is located inside the subject, identity, the I, which is itself a dialogue, a relation between the same and the other.

The other cannot be separated from the I, the same, the *Même*. As *étranger*, as the absolute other, the other cannot be included within the totality, the same. The other is necessary to the constitution of the I and its world, to the constitution of identity, but at the same time it is transcendent. Otherness is not outside the sphere of the I, however it is not assimilated by the I. quite on the contrary, it gives rise to a constitutive impediment to the integrity and closure of the I as identity, as totality, as the same. The relation with the other is intended as a relation of excess, surplus, as the overcoming of objectifying thought, as release from the relation between subject and object. The same other relation transcends the realm of knowledge, the concept, abstract thought; but knowledge and concept are possible thanks to the same other relation. Instead, the I/other relation, as proposed by Levinas, has an ethical foundation. The “ethical” relationship between terms is neither a synthesis of the understanding, nor a relationship between subject and object (“Langage et proximité”, in Levinas 1967, Eng. trans. In Levinas 1987: 109-125, specific reference here is to page 116, note), but a relation of exposition to the other, a relation of non-indifference to the other.

A movement toward the other without return to the self, to identity, connotes the *specifically human* present in any human enterprise, in “all human work [*œuvre*], commercial and diplomatic” (Levinas 1948, Eng. trans. 1987: 2) what ever this may be. As Levinas says, beyond perfect adaptation to its own goal, human enterprise “bears witness to an accord with some destiny extrinsic to the course of things, which situates it outside the world, like the forever bygone past of ruins, like the elusive strangeness of the exotic” (Levinas 1948, Eng. trans. 1987: 2).

In “La Signification et le sens”, a chapter in *L’humanisme de l’autre homme* (Levinas 1972, Eng. trans. in Levinas 1987: 75-107), the expression *œuvre* designates a movement toward the other which excludes the possibility of return to self. As designating the specifically human, the concept of *œuvre* indicates a type of humanism that inverts the traditional itinerary of dominant philosophy, that of Ulysses who ventures into the world only to return to his native island.

Identity and *étrangeté*, otherness: these are the two faces of the real which realism does not take into consideration. In “La réalité et son ombre” (1948, Eng. trans. in Levinas 1987: 1-13), Levinas says:

Being is not only itself, it escapes itself. Here is a person who is what he is; but he does not make us forget, does not absorb, cover over entirely the objects he holds and the way he holds them, his gestures, limbs, gaze, thought, skin, which escape from under the identity of his substance, which like a torn sack is unable to contain them. Thus a person bears on his face, alongside of its being with which he coincides, its own caricature, its picturesqueness. The picturesque is always to some extent a caricature. Here is a familiar everyday thing, perfectly adapted to the hand which is accustomed to it, but its qualities, color, form, and position at the same time remain as it were behind its being, like the “old garments” of a soul which had withdrawn from that thing, like a “still life” (1948, Eng. trans. 1987: 6).

3. Origin of human signification and a “bad consciousness”

Taking his distance from the traditional concept of dialogue as exchange of rejoinders among predefined subjects, Levinas thematizes dialogism as a fundamental condition of human consciousness, a sort of a priori. This is what Mikhail Bakhtin (1895-1975) calls *substantial dialogue* distinct from *formal dialogue*, substantial dialogue is the structure of the I (see Bachtin e il suo circolo 2014: 24, 1087, 1355-1387, 1417, 1699).

Language as contact, proximity, being one-for-the-other, witness, involvement, intercorporeity, exposition to the other, intersubjectivity, complicity antecedent to accord and to disaccord is already dialogue. The dialogic relation is connected with responsibility:

Responsibility for another is not an accident that happens to a subject, but precedes essence in it, has not awaited freedom, in which a commitment to another would have been made. [...] The word I means here I am, answering for everything and for everyone. [...] Responsibility for the others has not been a return to oneself, but an exasperated contracting, which the limits of identity cannot retain. [Responsibility for another] is a responsibility of the ego for what the ego has not wished, that is, for others (Levinas 1974, Eng. trans. 2000: 114; see also Levinas 1993, Eng. trans. 2000: 183).

Responsibility is involvement, exposition, proximity of one-for-the-other. Unlimited responsibility testifies to our obligation to the otherness relationship, to dialogism. The I in itself is already dialogue, an I/other relationship. Otherness is present at the very heart of identity, structural to identity, a basic condition for the realisation of identity.

To speak not only means to speak with the words of others, but to keep account of the other in a relation of inevitable involvement and implication, such that to speak is always to answer, also in the sense of to answer for, in the first place, to answer for oneself, to justify oneself. The I speaks and in so doing answers to the other. As Levinas says in “Nonintentional Consciousness” (“La conscience non intentionnelle”, in Levinas 1991, Eng. trans. 1998: 122-132), the first case in which I is declined is not the nominative but the *accusative* (Levinas 1991, Eng. trans. 1998: 129). The other interrogates the I. The question of being is inseparable from the question of the I which must first answer for itself, for the place it occupies in the world, and for the relation to others.

This means that *first philosophy* is *ethics*. The main question is not *why being instead of not being*, as in Heidegger; but rather *why my being here in this place, in this situation, while another is excluded?* The origin of human signification is not “intentional consciousness” as in Edmund Husserl; but *consciousness that is not intentional*, as Levinas says — that is to say consciousness understood in an ethical sense and not in a cognitive sense. More exactly, it is “bad consciousness”, a “dirty conscience”, which attempts to justify itself, appease itself, reconciling itself in an illusory “good consciousness”, a “clean conscience”.

The real problem for Westerners is not so much the rejection of violence as the struggle against violence through violence (Levinas 1974, Eng. trans. 2000: 177). “Preventive war” is not a struggle against the institution of violence but is itself violence. On the contrary, what is required is *preventive peace*. War against war, war against terrorism, perpetuates violence. Elaborating on Levinas’s reflections “just” and “necessary” wars, “humanitarian” and “preventive” wars are waged with a clean conscience, a hypocritical conscience, opening the way to “infinite war” (see Ponzio 2009).

The way to preventive peace is bad consciousness, a dirty conscience, patience that does not ask patience from others and is based on a difference between oneself and others, on an *inequality* opposed to oppression. Preventive peace is in *non-indifference*, non-indifference to the other, non-indifference as responsibility for the other, “the very difference between me and the other” (Levinas 1974, Eng. trans. 2000: 178). I am answerable to the other, responsible for all others, for the guilt of another. The condition of hostage is an authentic figure of responsibility for the other.

Peace otherwise than the peace of war is otherwise than being, peace beyond essence. There is no peace without the beyond of being at home, “the being at home with oneself, of which European history itself has been the conquest and jealous defence” (Levinas 1974, Eng. trans. 2000: 178).

Non-indifference toward the other, responsibility without alibis in the face of the other, is openness toward the other than being. This openness is not the initiative of an intentional subject, an effect of one’s will: openness is outside subject, outside theme, unabsorbed in the “object”, without seeing, knowing, understanding, grasping, operating and possessing. Openness is “disinterestedness” (*disinterestedness*), outside the *essence* (*essence*) — the process or event of being — outside *conatus essendi* (Levinas 1974, Eng. trans. 2000: 178).

Openness signifies the outside without cover, without shelter, non-protection, homelessness, non-world, non-inhabitation, without security (see Ponzio 2013: 11-13). But the significations of openness are not only privative: openness signifies the other side of identity, of inwardness, the demythization of the I, the situation before its closure in the abstract notions of freedom and non freedom, where one is not nailed to the I. There is in openness “a complex of significations deeper and broader than freedom”, where “inwardness frees itself from itself, and is exposed to all the winds” (Levinas 1974, Eng. trans. 2000: 180). There is exposure without deliberation, which would already be closure in identity, in its illusory barricades.

Non-indifference is a passivity which penetrates identity even in the retreats of its inwardness and obsesses it before all thematization, before gaining a foothold in being. The restlessness of passivity — a passivity more passive than the passivity of matter — in the exposure to the other, is responsibility for that other, restlessness in exposure to another exposure, a face, the face of the other, the openness of its nudity.

Exposure to the other is the asymmetric face-to-face relation (Levinas 1974, Eng. trans. 2000: 189-193), exposition of one’s own nudity, out of role, without a position, function, power, defence. Otherness in the face-to-face exposition is not the relative otherness of roles, positions, functions, power, but absolute otherness. Exposure of the other to another in the face-to-face relation occurs before identity, subjectivity, freedom, language, being, as their condition.

Preventive peace, liberation from the world of war, this opening, this *beyond*, is in proximity to the other. Proximity is responsibility for the other. Proximity means my absolute non delegable responsibility for the other, responsibility for the other without alibis.

Non-indifference to the other — and ever more in the globalized world to my neighbour — is opening of self without a world, without a place, not walled in being, not nailed to being, “*u-topia*” (Levinas 1974, Eng. trans. 2000: 182). U-topia is beyond being, otherwise than being, disinterestedness (*dis-inter-essement*), the excluded middle besides being and not being. Exposed to the proximity of the other, the I of each individual is virtually a chosen one, called to leave the identity of the ego and its extensions into the unity of community, people, agglomerations of peoples, to respond with responsibility: *me, here I am*, that is, *here I am for others*. Responsibility for the other cannot begin in one’s commitment, in one’s decision. The unlimited responsibility in which I find myself comes from the non-present par excellence, the non-original, the anarchical, prior to or beyond essence.

4. The third, the comparison between incomparables, and the problem of justice

Responsibility for the other is the original relation with the other. It is unlimited responsibility. This responsibility, according to Levinas, is the “secret of sociality” (“Diachrony and representation”, in Levinas 1991, Eng. trans. 1998: 169). From the start, encounter with the other is responsibility for him, for one’s “neighbour”, which is the name for the man, whomever he is, for whom one is responsible. Love, as non-indifference, charity, is original, and it is original peace (see “Philosophy, Justice, and Love”, in Levinas 1991, Eng. trans. 1998: 103-121).

Peace is not identified with the end of struggles that cease for lack of combatants, by the defeat of some and the victory of others, with cemeteries or future universal empires. Peace must be my peace, in a relation that starts from an I and goes to the other, in desire and goodness, where the I both maintains itself and exists without egoism (Levinas 1961, Eng. trans. 1991: 306).

Original peace is what Levinas calls an “asymmetry of intersubjectivity”, an exceptional, extraordinary situation of the I. Levinas recalls Dostoevsky on this subject. In *Brothers Karamazov* one of the characters says: “we are all guilty for everything and everybody, and me more than anybody else”.

Original peace is the absolute anteriority of the face of the other. The face of the other, encounter with the other, requires the I as the one responsible for the other. This responsibility is inalienable. It is responsibility of the I as a singularity, different from the responsibility of the individual belonging to a group, a class, an identity of some sort. Unlimited and inalienable responsibility for others is the very possibility of the uniqueness, singularity, of the one and only, beyond the particularity of the individual in some sort of identity group. In the relation to the face, to what is exposed, bare and destitute, responsibility is an election, an individuation without the group, a principle of individuation. As Levinas says: “on the famous problem: ‘Is man individuated by matter, or individuated by form?’ I support individuation by responsibility for the other” (“Philosophy, Justice, and Love”, in Levinas 1991, Eng. trans. 1998: 108). I am responsible for every man, my neighbour, and nobody can substitute me. In this sense I am chosen. I am responsible for the other, although the other is not responsible for me. As says Dostoevsky, I am responsible for the other more than anybody else. The relationship with the other is not symmetrical (Levinas 1976, Eng. trans. 1996: 17-39).

According to Levinas’s analysis, “at the outset I hardly care what the other is with respect to me, that is his own business; for me, he is above all the one I am responsible for” (Levinas 1976, Eng. trans. 1996: 105). The other, my neighbour, is the first comer. From the outset, encounter with the face of the other is my responsibility for him. The other, my neighbour, is also a foreigner. I am responsible for the other even when he commits a crime, even when

he bothers me, even when he persecutes me. But I do not live in a world in which there is but one single “first comer”; there is always another other, a third, who is also my other, my neighbour.

The third is also a neighbour and falls within the sphere of the I’s responsibility. Otherness, starting from this third, is a multiplicity. Proximity is a human multiplicity. The I must know which one of the two others comes first. The I, responsible for the other and for the third, is responsible for their interactions. The I is responsible for the other even when one commits crimes, even when others commit crimes. The I is responsible for the persecution of one’s neighbours. They have a right to defence. If self-defence is a problem for the I, this is because one threatens one’s neighbour. For the I the question of the other is a demand for justice. There is a need for justice (see Levinas, “Diachrony and Representation”, in Levinas 1991, Eng. trans. 1998: 166-167). There is the obligation to compare unique and incomparable others. This is the moment of knowledge. Justice emerges from responsibility for the other. Responsibility for the other precedes justice. Justice is born from non-indifference, love, charity. Justice calls for judgement and requires a comparison between what in principle is incomparable, unique. Comparison, equity, objectivity appear with justice. Justice requires perception of the individual as a member of some group identity.

The I, insofar as one is responsible for the other and the third, cannot remain indifferent to their interactions, and in charity for one, cannot withdraw its love from the other. The self, the I, cannot limit itself to the incomparable uniqueness of each one, expressed in the face of each. Behind unique singularities, one must perceive the individuals of an identity group, one must compare them, judge them, and condemn them. There is a subtle ambiguity of the individual and the unique, the personal and the absolute, the mask and the face. This is the hour of inevitable justice — demanded by charity itself.

The hour of justice, of comparison between incomparables classified into groups is the hour of institutions empowered to judge, of states within which institutions which are consolidated, of Universal Law which is always *dura lex*, and of citizens who are always equal before the law (Levinas, “The Other, Utopia, and Justice”, in Levinas 1991, Eng. trans. 1998: 229). Justice requires judges, institutions, laws and, consequently, the state. A world of citizens, identities, individuals, persons, masks calls for belonging to an identity group, to a community and not only for the face-to-face relationship, the unique-to-unique relationship. “If there were no order of justice, there would be no limit to my responsibility” (Levinas, “Philosophy, Justice, and Love”, in Levinas 1991, Eng. trans. 1998: 105). However, the state emerges from the limitation of non-indifference and charity and not, as in Hobbes’s vision, from the limitation of violence and fear of others (*homo homini lupus*).

According to Levinas, the problem of justice presents itself in terms of justice and defence of the other, my neighbour, and not in terms of the threat that concerns me (see Poirié 1987: 104-105, 115-119). Justice and the state are not based on fear of the other, the other that bothers and persecutes me, but rather on fear for the other, fear that my neighbours should be persecuted, because I am responsible for the other more than anybody else, even when that other commits crimes, or suffers crimes and persecutions.

On the basis of justice, the asymmetry of intersubjectivity tends to become symmetry, equality, exchange, equal rights. Consequently, to treat all mankind justly also means to retreat from justice. Certainly my unlimited responsibility, my responsibility for all, can and must also manifest itself by limiting itself. The I is also a third in the relation of the other to another and calls for justice. In the name of unlimited responsibility, the I is called to look after oneself, to care for oneself. But unlimited and asymmetric responsibility which justifies this concern for justice, for oneself can be forgotten. In this forgetting, says Levinas, consciousness is pure egoism (see Levinas 1974, Eng. trans. 2000: 128). Egoistic interests “take

dramatic form in egoisms struggling with one another, each against all, in the multiplicity of allergic egoisms which are at war with one another and are thus together” (Levinas 1974, Eng. trans. 2000: 4).

War is the “deed or the drama” of egoistic interest. Nobody has patience, is patient with the other, there is no time for the other. Nobody can wait for one’s hour. The extreme synchronism, without time for the other, without patience, without otherness is War. In the “inevitable” determination of war there is “extreme contemporaneousness or immanence” (Levinas 1974, Eng. trans. 2000: 4).

To the extent that the face of the other relates the I to the third party, the irreducible relation of the face-to-face relation assumes the form of the We and moves into a state, into institutions, laws which are the source of universality. But politics left to itself deforms the I and the other, because it judges the latter according to universal rules. Politics bears a tyranny (see Levinas 1961, Eng. trans. 1991: 300). Justice founded on non-indifference, charity and love for the other becomes indifference and cruelty. Only the responsibility of I as uniqueness, singularity, the face-to-face relation constitute the reference to which justice, politics and the work of the state must be reconducted, where they find their originary sense.

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MUSICAL ARTS

**FROM THE SESSION
“TO LISTEN, TO PLAY,
TO DANCE”**

MODERNITY AND ANCIEN RÉGIME IN THE TOPICAL WORLD OF BEETHOVEN'S MUSIC

Joan Grimalt

Escola superior de música de Catalunya, Barcelona
jokpl123@gmail.com

Abstract

Ludwig van Beethoven's life and work are located at a historical crossroads of European history. The Congress of Vienna (1814-1815) signals this resistance to leave Ancien Régime structures in favour of an egalitarian, liberal new society about which many artists like Beethoven have been dreaming ever since. The same ambivalence can be traced in Beethoven's dependence on aristocratic sponsorship, on the one hand, and his liberal views on politics and aesthetics, on the other.

This paper analyses the musical traces of modernity and pre-modernity in Beethoven's works. His use of musical topoi reflects a self-conscious strategy with a socio-political bias. Oftentimes, a pre-modern topos transforms itself into a modern one along one movement or throughout the whole work. The best examples of this procedure are the transformation of minuets in minor into waltzes in major, or of marches in minor into contredanses in major, in what amounts to an emblematic narrative archetype.

Before him, Haydn and Mozart had shown this critical path with a wide use of irony and parody when referring to topoi symbolising the Ancien Régime: martial references, *stile antico*, *opera seria* or Versaillesque dances. As modern topoi can be counted those that were associated with comedy, irony and parody, egalitarian dances, and new forms of spirituality, such as the profane hymn.

Introduction

In Beethoven's music, topics symbolizing the Ancien Régime and topics with modern correlates oppose each other in an emblematic way, i.e. this opposition can be seen as characteristic of his style. Beethoven depended always on aristocratic friends and sponsors, but on the other hand, he stood ideologically close to progressive tendencies, from his youth on. A first thing this paper proposes: some ways to describe that biographical contradiction in musical terms.

I am using the terms Modernity and Ancien Régime as an operative opposition in the history of Western culture that refers to the abandoning of old feudal structures, ruled by a theocratic,

hierarchic mentality, in favour of an egalitarian society where the individual can display his or her potential in freedom.¹

Just as many artists of his time, Beethoven can be credited with an ambivalent relationship to aristocracy. He depended on them, and in many aspects felt like one of his aristocratic friends. Jan SWAFFORD calls this *Self-made nobility, like Napoleon*.² This would be a new aristocracy, based not on birth, but on spiritual reasons. On the other side of history, since his early years in Bonn Beethoven felt close to the *Illuminati* and to the Enlightened vanguard of intellectuals and artists who were convinced that a new better world, also in political and social matters, was worth fighting for.

This paper intends to show the narrative process by which, in Beethoven's work, references to pre-modernity are *transformed* into references to modernity. For a start, our main methodological tool, topic theory, is briefly referred to. Topic theory allows to present next a list of musical symbols for both Ancien Régime and Modernity. Then, some examples of that narrative process are proposed. The music seems to enact the transformation of the old world into the new one. The presentation closes with a brief discussion about the historical precedents

1. Topic theory. Musical symbols of modernity and ancient régime

Topic theory allows to pin down Beethoven's ambivalence regarding modernity into his musical output. Musical topics can be defined as references to other styles or genres, or simply to any "cultural units" imported from one original medium to another one, in a growing process of abstraction and stylization³. The use of topics tends to be idiosyncratic to every composer. Mozart, Haydn and Beethoven, for instance, share a parodic reference to the military, but this topic has a wider range in Mozart's work, whereas Haydn prefers to focus on parodying the *opera seria*. Just by using musical topics, W. Dean SUTCLIFFE argues, composers are already questioning hierarchies, usually with an ironic if not parodic view.⁴

In my analyses, I have come to find a series of musical symbols of both Modernity and Ancien Régime in Beethoven's music that I would like to share. This list is generically valid for the Classical Viennese style.

ANCIEN RÉGIME	ANCIEN RÉGIME
Opera <i>seria</i> , Tragedy	Opera <i>buffa</i> , Comedy.
Nature Imitation	Irony, Parody. Music about music
Restraint	Immoderate realism
Menuet, Sarabande	Waltz, Contredanse
Vocal + Theatre	Vocal + Chamber
Gregorian Chant, Hymn	Pantheism, alternative Spirituality. Erotic Love, Pastoral, exoticism
Polyphony, Counterpoint	Motivic Work, Autonomy.
Military. Collective Authority	Parody of the Military
Necessity, Destiny	Arbitrariness, Will. Artistic work as a shelter

Table 1. Musical symbols of Ancient Régime vs. Modernity

1 The philosophical debate about what the project of 'modernity' would mean today is very lively. One of the most critical voices within this open discussion is that of Rémi BRAGUE, e.g. in *Modérément moderne* (2014). I thank Prof. Antoni Bosch-Veciana for this indication.

2 SWAFFORD 2014: p. 724. A revealing anecdote shows Beethoven once trying to use his last name *van* Beethoven in court, as if it were *von* Beethoven, which in German would have amounted to nobility – to no avail.

3 Our definition of 'Musical Topic' is based on RATNER 1980: p. 9; GRABÓCZ 2009: pp. 22-23; MIRKA 2014: p. 2.

4 SUTCLIFFE 2014: p. 118.

The opposition between the aristocratic opera *seria* and comedy or opera *buffa* deserves the first place on this list. Comic opera, Charles Rosen stated already 50 years ago, is the last mask of Classical music, its basic tone⁵. Comedy relates to real people, not to gods, heroes or allegories. That makes it the favourite genre of Modernity. References to the opera *seria*, starting with Haydn's music, are mostly parodic.⁶

Second, 18th-century art tends to abandon the classic precept of imitating nature in favour of a critical, self-conscious view on the creative act. This distance opens the gates to irony and parody. The new instrumental style of the 18th century can be heard as music about music, in a self-reflective act of an autonomous individual. This becomes especially evident in the Development sections of sonata form and in the motivic-thematic work that is an emblem of the classical style.

Modernity tends to leave behind the classic restraint and measure, and abandon itself to immoderate expression. Late Beethoven often seems to disregard listeners and their expectations, e.g. in the *Hammerklavier* sonata, or with the *Missa solemnis*. The composer as individual, not his audience, is placed on the centre of attention. This lack of measure is also a model for Mahler's or Strauss's or Schönberg's immoderateness, regarding proportions, but also in their expressionism.

Regarding dance genres, the usual references to the Ancien Régime are the Versaillesque minuet and sarabande, in opposition to several kinds of waltzes and to the contredanse. Both latter dances were the first to be enjoyed in the new-built public dance saloons. They favoured an intermingling of the classes, especially the contredanse, where every man dances in turn with every woman in the row⁷. Beethoven's second symphony (1800-1802) e.g. presents a significant combination – a *trope*, in Robert Hatten's terminology – of minuet and comedy: in its 2d movement *Larghetto*.⁸ The parody is revealed only over the course of the movement, as the *buffo* references make themselves increasingly present. To grasp the narrative effect of the procedure, compare the initial main theme (Example 1a) with the Epilogue mm. 82ff. (1b)



Example 1a. Beethoven, Symphony n. 2 op. 36/II, begin

Another modern genre to be found in new instrumental music is the lyric chamber piece. In slow movements of sonatas there is often a reference to some non-theatrical singing that implies an intimate domestic space, that of the new bourgeoisie. Such moments are accompanied and marked by broken chords that remind of the lyre or the lute, which are associated, even etymologically, to the short distances of lyricism. An example of that is Beethoven's *Adagio* second movement in A-flat of the Sonata for piano and violin op. 30 n. 2 (Example 2).

5 ROSEN [1971] 1997: p. 43.

6 Interestingly, irony can be found already at the very centre of the opera *seria* production, at mid-18th century, in the subgenre of the so-called *metamelodrammi*, satirical representations of an opera *seria*. This culminates in *L'opera seria* (Vienna 1769) by Ranieri de' Calzabigi and Florian Leopold Gassmann. Mozart's *Der Schauspieldirektor* KV 486 (1786) can be seen as a late replica of this trend and as a rich source for an ironic use of *seria* topics. Cf. HIRSCHMANN 2017.

7 Cf. ZBIKOWSKI 2012.

8 For the term *trope*, cf. HATTEN 2004: pp. 15-16, HATTEN 1994: pp. 161-196.

Strings

Example 1b. Beethoven, Symphony n. 2 op. 36/II, mm. 82-86.

Adagio cantabile

Example 2. Beethoven, sonata for violin and piano op. 30 n. 2 II, begin. .

Chamber vocal music: this is a modern genre. From here to a ‘Profane Hymn’ there is only a short step. In fact, what we know today as ‘National Anthems’ is a derivation of the revolutionary songs from Haydn’s and Beethoven’s days: a combination of sacred with martial musical references, with a patriotic intention.⁹

Two different authorities are questioned throughout modern times: religion and the military. On religious matters, a growing critical awareness becomes the rule among artists and intellectuals of the 18th century. Haydn and Mozart were among the first to gather in freemason lodges. Beethoven’s pantheistic views are well known¹⁰. The enlightened search for an alternative spiritual life, one beyond or beside religion, can be traced both in their lives and in their music, including sacred genres. That brings our list back to the precedent item, i.e. to the spontaneous lyricism as opposed both to operatic grandiosity and to sacred chant.

In this modern context, Erotic Love has the priority over religion. Both the amorous genre and the pantheistic have a reflection in a frequent and passionate use of the Pastoral semantic field. Variants of the Pastoral are the ‘Folkloric’ and the ‘Exotic’ topic, in accordance to Herder’s ideas about folklore.¹¹ In Mozart’s masses, e.g., imitative counterpoint rubs shoulders with references to folksy tunes and rhythms.¹²

9 About the musical aspect of the French Revolution and its influence on Beethoven, cf. BUCH 1999. Jan SWAFFORD (2014: pp. 204f.) also documents the French violinist Rodolphe Kreutzer introducing to Beethoven many songs and marches by revolutionary composers such as F. J. Gossec, N. Méhul and Kreutzer himself.

10 Beethoven was very fond of the book *Betrachtungen über die Werke Gottes im Reiche der Natur und der Vorsehung auf alle Tage des Jahres* (Halle 1772–1776), by Christoph Christian Sturm, a lutheran pastor with enlightened, pantheistic views about nature. Cf. SWAFFORD 2014: pp. 508–511.

11 Raymond MONELLE (2006: pp. 238–251) calls the folkloric references at the turn of the 19th century the “New Pastorals”, as the historical successors of traditional pastoral topics such as the siciliana.

12 Cf. Walter SENN’s *Preface* to the 1st volume of the Masses, *Neue Mozart Ausgabe*, 1977.

Regarding textures, the *style antico* counterpoint has been replaced by its modern translation, the famous motivic work emblematic of Viennese classicism. In both cases, the procedure is highly demanding and executed with utmost consequence. Imitative counterpoint, however, shows the mark of Gregorian chant and polyphony. It is often parodied in Haydn's instrumental music, whereas in Mozart and Beethoven's late work it tends to adopt the gravity of its aesthetic authority, as if disengaged from the topic's sacred origin. On the other hand, motivic work can be regarded as the modern replica of the *style antico*: a symbol of individual autonomy in so far as the work holds by itself, by making reference only to its own material.

As for the military, Mozart shows the way to a multi-layered, sophisticated parody, as in the *Jupiter* symphony, where the juxtaposition of some *forte* drum-rolls on strings and winds with lyrical laments in *piano*, in two consecutive sets, reduces both incompatible elements to the parody of themselves, if only because of their immediate closeness.



Example 3. W.A. Mozart, Symphony K 551, I, begin.

This is related to the last point of this open, provisional list: the ancient ideas about Destiny and Necessity are progressively substituted by Arbitrariness and Individual Will, which are likewise represented musically at best with the motivic cross-linking that is one of the trademarks of the music by Haydn, Mozart, Beethoven or Brahms. Motivic-thematic work is a musical reflection of Kant's idea about autonomy: to follow your own rules.

This does not mean that the "ancient" topics are not present in modern music. They are, but in opposition to the contemporary topics. Their conflicting relationship confers to both groups of references quite different symbolic, affective values. Let us see some examples of this interaction.

2. Topical transformation, topical narrativity

In Beethoven's work, an interesting relationship can be observed between topics that represent the old world and those that symbolize modernity. It is not a static, but a *narrative* relationship, in the sense of a *transformation*. In the C minor Trio op. 1 n. 3, for example, the main theme starts as a 'Menuet' and mutates as a 'Ländler'. Cf. example 4a.

Adding to the 'Menuet' topic an allusion to opera *seria* can be heard a 'Menacing unison', one of the indexes of the *Ombra* topic¹³. This archaic initial motif questions itself immediately –with the rhetoric figure of the *Interrogatio* in *pianissimo*–, suggesting that another turn of things might be possible (Example 4a). And indeed, the recapitulation of this first theme brings a transformation of the initial, Ancien Régime topics into references to the contemporary soundscape, i.e. waltz and comedy. See Example 4b:

13 Elaine Sisman calls this the 'Stentorian Unison'. Cf. SISMÁN 2014: pp. 107f. For the 'Ombra' topic, cf. McCLELLAND 2012 and 2014.

Allegro con brio

Example 4a. Beethoven, Trio op. 1/3/I: begin.

Example 4b. Beethoven, Trio op. 1/3/I: mm. 224-229.

The minuet, symbolising the obsolete world of absolutist monarchy, is replaced by the rural Alpine waltz. Within this opposition, the latter represents ‘the people’, to put it in Herder’s terms. The symbolic value of this transformation is strongly enhanced by Beethoven using one and the same musical material for both references, aristocratic and popular. The mutation is underlined by a change from the minor to the major mode, which shows the affective aspect of the procedure. Moreover, the *tutti* texture has been replaced by an individual manifestation on the cello.

A similar transformation in narrative terms can be heard in Beethoven’s concerto in C minor op. 37 (1800). The sombre march that starts its first movement (Example 5a) is transfigured into a contredanse in the finale (Example 5b).

Allegro

Example 5a. Beethoven, Concerto op. 37 in C minor I: begin.



Example 5b. Beethoven, Concerto op. 37 in C minor III: begin.

Motivically, the finale motif could be seen as a retrograde inversion of the initial march theme. The affirmative triadic and tonic formula turns into a questioning, dissonant motif in the dominant: cf. Example 5c.



Example 5c. Beethoven, Concerto op. 37 in C minor: Urlinie of main motifs from I and III.

Again, in the finale's conclusion (*Presto*) the minor mode yields eventually to major, as to reveal the liberating, exhilarating side of the narrative's result. In this case, the old contredanse theme takes the cloak of the other modern genre we are considering here, the *Deutsch* rural waltz. Note the unequivocal comedian replies on woodwinds.

In fact, the final parodic contredanse has been announced already in the coda of the first movement (Example 5d), with its rhythmic genre marker, an eighth rest followed by three equal eighths:

Example 5d. Beethoven, Concerto op. 37 in C minor I: mm. 492-496.

Now the contredanse has a particular symbolic value within Beethoven's expressive palette. It is the reference he chose for the triumphal finale of his Third Symphony (1804), by re-using the theme from his own *Prometheus* music (1801). Therefore, he might associate with this egalitarian, modern dance the qualities of that mythological titan and benefactor of mankind.¹⁴

14 The *Eroica Variations* op. 35 (1802) are in between both works. Cf. SWAFFORD 2014: pp. 331-368.

Mozart's *Jupiter* symphony offers another example of that narrative pattern. In the first movement, the Ancien Régime version of the theme, *forte tutti*, leaves the stage to a mock version of the same theme, *piano*, on woodwind soloists (Example 6). Notice the 'Laughter' on m. 25ff., which is arguably the hermeneutic clue of the passage¹⁵. Of course, the theme itself had already some suspiciously incongruous elements in it, so as the imitation of drums on strings, or the immediate juxtaposition of the 'Martial' and the 'Lyrical' topics, with which they disavow each other. Compare Examples 3 and 6:

The image shows a musical score for Example 6, which is a woodwind solo from Mozart's Symphony K 551 I, measures 24-27. The score is written for four staves: Flute and Oboe (Fl. + Ob.), French Horns (F. Horns), Bassoon (Bsn.), and Violins (Vls.). The music is in common time (C) and marked piano (p). The Flute and Oboe parts feature a melodic line with a 'Laughter' motif (trills and grace notes) starting in measure 25. The French Horns and Bassoon parts provide harmonic support with sustained notes and chords. The Violin part features a rhythmic pattern of eighth notes with triplets, also marked piano.

Example 6. W.A. Mozart, Symphony K 551 I: mm. 24-27.

In the finale of the same symphony, we assist to the transformation of a *style antico* theme into a contredanse, without ever giving up the masterful contrapuntal work for which this movement is famous. In spite of its lyrical accompaniment, the presentation of the main theme suggests the learned style. It will eventually hold its promise in the final *fugato*, but right in m. 5 it is ironically disavowed with a reference to the contredanse: cf. Example 7.

The image shows a musical score for Example 7, which is the beginning of the finale of Mozart's Symphony K 551 IV. The score is written for piano (p) and is marked 'Molto allegro'. It consists of three staves: the right hand (treble clef) and left hand (bass clef). The right hand part features a complex, rhythmic melody with many sixteenth and thirty-second notes. The left hand part provides a steady, rhythmic accompaniment with eighth notes. The music is in common time (C) and marked piano (p).

Example 7. W.A. Mozart, Symphony K 551 IV: begin.

The political value of such transformations surely did not escape Mozart's contemporaries. Interestingly, it was a trick he had used already in his early youth, in the *Credo* of his *Missa brevis* K 192. And with nearly the same notes: see Example 8.

Notice the emblematic contredanse rhythm, right on the 2d half of m. 2 and onto the words 'in unum Deum'. The contrast with the previous motet texture and character must have been shocking for young Mozart's contemporaries. It reminds of his many explorations on the *Credo* section of the Mass, as if the dogmatic assertion of faith would be an issue to him from early youth on. It also explains why 19th-century sacred musical praxis, even in Austria, preferred not to recur to Mozart's masses. They felt not 'sacred' enough. Topical analysis reveals a fundament to that feel-

15 The 'Laughter' topic has been described in GRIMALT 2014.

ing: it is not only the references to profane genres, but above all the narrative relationship they establish with the sacred topics – as in Example 8, where classic polyphony becomes contredanse.

Beethoven's *Missa solemnis* (1819-1823) offers a similar example of a narrative transformation from sacred to profane. Its final *Agnus Dei* does not provide any definitive, reassuring answers to the previous anguished questioning cries. In a quite perplexing conclusion, the chorus keeps calling out for *Pa! – Cem!* in a furious, painful way. The music refuses any answering to those calls or any sort of triumphal closing and withdraws into *pianissimo*, after uttering some disquieting giggles: who is laughing there, about what? Jan SWAFFORD argues convincingly that Beethoven delivers the reply to such existential questions outside of the religious frame, in the concert hall, through his Ninth symphony.¹⁶ That would amount to a new secularising gesture, typical of modernity.

Vls.

f Cre - do, cre - do in u-num De-um.

f Cre - do, cre - do in u-num De-um.

f Cre - do, cre - do in u-num De-um.

f Cre - do, cre - do in u-num De-um.

B.C.

4 3 6 6 6 5 6 4 5 3

Example 8. W.A. Mozart, *Missa brevis* K 192, Credo: begin.

3. Historical background to the critical use of musical topics

The critical, narrative use of musical topics is of course not Beethoven's invention. Once more, Beethoven has observed accurately his contemporaries' –mostly Haydn's– style and resources,

¹⁶ SWAFFORD 2014: p. 825. Reinhold BRINKMANN (1997) sees in Brahms's 4th symphony the 'Taking Back' (*Zurücknahme*) of Beethoven's Ninth: the nihilistic denial of its modern hopes. On the other hand, Gustav Klimt's Beethoven's Fries for the building of the Secession would amount to a new affirmation of the Ninth's optimistic values. Cf. SWAFFORD 1997.

and adapted them to his own writing. In the first of the second set of Haydn's Londoner symphonies, e.g., Hob. 99 (1793), the third movement is still called a *Menuet* but could be properly called a *Scherzo*. The basic trope is a mocking combination of the martial topic and the *Deutsch waltz*. See Example 9: the comedian aspect of the trope is made explicit right at the start, with a typically *buffo* dialogue *piano/forte*. The second phrase adds to the game an ironic reference to the topic of imitative counterpoint, starting with a comic *sforzato* on the third part of m. 8.



Example 9. J. Haydn, Symphony Hob. 99 III, begin.

The political aspect in Beethoven's *Fidelio* is quite obvious, but there are less overt precedents in his immediate predecessors. In Mozart's *Don Giovanni* K 527, for example (1787), the character who lives the most clearly in the past, Donna Elvira, issues a presentation aria directly from opera *seria*. Her musical clothing is that of a Handel role. The parody of the previous generation's tragic opera symbolizing a past that needs to be overcome is maybe even clearer in Fiordiligi, the character in *Così fan tutte* K588 (1790) who sings in exaggeratedly pathetic style, just minutes before being seduced, and who resists change "Like a rock standing impervious / To winds and tempest". Musically, Fiordiligi's vocal acrobatics are an index of her inability to see the transformation coming upon her, or maybe they signal the fear of the imminent and inevitable character of that transformation. Whether consciously or not, Mozart sets here an ironical metaphor of the changes that the Ancien Régime aristocrats had coming, at the turn of the 19th century. Fiordiligi's warning "Do not let a barbarian hope / Make you so rash again" sounds like the futile words of some nobleman to all liberals, freemasons and revolutionaries of his time. In other words, both her resistance to change and her prompt surrender seem to portrait the relationship the upper classes had with modernity at Mozart's time.

Come scoglio immoto resta	Like a rock standing impervious
Contro i venti e la tempesta,	To winds and tempest,
Così ognor quest'alma è forte	So stands my heart ever strong
Nella fede e nell'amor.	In faith and love.
Con noi nacque quella face	Between us we have kindled
Che ci piace, e ci consola,	A flame which warms, and consoles us,
E potrà la morte sola	And death alone could
Far che cangi affetto il cor.	Change my heart's devotion.
Rispettate, anime ingrante,	Respect this example
Quest'esempio di costanza;	Of constancy, you ungrateful creatures,
E una barbara speranza	And do not let a barbarian hope
Non vi renda audaci ancor!	Make you so rash again! ¹⁷

Stylistically, both Haydn and Mozart are following Ch. W. Gluck's example, the works of which integrate two contrary strands of the 18th century. The so-called *Querelle des buffons* of the 1750s in Paris shows the partisans of the Italian opera *buffa*, following Jean-Jacques Rousseau

17 Fiordiligi's aria from the 2d scene in the first act of Mozart's *Così fan tutte* K588 (1790).

and the *Encyclopédistes*, defending comedy and its musical emblem, melody. The Enlightened saw in these –and in folk dances– a symbol of social, philosophical and political progress. At the other extreme, the supporters of the monarchy were following Jean-Philippe Rameau and his model of *tragédie lyrique*, where counterpoint and sophisticated harmony and instrumentation represented the reactionary exclusivity of the Ancien Régime.

In 1760s Paris, Gluck's synthesis of modern Italianate comedy with aristocratic French *tragédie* can be understood as the crystallizing of both sides efforts to approach each other. In the clash of the world of yesterday and that of today, some artists such as Haydn, Beethoven or Goya saw a rich dichotomy, full of expressive possibilities.¹⁸

The outbreak of instrumental music made it possible and safe to deal with political subjects in the context of post-revolutionary Restoration. Even if the new sonatas and symphonies were largely based on the imitation of theatrical situations, the absence of any text invited composers to allude to sensitive matters in a characteristically indirect way.

The Spanish painter Francisco de Goya, at about the same time as Beethoven, was transcending the goals of his Enlightened fellows and start a journey into his own inner world, including ghosts, witchcraft, and many other nightmare appearances. Just as Beethoven, maybe his deafness was instrumental to this need to manifest a reality that was beyond what the senses can perceive.¹⁹

The English poet William Wordsworth, in his Preface to the *Lyrical Ballads* (2d ed. 1802) he signed together with Samuel Coleridge, made explicit a similar program as the one Goya and Beethoven were following. Wordsworth vindicates socially marginal people as subjects of the new poetry, and addresses his work to the new social classes. The bourgeois readers were expected to understand a plain poetic language in spite of not having enjoyed the privilege of a higher education. Around the same time, the late Goya is thematising marginal social classes as well, and Beethoven has been integrating rustic or exotic material into his chamber and symphonic music in a process that starts with early 18th century's use of 'primitive' topics and culminates in what Schönberg would term Mahler's "vulgar" thematic material.

Wordsworth's ideals, just as Beethoven and Goya's, are of social and political nature, and he wants to submit his art to these purposes: *the time is approaching when the evil will be systematically opposed, by men of greater powers, and with far more distinguished success.*²⁰ Stylistically, his poetic texts present an ambiguity very close to Beethoven's style, between the need to make himself immediately present, without recurring to artificial ancient traditions, but on the other hand defending metric regularity as a way to temper the passions of both poet and reader, as well as all too crude or pathetic images.²¹

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18 One of the models in this is the work of Niccolò Piccinni, a champion of the Neapolitan opera who adapted himself to the Parisian taste, in the second half of the 18th century. Cf. ALLROGGEN 2002.

19 Cf. TODOROV 2011.

20 WORDSWORTH & COLERIDGE [1802] 2013: Foreword to the 2d edition of the *Lyrical Ballads*, p. 100.

21 Ibidem, p. 110.

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MUSIC AS MIRROR: A TRANSDISCIPLINARY THEORY OF PSYCHOANALYSIS, MUSICAL SEMIOTICS AND RHETORIC

Daniel Röhe

University of Brasília, Brazil
psicologo.rohe@gmail.com

Abstract

This paper aims to provide a semiotic and a psychoanalytic theory for musical composition. When we look forward to the application of Peircean categories to the compositional process, we find two processes. The first one is based on the idea that composers create their pieces based on their embodied emotional experiences. The second one involves the application of musical notation in a coherent form. The presence of thirdness requires the acquisition of symbols, which connects the creation of propositions after the symbolic phallus has been acquired and the Oedipus Complex dissolved. In order to create musical propositions, we should look for the interaction between rhetoric and the three kinds of arguments (hypotheses, inductions and deductions) in order to explain how musical phraseology assumes an argument-like form. Therefore, we might be able to say that music is a mirror of the argumentative process operated by the composer in the poietic process. However, the boundaries of “structural homologies”, as Umberto Eco uses the term, should be respected. In this case, what are the differences between verbal and musical propositions, and what are the questions that arise from this transdisciplinary theory? This paper was awarded a grant from the Fundação de Apoio à Pesquisa (Foundation for Research) at Brasília, DF.

1. Introduction

This paper aims to provide a semiotic and a psychoanalytic theory for musical composition. This transdisciplinary approach stems from a tradition in psychoanalytic music research that explains the process of musical composition (Välimäki 2005: 31). Nevertheless, my aim is to provide a general theory, instead of one that focuses on a particular composer. Moreover, this theory stems from Peircean tradition of semiotics, which was already applied in music by

many scholars – for an early review see Martinez (1997: 20-39). More recent debate on Peircean Semiotics and music can be found in the works from Kruse (2007) and Ojala (2009).

First of all, it is necessary to consider how Peircean categories can explain the compositional process. In order to do that, I will consider music as a symbol, the way both Peirce and Kristeva (2000)¹ use the term. I will use Peircean specific terminology regarding the symbol, which many Peircean scholars are already familiar with: The Rhematic Symbol, the Dicent Symbol and the Argument. The first symbol is defined after the notion of *termini*, the extremes of a proposition. The second one is the equivalent of a logical proposition and it is composite. Its components are subject, copula and predicate. The last symbol is more dynamic in its nature. It describes the logical thought that culminates with a scientific conclusion after a series of experiments made after predictions and discoveries (CP 2.96).

The mirror this paper aims to describe is the one found between the compositional process and the musical score. We will conclude that the relationship between musical score and the compositional process is not a plain one, but rather a mirror-like, like Anish Kapoor's (n.d.) *cloud gate*, placed in Chicago, Illinois. Then, I elected theoretical limitations to the analogy of Peirce's classes when we apply them to music, which creates the metaphor for mirror-like in the relationship between musical compositional process and the musical phraseological structure.

2. Music as symbol

When we look forward to the application of Peircean categories to compositional process, we may find two mechanisms. The first one is based on the idea that composers create their pieces after their embodied emotional experiences or lived experience (Langer 1957). Therefore, the best application of Peircean trichotomies in this case is that of the semiotic function implied in the transition from Firstness (qualities, feelings) to Secondness (embodied qualities). This function I shall call as *incorporation*.

The second process is the application of musical notation in a coherent form. In this situation, the composer is supposed to apply conventional musical signs such as topics extracted from dances (scherzos, menuets, etc.) or rhetorical devices. The category of Thirdness is necessary for the mediation between Firstness and Secondness. It works as methods of composition for everyone that intends to create music.

However, when defining music as sound created and produced by humans [for music created by nonhuman animals see the works of Martinelli (2009)] it is important to notice that sounds are a primary tool in human communication. They are used between mother and baby prior to the development of verbal language (Castarède 2002). Nevertheless, one question must be made: is there a difference between sounds used between mother and baby and the ones in musical compositions? Its answer points both to ontogenetic differences and convergences between musical and verbal language. According to Kristeva (2000: 774), for a child to enter the *symbolic* dimension, it is necessary to step into the phallic stage, when the boy and the girl appropriate themselves of the symbolic phallus. This is required in order to enter into the Oedipus Complex triangle and also to create propositions (which is a requirement to use the psychological technique called "free association"). The symbolic phallus is going to suffer intervention from the father (Kristeva 2000: 774). Second to this intervention, children become able to build up logical sentences. After symbolic castration, we may learn how to compose and to apply laws of compositions, which explains why symbols (sings of thirdness) are important in poetic process.

¹ Kristeva considers as real symbols the ones that appear upon to the acquisition of language, which is made of linguistic signs (2000: 774). Although Kristeva mentions Peirce along her paper, her theoretical definition of symbols is based on Hanna Segal's theory.

Therefore, although the production of sounds arises before we acquire language, the proper user of musical composition techniques emerge in the same way of verbal language: by means of instruction. Henceforth, we consider that music is created in symbolic process, whereas the sound used in the communication between mother and baby does not involve symbolization, because its occurrence is prior to symbolic castration.

Even though musical and verbal propositions share the same castration roots, they have differences. Bernstein (1973: 77) explains that musical phrases are structurally closer to verses of a poem. Therefore, a proposition in its strict sense could not be equaled to a musical phrase. Bernstein (1973: 255) also explains that a poetic text is worked through in an artistic language, which is a different language than that of a prose.

In the field of musical composition, Schoenberg (1967: 8-10) states that one should create motives, themes and phrases. The latter's ending suggests a kind of punctuation (for instance, a comma) – which suggests one similarity with verbal phrases. Musical phrases, though, are built after motives. Motives feature “intervals and rhythms, combined to produce a memorable shape or contour” (Schoenberg, 1967: 8). This combination of elements is important for another comparison between verbal and musical phraseology. I invite the reader to accompany me in measures 100-105 from Mozart's Clarinet Concerto in A-Major (Figure 1)



Example 1. Measures 100-105 from Mozart's Clarinet Concerto in A-Major (Clarinet Solo).

Marcellus, an American clarinetist who was deeply involved with the Cleveland Orchestra, provides an interpretation of this passage which merges short one-measure phrases into a larger one “by not slighting the rhythmic value of the last eighth note in each of the first three bars and by making a gradual diminuendo throughout the succession” (Etheridge 1983: 62). In Marcellus' interpretation, the three short phrases become terms from a larger proposition, thanks to a combination of phrases (Etheridge 1983: 62). It is worth noticing that the *combination* of features that Schoenberg pointed out is here noticed not on the compositional level, but rather in its interpretation. One could notice that this combinatory device which turns phrases into terms of a larger proposition was also described by Ockham:

Est autem sciendum quod hoc nomen ‘terminus’ tripliciter accipitur. Uno modo uocatur terminus omne illud quod potest esse copula uel extremum propositionis categoricae, subiectum delictet uel praedicatum, uel etiam determinatio extremi uel uerbi. *Et isto modo etiam una propositio potest esse terminus, sicut potest esse pars propositionis* (Ockham 1323: 5, emphasis mine). [You have to know that the name ‘term’ is taken in three senses. In one sense, everything is called a term that can be the copula or an extreme of a categorical proposition (...), or also a determination of an extreme or of the verb (...). *In this sense, even a proposition can be a term, just as it can be a part of a proposition.*]²

2 Translation according to Spade's (1995: 7) version.

Among these similarities and differences, I formulate a second question: can the symbolic dimension of musical pieces derived from psychoanalytical analysis support a Peircean notion of symbols in music? Assuming this is possible, two musical signification processes arise.

2.1. Musical signification

The first case of musical signification that stems from the notion of symbol in music is the one in which musical signs such as phrases, periods and themes, relate themselves by the association of musical ideas in relation to a motive. In this sense, a motivic material is explained by the musical development of the play in its phrases. We may observe that the motif is a part of the subject (Randel [1986] 2003: 500) of which the musical phrase or even the period are its predicates. This case suggests another question: In this semiotic approach, what is the kind of information that phrases and sentences may convey about the motif if music is widely considered as asemantic? Differently from verbal sentences, musical phrases convey mathematical information about their motifs. This specific kind of data arises from variation and repetition of the motives in the development of musical pieces. Some of the technical devices of composition used for variation are inversion, reversion and transposition (Réti 1976).

Furthermore, when we assume the relationship presented as true, we would still need to identify the index that points to the subject. If not, we would be using an incomplete definition of symbol as Peirce defined it, for the Dicent Symbol is composite and “necessarily involves a Rhematic Symbol (...) to express its information *and a Rhematic Indexical Legisign to indicate the subject of that information*” (CP 2.262, emphasis mine). In music theory we find that motive variation should afford a degree of coherence and similarity (Schoenberg 1976: 8-81). Can this characteristic afford the presence of indexicality and support a theory of musical Dicent Symbols (phrases, sentences) in a relationship with their motives? If so, we have a different index, one that is less a pronoun, and rather a characteristic of musical form which is of resemblance between motives.

The second musical signification case is found in compositions such as symphonic poems and operas, mainly programmatic ones. They represent the case of music that represents non-musical. In these cases, musical signs stand in the place of their objects (*aliquid stat pro aliquo*) in the form of associations of musical ideas.

2.2. Musical Composition and Arguments

Both musical significations approaches create two further questions. The first one is concerned with the creation of such musical symbols. Peirce's classification of signs brings three symbols: Terms, Propositions and Arguments. The latter, is a symbol that generates conclusions in specific logical situations such as abductions, deductions and inductions (CP 2.267-270). If we were to consider these signs in musical semiotics and cross it with compositional process under the influence of rhetoric we may observe how musical compositions are made of Dicent Symbols grouped in argument-like form. Therefore, I will compare rhetorical methods of musical composition with Peirce's kinds of arguments (abductions, deductions and inductions).

Abduction (or Retroduction), the first stage of inquiry, is a method of discovery and innovation (CP 6.469). It calls our attention to the introduction of new elements in music. Creative process requires abduction in the introduction of new themes. In Rhetoric, the term *inventio* suggests that the composer is supposed to find the argument in favor of a cause (Bartel 1997: 77-80). In this regard, abduction and *inventio* have one more aspect in common. In abduction, we are supposed to choose one among many hypotheses according to the economic principle. This principle stands for a higher probability to lead to the truth (Paavola 2004: 259-260). It

means that not any hypothesis fits abduction and a small dose of prediction should be made in accordance with the expectation that such a hypothesis will lead to the truth. In *inventio*, the composer is also bounded by a criterion of expectation in his choices. According to Bartel (1997: 80), “a rationally conceived and perceived composition would portray and arouse the desire affections”. Therefore, the choices made by the composer in *inventio* should be made according to the expectation of arousing certain feelings. This task is further developed in the next processes.

The second stage of inquiry, deduction, is the one in which takes place the examination of the hypothesis and experiential consequences which would follow from its truth. It is followed by a Demonstration (CP 6. 470-471). It may call our attention to two rhetorical devices. Firstly, since deduction involves predictions of consequences, we should include the *praecepta* in this stage. For Peirce the precepts describes to the Interpreter what is to be done, by him or others or both, in order to obtain an Index of an individual (whether a unit or a single set of units) of which the proposition is represented as meant to be true, but also assigning a designation to that individual, or, if it is a set, to each single unit of the set. (CP 2.330)

The relevance of precepts in musical rhetoric is stated by Dressler:

Huius artis utilitas est, ubi ad naturam et artis cognitionem frequens exercitatio accesserit, ut de cantus qualitate, an sit urbanus, an vulgaris, verus an falsus iudicare possimus, et falsum corrigere et novum componere. [The usefulness of this art is when frequent practice will lead to the nature and recognition of the art, so that we are able to judge about the quality of a song, whether it is refined or commonplace, true or false, and to correct what is false and compose something new] (Dressler 1563 in Wong 2009: 58).

Precepts, therefore, involves the creation a true proposition that affords the affective quality that it is supposed to represent. They were used to obtain an Index of an individual affect, a musical form that was materially affected and would materially affect the listener with a specific feeling.

Deduction is also found in relation to aspects of *dispositio*. Among other elements, there is *propositione*, a proposed argument or point to be made. This device compels the composer to create a musical development for the subject and has the function of presenting the content and the purpose of the musical piece (Bartel 1997: 80-82). A *propositione* works in such a way as if it were a demonstration of the affective statement portrayed by the musical Dicent Symbol created in the argumentative process.

In *dispositio*, we also have the *exordium* which arouses the audience’s attention. *Dispositio* also includes *narratio*, which advances both nature and intention of a composition. Sometimes, the *narratio* was included in the *propositione* (Bartel 1997: 80-82). The statement proposing that the *exordium*, *narration* and *propositione* must be related to the development of a musical idea (chosen in abduction and *inventio*) suggests that they are in an indexical relationship with the main affective theme – otherwise, the main musical idea would not be recognized by the listener.

However, deduction’s indexical aspect is found in the relation between the fact stated in the premiss and the conclusion of an argument. In the musical sense, the listener should be compelled to conclude that the *exordium*, *narration* and *propositione* of a piece are related to the musical idea and the affect it was supposedly related. This statement should not be confused with another part of the *dispositio*, called *peroratio*, which is the conclusion of the piece. *Peroratio* could be presented as a repetition of the *exordium*, a ritornello or an elaborated pedal point (Bartel 1997: 80-82). Then, the content of *peroratio* may have the same function of the three previous elements. If the affect stated by initial idea fits the function of “a fact stated in the premiss” and, if a listener is compelled by *dispositio* devices to conclude that the musical material is related to that affect, then, a degree of similarity is maintained between deductive logic and musical form.

In the third stage of inquiry (called induction of probation) one is supposed to apply conclusions resulting from experiments done after the predictions created in the second stage of inquiry (CP 6.472-473). Induction verifies “how far those consequents accord with Experience, and of judging accordingly whether the hypothesis is sensibly correct, or requires some inessential modification, or must be entirely rejected” (CP 6.472). In musical composition, the same principle is found when the composer is comparing his embodied feelings and the feelings aroused by compositional devices. Nevertheless, in German Baroque a composer was supposed to follow “methodical expressive processes and its specific and calculated expressive devices” (Bartel 1997: 89). It was only with the advent of *Empfindsamkeit* of the Enlightenment in the eighteenth century that a more subjective and individualistic method of expressing affections took place (Bartel 1997: 86). Therefore, when the function I called *incorporation* was present in musical composition, the mathematical precepts for musical composition were left aside

Moreover, although the comparative analysis of the incorporated feeling and the effect aroused by the composition did not take place in the German Baroque, the latter activity was already present. I call attention now to two devices from *dispositio* which did not appear in relation to deductive logic. They are called *confirmatio* and *confutatio*. They will confirm or deny the development of the musical piece. In the former, the composer created “varied and artful repetitions to reinforce the *propositio*” (Bartel 1997: 81). In the latter, the composer “makes use of suspensions, chromaticism, or contrasting passages which, when properly resolved, strengthen the original theme” (Bartel 1997: 81). What happens with these two devices? The *confirmatio* is supposed to strengthen the argument (confirming it) and *confutatio* suggests a different point of view, as if it were testing the musical proposition. Both strengthened the conclusion that the musical piece is related to a musical affect pursued by the initial idea.

Moreover, we also find mechanisms of musical *elocutio* in relation to inductive logic. More specifically, it is in *aptum* and *decorum* that we find a mechanism of inductive logic. *Aptum* between subject, text, music and occasion was to be observed (Plett 2004: 377). *Decorum* was observed in relation to stylistic choices that fit with the subject, audience and genre of speech (Luko 2007: 83).

The convenience of musical form is vital, and therefore suitability should be verified by the composer. Otherwise, music would not *mirror* “the order of the created universe through its own numerical order” (Luther in Bartel 1997: 18) and, as a consequence, would not “positively affect individuals by audibly ‘putting them in touch’ with the greater order of Creation” (Luther in Bartel 1997: 18). Being in service of *religare* was a great duty for a composer, and every precaution should be made. This is why formal rules should be noticed by a diligent composer.

2.3. Truthfulness in music

One last point should be made. It touches the truthfulness of a musical composition. Both Dressler and Peirce highlighted the relevance of truth, each one in their specific field of work. But one might think, since music is art, is there truth in it? The first idea that comes to one’s mind is that the idea of truth is logically incongruent with a ‘work of art’. However, many ideas on truth arise when it comes to music. (Jabłoński 2006: 436).

A work of art is true, provided that, firstly, that there is an agreement between the composer’s intention and the musical material concretization (Jabłoński 2006: 438-439). There may be also the recipient’s conviction on the composer’s intentions - This is however a rare case (Jabłoński 2006: 439). An example is found in Kajanus’, Schnéevoigt’s and Krohn’s interpretation of Sibelius’ *Second symphony* as related to Finnish Independence scenario, even though the composer would not agree with that meaning (Tawaststjerna 1976: 244)

Jabłoński (2006: 439) also stresses truth in the agreement between the conceiving and/or experiencing the work of art. In this case, the truth may appear as in the expression “A truly great work of musical art”. It explains why Beethoven’s *Fifth symphony* is performed more often than other plays: because it is recognized as truly being a work of art (Jabłoński 2006: 439). Jabłoński (2006: 439) also mentions axiological preferences, meaning that a composer is known to reflect in his music a sense of nationality. This is true of Villa-Lobos reflecting Brazilian identity, specially the composer’s second compositional phase (Ferraz 2012). While this sense of nationality is reflected in a sublime aesthetic experience, it is perceived as true because “the performance accords with the conception of the piece” (Jabłoński 2006: 439).

Truth may also appear if the listener has musical/musicological competence. If this ability is present, the recipient recognizes the structural organization of a musical composition. Here, a true work of art is “the one whose sense has been revealed” (Jabłoński 2006: 439) by someone with musicological competence.

There is also an idea of truth regarding the modalities of necessity and freedom:

1. A performance follows the composer’s performative norms, meaning the score creates a sense of necessity that the musical piece must be performed in a given way (Jabłoński 2006: 439);
2. The freedom of performative interpretation in cases when the subjective activity of the performer is fostered: the more freedom is given and taken, more truthful the work is (Jabłoński 2006: 439-440).

Two other statements of true in music stem from Jabłoński’s (2006: 440) reading on structuralist semiotics. In this case, *langue* and *parole* bring truth in the context of linguistic articulation within “discourse about music” that emerges from “musical discourse”. Moreover, Jabłoński (2006: 440) stresses the importance of categories such as stability/non-stability, conventionality/non-conventionality of semantic interpretation rules where we find the debate between normative *versus* idiolectic understanding over the aesthetic penum which defines the individuality of a given aesthetic object in relation to other objects).

3. Conclusion

In the present paper, I offered a possible application of Peircean classes of signs to musical phraseology and thus created a metaphor for musical composition process and its materialization. I noticed that the argumentative process can be related to rhetoric processes of musical compositions – although there is not a direct and exclusive relation between abduction/deduction/induction and *inventio/dispositio/elocutio*. However, I observed that a musical work of art assumes an artistic argument-like form, which involves a series of musical propositions. Still, I noticed that musical propositions are not like verbal sentences used in scientific texts. The divergences and convergences between musical and verbal language led me to conclude that, although both kinds of language stem from symbolic castration, they develop themselves on different paths. The reason for there being many similarities is due to the fact that they share the same roots of human characteristics. The reasons for the differences are related to the different lessons we take on music and verbal language through our lives. It is worth noticing, however, that for German Baroque theoreticians, similarities between verbal and musical language was due not to my psychoanalytic point of view, but because of another common root: the affects (Bartel 1997).

Due to the differences observed, I elected a series of questions regarding the limitations of Peircean symbolic signs in music. In my first question, I used psychoanalysis explore how language is acquired and why music also involves a symbol in Peircean terms. Furthermore, I explored the quality of the information conveyed by music, since this is a characteristic of the

Dicent Sign. I noticed that the mathematical configuration of a musical piece is what offers the information the Dicent Symbol conveys. However, the information derived from a musical piece is not only mathematical, but also emotional. For a composer from the Baroque, it was germane that a specific affect would be aroused in the listener. The emergence of enlightenment created, however, a cultural atmosphere which allowed personal expressions of affections (Bartel 1997).

I also noticed that the index that points to subject in a proposition is found in musical form. I observed that music is coherent in itself and this quality allows it to be referent to a given musical subject. My final question, which was further answered by Jabłoński, touches the problem of truth in music, which is a condition for this debate since propositions are either true or false. However, this matter is yet to be explored in music after Peircean conceptual framework.

In sum, I pointed out some of the theoretical problems that arise when we use Peircean terminology in musical phraseology, instead of considering just the structural homology as a limit. Although this application of Peircean semiotics was applied mainly to German Baroque music theory, there is no reason to apply for other musical styles or genres. A first step to overcome this limitation would be an application of my view on styles and genres that were directly influenced by German Baroque.

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RHETORIC IN LITHUANIAN HOMILETICS: MUSICAL ASPECTS

Rūta Brūzgienė

Mykolas Romeris University, Lithuania
rutabru1@gmail.com

Abstract

Rhetoric in antiquity relates to philosophy, psychology, law, philology, ethics, pedagogy and music. In the 20th century with the emergence of many new sciences and their directions (communication, psycholinguistics, sociolinguistics, hermeneutics, semiotics), the concept of a New Rhetoric was formed, which reveals various aspects of interactions with these modern sciences. This allows applying new research methods for various types of rhetorical texts. One type of these specific rhetorical texts is homilies which are characterized by extremely complex multi-layered semantics as well as exceptional requirements for presentation and with a lot of possibilities for different aspects of research.

After reviewing the global scientific literature which researches rhetoric and homiletics, a very large number of studies can be found, where interaction between modern homiletics and classical rhetoric are discussed from the various historical and theoretical aspects, also stylistics of sermons, poetics and specifics of structure in different epochs, different cultures and in texts by different authors. Also, the aspects of the musicality of homilies are studied, which explores the expression of rhythm, musical-rhetorical affections of baroque, and other epochs, problems of recitation, chanting sermons, as well as the possibilities of application of general rhetorical regularities, adaptations, analysis of the features of expression in cultural epochs and in different confessions.

In Lithuania after it regained independence some of these aspects are researched by scholars. Many of these studies keep their focus on the history of homiletics (Kristina Mačiulytė, Jolanta Gelumbeckaitė, Roma Bončkutė), although attention is drawn to one or the other aspect of rhetoric; e.g., addressee, laughter, metaphors, stylistics, originality, etc. (Viktorija Vaitkevičiūtė, Jūratė Pajėdienė, Aurelija Mykolaitytė, Regina Koženiauskiė, Irena Buckley), but the fundamentals of rhetoric of sermons, in particular in terms of composition and its musicality as the basis for creation of persuasion, are still insufficiently discussed. Yet no studies have been found, which analyze the musicality of sermons in terms of the concept of intermediality, explore them from the angles of transmediality, also look at characteristics of verbal and word music, ana-

logues of musical forms and technique as the development of thematic materials and as the base of a deep persuasion.

One of the goals of this article would be to discuss some fundamentals of the persuasion in sermon—the traditional compositional principles of rhetoric linking them with analogues of musical forms, as the most expressive of textual architectonics and its processuality—the internal form, etc. Research uses one sermon of a prominent Lithuanian preacher Capuchin friar Father Stanislovas¹. Analysis will be based on the comparative methodology, the theory of intermediality (Werner Wolf), functional analysis (Viktor Bobrovsky), rhetoric principles of homilies (Wilfried Engemann), systematics of musical forms (Hugo Riemann), archetypical passions (Northrop Frye) and other works.

1. Rhetoric and music

Relations between music and verbal arts (grammar, rhetoric, dialectics) are immediately evident but unclear. As stated by Blake Wilson, “all rhetorically related musical concepts originated in the extensive literature on oratory and rhetoric by ancient Greek and Roman writers, principally Aristotle, Cicero and Quintilian” (Wilson et al. 2001: n.p.). Among the enduring and influential legacies of this tradition is a fivefold division of the art of verbal discourse into *inventio* (finding the argument), *dispositio* (ordering the argument), *elocutio* (style), *memoria* and *pronuntiatio* (delivery), with the aim of moving (*movere*), delighting (*delectare*) and instructing (*docere*). Quintilian’s requirements for the well-trained orator included “knowledge of the principles of music, which have power to excite or assuage the emotions of mankind” (Wilson et al. 2001: n.p.).

In the past orators’ attention to the role of music in rhetorical texts was constant. Over time the nature of interaction between rhetoric and music has changed due to the inaccessibility of ancient tractates and the material presented therein, due to the changing concept of goals and functions of rhetoric in different cultures, due to the changing requirements of various rhetorical theories and composition regarding performance. On the other hand until the relatively late period in history of Western civilization, music was mostly vocal, related to words. So, composers were influenced by the doctrines of rhetoric, governing the creation of texts for music. Music specialists from the beginning of 19th century stopped studying rhetoric (it disappeared from the majority of educational and philosophical systems). This is the reason why relations between rhetoric and music in the formation of composition are still not sufficiently researched. Now, there is greater understanding about how much the early Western music depended on the concepts of rhetoric (Wilson et al. 2001: n.p.). On the other hand in the 20th century in aesthetics the art of music and the principles of composition began to be appreciated as the objectified expression of emotional dialectics: “Music expresses not only peoples’ feelings and emotions in the exact sense of the word, it embodies a variety of manifestations of life, and even more, it embraces the dynamism of the entire phenomenal world, which generates an internal reverberation inside ourselves” (Sezemanas 1970: 283).

1.1. Rhetoric and the concept of intermediality

One of the contemporary theories of interactions between time-based arts is the concept of intermediality (Wolf 2009) which outlines the main directions and models of their relationships. In accordance with conception of intermedial interactions, for rhetoric science the branch of intermediality in its broad sense (extra-compositional intermediality) is more relevant, the so-

¹ In Lithuania 2018 was declared as The Year of *Sąjūdis*, Father Stanislovas and partisan leader general Adolfas Vanagas-Ramanauskas.

called transmediality. Here, the external contacts of different media or the universal principles of narrativity (variation, repetition, free development, etc.) are manifested, as well as the sensuality of discourse, pathetic expressiveness, which reveals itself in different historical periods. In the branch of intermediality in its narrow sense, interactions between rhetoric and music can occur in both branches: in plurimediality (as structures of vocal genres) and in intermedial reference². Intermedial reference is divided into two subgroups: explicit reference (intermedial thematization, i.e. discussion of music in a novel) and implicit reference (individual or system reference through the form of heteromedial imitation). Implicit reference is arranged into such variants: a) evocation (“graphic” description of a musical composition in a novel), b) formal imitation which is important for rhetoric (structural analogies to music in a novel, to literature in programme music), c) (partial) reproduction (re-presenting song through the quotation of the song text) (Wolf 2009: 147). It is necessary to pay attention that it is rather difficult to describe a theme and its musical analogue in a literary work. Any element can become the base of a shift of the theme's processuality. The compositional function can be fulfilled by the motif, its development, variation, syntax (identical or similar sentences structure, anaphoras, epiphoras, etc.), word music (syntax, intonation, instrumentation)—everything that has the ability to shift, scatter or concentrate (Wolf 2002: 138).

1.2. Rhetoric of homilies

Rhetoric of sermons is subject to specific and extremely strict rules of the structure of a text and stylistics, therefore the highest and most complex requirements are imposed on semantics of a sermon, its composition, stylistic expression, the personality of the preacher and his non-verbal language. These texts have to express not only the complex levels of theological sciences and the mystical concept of existence, but also interact with archetypal pulsations and rhythms of the listener, which are actual to persuasion³. It is precisely during the liturgy of the Mass when internal being of a human is transformed towards divinity, and Love of God and his heavenly origin of is elevated.

Compositional structures of homilies are extremely diverse, depending on the evangel, the interpretational aspect of the theme (theological, phenomenological, semiotic, existential, theological, etc.) (Engemann 2011), audience structures, knowledge, purpose, and conception. Here it is presented the most common model which is typical to many homilies. First part is the theme, the name title of the homily, which should be short, attractive, interesting, presenting the basic idea and formulated in the Word of God. Second is the text of the Evangel. Third part is the main idea, what is the purpose/what is desired to say? Forth is an introduction (initial situation/history/personal experience/question), it should be brief, encourage the interest in the theme and deepen it. Fifth is the main part and consists of 3 or 2 sections where the subject of entire homily is presented usually using the lines from the *Scriptures*. Each of these sections can contain two arguments, references, and sub-clauses (e.g., other extracts, illustrations, storytelling, personal experiences). They have to highlight further main themes of their section, refine and explain them, and make them easier to perceive. Sixth part is conclusions. This is the culmination of the entire homily. It should be short and simple but its nature can vary (e.g., referral, appeal, motivation, question, concern, challenge, illustration), repeated, newly interpreted theme of the homily, and the quote from the *Bible*, which was read at the beginning.

3 It can be helpful to recall the archetypal energetic origins – positive and negative (Jung 1999), which in various epochs and different sciences are variously named, for example, in Greek mythology the primordial god of love and creation was Eros and god Thanatos was the personification of death, in Christian culture respectively it was God and Satan. In music, the origins of love, joy and death are expressed by harmonies between the minor and the major, in literature it is reflected by various adequate images (see Frye 1990).

It is rather obvious that homilies have a structure close to the requirements of a classical logical composition of rhetoric and stylistic expression (introduction, arrangement of argumentation, reasoning or justification, conclusion, the efficiency of persuasion) but there is no research on the interface with the musical possibilities of enhancing persuasion.

2. Expression of musicality in the sermon *About Time* by Father Stanislovas

In order to discuss the principles of the musicality of sermons, a theme of time is chosen which is one of the most favourite threads of contemplations by Father Stanislovas⁴. In the portal *Bernardinai.lt* they are named as *Tėvo Stanislovo pamokslai – Išpažintys (I)*. Šviesa [*Sermons of Father Stanislovas. Confessions (I). Light*] (July 8, 2007) and *Tėvo Stanislovo pamokslai – Išpažintys (II). Apie laiką* [*Sermons of Father Stanislovas. Confessions (II). About Time*] (August 5, 2007), (Tėvas Stanislovas 2001: n.p) It was announced that *Bernardinai.lt* began to publish the cycle of sermons by Father Stanislovas. Both texts were written in 2001 and, according to their editor Lukas Bukauskas, many of their versions are agreed with Father Stanislovas. These sermons express perhaps the most important topics from the majority of his texts, so they can be treated as a two-part cycle (e.g., prelude, toccata, etc., together with fugue) or as the beginning of an anticipated longer cycle. A few more of his sermons (*Dedication, The Path of Youth, And He Always Walks Side by Side, That I would Be Full of Life [The Pentecost Vigil], Eros and Sexus*) also edited by Bukauskas were published a year later in the newspaper portal *Lietuvos rytas*, but the heading does not indicate that they will form a cycle. Therefore, because of the scope of the article, I will analyze only one sermon by Father Stanislovas dedicated to his favorite philosophical and poetic theme which is time (see Bankauskaitė-Sereikienė and Dargužytė 2009).

2.1. The aspects of thematization and of word music

The sermon *About time* refers to the musical images. Here the terms of hymn and psalm are repeated 2 times, the motif of rhythm and non-rhythm is found repeated 3 times, the motivation of the rhythm – “dienos slinkties monotonija” [the monotony of the passing of the day], the misal is mentioned as the indirect reference to music 2 times (one of its sections is the Gregorian hymnal), and the *Breviary* is mentioned 3 times (these are the psalms from the *Old Testament*, religious hymns and other religious texts). Many of these terms in Father Stanislovas' s sermon have a philosophical-theological subtext related to the rhythm of the Divine being.

Analyzing the sermon from the aspect of the word music it is easy to notice the richness of sentences and their musicality, so that at the same time they sound like improvisations. The text sounds as if it is chanted, there are no unnecessary function words. (Let us recall that people came to Father Stanislovas to learn the art of Gregorian chanting not only from the whole of Lithuania but also from the former Soviet Union.) Sentences are of various lengths and structure, rhetorically persuasive and emotional, theme is often developed by the method of augmentation – growth. In the quotation below there are many light semantic words with synesthetic support in the front line vowels *e, é, i* and the consonant *j*. The syllables based on these sounds

4 Stanislovas OFM Cap., the Capuchin friar and a priest (1918-2005) also suffered from KGB persecution, he was twice imprisoned in the Soviet Gulag camps in Siberia. After returning to Lithuania, he became a priest, but the Soviet security constantly spied upon him, carried out searches, his sermons' notes and translations of R.M. Rilke's poems were confiscated, he was banned from wearing the Capuchin clothes. In addition to pastoral work, he collected church art and ethnological material. He stored and distributed prohibited literature (*Lietuvos katalikų bažnyčios kronika* [*Chronicle of the Catholic Church of Lithuania*], *Aušra*, underground publications delivered from Russia, etc.). In 1976 he was interrogated at the KGB headquarters in Vilnius. There were published several collections of his sermons and essays (*Tėvo Stanislovo pamokslai* [*Sermons of Father Stanislovas*] (1994), *Apie meilę ir tarnystę* [*About Love and Service*] (1997, 2003), *Atsidūsėjimai* [*The Sighs*] (2003), etc, and memoir books about him. During the period of Lithuania's independence, the priest was awarded several state awards.

are pronounced softly: there are more than half of such sounds in a passage (27 from 43, they are in bold by Rūta Brūzgienė), 14 are long ones (they are underlined by Rūta Brūzgienė), and from 16 hard syllables there are 8 long ones. It is doubtful that such instrumentation of light semantics happens to be accidental. “Kad **labiau** užsidegtume **meile Dievui**, vaikštome **Kryžiaus Kelius**, garbiname **Jėzaus Širdį**. **Atidžiai** skaitome **apie šventuosius**, **jų gyvenimus**.” [In order to increase our love for God, we walk our roads to Calvary, we worship the Heart of Jesus. We read carefully about the saints and their lives.]⁵ (Here and further based on the quotes are from Tėvas Stanislovas 2001: n.p.)

2.2. The aspects of analogues of musical form and technique

The form of sermon is quite close to the traditional principles of the composition of homilies but there are no traditional introductory parts: the text of the evangel, rhetorical introduction, the main idea – the purpose description and the introductory situation. From the rhetorical point of view the sermon begins immediately from the teaching where the theme is divided into two or three aspects. They are developed with the support of examples followed by the ending and conclusion—often it is a culminating sentence. Such a structure of the sermon without the introductory parts, purifies and strengthens the form of persuasion. The text sounds like a poetical-musical work, therefore, it may be very convenient to apply other regularities from the analysis of time-based arts.

The theme of the sermon *About time* consists of three motifs: the sacrality and eternity of the universe in time, the divine letters – events in the earthly existence and the worship of the Creator. The first word is the most important and is a code for the whole text: “Visata it koks didžiulis Mišiolas, kurio raidės, visi atskiri reiškiniai, įvykiai, viskas turi mūsų širdy įžiebtį meilės jausmą ir pagarbą Kūrėjui.” [The universe is like a huge Missal in which letters, all individual phenomena, events, everything has to light a feeling of love and respect in our hearts for the Creator.] Further, all three motifs of the theme are developed: holiness, fire of love in everyday life and liturgical books: “Kad labiau užsidegtume meile Dievui, vaikštome Kryžiaus Kelius, garbiname Jėzaus Širdį. Atidžiai skaitome apie šventuosius, jų gyvenimus.” [In order to increase our love for God, we walk our roads to Calvary, we worship the Heart of Jesus. We read carefully about the saints and their lives.] From the point of view of the musical form this is close to the introduction which contains all the main motifs of the theme.

In the first part (from the musical point of view) the motifs of time the Breviary and the divine teacher are varied in three stages. Initially the image of the Breviary—the divine liturgical book is developed gradually as if expressing the compendium of divine wisdom: “Tarp daugybės maldaknygių ir knygų yra kone visai užmiršta knyga, apie kurią daug kalba mūsų senieji mokytojai. Tai – Brevijorius bei Brevijoriaus himnai.” [Among the many prayer books and other books there is an almost completely forgotten book, the book many of our old teachers spoke about. It is the Breviary and Breviary's anthems.] It is interesting that the preacher when naming what makes up the Breviary firstly mentions the musical texts as the most important and only later moves to other spiritual texts: “Brevijorius – knyga, sudaryta iš psalmių, himnų, Bažnyčios Tėvų raštų ir skirta kasdienėms maldoms ir apmąstymams.” [The Breviary is the book which consists of psalms, hymns, writings of the Church Fathers and is designated to everyday prayers and thoughts.] Further the significance of the *Holy Scripture* or everyday life is emphasized with rhetorical questions and answers by responding to them in two sentences: “Kodėl ji tokia svarbi, reikalinga? Todėl, kad ji padeda prižiūrėti mumyse išžiebusią ugnį. Tai – nepakeičiama atrama, kelrodis kiekvienai dienai, nepakeičiamas vadovas, mokytojas einant per gyvenimą...” [Why is

5 Translation by Daiva Judges.

it so important? Because it helps us to look after the fire ignited inside. It is an indispensable support, a road sign for each day, an irreplaceable leader, a teacher when passing through life...] Such wavy intonation and rising emotional dynamics is created by gradual increments, listing semantic segments in order of increasing significance.

Later the second part begins where the text sounds as the hymn of praise for the rising sun as the Creator, where the motif of light is gradually developed extending the image of the fire which is heard in the first part: “išsižiebusią ugnį” [the fire ignited inside]. This is the glorification known in all religious cultures, especially common for the hermit monks: “Su kokia pagarba reikėtų stebėti tekančią saulę. Teprimena jinai mums apie amžinosios Šviesos neišsenkamas versmes” [You should watch the rising sun with great respect. Let her remind you about inexhaustible sources of eternal Light]. The motif of light is variably developed in everyday life as a search for holiness, opening the new layers of existence and which sounds like a mystical light of the day: “Kaip godžiai turėtume rankioti Šviesos spindulėlius iš studijų, iš matytų gerų pavyzdžių. Ir iš maldos.” [How devouringly we should pick up the rays of Light out of studies, from the good and well-known examples. And from prayer] and “O tas paslaptingas, nepastebimas šviesos bangavimas dienos metu!” [Oh, and this mysterious, invisible surge of light during the day!]. A wavy, swinging, carrying and elevating intonation which is open to the other layers of existence and the favorable graduality which is repeated differently in three stages in terms of individual segments and in terms of the whole structure is one of the oldest archetypal patterns of composition which also sounds in ancient Gregorian chants and resembles a monastic hymn to the Sun and Creator.

In the third part of compositional form the time motif is intensely developed which was also heard in the second part (“užmiršta knyga”, “einant per gyvenimą”, “dienos metu” [forgotten book, passing through life, during the day, etc.]). It also consists of three sections each of which contains different and contrasting aspect of philosophical semantics of time. In all sections—paragraphs of this part the imperative verb form appears (“atidžiai išsižiūrėkime”, “Priimkime”, “Su atidumu sekime” [let us observe closely, Let us accept, Let us follow with care]) where the sections are added to the last two examples. In the first one the anxiety of a person's everyday life and magnificent calmness of time and the contrast of light and darkness are compared: “Kai aplinkui mus visi daiktai ir žmonės taip prisigėrę neramumo, atidžiai išsižiūrėkime į laiką – kiek jame didingos ramybės. Pažvelkime į šviesos ir sutemų didingumą.” [When all things and people around us become so entranced with restlessness, let's take a close look at the time—how much of majestic peace is in it. Let us look at the greatness of light and dusk.] The following lines have the lowest tone of timbre and ends with an anti-cadence question (“suvargina savo monotoniškumu”, “dievobaimingas kantrumas”, “kasdienis kryžius” [tired of its monotony, devout patience, daily cross]): “Priimkime su dievobaimingu kantrumu tą dienų slinktį. Ji mus suvargina savo monotoniškumu. Bet ar tai nėra tas kasdienis kryžius, apie kurį kalba Evangelija?” [Let us accept the passing of the day with the devout patience. It makes us tired of its monotony. But is it not the daily cross which the Evangel speaks about?]. In the third and culminating section of this part God's peace and joy, as the wisdom of time and life, is announced. It especially emphasizes the sensation of God—the Creator who writes the letters of daily life in the divine Missal of Time, his tranquility and joy and his daily breath (“juste pajuntame” [we feel ourselves]):

Su atidumu sekime Dievo rašančią ranką Laiko mišiole. Laiko raidės pamokina mus ramaus gyvenimo ritmo, jos nuolat mus ragina eiti į gyvenimo džiaugsmą ir siekti atsigalvavimo. Jeigu Šventajame Rašte įskaitome Dievo Išmintį, šventųjų gyvenimuose pastebime Dievo apvaizdos ir Gailėstingumo veikimą, tai laike mes jau ne skaitome, ne stebime, bet juste pajuntame Dievo alsavimą. [Let us follow with care the God's hand writing in the Missal of Time. Letters of time teach us a quiet rhythm of life, they constantly urge us to go

towards the joy of life and seek refreshment. If we see the Wisdom of God in the Holy Scriptures, if we notice God's providence and the act of Mercy in the lives of saints, so we not only read or watch in time but we feel ourselves the breath of God.] (Tėvas Stanislovas 2001: n.p.; long syllables are underlined by Rūta Brūzgienė).

The last paragraph would sound like a coda which consists of two emotionally contrasting images: the anxiety of our hearts expressed in rhetorical anti-cadence exclamation and the response in a very soft optative mood ("Tegul klausos" [Let us hear]) which begins the answer of the preacher—the bearer of God's word: "O mūsų širdys taip neritmingai plaka! Tegul klausos jos to dieviško, ramaus ritmo." [And our hearts beat so out of rhythm! Let them listen to this divine and calm rhythm.] The intonational melodious foundation of this paragraph is based on the long syllables: even 18 from 25 syllables are long (they are underlined, see the citation above), while the basis of 16 of them is the vowels of the back line *a* and *o* (the vowel *o* in Lithuanian language is always pronounced protractedly). These vowels along with other instrumental effects (abundance of semivowels *l*, *m*, *n*, *r*, and *j*) and the phonics of the second sentence (5 vowels *o* and the consonance "ramaus ritmo" [calm rhythm]) create the impression of the end of the wise monastic and philosophical hymn.

Although the structure of the sermon *About time* has elements inherent to traditional rhetoric of homilies in terms of the syntactic derivatives and composition, analyzing it from the point of view of musicality the specific tunefulness, melodiousness, the variety of intonational-syntactic structures is noticed, as well as the tendency to form the three-part rhythm at different levels: at the sentence structure and at the formation of the paragraph—section in relation to the form of whole section or the whole sermon. The composition of the sermon would correspond to the three-part musical form (ABA₁) with introduction and coda. It is the expression of the inner form as processuality and its outline acts like the support to the archetypal rhythm with the three-part form, enhances the influence of the persuasion and gives the work not only the artistic-poetic richness and musicality but also transfers it into the dimension of the depth of sacrality.

This sermon *About time* by Father Stanislovas may in fact be as the coded one of his worldview not only in aspects of semantics but also in aspects of creating the form, sound and deep musicality. The worship of the Universe, Light, the Creator and Love, the search for the Wisdom of life in the Calmness of Time are based on the elements of the poetics and rhetoric, complementing each other, and the structures of archetypal musical models.

3. Conclusions

Rhetoric as one of the oldest interdisciplinary sciences has longstanding classical traditions. Being a source of many modern disciplines at the same time it experiences the influence of these fields such as communication, psychology, etc., which emphasize the role of the speaker, coding and the influence of nonverbal language on persuasion.

Rhetoric as the time-based art is closely related to the genesis and expression of music, literature and other time-based arts. The concept of intermediality is used for analysis of rhetorical texts which allows to research various aspects of musicality of the text in more detail.

In Lithuania the majority of research on sermons are dedicated to the theory of contemporary homiletics, semantics and stylistics, yet the rhetoric of sermons from the point of view of musicality has not been addressed.

After analyzing the compositional principles of the sermon *About time* by Father Stanislovas, a conclusion has been achieved that this text features a special musicality in terms of thematization, of word music, and analogues of musical composition and technique. Analysis of the musi-

cal form corresponds to some of the compositional principles of the rhetoric of homilies but the musicality of the text is based on the archetypal model of the three-part rhythm and expression of its processuality in the text of which the pulsations move the listener to the deepest levels of subconsciousness.

Musical analysis of sermons is a promising field of research, relevant not only to the rhetoric of various confessions and periods but also to the current science of communication. This aspect would help to return to the research on synergistic effects of the time-based arts while allowing the rhetoric and its musical aspects to take its right place and become a leader of the modern humanitarian studies.

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SOLITUDE AND TOGETHERNESS IN MUSICAL PERFORMANCE: A MULTIDISCIPLINARY APPROACH

Arda Tuncer

Conservatory “G. Verdi” of Turin, Italy
ardolayn@gmail.com

Abstract

Solo and ensemble performances elicit a different response from the player and the listener according to the instrumentation, to the environment and to the musical communication. Performers themselves live and feel differently according to the instrumentation that is put in place and the audience’s reaction varies depending on their feelings of *empathy* with the players, and on their perception. This presentation will focus both on the performers’ experiences and on the *instrument’s* position and role in the piece. Musical performance includes many aspects and layers: communication, art, interpretation, participation, aesthetics, listening, observing, feeling and understanding. Bridging between the structural dimension of music and its reception is not a simple task. Some works focus mainly on the aesthetics/semiotics of music, while others analyze the emotional and psychological aspects connected to it. *Performance studies* feature a multidisciplinary set of tools, drawing from psychology to semiotics, appropriate to engage this topic properly. This presentation aims at promoting a dialogue between semiotics and performance studies, underlining the commonalities between the two approaches and the benefits of their synergies.

1. Introduction

This article explores the social meaning in musical performance, investigating the ways in which we focus on “[...] the functioning of the performing body, both in itself and in relation to the other dimensions of the performance event.” (Cook 2003: 209). In this frame, my research aims at approaching a particular aspect of musical performance: the opposition between solitude and togetherness, and engaging the many ways to answer the question how solo performances and ensemble performances can make music richer and more expressive with the aims of outlining a set of epistemological paths and analytical tools that can be used to shed some light on this aspect. Due to this twofold nature which is personal and structural, my analysis will be grounded

on an adequate methodology. With performance studies, featuring a multidisciplinary set of tools, also drawing from psychology to semiotics, I should be able to engage this topic properly. Music is, indeed, still a mystery (maybe the greatest of mankind), and every performance includes many aspects and layers: communication, art, interpretation (in both senses of the word!), participation, aesthetics, listening, observing, feeling and understanding, all at the same time. According to Lotman (2011[1967]: 253-254), performance studies offer a middle ground by focusing on the performer and on the performance as possible connections between the two aspects: they interpret the musical text and, at the same time, feel all the emotions expressed in their music. This discipline is able to conjugate various aspects of performing, from more physical and physiological ones, to more ideal and psychological to approach the development of the artists and their musical potential, but also to focus on more pragmatic aspects, such as practicing, rehearsing, intonation and body movement. It also takes into account musicological and semiotic aspects as structural and emotional communication.

2. Solo performance

The aim of this paragraph is to explore *solitude in musical performance* in three sections, trying to shed some light to different questions about the issue with the help of a multidisciplinary approach.

2.1. Solitude and monologue

In all types of performing arts, the solo performance is the one that requires the highest level of concentration and aspiration, that a performer can improve. In musical solo performance, the solo instrument – and the performer – are alone on stage, all the attention and the communicative power, it is in their hands. Solo pieces feature also a single *focus*: the power of music to attract audience and to arouse emotions, lends to the performer a remarkably large capacity to express her/himself thoroughly. A single instrument is shown in all its nuances and all its peculiarities are revealed. The performer, having the only color of her/his musical instrument, having a metaphorical monolingual communication, looks for every possible way to be expressive. From the point of view of famous musicologists: “The crux of expressive performance is in nuance. Nuance is the subtle, sometimes almost imperceptible, manipulation of sound parameters, attack, timing, pitch, loudness, and timbre that makes music sound alive and human rather than dead and mechanical.” (Lehmann et al. 2007: 85). This definition gives us an idea about what a performance can require from the performer.

As it is said, with a great power, come great responsibilities: during solo performance, the performer has to face all of the requirements of musical work and performance by her/himself. Musical and technical strengths and weaknesses are all under the spotlight while the performer is interpreting music, it makes the performer feel heroic while s/he is dealing with the challenges to cure possible imperfections. The psychological pressure on the performer is particularly harsh as the performance requires demonstrating the specialty of the *virtuoso*, *invention*, and *charisma*. In my opinion, at this point, even though we are talking about musical characteristics and qualities during only solo performance, Eero Tarasti’s theory¹ is a perfect way to explain the musical modalities with a semiotic relation: “Perhaps the most important and original of these

1 “Modalities of Will (*vouloir*), Can (*pouvoir*), Know (*savoir*), and Must (*devoir*), offered by Greimas in the field of linguistics, were for the first time applied in musicology by Eero Tarasti. Modalities provide music with the semantic meaning. In that they can be endogenic, i.e., inherent to the immanent meanings of the music, or exogenic, that is, “activated” from outside depending on how the music is interpreted and performed. While talking about the composer’s work, Tarasti explains the modality of “Will” as follows: *vouloir* appears in, say, Beethoven’s sonata in those episodes where the composer is particularly heroic, that is, the way he wants to be (here and below — from Tarasti’s Musical Semiotics seminars at the University of Helsinki, 2005).” (Navickaitė-Martinelli 2015: 745, Footnote no.11).

levels is the one dealing with musical modalities: “will”, “know”, “must”, “can”, and “believe”. These modalities, which originated in linguistic-semiotic theories, can be defined in purely musical terms as well.” (Tarasti 2002: 61). With this theory, while performing a solo piece, it is the moment to hold all these musical modalities for the performer, that s/he earned until that moment, not only to deal with the possible difficulties, but also for making the performance become a self-congratulation.

2.2. Are we “all + one” while performing a solo piece?

Attempting to explore the monolingual communication, a social meaning appears in solo performance and having this point opens the door to defend the thesis of Nicholas Cook: “To understand music as performance means to see it as an irreducibly social phenomenon, even when only a single individual is involved.” (Cook 2003: 206).

Without doubt, it is impossible to ignore the communication between the performer and the audience during any kind of music performance. Several scholars have already showed interest in this relationship and also in the difference between the experiences of performers and listeners. A brief example from the book *Psychology for Musicians* helps me to take the aspect forward:

Both listeners and performers can experience a sense of wonderment at the apparently unpredictable power of some performances. Listeners are not, of course, privy to the hours of deliberate work and shaping that performers can devote in preparation. But even performers sometimes surprise themselves and are unable to explain or predict why one performance is routine and the next performance of the same piece is “magic” (Lehmann et al. 2007: 85).

In the book mentioned, the musical reasons are explained afterwards the quotation above, but the point here, for me, is that the last sentence gives us a clue about something which is happening on stage, while a performer is performing. And what is happening while the performer is alone on stage? Is s/he totally alone during this experience? One of the approaches to find an answer to this question, can be considering solo performance as an unexpected journey into the self. The performer discovers if s/he has something new to say with music through the instrument and each performance is a unique journey. Lina Navickaitė-Martinelli interprets the “individuality and standards in the art of a performer (after Eero Tarasti’s theory of subjectivity)”:

The way I see it, the *Moi* side² of the performer’s self is intrinsically related to the Greimassian internal (endogenic) modalities Will and Can, while the *Soi* part of one’s identity is reflected by the external (exogenic) modalities Know and Must, thus encompassing all the spheres and categories through and in which the performer’s art is communicated.

- Greimassian modality of “Will” corresponds here to an inner identity (*Moi*) of a performer. This part might include a personal (family) background, artistic tastes or religiousness if any. It also encompasses the person’s musicality, together with a distinctive “performer’s charm,” or charisma.
- “Can” embraces the performer’s technical capabilities, “psychophysical harmony.” Virtuosity, corporeal reality, and a certain quality of sound, realized in performance, are also included here.
- “Know,” or the *Soi* of a performer, consists of preestablished social codes, stereotypes of the given perfor-

2 “Several authors in the field of semiotics have been dealing with the concept of semiotic self, [...] which consists usually of two aspects: an inward and outward side within the subject. Among these dualities, we have, for instance, the “I” (self as such) and “Me” (“I” in the social context), as used by George Herbert Mead; *Moi* and *Soi* by the French authors (Ricoeur, Sartre, and Fontanille use these concepts in their writings); controlling, deeper self versus critical self by Charles S. Peirce; or the Bergsonian differentiation between the “superficial” and the “deep” ego.” (Navickaitė-Martinelli 2015: 744).

mance tradition (“school”); usually, manners of playing are rated according to certain standard criteria, with some adjudged better than others.

- “Must” means the composer’s intentions as put in the score, the work’s immanent modalities. It is something called out by the requirements of a musical work—the subjective potentialities of its style, without which the work could not “live.” (Navickaitė-Martinelli 2015: 745-746).

Therefore, a solo performer is in dialogue with her/himself discussing about how to interpret/recreate music, how to introduce her/himself to the audience, how to catch the standard of the day with her/his background, how to adapt her/his style to the requirements of musical work, and additionally, s/he is secretly in a dialogue also with the composer. Realizing the situation of the performer, being alone on stage, reminds me the origin of the word “alone”, which is “all + one”. Thus, the answer can be: “Yes, we are alone while performing a solo piece, bunching all that we have and all that we are / can be together, to tell a story”.

2.3. Storytelling

In this last section on solitude, the focus is on the role of the musical instrument in solo performance, considering that music is a story and musical instruments are the characters of that story. In this case, I choose to consider music performance as a theatre play, taking Roland Barthes as an example: “The modern location for music is not the concert hall, but the stage on which the musicians pass, in what is often a dazzling display, from one source of sound to another.” (Barthes 1977: 153).

From my point of view, when a story is told by a single performer, the performer is not only one of the characters of the story, but s/he is a storyteller. We hear/feel this manner of telling in music from time to time. Gino Stefani mentions this musical experience in *Competenza musicale e cultura della pace*: “The production of musical sense occurs through codes that stem from social practices. It is due to this that the beginning of a classical piece may be constructed/perceived as a ceremonial entrance or the beginning of a speech; that the articulation of a melody may remind of a spoken utterance [...]” (Stefani 1985: 87, translation taken from Navickaitė-Martinelli 2015: 749). The sense which occurs, described by Stefani, arises mostly from a *solo* of an instrument in a chamber music or in a symphonic music. And when it comes to a solo piece, “the beginning of a speech” turns into the entire story, which is being told by a storyteller. To understand better what makes a storyteller special, and how it can have a connection with the role of a single musical instrument during a solo performance, it is necessary to take a closer look at the general qualities and characteristics of storytelling and what makes it different from theatre Liz Warren³:

- First, most storytellers do not memorize a script as actors do. They prefer to learn (but not memorize) a story – thoroughly and deeply – so that when they are telling it, they can respond freely to the particular audience in attendance. This provides dynamism, unpredictability, and freshness to storytelling that is very satisfying for both the teller and the listener.
- A storyteller does not maintain the persona of a single character. The teller portrays all the characters in the story while remaining herself.
- Actors generally relate to other actors on the stage rather than directly to the audience. In the theatre, there is the concept of the fourth wall, an invisible wall through which the audience witnesses the events on stage.

3 Liz Warren; SMCC (South Mountain Community College) Storytelling Institute Director, Humanities & Storytelling Faculty.

In storytelling there is no fourth wall, or if there is, it is behind the audience. Storytellers seek to establish a relationship with the audience, at least for the duration of the story, and believe that the stronger the connection between them and the audience, the stronger the impact of the story. In some storytelling events, a high degree of participation from the audience is expected and encouraged.

- Storytellers do not use directors. In theatre, the director is responsible for interpreting the text and directing the actors in fulfilling the vision. In a storytelling event, the teller is responsible for the interpretation of the story, its development and delivery. Storytellers do, however, often use coaches who help them interpret and actualize their vision of the story.
- Storytellers do not use sets, props, or costumes. A storyteller seeks to create a world inside the listener's mind. It is her job to communicate this with words and her body rather than with objects. In this sense, the story is co-created by the teller and the listener in the moment of the telling. Many storytellers believe that props, sets, and costumes can interfere with this process.

(Warren 2008).

Besides certain very theatrical cases, it is inevitable to find similarities and connections between storytelling and musical solo performance. A solo performer works with an extra effort to learn and to understand music with all of its nuances, each sound parameter, attack, timing, pitch, loudness, timbre, sometimes, even gestures or body movements. The musical instrument does not represent only one character, but it portrays all the characters in the story while remaining the storyteller. The instrument and performer have a connection between themselves and with the audience, just as there is no other accompaniment of another instrument and performer. There is no conductor, solo performer is responsible for the interpretation of music, its development and delivery. And finally, during a solo performance, the instrument seeks to create a world inside the listener's mind using all the nuances with performer's communicative possibilities.

My conclusion, in the end of these three sections, which are dedicated to *solitude* in musical performance, is that solitude gives a big power to the performer which puts her/him in a heroic but also fragile position at the same time because it is a moment to learn/know about her/himself and to discover the treasure inside, and finally to tell the story (music) with her/his voice (instrument) and interpretation, intentionally introducing variations in the parameters of the performance.

3. Ensemble performance

The aim of this paragraph is to focus on *togetherness in musical performance* in three sections, trying to shed some light to different questions about the issue with the help of a multidisciplinary approach.

3.1. Togetherness and dialogue

Even though ensemble performance is considered as a typical musical event, and we already have a broad body of literature on it, its complexity opens many doors to investigate. In the opposite of solo performance, ensemble performance is a team work and collaborative representation, just as the word itself⁴ explains the meaning and the objective. The way to pursue this objective for ensemble performers, is to communicate their individual instruction, such as which is a part of the whole musical structure, and their expressive aspirations to other performers and to the audience. Peter E. Keller, who has several publications on music psychology and musical ensemble performance, determines ensemble music making in one of his articles, *Ensemble performance: Interpersonal alignment of musical expression*:

⁴ *Ensemble* is a French word which is used also as a musical term: "a group of things or people acting or taken together as a whole, especially a group of musicians who regularly play together." (Cambridge Dictionary).

The special challenge for ensemble performers, however, is that these expressive devices are no longer merely a matter of individual variation, but rather inter-individual co-variation. [...] Expressive intentions refer to the specific musical character with which a performer - or group of performers - wishes to imbue a piece. These intentions are realized during performance through deviations from what would be considered to be a prototypical interpretation of the piece in the prevailing cultural context (Keller 2014: 260).

On this basis, my intention is interpreting these inter-individual co-variations in different forms of ensemble with the support of Tarasti's theory.

3.2. Togetherness for unity: being one

The smallest forms of ensemble, investigate dialogue and triologue with different types of organics. It is focused on small and intimate formations, with only a few performers that share the musical experience. A clarinet, for example, converses with different instruments, discusses with the piano or the guitar and if it is a trio ensemble, the clarinet participates in larger and more elaborate talks with the winds or the violin and piano. The uniformity of solo is substituted with variety and multiplicity. A single instrument is now confronted with other timbres, with other musical expressions - and so is the performer, who will now interact with other musicians that have other sensibilities, needs and possibilities.

In larger forms of ensemble, in a quintet, for example, the intimacy of its predecessors is substituted with a larger instrumentation, big enough for the individual identities of the musicians and instruments to blend, but not so big that a single performer would drown, in which the ensemble eclipses the single performer. And when it comes to septets and octets, winds and strings are always together, weaving their voices into a unanimous chant. The number of instruments bring this ensemble close to a small chamber orchestra, making the choral effect the centre of the attention. Now, the single instrument, on the one hand, seems to drown in the homogeneous appearance of music, but, on the other hand, manifests its presence and its necessity among the polyphony of the pieces. The instrument - and the performer - although only a small part of these ensembles, are nonetheless essential to it.

Finally, the largest form of ensemble is an ensemble orchestra which represents the apotheoses of togetherness, gathering a big ensemble - ranging from strings to percussion - to tell a story together.

3.3. Characters in a tale

In this last section on togetherness, it is still possible to mention *storytelling*, but this time, each instrument impersonates one character in the story. Even though it is mostly imaginary to build a character for the performer and to receive it for the listener, depending on the information that is given by the composer/interpreter, in some compositions, the story and the character of each instrument are already stated, such as *Peter and the Wolf* by Sergei Prokofiev, which is a symphonic fairy tale for children. Prokofiev produced detailed performance notes in both English and Russian for *Peter and the Wolf*. According to the English version:

Each character of this tale is represented by a corresponding instrument in the orchestra: the bird by a flute, the duck by an oboe, the cat by a clarinet playing staccato in a low register, the grandfather by a bassoon, the wolf by three horns, Peter by the string quartet, the shooting of the hunters by the kettle drums and bass drum. Before an orchestral performance it is desirable to show these instruments to the children and to play on them the corresponding leitmotifs. Thereby, the children learn to distinguish the sonorities of the instruments during the performance of this tale (Morrison 2008: 52).

A different kind of example can be a symphonic poem, *The Moldau*, from *MaVlast (My Fatherland)* by Bedřich Smetana:

The movement starts with light, rippling figures that represent the emergence of the Moldau River as two mountain springs, one warm and one cold. Water from the springs then combines to become a mighty river, symbolized by a thickly orchestrated, stately theme that recurs periodically throughout the remainder of the work. Farther downstream, the river passes jubilant hunters, portrayed by a horn melody, and then passes a village wedding, signaled by a passage in polka rhythm. The river then enters a gorge where, according to legend, water nymphs –suggested by serene and mysterious melodies –come out to bathe in the moonlight. With the morning light, the main river theme returns, though it soon breaks into tumultuous dissonance as the river enters the St. John's Rapids. Beyond the white water, the river reaches Prague, where to grand arpeggios of a regal hymn, it flows past the castle Vyšehrad, once the seat of power for Bohemian kings. After fading to a trickle, the piece—and the journey –comes to an unambiguous close with a loud two-chord cadence (Schwarm 2011: 77-78).

Here again, modalities of “will”, “can”, “know” and “must” come into play. First of all, the color and sound capacity of each instrument (can) makes it possible to decide what kind of character an instrument “can” portray. Then, structural instructions, requirements of the musical work – composer's intention (must) has a big role for the performer to understand which way to follow and finally, expressive intentions (will) of the performer and how s/he represents/communicates them (know) to other performers and to the audience, constructs the entire ensemble performance.

4. Conclusion

As it emerges clearly, this topic has a twofold nature, focusing both on the performer and her/his personal and artistic experience, and on the instrument and its position and role in a musical piece. The balance between weaknesses and strengths, abilities and imperfections is an extremely important feature of music, and it is never fixed. The psychological factor has a great impact here, changing the quality and characteristics of the performer greatly, according to the environment that surrounds her/him.

The difference in organics is not only a difference in quantity and variety – more performers, more instruments – but it is an ontological difference, deeply rooted in the semiotic possibilities of expression and in the way music may be experienced. The performers live and feel very differently according to the organic that is put in place: the pressures and the pleasures of musical isolation and musical involvement are of a great variety. Then again, also the audience's experience varies according to the organic, both in the feeling of *empathy* with the players, and in the semiotic devices that different musical discourses are still able to deploy.

This is not a mere differential analysis, focusing only on the differences between the various organics, but it also engages the many ways in which solo performances and ensemble performances can make music truly richer and more expressive. Tracing connections between solitude and togetherness in musical performance, despite the contrast, exposes a framework of relations between them, that points out their aim at making a whole reuniting all.

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SOUND GESTURES AND BODY GESTURES IN 18TH CENTURY OPERA

Roberto Caterina

University of Bologna, Italy
roberto.caterina@unibo.it

Fabio Regazzi

University of Bologna, Italy
fabio.regazzi@unibo.it

Lidia Tordi

University of Bologna, Italy
lidia.tordi@studio.unibo.it

Mario Baroni

University of Bologna, Italy
mario.baroni34@gmail.com

Abstract

Composers such as Handel and Vivaldi used both opera style and concerto style: according to Ratner (1980), there was an interaction and an exchange between the two styles. The aim of our research was to collect evidence that the use of “gestures” was openly perceptible in the opera realm while it was implicit in the context of concertos, where musical passages similar to opera might be used. We examined Handel’s opera *Giulio Cesare* and we analyzed some arias belonging to three different emotional and dramatic categories: fury, love and pain. We also considered three fragments taken from Vivaldi’s concertos where structural and performative features correspond to the three categories described. As a general hypothesis we could say that composers and performers aspired to create clearcut expressive types with regards to these three categories. A clearcut definition was however possible only within the opera dramatic text, context and plot. Without characters, words and narrative elements a listener could certainly recognize the emotional aspects of musical passages, but could not precisely establish a semantic description.

1. Introduction

The plots of operas from the first part of the 18th century are constantly oriented between two principal polarities: the rational conducts of political power (the narration must show noble and morally sublime examples), and the ungovernable cases of love passions: the characters strive to adapt their passions to the good rules of human behavior, not always succeeding in their efforts. Such conflicting events tended to generate the dramaturgical substance of the operas, a situation that is very far from the habits and the social values of our time (thus explaining the difficulties encountered by today's directors). From a musical point of view this dramaturgical substance is undoubtedly at the core of the narration. For example, the arias, which normally conclude dialogues between characters, sum up their sense and have the function of manifesting the characters' inner emotional reactions, are the major strong points of the whole event. These emotional aspects of arias, their social as well as their private values, are very interesting as they provide a model of emotional expression and regulation that is not far from modern psychological theories (Scherer 2005).

In a recent paper some members of our group (Baroni et al., forthcoming) already discussed how in the opera *Giulio Cesare in Egitto* by Handel three main affective situations could be considered: love, fury and sorrow. By "sorrow" we intended a general idea of regret, by "fury" – an idea of violence, and by "love" – an idea of positive desire. And we must also take into account that in music the expression of affects does not have the same distinctive precision as in verbal semantics.

Our choice of opera fell on Handel's *Giulio Cesare in Egitto* for two main reasons. Firstly, because it is a well-studied and frequently performed work, and secondly because the rationalistic culture of the 18th century tended to impose on its music rather precise formal conventions which, moreover, were explained and discussed by philosophers and musicians of the time. Handel's opera obtained its aesthetical results thanks to the powerful creativity of its author, but its author also deeply respected the conventions and the tastes of his epoch, which could gain him the necessary appreciation of his rich and noble followers.

The majority of Handel's arias are composed according to the so-called ABA form, and we are aware that this was far from being a preference for mere musical symmetry. Recent psychological studies on the organization of musical time (Imberty 2014 [2005]; Huron 2006) and on the processes of the modulation of emotional events evidenced that in the human emotional experience repetition is present and has a special value and meaning: it means transformation, creation of new expectations and surprises. The "da capo" aria can be interpreted according to this perspective and may describe emotional events rather than single states.

In the previously mentioned paper (Baroni et al., forthcoming) we described the main elements of emotional situations concerning love, fury and sorrow, examining the musical score, the vocal performances of singers and the body gestures used by the interpreters. The results of these analyses pointed out some clearcut profiles in which structural features (such as major-minor mode, speed variations, cadences, regular-irregular rhythms and so on) interacted with vocal accents, portamentos and embellishments (among other vocal features), and with the intensity and amplitude of body gestures and postures. The authors managed to differentiate the love profile from that of sorrow, and both of these from fury, allowing to offer some speculations and hypotheses about the role of single musical, vocal or gestural components might have in the definition of an emotional situation and how that situation could evolve and bring new meanings to the plot. A new research was nevertheless necessary to test the validity of these emotional profiles within specific categories of listeners and under different conditions that could elicit emotional responses from musical structures, singing features and body gestures, taking into

consideration, where possible, the role of single musical, vocal or gestural components. The aim of this paper moves precisely in this direction. Before describing our research project and results we would like to make some considerations about the study of emotions in music and particularly in an opera such as Handel's *Giulio Cesare in Egitto*.

2. Music and emotions: musical emotions

In the study of human emotions two procedures are generally used: encoding procedures and decoding procedures. Encoding procedures are used in order to select the stimuli or the materials that are supposed to elicit an emotional reaction or response. In the paper previously described (Baroni et al., forthcoming) the authors selected some audio or audio-video materials from arias of *Giulio Cesare in Egitto* that could elicit specific emotional reactions in listeners. Decoding procedures, on the other hand, are used to test the meaning attributed to emotional stimuli or materials by a certain number of judges. The materials selected in the study on *Giulio Cesare in Egitto* could be used in a decoding task. Decoding procedures may involve either a categorial assessment of the emotional meaning attributed to the stimuli to be judged (i.e., the name of an emotion) or a dimensional approach concerning some dimensions (such as pleasant-unpleasant) through which emotional stimuli can be judged. In pure dimensional approaches emotional experiences are described in terms of qualities rather than names or verbal labels: so, for example, "happiness" is described in terms of a pleasant valence with more or less intense arousal. Many other terms such as "delight" may overlap with "happiness". Dimensional approaches have the advantage of looking at the multiple aspects, not restricted to a single word, that are present in the emotional experience. The same idea that emotions can be described in terms of processes more than static events can be found in the theory of Klaus Scherer (2005).

It is obvious, of course, that emotional experiences in listening to music and the representation of events in music are made up of more than just a single word that gives a definition to a single emotion. On the other hand, words are necessary to understand the shift from one emotional experience to another. In the realm of opera, where not only music, but also words, gestures, body movements and facial expressions are involved in the description of emotional experiences, it may be useful to refer to a set of given meanings which can give a clear message to the listeners: in this respect Scherer's theory could be of use. One tool that proves to be useful in dimensional studies is the Semantic Differential. The Bipolar Differential Semantic Scale is a well-known technique used in psychological researches. In particular, it is useful in describing an item or an object according to some opposing qualities generally expressed by pairs of adjectives. The aim of this technique is simply to give a coordinate picture of individual reactions to an object or to an event according to some evaluative qualities.

In a new approach (Zentner et al. 2008) Scherer's processual theory (2005) was applied to understand individual differences in musical tastes. According to this approach three main broad factors were described: 1) sublimity (with five sub-factors: wonder, transcendence, tenderness, nostalgia, peacefulness); 2) vitality (with two sub-factors: energy and joyful activations) and 3) unease (with two sub factors: tension and sadness). This model can to some degree help to explain the differences between the arias of love, fury and sorrow defined in the previously mentioned research on Handel's *Giulio Cesare in Egitto*. In fact, many, if not all, of the sub factors that are in the factor "sublimity" can be recognized as appropriate to express different aspects of love. In the case of fury we could make similar considerations: not only anger but also energy and vitality should be considered to understand the situation linked to the single arias. Finally, in the case of sorrow, not only sadness should be recognized as the main feature of such arias, but also pain, physical pain, inanition and loss of energy.

3. Our research project

Keeping in mind the ideas previously proposed about the attribution of emotional meaning to some arias by Handel, and adding some other material, we organized the following experiment as described below.

3.1. Participants and methodology

We asked a sample of expert (17 music analysts and musicians) and non-expert participants (17 university students with no musical experience) to judge 18 stimuli coming from Handel's operas and other materials under 3 different conditions: music only excerpts (MO), audio singing clips (AS), audio-video singing clips (VS). The stimuli referred to three different emotional situations (love, fury and sorrow) and two different types of materials: congruent and incongruent. The congruent materials consisted of the same arias from *Giulio Cesare in Egitto* as previously studied: only the instrumental introduction of the aria in MO, the singing phrase linked to the instrumental introduction in AS; the same singing phrase in the audio-video presentation in VS. Incongruent materials used in MO were excerpts from Vivaldi's Concerto *La Notte* with structural features that according to the previously mentioned analysis (Baroni et al., forthcoming) could belong to love, fury or sorrow situations, while for the conditions AS and VS arias by Handel different from the congruent ones were used. Therefore the experimental design was: 3 conditions x 3 emotions x 2 features (congruent vs incongruent) = 18 stimuli. The complete list of stimuli is as follows:

- 1MO. Vivaldi, *La Notte*. LOVE.
- 2MO. Handel, *Giulio Cesare in Egitto*. Cesare "Empio dirò tu sei". Instrumental introduction FURY.
- 3MO. Vivaldi, *La Notte*. SORROW.
- 4MO. Handel, *Giulio Cesare in Egitto*. Cesare "Non è sì vago e bello il fior del prato". Instrumental introduction. LOVE.
- 5MO. Handel, *Rodelinda*. "Ombre, piante, urne funeste". Instrumental introduction. SORROW.
- 6MO. Vivaldi, *La Notte*. FURY.
- 7AS. Handel, *Giulio Cesare in Egitto*. Cornelia "Amico sasso..". SORROW.
- 8AS. Handel, *Giulio Cesare in Egitto*. Cleopatra "V'adoro pupille...". LOVE.
- 9AS. Handel, *Giulio Cesare in Egitto*. Cesare "Empio dirò tu sei". FURY.
- 10AS. Handel, *Giulio Cesare in Egitto*. Cesare "Non è sì vago e bello il fior del prato". LOVE.
- 11AS. Handel, *Giulio Cesare in Egitto*. Tolomeus "L'empio sleale, l'indegno". FURY.
- 12AS. Handel, *Rodelinda*. "Ombre, piante, urne funeste". SORROW.
- 13VS. Handel, *Rodelinda*. "Ombre, piante, urne funeste". SORROW.
- 14VS. Handel, *Giulio Cesare in Egitto*. Cesare "Non è sì vago e bello il fior del prato". LOVE.
- 15VS. Handel, *Giulio Cesare in Egitto*. Tolomeus "L'empio sleale, l'indegno". FURY.
- 16VS. Handel, *Giulio Cesare in Egitto*. Cleopatra "V'adoro pupille...". LOVE.
- 17VS. Handel, *Giulio Cesare in Egitto*. Cornelia "Amico sasso..". SORROW.
- 18VS. Handel, *Giulio Cesare in Egitto*. Cesare "Empio dirò tu sei". FURY.

The participants first had to listen to each single stimulus and immediately afterwards fill in the differential semantic scale we proposed. They were asked to judge the music excerpts according to a bipolar 7 point Likert scale: 3 points close to an adjective if it fits the target item (very much, much, somehow), 3 points close to the opposite adjective, plus a neutral point between the two adjectives.

Example: HAPPY 1/2/3/ 4 5/6/7 SAD.

Participants had to judge the stimuli according to all the adjectives proposed.

Our differential semantic scale was made up of 12 pairs of opposing adjectives, chosen on the basis of their emotional value or sensorial meaning. These were organized according to two dimensional axes (valence and activation) as in some well-known wheel representations of emotions (Sacharin et al. 2012). Valence corresponded to the pleasure/displeasure axis, activation to the presence/absence of arousal or other energetic aspects. For example, the pair happy-sad is on the valence axis, while calm-angry is on the activation axis, predictable-unpredictable express the extent a person can keep a situation under control, and so on.

Here is a list of the adjective pairs used:

1. Happy-Sad;
2. Relaxed-Tense;
3. Satisfied-Dissatisfied;
4. Calm-Angry;
5. Brave-Fearful;
6. Delighted-Disgusted;
7. Praised-Despised;
8. Optimistic-Pessimistic;
9. Humble-Arrogant;
10. Sure-Doubtful;
11. Loved-Hated
12. Predictable-Unpredictable
13. 6 of the pairs were presented with inverted values to avoid habituation effects.

3.2. Data analysis and hypotheses

Data collected from the differential semantic scale were transformed from a bipolar scale into a 7 point unipolar scale (from 1 to 7) assuming that low values (from 1 to 3) correspond to positive polarities of pairs (happy, relaxed, satisfied, calm, brave, delighted, praised, optimistic, humble, sure, loved and predictable) while high values (from 5 to 7) correspond to negative polarities of pairs (sad, tense, dissatisfied, angry, fearful, despised, pessimistic, arrogant, doubtful, hated and unpredictable). Pairs with inverted values were considered in their original direction, correcting and inverting the expressed values. Means of the answers were calculated according to the two groups of participants, non-experts and experts. Differences between the groups were analyzed with the Kruskal Wallis non-parametric test for independent samples. Differences among conditions (MO, AS and VS) were also analyzed with the Kruskal Wallis test.

Our main hypotheses concern the different conditions MO, AS and VS. In line with the previous study on *Giulio Cesare in Egitto* (Baroni et al., forthcoming), we predicted that the attribution of emotional meaning would be wider and deeper in AS and VS in comparison with MO, as singing and gestures tend to make the emotional situation clearer. Therefore AS and VS results should be more intense compared to the MO condition. Emotional meaning especially in AS and VS should be consistent with the previously mentioned model of music emotions (Sacharin et al. 2012) and be open to a situation where many emotional aspects are present. With regards differences between expert and non-expert participants, we predicted that some differences might be present due to a certain familiarity with the 18th century musical repertoire among expert participants.

3.3. Results

The main results are summarized in Tables 1 and 2, which show the mean scores of non-expert and expert participants with reference to the 12 pairs of adjectives in our differential semantic scale (the first 6 pairs are in Table 1, the others in Table 2) in the three conditions MO, AS and VS. Considering the results as a whole, if we fix two cut-off values – 2.9 or less for the positive pole adjectives (such as happy, relaxed and so on) and 5.0 or more for the negative pole adjectives, leaving aside the intermediate values between 3.0 and 4.9 – and if we take into consideration evaluations that are beyond the cut-off values in at least one condition and at least once in both groups of participants, we have the possibility of describing 3 different emotional profiles as follows:

1. Love excerpts are described as: Happy, Relaxed, Satisfied, Calm, Delighted, Praised, Optimistic and Sure.
2. Fury excerpts are described as: Tense, Angry, Brave, Disgusted, Despised, Pessimist, Arrogant, Sure, Hated.
3. Sorrow excerpts are described as: Sad, Dissatisfied, Despised, Pessimistic, Arrogant, Doubtful.

The different emotional situations encompass a large variety of adjectives. In Fury two positive qualities are described: Brave and Sure. Some qualities are clearly present only in the VS condition, as in the case of fury where Disgusted, Despised and Pessimistic reach the cut-off values only in that condition. In the Sorrow situation elements of psychological pain (Sad, Dissatisfied, Doubtful) are present instead of indicators of physical pain, as in our instrument this dimension was not present because we had to balance the adjectives within the three emotional situations. These results are consistent with our main hypothesis concerning the difference among conditions. More in detail, all differences among conditions (MO, AS and VS) are statistically significant in 10 adjectives out of the total of 12 according to the Kruskal Wallis Test: Happy (Chi-Square 17,172 df 2 sig <0.001), Relaxed (Chi-Square 9,881, df 2 sig <0.01), Satisfied (Chi-Square 40,737 df 2 sig <0.001), Calm (Chi-Square 14,372 df 2 sig <0.01), Brave (Chi-Square 11,433 df 2 sig <0.01), Delighted (Chi-Square 46,202 df 2 sig <0.001), Praised (Chi-Square 25,572 df 2 sig <0.001), Optimistic (Chi-Square 29,981 df 2 sig <0.001), Sure (Chi-Square 20,190 df 2 sig <0.001) and Loved (Chi-Square 27,785 df 2 sig <0.001). Differences are concentrated especially between the VS condition and the other conditions. For example, in the Fury situation the pair Delighted-Disgusted scored 3.4 in MO, 4.1 in AS and 5.2 in VS. This difference can be easily explained by the fact that in the video condition the disgust expressed on the face of the singers offered the judges an element that was not present in the music. Similarly, in the Sorrow situation the pair Relaxed-Tense scored 4.1 in MO, 4.6 in AS and 5.1 in VS as tension could be progressively perceived in the voice and gestures. In other cases the differences can take reverse directions: in the Love situation the pair Happy-Sad scored 2.7 in the MO condition, 3.2 in AS and 3.7 in VS: the happy element was clear in the music but somehow disguised in the other conditions.

In line with our predictions, some differences between the two groups of non-expert and expert participants are statistically significant, according to the Kruskal Wallis Test (see Tables 1 and 2). In the emotional situation of Love, differences concern the adjectives Happy, non-experts 2.2 vs experts 3.2 (Chi-Square 12,088 df 1 sig <0.01), Loved, non-experts 3.2 vs experts 2.6 (Chi-Square 4,201 df 1 sig <0.05), and Predictable, non-experts 3.6 vs experts 2.7 (Chi-Square 4,597 df 1 sig <0.05), for the MO condition, the adjectives Relaxed, non-experts 3.6 vs experts 2.4 (Chi-Square 7,332 df 1 sig <0.01), Calm, non-experts 3.3 vs experts 2.4 (Chi-Square 7,111 df 1 sig <0.01), Delighted, non-experts 3.4 vs experts 2.7 (Chi-Square 5,146 df 1 sig <0.05), Praised, non-experts 3.6 vs experts 2.7 (Chi-Square 4,386 df 1 sig <0.05), and Sure, non-experts

3.5 vs experts 2.6 (Chi-Square 6,041 df 1 sig <0.05), for the AS condition and the adjective Praised, non-experts 3.9 vs experts 3.2 (Chi-Square 4,846 df 1 sig <0.05), for the VS condition.

In the emotional situation of Fury, differences concern the adjective Predictable, non-experts 5.2 vs experts 3.8 (Chi-Square 10,182 df 1 sig <0.01), for the MO condition, the adjectives Relaxed, non-experts 4.8 vs experts 5.9 (Chi-Square 5,259 df 1 sig <0.05), and Predictable, non-experts 5.2 vs experts 3.8 (Chi-Square 7,625 df 1 sig <0.01), for the AS condition, and the adjective Sure, non-experts 4.1 vs experts 4.6 (Chi-Square 4,595 df 1 sig <0.05), for the VS condition.

In the emotional situation of Sorrow differences concern the adjectives Delighted, non-experts 4.3 vs experts 3.6 (Chi-Square 4,048 df 1 sig <0.05), Praised non-experts 5.1 vs experts 3.8 (Chi-Square 9,740 df 1 sig <0.01), and Loved non-experts 4.7 vs experts 3.4 (Chi-Square 8,880 df 1 sig <0.01), for the MO condition, the adjectives Calm, non-experts 4.6 vs experts 3.5 (Chi-Square 4,554 df 1 sig <0.05), Praised, non-experts 5.3 vs experts 4.2 (Chi-Square 5,558 df 1 sig <0.05), and Loved, non-experts 5.2 vs experts 4.2 (Chi-Square 5,302 df 1 sig <0.05), for AS, while there are no significant differences in the VS condition.

It is not easy to explain the differences that emerged between non-experts and experts, but it is possible to make some general considerations. The majority of the differences concern the Love situation. Differences are concentrated within the MO and AS conditions, while very few are in the VS condition and this is quite understandable as in the VS condition we have gestural communication that goes beyond musical ability and experience. We can interpret in the same line the fact that the differences are mostly concentrated within the MO condition where, of course, musical experience matters. Furthermore, the expert sample tends to have more results along the neutral points. Various reasons can explain this phenomenon; probably acquaintance with music rules can make certain solutions more predictable in comparison with non-expert listeners, but this, of course, may be just a speculation

EMOTION	CONDI-TION	PARTICIPANTS	HAPPY	RELAXED	SATISFIED	CALM	BRAVE	DELIGHTED
LOVE	MO	NON-EX- PERTS	2.2***	2.5	2.7	2.5	3.2	2.5
LOVE	MO	EXPERTS	3.2***	2.7	2.7	2.8	3.2	2.6
LOVE	AS	NON-EX- PERTS	3.4	3.6***	3.2	3.3***	3.6	3.4*
LOVE	AS	EXPERTS	3.2	2.4***	2.8	2.4***	2.9	2.7*
LOVE	VS	NON-EX- PERTS	3.5	3.9	4.1	3.5	3.9	3.7
LOVE	VS	EXPERTS	3.9	3.6	3.9	3.1	3.9	3.4
FURY	MO	NON-EX- PERTS	3.1	5.6	3.1	4.9	2.7	3.3
FURY	MO	EXPERTS	2.8	5.9	3.5	5.4	2.6	3.5
FURY	AS	NON-EX- PERTS	3.0	4.8*	4.6	4.7	3.5	4.1
FURY	AS	EXPERTS	2.8	5.9*	3.5	5.4	2.6	3.5

EMOTION	CONDI-TION	PARTICIPANTS	PRAISED	OPTIMIS-TIC	HUMBLE	SURE	LOVED	PREDICTABLE
FURY	VS	NON-EX-PERTS	4.2	5.7	5.5	5.7	3.8	5.0
FURY	VS	EXPERTS	4.5	6.0	5.6	6.1	3.3	5.4
SORROW	MO	NON-EX-PERTS	5.9	4.7	5.4	3.3	5.4	4.3*
SORROW	MO	EXPERTS	5.9	3.6	4.7	2.8	4.3	3.6*
SORROW	AS	NON-EX-PERTS	5.9	4.8	5.7	4.6*	5.1	4.6
SORROW	AS	EXPERTS	6.1	4.4	5.4	3.5*	4.6	4.2
SORROW	VS	NON-EX-PERTS	6.2	5.5	6.0	4.4	5.3	4.9
SORROW	VS	EXPERTS	6.6	4.8	5.8	4.1	4.9	4.6

Table 1. Differences between non-expert and expert participants according to emotions and conditions. Means of Bipolar Differential Semantic Scale values. Second 6 pairs of adjectives. Low values related with positive poles.

*= significant differences <0.05

***=significant differences <0.01 (Kruskal Wallis Test)

EMOTION	CONDI-TION	PARTICIPANTS	PRAISED	OPTIMIS-TIC	HUMBLE	SURE	LOVED	PREDICTABLE
LOVE	MO	NON-EX-PERTS	2.7	2.6	4.4	2.5	3.2*	3.6*
LOVE	MO	EXPERTS	2.5	2.5	3.9	2.6	2.6*	2.7*
LOVE	AS	NON-EX-PERTS	3.6*	3.9	3.1	3.5*	3.7	3.1
LOVE	AS	EXPERTS	2.7*	2.4	3.0	2.6*	3.0	3.2
LOVE	VS	NON-EX-PERTS	3.9*	4.0	4.3	3.8	3.9	3.8
LOVE	VS	EXPERTS	3.2*	3.9	4.1	3.3	3.4	3.3
FURY	MO	NON-EX-PERTS	3.7	3.4	5.6	2.9	4.1	5.2***
FURY	MO	EXPERTS	3.6	3.6	5.7	2.2	3.9	3.8
FURY	AS	NON-EX-PERTS	3.8	3.9	5.0	3.6	3.9	4.9***
FURY	AS	EXPERTS	3.6	3.6	5.7	2.2	3.9	3.8***
FURY	VS	NON-EX-PERTS	5.2	5.1	5.5	4.1*	5.2	4.2
FURY	VS	EXPERTS	5.2	5.4	5.6	4.6*	5.4	4.0

EMOTION	CONDI-TION	PARTICIPANTS	PRAISED	OPTIMIS-TIC	HUMBLE	SURE	LOVED	PREDICTABLE
SORROW	MO	NON-EX-PERTS	5.1***	5.5	2.9	5.3	4.7***	4.1
SORROW	MO	EXPERTS	3.8***	5.2	3.3	4.8	3.4***	4.2
SORROW	AS	NON-EX-PERTS	5.3*	5.8	3.3	4.7	5.2*	4.0
SORROW	AS	EXPERTS	4.2*	5.9	3.5	4.7	4.2*	4.4
SORROW	VS	NON-EX-PERTS	5.3	6.0	3.0	4.8	5.1	3.9
SORROW	VS	EXPERTS	4.5	6.1	3.3	5.1	4.4	3.8

Table 2. Differences between non-expert and expert participants according to emotions and conditions. Means of Bipolar Differential Semantic Scale values. Second 6 pairs of adjectives. Low values related with positive poles.

*= significant differences <0.05

***=significant differences <0.01 (Kruskal Wallis Test)

3.4. Discussion

On the whole our experiment is consistent with our main hypotheses and confirms the validity of a model concerning musical emotions where so many processual and aesthetic elements are taken into account. We can see that some emotional meanings may be related to the different conditions. Gestures are indeed important elements that can amplify the emotional meaning of a given situation. The limited sample of our two groups suggests that another experiment with a larger number of participants should be scheduled in the near future. In a way this experiment is a complement of a previous work (Baroni et al., forthcoming) and tests the results of that work in a decoding task situation. The selection of new musical materials, the possibility to compare different interpretations in different historical periods and traditions in the singing situation as well as in gesture repertoires are other directions our research should consider as its next steps.

4. Conclusions

What we have tried to stress in this paper is the relationship between gestures, postures, facial expression and music expressions in the arias belonging to the 18th century opera. As a provisional conclusion we can say that body postures and gestures reflect sound gestures but may also have autonomous values that can add different meanings to emotional situations. Music alone is somehow different from music accompanied by singing, and from music and singing accompanied by gestures. In our experiment we have tried to demonstrate this difference. The idea that emotions are processes rather than stable traits is particularly evident in the context of the arias we have studied. Furthermore, some models such as the “da capo” aria can be considered as good strategies to elaborate and modulate emotions and have a general value in different contexts, beyond their historical specificity: in the psychology tradition the role and importance of repetition has been described in dealing with traumatic events and strong emotions; similar aspects concerning the relationship between music and emotions are present in many forms of music therapy.

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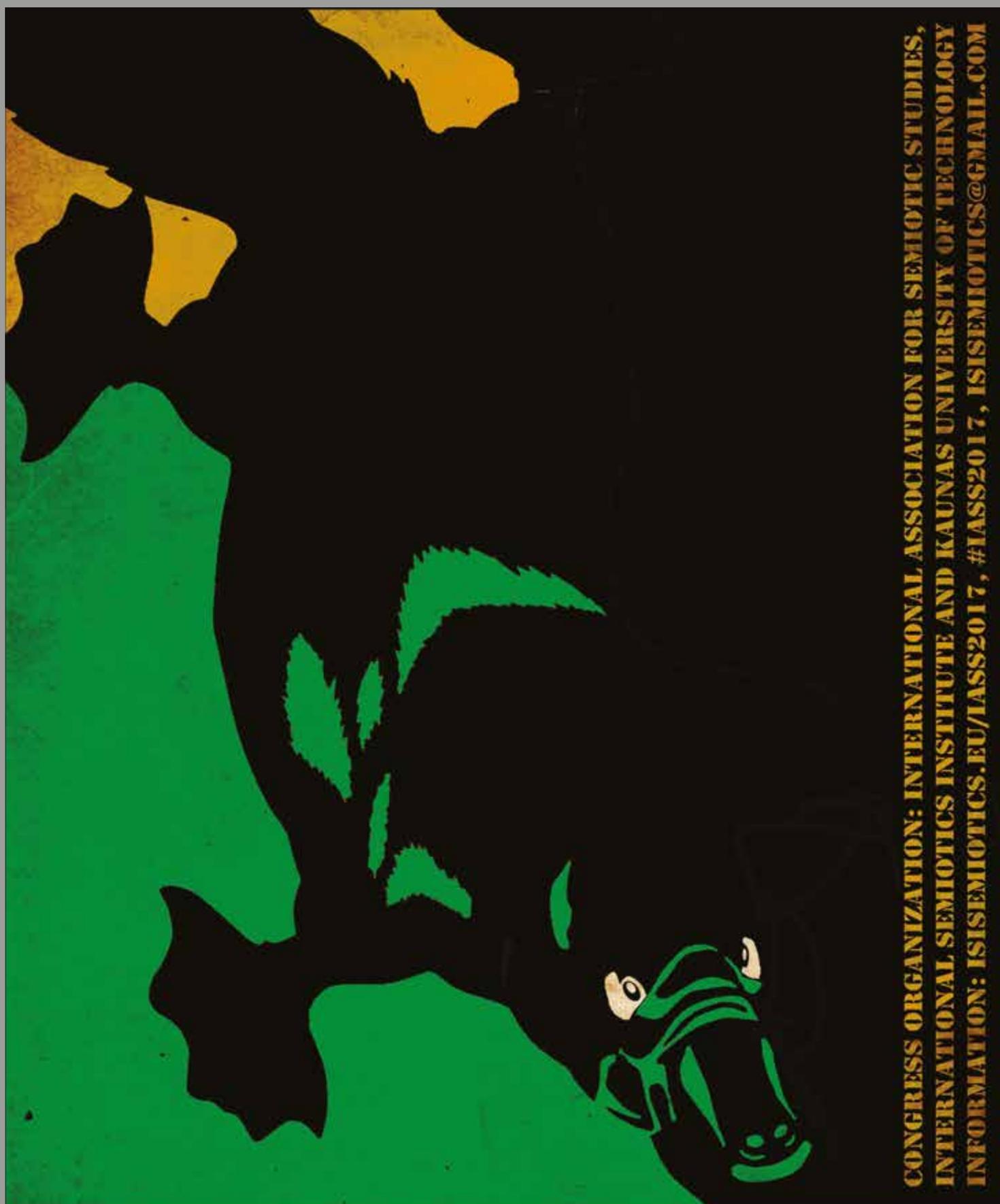
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POPULAR CULTURE, MARKETING, CONSUMPTION

THE LEXICON OF BOYS' LOVE FAN CULTURE: A CHINESE CASE

Kaixuan Zhang

The Chinese University of Hong Kong, Hong Kong
humazhxx@gmail.com

Abstract

Boys' Love (BL) fan culture is an emerging phenomenon in the Chinese cyberspace, yet it has not been widely examined in the field of semiotics. The present paper attempts to understand the semiotic lexicon of BL fan culture through the case of WiFi fandom on Weibo, the Chinese counterpart of Twitter. Through negotiating Barthesian semiotics and social semiotics, Section 2 introduces the research approaches of the present paper. Section 3 provides four examples of fan discourses, and discusses the origins and formations of typical signs in the lexicon. Section 4 sketches the basic formats of discourses in this multimodal fandom, and their relationship with different forms of typical signs.

1. Introduction

Recent years have witnessed the mainstreaming of BL fan discourses on the Chinese internet. Previously used by small groups of BL fans, these discourses are becoming popular among the majority of netizens. The WiFi fandom, which originated from the TV series *Gujian Qitan* (*Swords of Legends*), is a good example in this respect. Makers and broadcasters of the TV series attempted to please fans' imaginations about the romantic relationship between two male protagonists. Some media reports have also noticed this new phenomenon in mass culture. More interestingly, three years after the first broadcast of the TV series, the fandom remains active; fans have been incorporating visual, written, and other materials into their discourses from various sources. In terms of both social and linguistic significances, this multimedia collection of BL fan discourses worth semiotic inquiries.

In existing studies, some semiotic theorizations have been made on fan culture in general. For instance, John Fiske (1992: 37) and Henry Jenkins (2013: 50) have revealed that in fans' production, there's a semiotic process in which signs from original works are transferred. Jenkins further stresses the active role played by fans in modifying the original meanings. On their basis, the present paper attempts to provide a semiotic analysis specifically appropriate to the Chinese

case of BL fandom; due to the limited space, the research object is restricted to the lexicon rather than the whole structure of the fandom as a sign system. The first part outlines the model of analysis, which combines Roland Barthes's *Elements of Semiology* with the social semiotics represented by Gunther Kress and Theo van Leeuwen. The second part demonstrates with examples how various original signs are turned into typical signs of the BL fan discourses. The last part addresses the question of multimodality in relation to the lexicon.

2. Research design

The analytical framework mainly follows the concepts and approaches coined by Barthes, and takes into consideration the critical revisions made by social semioticians.

Adopting Barthes's (1977: 30-31) definition, the present paper treats the WiFi fandom as a complex system of signs. On the one hand, the fandom is a collection of relatively homogenous discourses concerning the same character-pairing of male stars, and these discourses are composed of various forms of signs. For instance, among discourses in the fandom, there are fan fictions mainly dependent on written signs, and there are also processed images made up by visual signs. On the other hand, different kinds of signs interact in some discourses as well as in the whole system. Fan-made videos, for example, often involve the mixture of visual, sonic, written, and other signs. With the concept of multimodality developed by Kress (2001: 68-72) and van Leeuwen (2005: 179), this interactive aspect in the complex system can be discussed in more details.¹

An overall methodological question in studying this complex system is the tension between code and recourse. As summarized by Carey Jewitt and Rumiko Oyama (2001: 134-136), Paris school semiotics prioritizes code, whereas social semiotics focus on resource. Concerning this question, aforementioned theorizations made by Fiske and Jenkins can be bracketed with social semiotics, as they pay more attention to the utilization of resource. Given the reproductive nature of fan culture as a whole, their choice is understandable. However, in dealing with BL fandom on Weibo, the researcher is confronted with an enormous quantity of discourses which are highly similar with each other. This calls for a reconsideration of the rules that encode fan discourses. Thus, in addition to investigating the sources of signs in the lexicon, the present paper also strives to extract certain rules applicable to the majority of discourses in the case studied.

Drawing on Barthesian and social semiotic approaches, the research procedure is divided into five steps. The first step is to provide several representative examples of fan discourses with necessary annotations. Secondly, it is necessary to single out typical signs that serve as "nouns" in these examples. Thirdly, through comparison between typical signs and their originals, the present paper shows how original signs are reproduced with modifications in the fandom. Last but not least, with reference to the technological and other features of Weibo, the paper discusses how these typical signs appear in different formats or modes of expression.

3. Typical signs

3.1. Examples

For the convenience of readers, this section presents four samples of WiFi fans' discourses with English descriptions instead of showing the Chinese originals.²

1 For instance, compared with Barthes, van Leeuwen (2001: 92) puts more emphasis on syntagmatic relationships in visual language. Van Leeuwen (2005: 179-267) has also provided a more detailed framework concerning modes of interactions (e.g. consistence, exchange, etc.), technological conditions, and other specific aspects for studies on multimodality.

2 All the four examples are translated into English by the author of the present paper. All following analyses are based on the English translations. Links to original examples on Weibo are listed in the references.

Example 1 is a self-introduction written by TingFeng Bar, a central account among fans on Weibo. It writes, "This is TingFeng Bar~ Home of WiFi(s)~To submit your work, please message us".

Example 2 is a micro fiction written by a fan. The author's Weibo ID is "Yi-Feng's Love Letters to Dengdeng". It is posted on Weibo in only one sentence "Essentially, I like girls, but for now and ever, I love you". Following the sentence is the hashtag "TingFeng".

Example 3 is a fan-made image. It comes from two advertising pictures of the same smartphone, in which the two male stars act as spokesmen respectively. In each advertisement, the star holds a red smartphone in his hand. In her work, the fan merges the two pictures into one. The two stars are simply put side by side in the new image, yet the smartphones in their hands are replaced with the Chinese marriage certificates. There is also a sentence above this image in the fan's post: "Love life, love TingFeng".

Example 4 is a comic picture drawn by a fan. The two stars are depicted as infant-like figures. Since the facial and bodily features of figures are cartooned, it is hard to tell what they stand for. One of the figures wears a cat-shaped pajama, who climbs on the body of and bites childishly the head of the other figure in a dog-shaped pajama. The former's head is linked to a symbol of fishbone, which indicates the state of mind like a cat eating a fish for food; whereas the latter's head is linked to a symbol of heart, which may reasonably be considered as an indication of love. Above this comic picture in the post are two lines. The first line begins with two hash tags: "TingFeng" and "MChao". Following the tags are an emoji of cat and an emoji of dog; then the words "Mew and woof pajamas"; in the last, another emoji that imitates a person lying down. In the second line, the fan mentions another fan's username, and writes, "the MChao you asked for".

3.2. Discussion

It can be seen from these examples that signs related to the stars consistently act as the "nouns" in fans' discourses. This consistency may be regarded as a natural result of the fandom's BL motif, but in this way, one may lose sight to specific operations of signs in it. In general, these signs can be singled out and dated back to their originals. The term *TingFeng*, which repeatedly appears in all four examples above and many other fan discourses, is a combination of two signs; *Ting* comes from the name of Star A (*Chen Wei-Ting*, whose English name is *William*), and *Feng* from the name of Star B (*Li Yi-Feng*). *WiFi*, which is the self-name of fans, is a similar product; the first letter *W* comes from *William*, and the third letter *F* comes from *Yi-Feng*. Besides these written signs, it is also found in Example 3 that stars' visual images are imported as "nouns" in fans' discourse.

Transformed into the sphere of WiFi fandom, these signs jointly make up a new lexicon, and thereby constitute new interrelations. To illustrate the differences, the present paper calls a sign derived from Star A as Sign A, and a sign derived from Star B as Sign B. In most of original discourses concerning the two stars, a Sign A and a Sign B are independent from each other, and are only related occasionally in discourses. For instance, the name of *Chen Wei-Ting* and the name of *Li Yi-Feng* may appear together in discourses concerning their co-starred TV series, but they can surely signify separately in many other discourses. Entering WiFi fandom, by contrast, a fan discourse necessarily involves at least one syntagmatic combination of a Sign A and a Sign B. In Example 2, the user's Weibo ID anchors the subject and object in the micro fiction. The first-voice narrator *I* corresponds to *Yi-Feng*, the given name of Star B; the fictional addressee *you* corresponds to *Dengdeng*, the nickname of Star A; the verb *love* and other components further specify the syntagmatic relations between Sign B (*I/Yi-Feng*) and Sign A (*You/Dengdeng*). Similarly, in Example 3, Sign A is the advertisement image of Star A, and Sign B is the advertisement of Star B; the two are not only spatially put together, but also linked by the marriage

certificate. Although the syntagm in this visual discourse is not as clear-cut as in Example 2, it still functions cognitively.

This divergent form of syntagm leads to the fandom's own method of sign production. At a first glance, both original signs and the fandom's typical signs come from the stars and the characters they have played in various cultural products. But, in BL fan discourses, two classes of typical signs develop almost contrapuntally: Class A made up by the collection of Signs A, and Class B by the collection of Signs B. A Sign A must be, in most fan discourses, symmetrical with a Sign B in terms of form and/or content. For example, BL fans tend to use more one-letter signifiers than producers of original discourses to designate the stars and the characters they have played. Besides aforementioned *Ting* and *Feng*, *M* and *Chao* in Example 4 are also one-letter signifiers in Chinese. *M* is from *Mike* (a character played by Star A), and *Chao* is from *Xiang Yun-Chao* (a character played by Star B). The two original images in Example 3 are also highly symmetrical in form and content.

More importantly, this symmetry brings about semantic nuances between original signs and typical signs of the fandom. If their denotations seem to be the same stars or characters played by the stars, the typical signs bring about connotations unfound in the original signs. Among the original signs, either a Sign A or a Sign B is normally masculine, which is consistent with the gender of the male star. However, in the fandom, the pairing of a Sign A and a Sign B highly gendered; Sign A is in most cases the masculine, and Sign B is accordingly the feminine. Animals in Example 4 most clearly illustrates this binary opposition. The cat and the dog as signs metaphorizing characters played by the two stars can hardly be found in original discourses, but they are commonly used by WiFi fans. Quite like the "cats versus dogs" genre in popular culture, the cat and the dog are depicted as opposite among the fans. The dog, which is a Sign A always linked to Star A, connotes stereotypical masculine traits, such as endurance, enthusiasm, activeness, and so on; the cat, which is a Sign B, often connotes stereotypical feminine traits accordingly. In this sense, although original signs and typical signs overlap in terms of denotation, they can be quite different in terms of the gendered connotation.

4. Multimodality

Although the examples above cannot exhaust variations of signs in the lexicon of WiFi fandom, it can already be seen from them that different forms of signs interact in the generation of meanings. This makes the fandom qualified as a complex system by Barthes's definition, or a multimodal system in social semiotics. As each Weibo post produced by and relevant to WiFi fandom serves as an example in empirical analysis, it is necessary to give a description of the basic format of it. In addition to the universal format of all Weibo posts, the fandom also exhibits some specific patterns, which are also noted.

The Weibo posts can be divided into two kinds: the original posts and the reposted posts. In an original post, the user's ID and the textbox are two necessary components, and the image, video, and other components are optional to it. A WiFi fan's ID is usually made up by Chinese, English, and/or Japanese written characters. Other forms of signs like image (e.g. emoji) are rarely found in the IDs of WiFi fans, and are thus neglectable. In the context of the fandom, an ID can be either meaningless or meaningful. A meaningless ID is merely a name which differs a user from another. A meaningful ID does not only identify the user, but also echoes the fandom's motif; this echoing is usually achieved through incorporating one or more typical signs, just like the IDs in Example 2 and 4.

The textbox is another requisite in an original repost. Besides written signs, it can also include emojis and links to all kinds of external sources. The textbox's limit over space was 140 charac-

ters at the earlier stage, and this limit has been cancelled since early 2016 with the introduction of a longer text function. Even though, most posts are still within the limit of 140 characters. As for their contents, the textboxes in the fandom conventionally contains hashtags concerning the general motif (e.g. *TingFeng*) or the specific pair of characters (e.g. *MChao*). These hashtags make the contents more recognizable and searchable for other fans.

Apart from the hashtags, contents made up by written signs in the textbox can be categorized as four types. The first one is micro fiction within 140 characters, a genre especially shaped by the technological feature of Weibo. Second, fictions longer than 140 characters constitute an interesting contrast with micro fictions. In addition to the longer text function, these fictions can also be posted via external link to another website. The third type is “factual” statement or interpretation. Unlike fictional genres, these statements or interpretations often adopt realistic tone, and focus on factual elements concerning the two stars, such as the discovery that the two stars used to wear the same design of clothes. However, it should never be forgotten that there’s a fundamental fictionality underneath these facts, that is, the romantic relationship between two stars. The stars’ similarities in dressing are utilized as clues of their fictional romance. This type also includes fans’ subjective experiences concerning character-pairing, interactions between fans, etc. The last type is a loose collection of other contents. For instance, since the textbox can’t be empty even when the fan attempts to post an image, it can be filled in the textbox the phrase “*Shared an image*”. Some other written contents without autonomous meanings related to the motif can also be classified into this type.

Two optional but popular components of a Weibo post are picture and video. Although a post can contain no more than nine image files, each file can be long enough to include far more than one pieces of images. The length of the image file makes it another carrier of fictions. Before and after the validation of the longer text function, many fans have been transferring their fictions into image files. Hence, this area of picture is not exclusively dominated by image-signs, but also includes written signs. Moreover, even in images (re)created by WiFi fans, written signs play more important roles than in original discourses, as one can get a glimpse from the text *Certificate of marriage* on the image of the certificate in Example 3. Regarding image-signs in the fandom, the present paper suggests to further differ photographic signs from comic signs. As shown in Example 4, comic images are on one hand more symbolic than photographic images, and on the other hand create new signs (e.g. the cat and the dog) absent in original discourses. Hence, some special treatments should be devoted to their differences in analysis.

Compared with the components above, the video is possibly most difficult to analyze with written language. The technological issues further add to these difficulties. For instance, videos that can be directly uploaded to, shown and played in Weibo posts are usually short; their image qualities are often not very high, and lack popular functions like bullet screen. As a result, fans often upload videos to external websites like Bilibili, and then share external links to them on Weibo. It is therefore necessary to take these videos into account. Analogical to the textbox, contents of the videos can be divided into fictional and factual videos. The fictional mainly refer to those re-edited videos produced by fans. The factual, like those factual written texts, are “original” videos about the two stars; the only difference is that, relocated in the context of the fandom, and reinterpreted by the fans with written or other signs, their meanings are modified. For example, an original video in which Star A talks about his friendship with Star B can easily be reinterpreted as boys’ love in the fandom; in this process, as analyzed in Section 2, the original signs have been virtually transformed into typical signs. In both kinds of videos, the mixture of written, sonic, visual, and other signs functions.

To briefly sum up, it can be seen from above that multiple forms of signs, genres, and modes of expression are involved in the WiFi fandom on Weibo. On the one hand, different forms of

typical signs constitute the same lexicon of the fandom, and their functioning in signification transcends the limits of a certain form of signs like natural language (Kress 2001: 68-70). On the other hand, there are materialized differences between these forms, which lead to some distinct or nuanced positions within the multimodal system. It should also be stressed that although an empirical study has to make some classifications and isolations, the fandom as a sign system is dynamic. As analyzed in Section 3, every component of the formats, even the seemingly meaningless IDs, can take active parts in signification; the boundary of the fandom, as one can see from the case of external links to videos, is neither completely decided. To provide a more holistic scope of the fandom, some further studies on syntagms are still needed.

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**FROM THE SESSION
“CONVERGENCE
TECHNOLOGIQUE,
USAGERS ET CONFLIT
COGNITIF”**

CONVERGENCE TECHNOLOGIQUE ET CONFLIT COGNITIF¹

Rafael Del Villar Muñoz
Université du Chili
rdvillar@gmail.com

Abstract

La recherche socio sémiotique synthétisée prend comme base analytique la réalisation de deux projets de recherche : avec des jeunes (11-12/16-18/20-24), et avec des adultes (30-35/40-45/50-55), différenciés par genre et strate sociale. Nous avons réalisée deux sondages sociologiques à la ville de Santiago, en différents périodes (dans les jeunes, 2008, 544 cas ; et dans les adultes, 2013, 544 cas) et nous avons construit un Index de traitement de la complexité (combien de choses il est possible de faire à la fois), qu'il est appliqué aux deux échantillons intentionnels. S'il est vrai qu'il y a des différences de temporalité dans la capture des données, la comparaison fait la contribution de poser la problématique de l'existence des différent protocoles cognitives en corrélation à la variable âge de vie, qu'il faut dans les recherches à l'avenir faire la mesure dans la même temporalité. À partir de cela il est possible différencier deux profils chez les jeunes: *simple* (perception d'un seul espace cognitif, 22% ou 26% de la totalité), et *complexe* (perception d'au moins dix espaces cognitifs, 29% ou 25% de la totalité). La plupart des jeunes présentent une complexité moyenne (quatre espaces cognitifs à la fois, 46,9% de la totalité). Chez les adultes, la situation est différente, seulement les 30- 35 ans ont les mêmes situations cognitives, mais les 40-45 et 50-55, ont seulement une simplicité cognitive. Dans la recherche sémiotique s'est fait une sélection des cas pôles : il y a différentes interfaces par rapport la focalisation de l'espace perceptif (image ou mot) et par rapport aux liens entre les espaces focalisée. Alors on décrit une zone de conflit qui touche à la théorie sémiotique, et à la convergence. La convergence technologique et le logiciel multiplateforme ont généré un traitement cognitif complexe, on peut dire « un traitement parallèle de l'information » et, peut- être il n'est pas en concordance avec les protocoles perceptivo-cognitifs des tous les usagers.

1 Projet de recherche Fondecyt Régulier No 1120064 « Navigation par Internet : perception et cognition dans la population adulte du Grand Santiago », cette recherche a été possible par les fonds provenant du Centre national de la recherche scientifique et technologique (FONDECYT) du Gouvernement Chilien.

1. Convergence technologique : le lieu des procès de médiation/ médiatisation

Si dans le période de la télévision publique il y avait un rapport verticale entre la chaîne et leur publique, et dans le période de la télévision de la demande à travers des études d'audience les chaînes produisent selon les goûts d'un public présumé par le marketing, dans le période d'aujourd'hui, avec la convergence technologique les rapports ne sont pas linéaire, on pose plusieurs relations possibles. Sonnac et Gabszewicz (2013) décrit le procès comme un écosystème à quatre couches avec des relations multiples : l'interface des réseaux et terminaux, l'interface des opérateurs de réseaux, les interfaces des plates — formes et intermédiaires, et en plus les interfaces du produit elle — même, à niveau des contenus et de la forme audiovisuelle. Car, l'objet est construit à partir d'un carrefour des transactions d'un couche sur des autres, « la convergence induit une hybridation des processus de création de valeur » (Sonnac et Gabszewicz 2013 : 9). On peut penser que l'objet culturel a plusieurs principes de cohérences, et, en plus le logiciel multiplateforme implique la mise en marche de plusieurs textes à la fois, la télécommande universelle n'existe pas, et les appareils ont plusieurs fonctions, « c'est la raison pour laquelle je n'arrive pas à trouver un téléphone qui ne soit qu'un téléphone » (Jenkins 2014 : 35). Il ne s'agit pas d'un changement seulement technologique : « La convergence altère le rapport entre les technologies, les industries, les marchés, les genres existants, d'un côté, et les publics, de l'autre » (Jenkins 2014 : 35).

Alors, le concept de procès de médiatisation qui avait un lieu analytique central à l'époque de la télévision publique et de la télévision de la demande, aujourd'hui laisse leur lieu à l'étude des processus de médiation : les usagers et leur rapport avec les objets culturelles construit est un besoin analytique pour donner compte du fonctionnement culturels de la société total. C'est un problème qui touche à la sémiotique, à la sociologie et à tous les sciences sociales et humaines. Dans ce cadre transdisciplinaire, il y deux contributions importants qu'ils feront une contribution analytique, les sémiotiques numériques et la science cognitive, par rapport la description du réel.

2. La contribution des sémiotiques numériques: hypertextualité, interface, interaction

Il y a trois concepts théoriques qui nous permettrons décrire le procès de médiation entre les usagers et les objets culturels : s'il s'agit d'étudier l'interaction du processus il faut savoir aussi sur la forme de fonctionnement du logiciel multiplateforme, l'hypertextualité, et aussi décrire le principe cognitif mise en acte, c'est à dire, le concept d'interface. Dans la navigation, comme dans le jeux-vidéo est plus visible étudier les protocoles cognitives des usagers, parce qu'il y a d'interaction, et nous pouvons regarder en acte la façon cognitive de résoudre des problèmes cognitives. L'hypertextualité sera définie comme le fonctionnement textuel où l'argumentation impliquée, est construite à travers de links avec d'autres textes, ce que remet à une argumentation parallèle qui n'opère pas nécessairement comme une enclave dans une histoire de base, mais comme une carte de navigation qui ouvre la voie à multiples lectures, selon les chemins que choisit l'utilisateur en transaction avec la plateforme du logiciel (Del Villar 1997, Balpe 2003, Del Villar, Campos, Perillán 2014). Le concept d'interfaces sera défini comme le principe organisateur d'attachement de fragments focalisés « qui obéit à un programme, à une interface proposée » (Del Villar et Scolari 2004 : 14). Il y a deux interfaces, celle projetée par le dessinateur du projet multimedial, « le modèle conceptuel du dessinateur, la représentation mentale du système qu'il a construite et de l'utilisateur idéal » (Scolari 2004 : 81), et l'interface réelle de l'utilisateur, « le modèle mental développé par l'utilisateur à partir de son interaction avec le système, au-delà de sa connaissance du fonctionnement réel de ce dernier » (Scolari 2004: 81). En définitive « l'interface peut être considérée d'entrée un modèle de la pensée, puisqu'il met en évidence une façon d'agir et de penser » (Català 2010: 62). Le troisième concept descripteur de ce qui est le procès

de médiation est l'interaction. Celle-ci est doit y avoir équivalence entre le modèle d'interfaces proposée par lequel conçoit le web et/ ou tout objet culturels, et les cartes cognitives de l'utilisateur, en construisant depuis cette optique une communication qui peut arriver à l'utilisateur.

3. La contribution des sciences cognitives

3.1. Les sciences cognitives

Alors les procès de médiation sont produits à l'intérieur de la corrélation/non-corrélation entre les interfaces des usagers avec l'espace du logiciel multiplateforme objet d'étude. Car, tout passe dans le processus de la perception-cognition du cerveau, le programme d'interfaces. Les sciences cognitives d'aujourd'hui ont testé l'impossibilité de la première science cognitive qu'elle avait pensé que le cerveau fonctionne comme un ordinateur, à travers d'un programme logique : « le déplacement définitive du cognitivisme (non pas applicabilité) et leur remplacement par le connexionnisme est datée en 1985 » » (Dortier 2003: 26). La rupture épistémique est que la perception et la cognition opèrent des manières distribuées; ainsi « l'intelligence la plus profonde et fondamentale est celle du bébé qu'il peut acquérir le langage à partir de manifestations quotidiennes et dispersées, et qu'il peut distinguer des objets significatifs à partir de ce qui paraît être une mer de lumières » (Varela 1996 : 56). La stratégie connexionniste « consiste à construire un système cognitif non à partir de symboles et de règles, mais de composants simples qui seraient dynamiquement reliés entre eux de manière dense » (Varela 1996: 61). Dans un tel système ne serait pas requise une unité de procès centrale logique qui guiderait toutes les opérations, mais processus d'autoréalisation du système où « les symboles, en sens conventionnel n'effectuent aucun rôle » (Varela 1996 : 77). À l'intérieur du connexionnisme il y a des points communs et aussi des différences : « les théories de A. Damasio, G. Edelman, et celles de Varela comportent tout la notion de sélection. Ces neuroscientifiques mettent tous en avant l'idée que l'activité cérébrale es l'œuvre des processus complexe au sein desquels se produit un sélection » (Infurchia 2014 : 52). Mais, il y a une différence très significative entre Edelman et Varela. Edelman fait une liaison théorique sans la base d'une validation empirique. Le sujet focalise des objets sélectionnés à partir des propres cartographies à la mémoire, et il établit des rapports entre eux pour procéder à le donner un sens, mais la « remémoration résulte non seulement des liaisons entre cartographies avec des régions du cerveau non cartographies qu'il appelle organes de la succession » (Edelman 2004: 161). Les organes du cerveau non cartographiés sont les principes de fonctionnement organique propres de chaque sujet, dans laquelle le concept central est l'*autopoiesis*. Le concept d'autopoiesis, d'autorégulation du système à partir des traces biologiques n'est pas testé. Seulement on dit quelques métaphores de liaison entre la société et le sujet avec leur système immunologique, mais, il s'agit d'une philosophie ne pas d'une validation.

3.2. Les modèles enactives: la contribution de Francisco Varela et les rapports avec les sciences sociales.

Le sujet focalise des objets sélectionnés à partir des propres cartographies à la mémoire, et il établit des rapports entre eux pour procéder à le donner un sens, mais le procès est lié à l'histoire de vie, et à l'expérience existentiel. Et dans ce cadre, Varela ne parle pas de la philosophie, il parle des catégories qu'ils sont possibles de falsifier, les données empiriques le permettent l'établissement de la catégorie, ne pas la transcendance. Les modèles enactives (Varela 1996, 2004, Varela, Thompson et Rosch 1992, Letelier 2015) construit par rapport la perception-cognition des animaux, comme notre propres recherches sur la cognition des jeux-vidéo et la navigation (Del

Villar 2006), ils ont testé que la perception est un produit des procès cognitives dans les parcours de la vie des sujets, cette procédure est appliquée par rapport la lecture des objets culturelles comme par rapport la cognition de la vie quotidienne, des hommes et des animaux.

4. La recherche empirique

Dans le contexte chilien deux recherches ont développé le but d'étudier les parcours visuels mobilisés lors de la navigation sur internet pour décrire non seulement les parcours des usagers mais aussi et surtout ce qui est à la base de son style de navigation. La recherche sur des étudiants universitaires chiliens et françaises 19-22 années réalisée par Meza (2014) qui met au jour un certain nombre des régularités dans les parcours de navigation des sujets, grâce à une méthode d'extraction et de visualisation de traces de navigation. La technique d'interprétation des traces de navigation permet de réaliser des graphes de parcours d'étudiants pour une tâche d'enseignement-apprentissage précise. Les modules indispensables à l'accomplissement d'une tâche apparaissent sous forme de nœuds, dans l'outil graphique. La distance entre les nœuds sert à représenter le nombre de modules utilisés pour arriver au nœud important suivant.

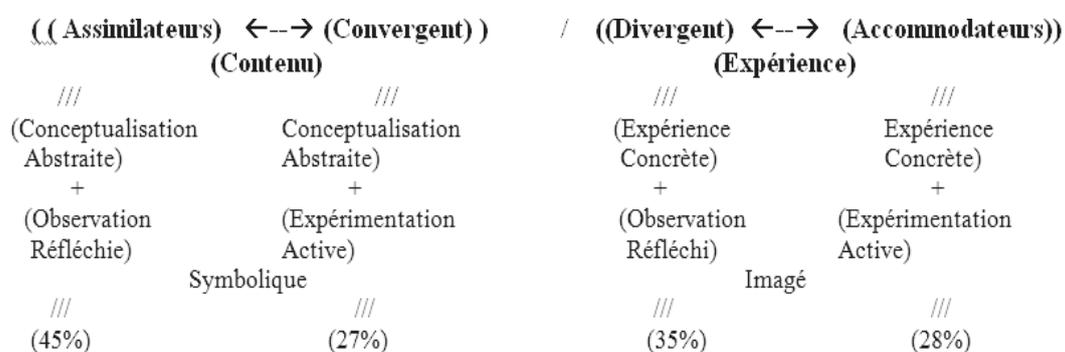


Figure 1. Focalisation sur les styles d'apprentissage.

La recherche est soutenue à partir de la théorie du *Learning Style Inventory* qui établit les styles d'apprentissage convergent, divergent, assimilateur et accommodateur, conformément à la stratégie d'apprentissage dominante du sujet (Kolb 1983, Honey et Mumford 1992, Kolb et Kolb 2005). Ces stratégies correspondent respectivement aux facteurs dominants : expérience concrète, observation réfléchie, conceptualisation abstraite, et expérimentation active. Dans la recherche (Meza 2014) on obtient quatre scores indépendants et deux combinaisons de résultats tels que préférence pour l'abstrait par rapport au concret et préférence pour l'expérimentation par rapport à la réflexion.

Il est clair que la recherche (Meza 2014) décrit deux types de focalisation perceptive : par des concepts, et par l'expérience. Il faut remarquer deux choses. D'un côté la possibilité de succès peut être donnée par les deux voies de focalisation. Bien sûr que la focalisation à partir des concepts a fait un succès de 72% en face de 63% de la focalisation dans les images mêmes, par rapport la tâche d'enseignement-apprentissage demandée. Plusieurs recherches permettent valider la présence des deux modes de focalisation qui peut être des mots (concepts). D'autre côté, il faut tenir en compte que la recherche synthétisé (Meza 2014) nous permet valider notre propres recherches sur le même sujets. La catégorie des styles d'apprentissage est une conceptualisation construit sur une donnée empirique : la focalisation d'images versus la focalisation des concepts. Notre dispositif analytique éloigné théoriquement des déjà décrits arrive à la même description

par rapport la focalisation images/ concepts. Par notre recherche, l'ancrage théorique est l'école néo- freudienne de Paris, Lacan (1966, 1973) et leur application au domaine de la culture : Kristeva (1974, 1980, 2013), Metz (1979), et Aumont, Bergala, Marie, et Vernet (2008). Dans ce contexte, on parle d'identification imaginaire/identification symbolique. L'identification symbolique est l'identification œdipienne, le modèle parental et l'ordre social, même l'identification contre-phobique, leur rejet (Kristeva 1974), il s'agit de l'adscriptions des rôles sociaux établit et des attributions des valeurs ou rejet. Par rapport l'identification imaginaire Lacan, Kristeva et Aumont, Bergala, Marie et Vernet n'ont pas donné une opérationnalisation spécifique. Pour Lacan est le domaine de la non signifiante, il est l'identification symbolique qui fait la coupure de la galaxie signifiante et lui donné un sens. Mais, il n'y a pas de preuve, il y a une présupposition transcendantale, non testé. Para Metz (1979) l'identification imaginaire est de l'ordre de la condensation/ déplacement de l'énergie psychique : « la condensation et le déplacement, nous pouvons considérer qu'ils affectent directement à le signifiant » (Metz 1979 : 241) ; mais, l'opérationnalisation sont des conjonctions d'image (condensation) et passer d'une image à l'autre (déplacement). Situation similaire dans Aumont, Bergala, Marie et Vernet (2008). Dans ce contexte, nous avons développée un outil de mesure basé dans la contribution de Wilhelm Reich (1952-2002). Alors, l'identification imaginaire est conceptualisée comme correspondant aux traces de condensation et de déplacement d'énergie liées à la manifestation de l'image : variations de luminosité, temporalité du montage, organisation spatiale gestualité et proxémique narrative, et par rapport la relation entre la machine (l'écran, l'artefact) et le corps (Del Villar 2001, 2004, 2015), à partir d'une reconceptualisation des contributions de Petitot-Cocorda (2000) et de Wilhelm Reich (2002). Dans les limites de la présente communication il est impossible exposer tous les fondements des paragraphes précédents, mais il est clair qu'on arrive, au niveau empirique, à la même différence trouvée par Meza (2014), malgré la différence théorique. Il faut tenir en compte que quarante années derrière Metz avait compris qu'il n'y a pas équivalence entre la perception et la nomination, entre le perçu et le nommé, il y a deux procès possible : « grâce aux traits pertinents du signifiant iconique, le sujet identifie l'objet (= il établit le signifié visuel) ; de là, il passe au sémème correspondant dans sa langue maternelle (= signifié linguistique) » (Metz 1977 : 145). Mais, Metz détecte aussi le chemin inverse « elle peut aussi être parcourue dans l'autre sens, depuis le signifiant phonique jusqu'au repérage perceptif » (Metz 1977 : 145).

Focalisation du regard lors de la navigation selon âge de vie

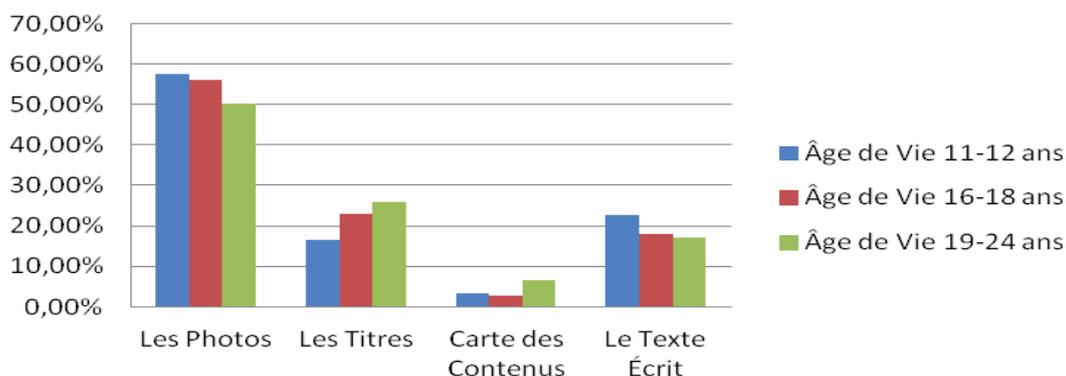


Figure 2. Focalisation du regard lors de la navigation jeunes

Par rapport aux procès de focalisation, on observe deux types : a) la focalisation sur des concepts et leurs liens, qui a été qualifiée de *symbolique*, et b) la focalisation sur des images, que le sujet cherche à associer et que l'équipe de recherche a qualifiée d'imaginaire.

Dans notre recherche sur les jeunes (Fig. 2), les deux formes sont principalement liées à l'âge du sujet : les enfants de 11 et 12 ans, les adolescents de 16 à 18 ans et les jeunes adultes de 20 à 24 ans mobilisent les deux types de protocoles cognitifs et perceptifs (concepts/images), la majorité des jeunes étant imaginaires sans qu'il n'y ait de grandes différences entre les strates sociales et le genre. Mais, il faut regarder qu'à la mesure que l'âge monte la focalisation symbolique monte aussi.

Cependant, les tranches d'âge de 40-45 ans et 50-55 ans privilégient la localisation de titres et de textes écrits, à la différence du groupe des 30-35 ans qui ont un comportement similaire aux plus jeunes (Fig. 3).

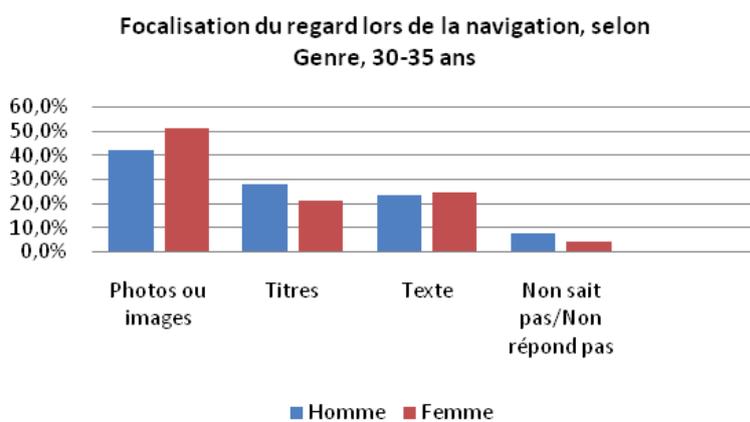


Figure 3. Focalisation du regard de la navigation selon âge de vie 30-35 années.

Mais, la mise en acte de l'interface pour percevoir-connaître le réel, c'est-à-dire un protocole cognitif n'implique pas seulement focaliser, il faut faire la liaison entre les objets focalisées. Ce que nous avons dénommé comme interface est la procédure d'ancrage cognitif et de liaison (parallèle-complexe/ non parallèle-séquentiel simple) entre les objets focalisées. Cependant, nous devons garder à l'esprit que la focalisation perceptive n'est pas un processus simple, puisqu'il couvre deux réalités différentes. A cet égard, Petitot-Cocorda situe deux niveaux de construction perceptive : a) la notion de forme avec des contours visibles dans le sens de parties qui font la constitution d'un objet phénoménologique, dans le sens des gestaltistes (Kanizca 1986), il s'agit des « parties 'détachables' au sens de 'morceau' » (Petitot-Cocorda 2000 : 75) ; et b) la notion de parties non-liées, ce qui signifie ici fragment associatif qui se détachent de l'objet en représentant autre chose, par une relation associative dans d'autres espaces perceptifs : « les parties 'non détachables' ou moments — comme les contours ou les couleurs qui, bien qu'étant des composantes nécessaires des objets, entretiennent avec leur extension un rapport de dépendance » (Petitot-Cocorda 2000 : 75). Ainsi existent-ils deux types de segmentations de l'expérience sensorielle, et quelques fragments renvoient de manière plus approfondie aux procès des liaisons, c'est-à-dire, à la mémoire associative.

Pour la plupart des chercheurs les formes de liaison peuvent être spatiales (contiguïté) ou conceptuelles. Dans notre perspective théorique nous avons fait l'inclusion d'une troisième catégorie : le dispositif pulsionnelle du propre corps par rapport l'écran et la machine même. Petitot, Varela, Pachoud et Roy (2002) à l'intérieur des sciences cognitives connexionnistes

enactives catégorisent le procès des liaisons avec quatre types ou niveaux d'intelligibilité des objets réels : 1) les relations des ensembles : un fragment du réel est perçu ; 2) des relations de contiguïté : le sujet détecte deux variables qui peuvent être connectées pour coexister l'une près de l'autre ; 3) des relations de connexion et de dépendance : deux opérations peuvent être liées et en produire une autre ; et 4) une capture de moments regroupant les figures ou éléments précédents. Il y aurait un traitement parallèle quand différents aspects de l'information sont traités en même temps par des unités semblables aux neurones appelées parfois des neurones formels. Car, on peut construire un indice de traitement de la complexité qui permet de détecter la conduite d'entrée des sujets. Alors, il y aura un type de protocole cognitif qu'il s'approche à un traitement cognitif simple, parce qu'il mise en acte seulement une séquentialité en opposition à un traitement cognitif complexe parce qu'il mise en acte plusieurs espace avec des rapports multiples. La complexité sera définie par l'attachement que le sujet fait de ces espaces de la réalité détectés. Nous avons fait la mesure de la simplicité/ complexité cognitive à partir d'un sondage (échantillon intentionnel) qui nous a permis l'acquisition des paramètres réels de la catégorisation. Après, nous avons réalisée l'étude sémiotique des usagers dans une situation de navigation concrète, livre (cinq minutes) et en fonction de remplir un but demandée (25 minutes). Pour cet étude nous avons sélectionné les cas à partir de demander aux sujets l'élaboration livre d'un essai et/ ou un conte, et étudier sémiotiquement le texte généré par rapport à tester si le sujet à étudier a la condition d'être simple ou complexe. Cette procédure a généré un échantillon des pôles de traitement cognitif de 54 cas jeunes et 54 cas adultes. Alors, la mesure de la complexité/simplicité cognitive prendre comme base le sondage, c'est-à-dire la construction d'un indice statistique de traitement de la complexité.

Cet index a été créé afin de mesurer le niveau de maniement d'espaces parallèles que les personnes interrogées sont capables d'exécuter simultanément. Pour sa construction quatre questions sont employées (basée sur 7 variables):

- Question 1 : Quand tu travailles dans l'ordinateur, écoutes-tu une musique ? (Jamais, Parfois, Toujours).
- Question 2 : D'habitude travailles-tu sur l'ordinateur et le chat en même temps ? (Toujours, Parfois, Non).
- Question 3 : As-tu des problèmes d'attention pendant les cours ou au travail quand ... (par ex. les instructions sont trop complexes, ils sont trop évidentes, le sujet ne s'intéresse pas et je n'ai pas de problèmes de concentration) ? Les valeurs ont été traitées à partir des 4 variables différentes.
- Question 4 : Habituellement, avec combien de personnes peux-tu chatter à la fois ? (on fait une échelle). Au moyen de la fonction recod de spss on a recodifié les 7 variables de manière qu'elles aient le même niveau de mesure (nominale) et les mêmes attributs (une complexité basse, haute et moyenne). Le même index a été généré pour l'étude de la complexité/ simplicité cognitive des jeunes et des adultes. S'il est vrai qu'il y a des différences de temporalité dans la capture des données, la comparaison fait la contribution de poser la problématique de l'existence des différents protocoles cognitives en corrélation à la variable âge de vie, qu'il faut dans les recherches à l'avenir faire la mesure dans la même temporalité.

Alors, la recherche a notamment détecté deux formes de liaison : le premier *simple* (perception d'un seul espace cognitif), et le second *complexe* (perception d'au moins 10 espaces cognitifs), et la plus part des jeunes ont une complexité moyenne. La figure 4 représente la complexité selon les tranches d'âge : 11-12 ans ; 16-18 ans ; 19-24 ans. En suite, la preuve statistique chi carré (variables catégoriques) a été appliqué en contrôlant variable traitement complexité par la strate, le genre et nous avons testé qu'il n'y a pas des différences significatives dans les jeunes.

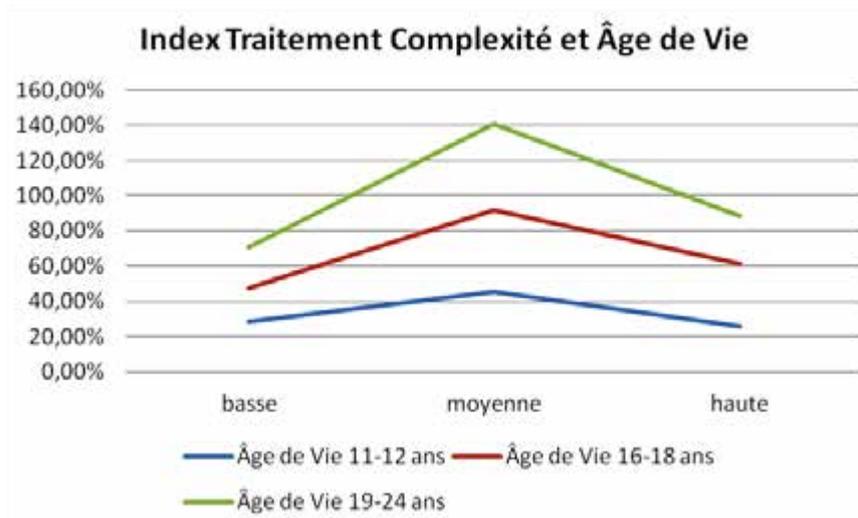


Figure 4. Index traitement complexité et âge de vie jeunes.

Par rapport les âges de vie 30-35 ans, 40-45 ans et 50-55 ans, nous avons testé l'existence des différences significatives par tranches d'âge de vie, mais pas par rapport à la strate sociale et au genre. La tranche d'âge de vie 30-35 ans a le même comportement statistique que les jeunes, c'est-à-dire la plupart une complexité cognitive moyenne, et deux pôles haute et basse. La preuve statistique chi carré (variables catégoriques) avec l'index de traitement de complexité, en contrôlant cette variable par la strate sociale, le genre, et la tranche d'âge permet observer seulement différences significatives par rapport l'âge.

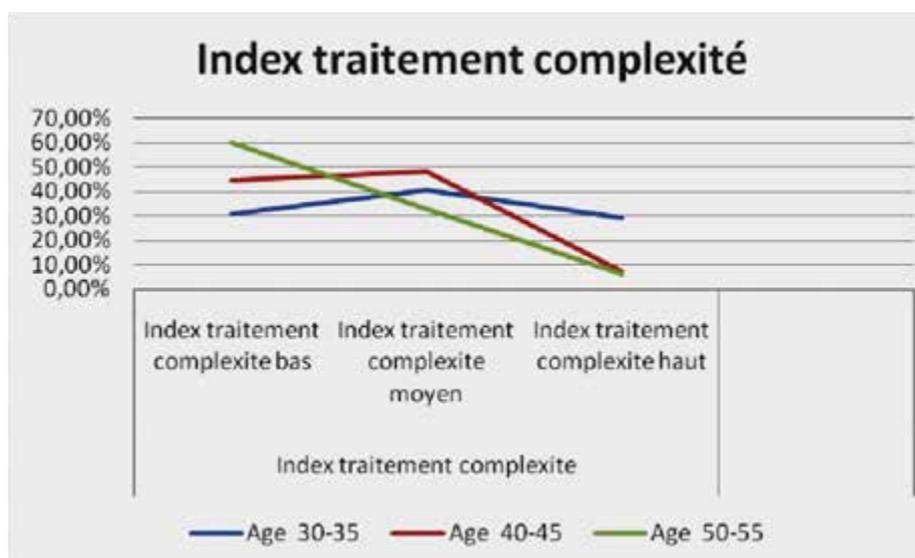


Figure 5. Index traitement complexité adultes.

5. Convergence et conflit cognitif

Car, les descriptions précédents nous permet saisir un déséquilibre de fonctionnement de notre construction culturelle d'aujourd'hui : il n'y a pas les mêmes protocoles perceptives-cognitives, dans le cas chilien ils sont différents par tranches d'âge de vie, non pas par strate social et genre. Dans ce contexte on requiert d'inclure le concept de *conflits instrumental* développé par Mar-

quet dans une catégorisation élargie : « les conflits instrumentaux permettent de rendre compte d'obstacles individuels à des actions collectives finalisées, en désignant les interférences entre les niveaux d'appropriation des objets didactiques, pédagogiques, des objets techniques et des objets sociaux en jeu dans les environnements actuels » (Marquet 2004 : 120). L'élargissement théorique serait l'inclusion de la catégorie de conflit cognitive, parce que le plus probable serait la non corrélation entre les interfaces proposée par le modèle communicative persuasive, et aussi des stratégies de enseignement- apprentissage, par rapport les protocoles cognitives des usagers. La contribution de Verón (2013) avec la description des stratégies de visite d'un musée décrit les parcours des usagers à niveau réel, mais, il n'agit pas d'un problème des styles de vie, c'est un problème de la culture et micro-culture d'adscriptions, des protocoles perceptives-cognitives mises en acte, parce que, comme les modèles cognitives nous faisons regarder, ils sont construit par les relations sociales dans un temps historique.

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CONVERGENCIA TECNOLÓGICA, POSICIONAMIENTO Y WEB MARKETING

Erika Cortés Bazaes
Universidad Autónoma de Chile
eacortes2005@gmail.com

Abstract

Se trata de sintetizar una investigación semiótica cuyo objetivo es describir el posicionamiento visual en la Web marketing en relación a su coherencia con los otros soportes de la campaña (afiches, spots, etc.) en el Chile de hoy. En Francia, Médiamétrie ha detectado que el tráfico en Internet (Mayo 2014) implicaba visitas a partir de tres tipos de fuentes: “Acceso directo, un 31%; Lazos externos, un 40%, y a través de Motores de búsqueda un 29%” (Eouzan, Dupuis y Michalon 2016: 90). Luego se trata de un problema complejo de medir y analizar cualitativamente pues no hay una sola fuente de acceso. Por otra parte es necesario agregar que el posicionamiento distintivo se juega en lo local (la memoria histórica asociada al producto) y en la inserción de lo global (con otras historias socioculturales) en lo local. Ello implica que muchas veces los principios de posicionamiento se superponen. Los principios distintivos del posicionamiento están llenos de interferencias de conflictos de interface, bastante alejados de la primera semiótica de la publicidad que había detectado en el lenguaje de la publicidad una denominación distintiva (marca) y una atribución de valor diferente a la competencia (la teoría del posicionamiento).

1. Formulación del problema

Se trata de sintetizar una investigación cuyo sentido es describir cómo ha enfrentado la teoría semiótica publicitaria la nueva realidad de funcionamiento de la industria cultural en épocas de convergencia tecnológica y en una economía global.

Respecto a la relevancia del marketing digital, si bien es cierto que el comercio por Internet es minoritario en muchos países, ello no significa que no tenga importancia. “Según un estudio del 2012, en Francia un 78% de los consumidores se informan sobre la Web antes de desplazarse para comprar un producto”, (Eouzan, Dupuis y Michalon 2016: 46). Un 32% lo hacen en Internet mismo, un 30% en el celular, un 15% a través de avisos publicitarios en el móvil, y un 7% por ofertas y/o bonos que aparecen en el celular.

La penetración en Chile de Internet es en el año 2016 de 72,4%, en el año 2015 era de un 70% a nivel nacional, luego es un proceso de continuo aumento, siendo en los países más desarrollados de un 78% según estadísticas actuales (Sub-Secretaría Telecomunicaciones Gobierno de Chile 2015), por lo que Internet es una referencia clara. Hoy en Chile, según las mismas estadísticas, un 79,2% de los accesos a Internet son a través del celular, “en España es de 70%, en Reino Unido 74%, en Francia un 62%, en Finlandia un 67%, y en la Unión Europea (28 países) 57%” (Rodríguez 2016: 45). Luego, si bien es cierto que el comercio por Internet es reducido, él va en aumento, pero su importancia hegemónica es que ella es un centro de referencia previo a la compra. Se torna, entonces necesario describir esta nueva forma de funcionamiento, y el aporte concreto que en la coyuntura actual ha realizado y/o puede hacer la semiótica.

Si la ciencia es un dispositivo teórico, esto es, un modo de producción de conocimientos que delimita un objeto real de estudio concreto, a través de herramientas de producción, entonces, preocuparse sobre el aporte de la semiótica de la publicidad a la nueva situación emergente no es un problema teórico, sino que una práctica meta-semiótica que debe delimitar cuáles son las condiciones concretas de delimitación del objeto real realizado por la primera semiótica, y las herramientas que ella desarrolló para transformar la realidad en conocimiento científico. La primera semiótica llenó una necesidad de uso social. Detectar los cambios de funcionamiento del objeto real y las herramientas que se elaboran hoy para hacerse cargo de la nueva necesidad social emergente, es el objeto de este trabajo. Debemos tener en cuenta que la Web marketing no nace de la nada, sino que toma el saber acumulado del marketing al nuevo objeto real Web, desarrollando desde allí nuevas operatorias tecnológicas. Si la primera semiótica de la publicidad dio un aporte al marketing de la marca con Péninou (1972), Semprini (1993), Floch (1993), Magariños (1984), Verón (1987), entre otros, al cambiar el objeto real se plantea, ¿cuáles son los rasgos distintivos de dicho cambio, ¿cuál es el aporte que hoy (2017) ha propuesto la semiótica publicitaria?, ¿cuáles son los desafíos que ella enfrenta?

2. El aporte de la primera semiótica a la teoría del posicionamiento publicitario

2.1. Posicionamiento

Para la publicidad el concepto central es el de *posicionamiento*. El concepto es definido por el hecho de que toda publicidad debe ocupar un lugar central en la mente de los consumidores, distintiva, diferente a la competencia. Y este posicionamiento (estrategia creativa) debe manifestarse en todos los soportes y/o medios que se utilizarán en la campaña. El consumidor debe reconocer al producto y asignarle un atributo, un valor y/o cualidad. Serán Jack Trout y Al Ries A. (1985) quienes desarrollarán más el concepto de posicionamiento haciendo ver la importancia del diagnóstico de los vacíos dejados en la mente del consumidor, esto es si los productos de la competencia tenían los atributos X, Z, S el producto publicitado debía tener, entonces, cualquiera atributo siempre que fuese distinto a X, Z y S: era la batalla por ocupar un lugar en la mente de los consumidores.

2.2. El aporte de la primera semiótica al posicionamiento publicitario (1960- 1970)

Ella emerge con George Péninou (1972) en una coyuntura donde el campo teórico de la publicidad estaba dominado por dos perspectivas: el A.I.D.A. y el análisis de motivaciones. El modelo A.I.D.A. ponía énfasis en la Percepción, en el Impacto Visual. El impacto visual se pensaba que iba junto a la memorabilidad y se basaba en una deducción realizada a partir de la Gestalt y de la psicología de las facultades mentales que se presuponía de valor absoluto. El análisis de las motivaciones ponía énfasis en los estudios de psicología social de la época que permitían medir las motivaciones de compra del consumidor.

Ambas corrientes de la publicidad no estudiaban el mensaje construido, solo tomaban como objeto de análisis los contenidos que se postularían según el estudio de mercado realizado (análisis de motivaciones) o las figuras visuales y/o palabras que se supondrían que impactarían, sin ver lo que la semiótica había descubierto: el sentido de un mensaje es dado por la combinación de los elementos de un todo, el proceso de significación se produce por la combinación de todos los elementos en un afiche y/o spot. Luego, la primera semiótica tiene algo nuevo que decir, se nutre de la investigación de mercado que detecta las motivaciones del consumidor, pero aporta respecto a detectar si dichos contenidos y/o motivaciones son expresados realmente en el mensaje.

2.3. Nuevos Aportes de la semiótica publicitaria década 1980- 1990

A posteriori Floch (1995) y Del Villar (1992, 1997, 2004) plantearán la existencia de dos tipos de construcciones de identidades visuales: la tradicional, basada en un solo principio central creativo y la emergencia de identidades visuales que se construyen como un bricoleur que cristalizan varios principios.

Por otra parte, Jesús González y Amaya Ortiz (1999) establecen siguiendo en definitiva a Metz (1979), Kristeva (1994) y Aumont, Bergala, Marie y Vernet (1985) dos tipos de predicación: su grado cero donde no se argumenta y el spot es el todo de lo que se ofrece, es lo que los autores citados llaman publicidad seductora y que corresponde al imaginario teorizado por Lacan (1973) y la publicidad retórica, donde el nudo sería la argumentación lógica, la propiamente predicación.

Por identificación simbólica entenderé, desde el punto de vista del sujeto, las identificaciones del “yo”, del “súper yo” y en definitiva, la identificaciones con Roles Sociales y Valores, que se expresa en los contenidos de las palabras y los gestos. Y entendemos también los protocolos cognitivos intelectivos al respecto basados en identificar conceptos, ideas, valores, racionalmente argumentados.

La publicidad seductora es el dominio de identificación imaginaria, onírica, no racional, donde no se postula un atributo concreto de la marca del producto, sino que, incluso cuando aparentemente se hace, se lo hace desde un punto de vista que racional mente ello es imposible. Es definida a partir de Metz (1979) respecto a la identificación en el cine basada en Lacan (1966) esto es, de paso en definitiva de una mirada a otra, de una imagen a otra, como flujos asociativos diferentes al orden simbólico.

La semiótica publicitaria aportaba, entonces, al análisis de la significación de los textos publicitarios generados en la campaña y al diagnóstico respecto a si los diferentes soportes (afiches, spot, papelería, logo, marchandising, volantes) expresaban la misma atribución de valor; esto es la coherencia de la campaña, ya sea simbólico o imaginaria, única o plural.

Pero, la semiótica ocupaba también otro lugar: el análisis de los mundos de los consumidores, sus archivos mentales. Esto se ve claramente en los Estudios de Jean Umiker-Sebeok (1987), de Jean Marie Floch (1993) sobre los consumidores del metro de París, y de Eliseo Verón (2013) desarrollado sobre el mismo objeto en 1985 y publicado en 2013.

Andrea Semprini (1993) aportará con la necesidad de hacer corresponder la coherencia de la campaña (enciclopedia de la producción) con los archivos mentales de los consumidores (enciclopedia de la recepción).

Juan A. Magariños de Morentín (1984) contribuirá a la semiótica publicitaria con la operacionalización de los lugares vacíos dejados por la competencia, pensada desde la intersección de las categorías Forma/Existencia/Valor a nivel de la puesta en imágenes y a nivel de los contenidos, categorización basada en Peirce, de la mano con Primeridad/Secundaridad/Terceridad.

Esto es, la semiótica publicitaria aportaba con la construcción de varios objetos científicos: a) un mapa del posicionamiento de la competencia; b) por otro, nos permitía diagnosticar los mapas mentales de los consumidores, sus propios trayectos simbólicos y/o imaginarios, luego otro objeto científico y c) a través de la deducción semiótica se construía una descripción de la correspondencia entre ambos objetos delimitados.

3. El saber del marketing de la época y su ligazón con la semiótica publicitaria

Luego, había en las coordenadas históricas de la época: a) un análisis de la empresa y del mercado desde el punto de vista económico: el mercado y el público objetivo, lo que se estudia en estrecha correlación con las posibilidades económicas concretas de la empresa y sus ventajas y debilidades comparativas respecto a la competencia, b) un análisis de las motivaciones del consumidor desde el punto de vista sociológico y/o psicosocial, sea por medios cualitativos, sea por estudios en base a encuestas estadísticamente válidas por bases muestrales representativas de la población estudiada, c) un análisis del Consumo de Medios, que permitía establecer donde se manifestará la campaña y d) un análisis semiótico publicitario ya sintetizado. De allí que, insertada en una estrategia de marketing es claro que la semiótica proveía a la construcción de una estrategia persuasiva de herramientas concretas, llenando una necesidad tal como fueron los primeros aportes de Georges Péninou (1972).

4. Las herramientas que la publicidad ha elaborado para enfrentar la publicidad Web

Las herramientas para diseñar Web marketing en sus grandes principios de funcionamiento abstractos son sacadas del saber acumulado del marketing, pues cómo se ha dicho para los publicistas existe “la necesidad de diseñar una estrategia digital integrada en los planes de marketing de la empresa” (Rodríguez 2016: 113). Ahora bien, el punto de partida para el Web marketing es siempre el logro del posicionamiento y para que esto ocurra “primero es necesario definir el mercado y el público objetivo” (Ellwood 2010: 93). El saber de la economía permite definir las ventajas comparativas de la empresa lo que implica indagar sobre los consumidores por medio de herramientas sociológicas y/o de psicología social y/o de etnografía, un espacio analítico donde la semiótica no está. Lo que hicieron Verón (1985) y Jean Umiker-Sebeok (1987) respecto a los usuarios del museo, o Floch (1993) respecto a describir los usuarios del metro no existe. Siguiendo las propuestas de la Web marketing se trata de correlacionar la propia posibilidad empresarial con el diagnóstico de las propuestas de la competencia la que es definida como diferencias, debilidades y fortalezas basadas en Contenidos. El aporte de Andrea Semprini (1993) y con ello de la semiótica publicitaria nunca existió. “Un buen posicionamiento coincide con la adecuación perfecta entre la imagen querida y la imagen percibida” (Eouzan, Dupuis y Michalon 2016: 85), pero para ello los autores proponen una herramienta previa a la contribución de la primera semiótica: “la publicidad utiliza para definir los objetivos de la comunicación el método A.I.D.A. que es el método secuencial de persuasión siguiente: llamar la Atención, suscitar el Interés, Provocar el Deseo y Empujar a la Acción” (Eouzan, Dupuis y Michalon 2016: 85).

5. Cambios de funcionamiento del objeto real

5.1. La Publicidad en Redes

Si antes, la estrategia creativa estaba en el marco de la significación expresada en Spot, Papelerías, Afiches, Arreglos de Mercadería, es decir en un mensaje visto como un todo, ahora emerge la publicidad en redes de acciones no de asignación de atributos o valores, como los ejemplos de Nike y Zara.

5.2. Acceso multicanal: una Web no es un afiche

Médiamétrie en Francia ha detectado que el tráfico en Internet, en Mayo del 2014, implicaba visitas a partir de tres tipos de fuentes: “Acceso directo, un 31%; Lazos externos, un 40%, y a través de Motores de búsqueda un 29%” (Eouzan, Dupuis y Michalon 2016: 90), luego el problema es complejo de medir y analizar cualitativamente pues no hay una sola fuente de acceso, un sitio no es un afiche.

5.3. Cambios en la Estrategia de Medios

“La estrategia de medios se plasmará en las decisiones sobre los soportes concretos que se utilizarán para transmitir el mensaje de marketing, el momento y duración de la campaña y su secuencia temporal” (Rodríguez 2016: 259). Hoy no tenemos una inducción probabilística del consumo de medios. Con la tecnología de la Web sabemos con certeza que número de personas llegaron al sitio, cuánto tiempo estuvieron y qué ligazones hicieron con otros sitios es decir existe una medida de la audiencia, pero de ella solo tenemos la identificación del IP de los computadores implicados en la lectura o consumo Web, luego estamos en un espacio muy heterogéneo, como decíamos no es casual que Eouzan, Dupuis y Michalon digan que “no existe ninguna estadística confiable para conocer la media exacta de repartición de las fuentes de tráfico en el mundo (demasiadas desviaciones o sesgos están presentes en las herramientas estadísticas pues ellas no analizan las fuentes de la misma manera)” (2016: 90). La medida de un sitio necesita necesariamente la participación de la totalidad; recordemos que los consumidores no llegan directamente a un sitio sino que se pasean entre sitios incluso de la competencia, además que llegan por buscadores y/o avisos publicitarios en otros sitios, por lo que muchas veces no se tiene la información de todas las posibilidades de tráfico, incluso para el mercado competitivo son fuentes importantes de base dato por lo que no están dispuestos a hacerlos visibles. Es claro que las herramientas de medida son desbordadas por los usos, las ofertas de operadores móviles no hacen más que generar sujetos nómades que dificulta aprehender las prácticas Web de un individuo que pasa de fijos a móviles en diferentes equipos por lugar de trabajo y/o estudio. Además, existe también el paso no menor de la Televisión a lo digital a la compra por Internet a partir de allí, a veces por la misma pantalla, “con esta dispersión de los medios de difusión y de terminales de visionado medir el consumo televisivo hoy constituye un verdadero desafío metodológico” (Beauvisage 2016: 210).

6. Semiótica de la Web

Son pocos los autores contemporáneos que han desarrollado una semiótica de la Web y lo hacen desde una teoría de alcance medio que pretenden desarrollar algunos instrumentos analíticos. Para Julia Bonaccorsi (2016) la pantalla de la Web constituye una superficie y un cuadro que oculta códigos digitales y al mismo tiempo los muestra. En ese contexto “la actividad interpretativa efectuada por el lector es a la vez una actividad de lectura y de reconocimiento” (Bonaccorsi 2016: 138). La semiótica de la Web reemplaza la categoría de link o lazo hipertextual con la categoría de *signo de paso*: “clickear es un gesto de interpretación no sólo un gesto funcional” (Bonaccorsi 2016: 139). En la Coyuntura Actual esta nueva semiótica no aporta solamente una descripción, sino que hace ver que la puesta en marcha de una estrategia persuasiva en la Web implica construir un architexto que coherencia y da sentido al posicionamiento manifestado a través de los espacios hipertextuales, los signos de paso. Esto es se desplaza el problema de la descripción semiótica a sólo describir las huellas generadas por estos signos de paso: “se trata de una operación de reconocimiento de formas que pertenecen a la memoria social” (Bonaccorsi 2016: 143). Luego la semiótica de la Web está en sus inicios y solo nos provee de una herramienta de evaluación de la coherencia.

7. El vacío de las herramientas de la primera semiótica publicitaria, ejemplos del Chile de Hoy (2017)

¿Cómo enfrenta la publicidad Web chilena la construcción de huellas, de signos de paso que sean realmente equivalentes en sus principios de posicionamiento visual? No se trata de un análisis exhaustivo de toda la publicidad de Web marketing sino que de tomar como objeto real sólo el caso de bancos y de dos grandes tiendas (*retail store*). Se analizó todos los sitios Web presentes en la sociedad chilena, se recolectó información y se describió la forma de funcionamiento de ellos. La recolección se dio entre el 23 y el 29 de mayo 2017 y entre el 5 al 11 de junio 2017. Lo que significa decir que ellos no son más que fragmentos de toda la realidad de funcionamiento existente de Web marketing de la sociedad chilena, por lo que su sentido es sólo exploratorio.

7.1. El caso de los Bancos

7.1.1. Introducción

Respecto a los avisos publicitarios Web de bancos, ello no aparece como práctica generalizada en la sociedad chilena, él es usado solo por dos bancos: Banco Santander y Banco de Crédito e Inversiones BCI. Hubo dos excepciones en el período analizado, un aviso publicitario del Banco Security en el sitio Web de Radio Cooperativa y uno referido al Banco Scotiabank. Cómo se trata de un estudio exploratorio, sólo se tomó los casos de Banco Santander y Banco BCI, pues constituyen la mayoría de los casos de Web marketing de bancos.

7.1.2. Consideraciones posicionamiento visual Banco de Crédito e Inversiones BCI (Chile)

Debemos tener en cuenta que en el período recolectado ya establecido aparecen avisos publicitarios del Banco BCI en los Sitios Web de siete radios (Cooperativa, ADN, Duna, Zero, Activa, Concierto, Agricultura) en dos Diarios (La Tercera, y El Mercurio), y en el sitio Web de dos revistas (The Clinic, y El Capital).

Los contenidos puestos en acto en los 12 avisos recolectados son distintos: se trata de diferentes signos de paso que implican, desde distintos puntos de vistas, con el banco. El Signo de paso BCI Accesible aparece en Radio ADN, Radio Zero, Radio Activa, Radio Concierto, Radio Duna y Radio Agricultura. En Sitio Web Radio Agricultura se incorpora el Signo de Paso BCI Plan Empresarios, en Sitio Web Radio Cooperativa la Nueva Tarjeta BCI Dúo, en Diarios El Mercurio y La Tercera Crédito Consumo Moda, en Revista Capital Signo de Paso BCI Asesores de Bolsa y en Diario El Mercurio Signo de Paso BCI espectáculos. Cabe señalar que en las fechas especificadas no aparece aviso publicitario del BCI en los sitios Web de las otras radios de la sociedad chilena ni en otros sitios Web.

La forma de funcionamiento, entonces, es de colocar avisos publicitarios con alguno de los signos de paso descritos. En todos se da la operación de hacer clic y se desarrolla una operación de abrir un archivo que opera en el espacio del sitio del banco, donde hay una referencia al signo de paso, pero además se puede hacer más clic y ponerme a navegar por el sitio del banco (salvo en el caso del sitio Web del Diario El Mercurio donde sólo es posible ampliar el aviso) donde el sitio Web del banco mismo en su primera página repite los otros contenidos no vistos, según el signo de paso que yo he implementado. Se postula entonces una coherencia argumentativa, la que es visual y lingüística. Lo lingüístico ancla la lectura, pero también se argumenta con la puesta en escena, los objetos y los personajes focalizados. Y en todos ellos aparece tanto el logo del Banco, sus colores corporativos como la idea de modernidad dada por los personajes del animé del banco. En ese contexto el posicionamiento es coherente en todas sus manifestaciones; esto es, los signos de paso son coherentes a nivel de contenidos visuales y lingüísticos con un architexto coherente que se expresa en el sitio Web del banco.



Figura 1. Signos de Paso Banco BCI en otros sitios.

7.1.3. Consideraciones posicionamiento visual Banco Santander (Chile)

Debemos tener en cuenta que en el período recolectado ya establecido aparecen avisos publicitarios del Banco Santander en los sitios Web de tres radios (Cooperativa, Bio Bio, Duna) y en los de dos Diarios (La Tercera, y El Mercurio). Si realizamos el mismo tipo de análisis precedentes respecto a la coherencia de huellas dejadas por los signos de paso nos encontramos con una coherencia de posicionamiento visual.

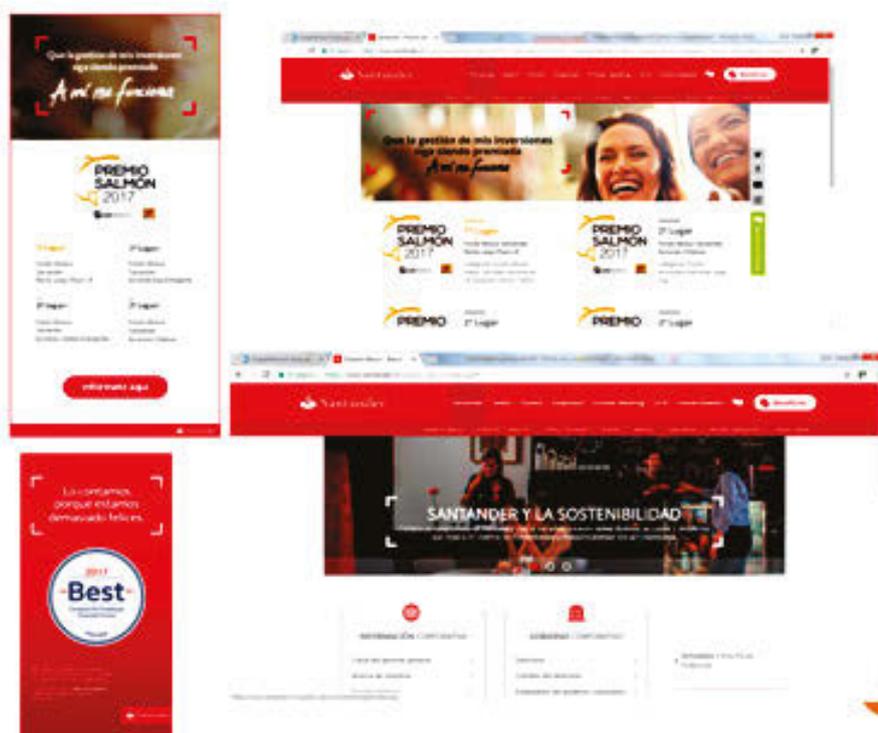


Figura 2. Signos de Paso Banco Santander.

7.1.4. Consideraciones sobre la herramienta semiótica elaborada para el Web marketing: su pertinencia y debilidades en el caso de los bancos

Sin embargo, respecto a la distintividad del posicionamiento visual, la herramienta semiótica elaborada para los sitios Web es incipiente, pues no tenemos cómo a partir de allí dar un diagnóstico de la pertinencia del posicionamiento elaborado, sólo sabemos que es coherente, pues en el uso del marketing falta el estudio semiótico del posicionamiento visual de la competencia. Los aportes de la primera semiótica no han sido tomados en cuenta ni tampoco redefinidos para la nueva realidad del Web marketing.

7.2. El caso de dos de las grandes tiendas

No hay coherencia en los signos de paso y sus ligazones entre ellos, ni un aval en la primera página del sitio institucional. Más bien, la construcción sigue de cerca la propuesta de los manuales de Web Marketing aparecido con profusión a partir del 2013, se trata de enfatizar reiteración de contenidos y propuestas de impacto visual.

En Almacenes París se pone énfasis a los signos de paso “Papá Hinchable Nacional”, y “El regalo perfecto para tu Papá” reiteración en todos los sitios Web de Almacenes París manifestados en la semana del 5 al 11 de Junio 2017. Su campaña utiliza los Sitios Web de 3 Diarios Electrónicos (El Mostrador, Últimas Noticias, Diario La Tercera) de 4 Revistas en versión electrónica (Tú, Ser Padres, The women’s Health, The Clinic) del sitio Web Youtube y del de Radios CL. Dicha reiteración de los signos de paso tienen todos el Logo Azul de Almacenes París y se hace referencia en todos a contenidos de índole referencial. Hay una diferencia de contenidos en los medios más masivos referidos, se habla de Deporte (Papá Hinchable Nacional) y de afeitadora; en cambio en las revistas referidas a jóvenes adolescentes y a parejas jóvenes se plantea la referencia a hacer algún regalo posible dentro de la tienda. La implicación es dada por lo lingüístico, los objetos que vemos en la imagen, y el croma azul del logo nos reitera la tienda de manera indirecta. Luego es claro de que se reiteran solo contenidos y el impacto visual de mantener el azul.

En el análisis del posicionamiento visual Web de Falabella se detectan los signos de paso “Botas”, y “Abrigo” que son en definitiva variantes del signo “moda”, los que aparecen en el Diario El Mercurio Digital y en la Revista Hola Digital; además aparece el signo de paso “Día del Padre” en el sitio Web de la Radio Santiago como en el sitio Youtube durante la semana estudiada del 5 al 11 de Junio 2017. En todos se reitera el color verde del logo y del mensaje lingüístico Falabella. Luego, se proponen dos contenidos diferentes: uno vinculado a signos de paso “moda” y otros referidos al “Día del Padre”. Es claro que si navego en los signos de paso “Día del Padre” no me encuentro con Moda, sino que con objetos como una cama, un Smartphone y un televisor de pantalla plana, por lo que no hay un architexto más abstracto que haga una vinculación global. La propuesta, entonces, es de un Web marketing basado en contenidos, en este caso la moda y el día del padre y la referencia a implicar visualmente por la reiteración del color verde.

8. Consideraciones

Luego, esta investigación exploratoria sobre la acumulación del saber semiótico en la actualidad es un indicio de que ante la profunda transformación de producción, circulación y consumo cultural la semiótica está en retroceso respecto a su aporte original, sus estudios actuales dejan ver que sólo se trata de teorizaciones de alcance medio, operatorias para el logro de una coherencia, que por lo demás en las Grandes Tiendas Chilenas no se ocupa. Todo vuelve a la antigua práctica publicitaria del Modelo A.I.D.A. y de perfilar un posicionamiento de contenidos, atributos desligados de la propuesta global que debiese ser visualmente coherente. El caso de los

Bancos es de coherencia de los signos de paso, pero en absoluto es clara su distintividad respecto a la competencia.

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CULTURA POPULAR JAPONESA EN CHILE: CONTRADICCIONES DE UNA CONEXIÓN ENTRE EL CUERPO Y LOS VALORES DE UNA SOCIEDAD IDEALIZADA

María Paz Donoso Espejo
Universidad de Chile, Chile
mapazdonoso@uchile.cl

Abstract

La globalización e Internet han permitido que la cultura visual de diversas regiones del mundo permee la percepción de los individuos. Los videojuegos, el anime, el manga y las series japonesas y coreanas son altamente consumidos por los jóvenes. El sistema significativo de la cultura japonesa es complejo, tal como ha sido descrito por Kristeva (*La travesía de los signos*) o por Barthes (*El imperio de los signos*). En este sistema, la narración no es el código preponderante en la vehiculización de la información, sino que tiene la misma importancia que el código cromático o el de la organización de la imagen. Sin embargo, los jóvenes chilenos leen esta realidad cultural a nivel de la cultura occidental, de manera narrativa, en el sentido de A. J. Greimas, es decir, como recorridos narrativos en los cuáles se insertan los recorridos discursivos. En ese contexto los valores leídos son aquellos de la oposición a la cultura del consumo, y los procesos de identificación son los del Occidente. Además, el intercambio no es solamente a nivel estético: los jóvenes socializan en eventos sobre cultura popular asiática, tras lo cual realizan una lectura valórica idealizada sobre Japón y Corea, bajo marcos cognitivos occidentales.

1. Formulación del problema

El desarrollo de internet y la globalización han permitido que la cultura visual de diversas regiones del mundo moldee la percepción de muchos individuos, sobre todo de los adolescentes. En ese contexto, los videojuegos, el animé, el manga japonés y todos sus productos asociados han sido altamente consumidos por jóvenes en los últimos 15 años, creando un verdadero nicho alternativo de fanáticos tanto en Chile, Latinoamérica y en muchos países fuera de Japón.

Hoy en Chile, el consumo de estos productos es eminentemente digital y convergente, debido a la escasa oferta de programación de dibujos animados en la televisión abierta. Según el estudio *Oferta de programación y consumo de televisión infantil en Chile en 2015* del Consejo Nacional de Televisión, sólo un 7,6% de la programación de la televisión abierta en Chile es televisión infantil. Incluso, si se excluye al canal de la Universidad Católica de Valparaíso y a Telecanal, las dos señales con menos audiencia en la televisión abierta chilena, la oferta se reduce a un 2,9%.

Lo anterior se ha potenciado gracias a las redes sociales en las comunidades de fanáticos. Según el estudio *Uso de internet en Chile: la otra brecha que nos divide* de la Fundación País Digital (2015), el 90% de los jóvenes usa internet, mientras que a los 70 años, un 90% no lo utiliza.

En ese escenario, el consumo audiovisual por Internet se ha fortalecido. Según la *Primera encuesta nacional sobre contenidos audiovisuales y televisión por internet* publicada en octubre de 2016 por el Consejo Nacional de Televisión, el 55% de los consultados señaló que consume contenido audiovisual a través de YouTube. El 49% lo hace vía redes sociales, el 36% mediante Netflix y plataformas similares y el 32% en páginas de Internet de otros medios. Estas cifras dan señales del cambio que experimenta el consumo desde un modelo lineal y masivo, como es la televisión abierta y por cable, hacia uno más personalizado y multiplataforma.

Pese a su popularidad en Occidente, el sistema signifiante de la cultura japonesa es complejo y basado en una epistemología distinta a la occidental. Esto, desde el punto de vista semiótico y cognitivo plantea las interrogantes sobre cuáles son las lecturas que los seguidores del animé, el manga y la música asiática realizan de la imagen japonesa y en algunos casos, de la coreana, dado el éxito del K-Pop en los últimos años. Esto también lleva a preguntarse si existe una eventual contradicción entre los protocolos cognitivos y perceptivos de la cultura japonesa y aquellos presentes en Occidente.

Las preguntas anteriores trataron de responderse a través de la investigación realizada para la memoria de título *Videomúsica oriental en Chile: un "metarrelato" de contradicciones: Japón y Corea al límite*, en la Escuela de Periodismo del Instituto de la Comunicación e Imagen de la Universidad de Chile.

La metodología de investigación involucró observación en los espacios donde interactúan los seguidores, como los eventos, centros tiendas especializadas y el visionado en detalle de los productos culturales más populares (series de animé, videomúsica y videojuegos).

Luego, este trabajo de observación se comparó a través de entrevistas con fans, organizadores de eventos, cantantes y grupos de baile para conocer razones de gusto e identificación con la cultura popular japonesa y videomúsica oriental en Santiago de Chile.

2. Marco Teórico

Para entender las lecturas de los textos narrativos y audiovisuales, una primera aproximación la ofrece el enfoque de Algirdas J. Greimas, reforzado posteriormente por el Grupo de Entrevernes (1979) en *Análisis Semiótico de los textos*, quien plantea que la secuencia narrativa de un texto se organiza en torno a una realización principal, llamada programa narrativo (PN). Esta es "una realización particular de la secuencia narrativa en un relato dado, es decir, a toda la serie de estados y cambios que miran a efectuar la relación de un sujeto de estado a su objeto" (Grupo de Entrevernes 1979: 84).

A partir de esta transformación principal, el PN comporta toda una jerarquía de estados y transformaciones estructurada y organizada para su realización. El relato tendrá un carácter polémico, "dado que toda unión supone una desunión y que el sujeto dominante en un cambio propone un anti-sujeto dominado" (Grupo de Entrevernes 1979: 86).

De este modo, los programas narrativos se despliegan simétricamente. “Todo PN proyecta frente a él un anti programa narrativo centrado en cambios inverso [...] Se abren así múltiples posibilidades para dar figura a los papeles actanciales de un relato: todo papel actancial de PN proyecta un papel inverso en un anti PN” (Grupo de Entrevernes 1979: 87).

No obstante, la manera en que se perciben y apropian los contenidos audiovisuales comenzará a cambiar desde un predominio del concepto a una participación más activa del cuerpo. En esa línea, los aportes de las ciencias cognitivas, desde la perspectiva de Francisco Varela, Eleanor Rosch y Evan Thompson (1997) ayudan a entender de mejor forma este proceso.

La ciencia cognitiva es aquella rama de la biología que estudia como funciona la percepción y se procesa la información adquirida. Proveniente de la neurociencia y sus descubrimientos más recientes tienen un impacto en las comunicaciones y en las ciencias sociales, aportando nuevas formas de entender la cultura audiovisual.

Para Varela, Thompson y Rosch (1997) la fenomenología es la filosofía de la experiencia humana dentro de la cultura occidental, pero como filosofía sólo considera al pensamiento abstracto y la razón. Los autores en este planteamiento se alejan de la razón, pues este vuelco hacia la mente misma deja de lado la dimensión corpórea y empírica de la experiencia. Esta no será sólo conciencia, sino que será también cuerpo y acción.

Así, lo que las ciencias cognitivas descubren es que “el sujeto no capta al objeto real como relación estímulo-respuesta, sino que el objeto existe para el sujeto a través de una sinapsis que lo aprehende a partir de sus propios principios de auto-organización” (Del Villar 2004: 44).

La propuesta de Varela, Thompson y Rosch (1997) en la obra *De cuerpo presente* es indagar la tradición filosófica budista del examen de la experiencia como método denominado meditación con miras a la presencia plena: “Creemos que las doctrinas budistas del no-yo y del no dualismo, que surgieron de este método, pueden hacer un aporte significativo en un diálogo con las ciencias cognitivas. [...] Presencia plena significa que la mente, en efecto, está presente en la experiencia corpórea cotidiana; las técnicas de presencia plena están diseñadas para retrotraer la mente desde sus teorías y preocupaciones, desde la actitud abstracta, hacia la situación de la propia experiencia” (Varela et al. 1997: 46).

En este proceso perceptivo, donde experiencia, cuerpo y acción son protagonistas, otro aporte a la discusión lo hará el semiólogo francés Roland Barthes (1970) en su interpretación sobre el funcionamiento de los signos en la cultura japonesa en *El Imperio de los Signos*. Barthes (1970) señala que el signo en esta cultura no tiene un sentido fijo al cual representar o designar, por lo tanto, será “vacío”. Se vive en la experiencia misma a partir de su dimensión significante. “La riqueza de la cosa y la profundidad del sentido no se toleran más que al precio de una triple cualidad, impuesta a todos los objetos fabricados: que sean precisos, móviles y vacíos” (Barthes 1970: 67).

Por lo tanto, el arte y la escritura en el contexto japonés no describen ni representan, sólo existen por su interacción con el cuerpo del sujeto que se hace parte de él. Los conceptos y significados no se entienden como absolutos. Una lectura complementaria a dicha interpretación la realiza Dalai Lama (2006) en su obra *El universo en un solo átomo*, quien postula que las cosas y los acontecimientos son vacíos en el sentido de que no poseen una esencia inmutable, una realidad intrínseca o una realidad absoluta que les confiera independencia.

En consecuencia, todo está compuesto por acontecimientos interrelacionados e interdependientes, por fenómenos que interactúan sin cesar, carentes de una esencia fija e inmutable y que mantienen relaciones dinámicas en un perpetuo proceso de cambio. El mundo de la experiencia es real en tanto lo percibimos y el observador afecta lo observado.

En un estudio más concreto, el académico chileno Rafael Del Villar (2003) realiza un análisis semiótico comparativo con el fin de entender cómo estos puntos se manifiestan a nivel visual y narrativo en la videoanimación japonesa y americana.

Del Villar (2003) señala al respecto que en contraposición a la animación norteamericana, el manga y el animé se caracterizan por una ausencia de intencionalidad predeterminada de los personajes. Esto significa que sus objetivos son propuestos por la vida, a diferencia de la animación norteamericana, donde los objetivos de los protagonistas son individuales, y por lo tanto, no hay un objeto de deseo que constituya al sujeto como tal. Los enfrentamientos entre protagonistas y antagonistas son parte de procesos mayores que los contienen y su identidad no es fija, sino que evolucionan de conformidad al relato. Los personajes, finalmente, actuarán de acuerdo al bien común del grupo.

3. Descriptores de funcionamiento de la imagen japonesa

Ya se señaló al inicio de este artículo que el sistema significativo de la cultura japonesa es diferente al occidental, planteando las interrogantes sobre las lecturas que los seguidores occidentales, y en el marco de esta investigación, latinoamericanos, realizan de la imagen japonesa y coreana, en algunos casos.

Al considerar el marco teórico anterior, se generaron tres descriptores para comprender de manera clara el funcionamiento de la imagen japonesa en los productos de su cultura popular, altamente preferidos por los adolescentes. Estos son la ausencia de sujeto, el código narrativo en un segundo plano y la importancia de la argumentación visual.

3.1. Ausencia de sujeto

Este primer descriptor indica que la construcción de la imagen japonesa no distingue la presencia de un sujeto que tenga una intención y que esté por sobre el entorno que lo rodea. A través de la interconexión de todos los elementos de la imagen, y junto a otros soportes en una relación hipertextual, la significación puede ser construída, pero es parte de un proceso que no es meramente contemplativo.

Para entender este punto, Del Villar (2003) plantea que Francisco Varela toma consciencia como científico cognitivo que “en la episteme budista nos encontramos con estructuras conectivas y enactivas; donde no es una acción lo que tiene en mente el sujeto, sino que la acción es redefinida por la serie de eslabones de los complejos en que se vive” (Del Villar 2003: 8).

De este modo, “lo que está en juego, al disminuir el rol de sujeto que hace la acción, no es sólo abolir una intencionalidad; sino que construir un hacer a partir de la interrelación de complejos, de múltiples acciones posibles” (Del Villar 2003: 8). Por lo tanto, “no hay una separación, todo interactúa con todo y se nutre de la historia, de la vida, de la enacción. Se debe estar siempre atento, todo cambia (enacción), todo interactúa (conexionismo). De allí la transgresión de la relación figura/ fondo (Del Villar 2003: 8).

Así, el contenido plasmado en el código narrativo y los valores involucrados responden a la sensibilidad del sujeto a las condiciones imperantes. El sujeto tendrá que actuar con responsabilidad en torno al bien del grupo y la naturaleza y no existe una identificación con valores que respondan a motivaciones individuales. El sujeto es parte de la naturaleza, no un ente separado y la interconexión en pos de la armonía es clave para garantizar el funcionamiento de todo.

Roland Barthes (1970), en su análisis en *El Imperio de los Signos*, también va a dar cuenta de la ausencia de sujeto para explicar el funcionamiento de los signos en la cultura japonesa. De esta forma, señala que la fragmentación del signo y sus interconexiones no deben terminar ni coagular nada. No hay un núcleo primario que dirija el proceso de significación. El “yo” es la totalidad de los significantes que se conectan unos con otros para construir un sentido que no es absoluto ni lo más relevante en este proceso y lo ejemplifica con el haiku, tipo de poesía japonesa

que generalmente se basa en el asombro o emoción que produce la naturaleza, con alguna referencia directa o indirecta a las estaciones del año.

“El número, la dispersión de los haikus, por un lado; la brevedad, el hermetismo de cada uno de ellos, por otro, parecen dividir, clasificar el mundo hasta el infinito, constituir un espacio de fragmentos puros, una polvareda de acontecimientos que, por una desherencia de la significación, ni puede ni debe coagular, construir, dirigir, terminar nada” (Barthes 1970: 105).

Esto se debe, según Barthes,

Porque el tiempo del haiku no tiene sujeto: la lectura no posee otro yo que la totalidad de los haikus cuyo yo, por refracción infinita, no es más que el lugar de la lectura [...]. Se podría decir que el cuerpo colectivo de los haikus es una red de diamantes, en la que cada diamante refleja a todos los demás y así sucesivamente hasta el infinito, sin que nunca haya que mantener, un núcleo primario de irradiación (Barthes 1970: 105).

3.2. Código narrativo en segundo plano

Este descriptor refiere a que en las series de animé, el manga, los videojuegos y la videomúsica, el código narrativo no es el que modaliza el relato, sino que todos los demás códigos se interrelacionan en una “misma jerarquía”. Esto es relevante en el sentido de que el proceso cognitivo también involucrará al cuerpo en la experiencia perceptiva.

En esa línea, no hay un solo un “yo”, un sujeto que capte lo simbólico como un articulador, sino que lo relevante es la interconexión de todo para vivir la experiencia. La descripción simbólica, como operación semántica, no opera en la imagen japonesa como sí lo entendemos en occidente.

Del Villar, en su análisis semiótico comparativo, lo indica con este ejemplo: “En Dragón Ball, nos encontramos con una estructuración pulsional de la secuencialidad de la imagen en secuencia. En las secuencias analizadas se refleja la misma estructuración pulsional: lo pulsional no es regido por lo simbólico, sino que va junto” (Del Villar 2003: 8). El estudioso agrega que:

La pulsionalidad no está en la música, no está en la historia, no está en los gestos, está en todo. El mismo hecho que sea más importante los gestos que los diálogos, nos hace ver que la “historia” se construye no sólo por lo simbólico, sino que por su interrelación pulsional. La información pulsional propuesta es la de una conexión entre cuerpo e imagen (Del Villar 2003: 9).

Por lo tanto, será la energía del cuerpo que por medio de dispositivos pulsionales se expresa en la música. Y en el caso de la animación japonesa “es la energía del cuerpo que se va correlacionando con lo gestual narrativo, con lo cromático, con la organización de la imagen y con la música” (Del Villar 2003: 9).

3.3. Argumentación visual

El tercer descriptor se refiere a que la percepción y cognición de lo real en la experiencia, tal como lo plantea Varela, no le otorga protagonismo a la abstracción y al concepto en la construcción del sentido. En esa línea, la experiencia visual será fundamental para los procesos cognitivos y perceptivos, lo que se manifiesta en el uso de la argumentación visual para la comunicación en la vida cotidiana.

En este proceso de argumentación visual, las imágenes no son meros elementos descriptivos de una realidad externa, sino que la imagen es un mediador para vivir la experiencia en un entorno donde el sujeto no está disociado de su objeto. Roland Barthes lo gráfica en la de-

nominación de las calles en Tokio: “Hasta en un pedacito de papel, una calle, un inmueble, un canal, una vía férrea, un rótulo y que hacen del intercambio de direcciones una comunicación delicada, donde retoma su lugar una vida del cuerpo, un arte de gesto gráfico” (1970: 54). Así, el semiólogo agrega que :

La ciudad más grande del mundo está, prácticamente, inclasificada, los espacios que la componen en detalle están innominados. Esta domiciliación borrada parece incómoda a los que (como nosotros) se han habituado a decretar que lo más práctico es siempre lo más racional. Tokio nos repite, sin embargo, que lo racional no es más que un sistema entre otros (Barthes 1970: 53).

Esta argumentación visual la plantea, de igual forma, en el uso del lenguaje descriptivo, al sostener que “la descripción, género occidental, posee su garantía espiritual en la contemplación, inventario metódico de las formas atributivas de la divinidad o de los episodios del relato evangélico (con San Ignacio de Loyola, el ejercicio de la contemplación es esencialmente descriptivo)” (Barthes 1970: 104).

En oposición a la descripción, Barthes indica que “el haiku, por el contrario, articulado sobre una metafísica sin sujeto y sin dios, corresponde al mu budista, al satori zen, que no son en ningún momento descenso iluminativo de Dios, sino despertar ante el hecho, aprehensión de las cosas como acontecimiento y no como sustancia” (1970: 104).

4. Conflictos en protocolos perceptivos

Tras definir los descriptores del funcionamiento de la imagen japonesa, en la investigación realizada se logró identificar en la mayoría de los entrevistados protocolos perceptivos opuestos a los descriptores planteados. De acuerdo a la investigación, éstos se identifican con valores orientales en los productos que consumen, en oposición a los imperantes en la sociedad y mercado occidental (en este caso, Chile), buscan vincularse con un personaje o sujeto como tal y se implican con los códigos de la imagen, pero hacen una lectura simbólica de aquellos.

4.1. Búsqueda de valores

En este primer caso, existe una lectura predominante de los valores transmitidos por el código narrativo. La mayoría de los seguidores se identifican con valores propios de la sociedad japonesa y coreana en algunos casos, en contraposición a los valores imperantes del sistema occidental. Cada uno de ellos trata de aplicar estos valores en sus actividades, proveer de entretención a los seguidores que no encuentran estos valores en las ofertas masivas y así socializar entre ellos.

Gonzalo García, CEO de NoiX Entertainment, productora dedicada a espectáculos masivos de música japonesa y coreana en Chile, señala en una de las entrevistas para la investigación que los valores de las series de animación son un atributo fundamental para identificarse con ellas:

Son pocos los padres que en algún aspecto veían los valores del animé por los años 90, al contrario, decían «*huevón*¹ grande viendo monos». Además que nosotros como fanáticos empezamos a ver cosas más allá de lo que solo daban en la televisión, que son los valores. El valor que entregan ciertas historias es trascendental en la visión de un niño, a muchos los formó y los hizo ser las personas que son hoy en día (Donoso 2013: 281).

Bárbara Bustamante, cantante de música de animación japonesa en la ciudad de Santiago, sostiene en una de las entrevistas que le gustaría que a ella se le reconociera como un referente positivo y que sus seguidores tomen los valores positivos de las series de animación japonesa:

1 Huevón es un sustantivo que en el uso informal del español en Chile hace referencia, en el contexto de la cita, a persona o amigo.

Me gustaría que se me conociera como una impulsora y un referente positivo. Los chicos que entran a esta cultura están recién formando su carácter, y a mí me interesa que lo hagan de forma positiva. Que tomen lo bueno del animé, del mundo otaku y que no se queden con resentimientos. Por eso los temas que he compuesto tienen que ver con mensajes positivos, así como los mensajes del animé me transmitían nunca rendirme, siempre creer en la amistad, yo quise traspasar ese mensaje en mis canciones (Donoso 2013: 98).

Mónica Rivera, seguidora del pop coreano en la ciudad de Santiago, indica que uno de los elementos que más valora en estos productos es el respeto hacia el ser humano. “Hay una cosmovisión diferente. Hay un respeto hacia el ser humano que es muy importante para ellos. Hay una manera expresarse distintos. Todo eso me atrae porque creo en el respeto al ser humano ante todo. Esos valores los veo muy reflejados en oriente y me siento más identificada con ellos en un sentido moral, incluso espiritual” (Donoso 2013: 201).

4.2. Búsqueda de sujetos

En el segundo caso, la identificación con valores también conlleva una conexión con los atributos de los personajes, ya sean de series, artistas o grupos musicales. Los valores, que son encarnados por estos personajes, son una vía para suplir una carencia presente en el mundo real y reafirmar una identidad en oposición a los valores imperantes por el mercado. Los valores corresponden al objeto de deseo del sujeto que se define en torno a él.

En ese contexto, la identificación termina anclada en sujetos y valores claros. No se comprende la ambigüedad del sujeto, un sentido que no es fijo. No hay espacio para entender que los hombres se pueden transformar en mujeres y viceversa. La identificación es con los patrones occidentales de lo masculino y lo femenino.

Un ejemplo que clarifica esto es la inquietud que suscita la figura del cantante Mana, vocalista de la banda japonesa Malice Mizer y que en una de las entrevistas aparece con claridad. La entrevistada Bárbara Echard señala:

Es que quieres saber qué son. A mí me pasaba lo mismo con esta mina que tocaba guitarra. ¿Es una mina? ¿O es un tipo? Y si es un tipo, ¿Por qué se viste de mujer? Y si es una mujer, ¿Cómo llegó a ser guitarrista? Porque no es común. Me refiero a Mana de Malice Mizer. Me pasaba ese tipo de cosas y yo odiaba Malice Mizer. Odiaba la música, pero me llamaba tanto la atención de verlo así, ¿Por qué se viste así? ¿Por qué tan femenino el tipo? ¿Por qué se ve femenino pero tiene voz ronca?, ¿Qué pasa? (Donoso 2013: 54).

También existe una asociación a la “homosexualidad” de los seguidores de la música coreana y a sus expresiones “afeminadas”. Así lo retrata Sebastián Carrasco, apodado *Shippo* en honor a uno de los personajes del manga y serie de televisión Inuyasha, en Valientes, documental emitido en 2011 por Canal 13.

Sí, me decían chino *fleto*² y cuestiones así, pero a mí nunca me importó (...) si estás seguro de tu gusto, *pa donde vas*, no hay problema. A uno cuando le gusta algo no tiene que estar ni ahí con lo que digan los demás y yo por lo menos pienso así. Además que a mi mamá le encanta, mi viejo no vive conmigo pero le gusta, me pasa plata *pa'* los trajes, siempre que cumpla en el colegio, obvio (Donoso 2013: 220).

Igualmente se puede constatar como los seguidores se identifican con cantantes y personajes que responden su forma de ser y motivaciones personales, tal como lo señala Francisca Collao, fanática del pop coreano, y su inclinación con Dara, una de las integrantes del grupo 2NE1:

2 Adjetivo informal usado en Chile para referirse a la condición homosexual de una persona.

Dicen que yo y Dara somos un poco parecidas. En el momento en que decidí bailar fue un poco como «me gusta ella» y en el camino me empecé a enamorar de lo que ella era (...). Dara me sirvió para sacar personalidad. Ella es muy chiquitita y yo igual soy como flaca, me sirvió para darme cuenta de que no importaba el qué dirán. Por ejemplo, ella es muy linda, pero la gente suele decir que no es muy talentosa. Pero me aferro mucho a ella, en el sentido de que es muy esforzada (Donoso 2013: 230).

4.3. Valoración simbólica del significante

En el tercer caso, existe la tendencia a valorar la “perfección” estética de la visualidad japonesa y coreana en relación a la articulación de los códigos que la componen. Esta articulación “perfecta” de la imagen, el sonido y el relato a través de la energía es un factor importante a la hora de implicar a los seguidores, pero su interpretación final sigue anclada a la búsqueda de sujetos y valores.

Ivana Donoso, una de las entrevistadas y miembro de uno de los fan clubs de Super Junior, grupo de pop coreano, señala: “yo me pongo a ver los videos de Super Junior 30 veces al día y los veo, los veo, los veo y los veo... me llama la atención la cantidad de plata que invierten, la producción, el esfuerzo, los efectos de luz, los vestuarios y lo que me gusta más es que es un grupo grande” (2013: 207).

Lo mismo sostiene Fabián Cerda, seguidor del animé y de diferentes grupos de música japonesa.

Son tipos muy rigurosos. Cuando ellos están arriba del escenario, sienten la obligación de dar un buen espectáculo, siempre. Pienso que eso es lo que me identifica, por ejemplo, con Hironobu Kageyama; no puedo entender cómo un tipo que tiene 50 años puede interpretar de esa manera, moverse y entregar un espectáculo notable de principio a fin. Eso es lo que me hace admirarlo tanto (Donoso 2013: 35).

5. Conclusiones

Los seguidores de la cultura popular japonesa y coreana se sienten cómodos con la manifestación de su visualidad, cuyo funcionamiento es hipertextual. Esta construcción visual está ligada a la cultura budista, en especial la japonesa, que se percibe en imágenes y a partir de conexiones entre diferentes puntos, en un sentido que no está fijo en un solo significante. No obstante, la lectura que se hace del sentido es bajo un marco occidental, en una estructura donde el sujeto busca un objeto en un programa narrativo, e identificarse con los valores de determinado personaje o integrante de una serie o una banda.

Por ejemplo, en las series de animé, el fan busca identificarse con valores distintos a los de su entorno, leídos para validar un yo que no se identifica con los valores y modos de consumos imperantes en su misma región, en este caso en Chile. Sin embargo, los valores en oriente responden a la sensibilidad a las condiciones imperantes y al actuar con responsabilidad en torno al bien del grupo y la naturaleza. Yo y naturaleza son lo mismo, donde un profundo respeto hacia el otro.

Todo lo anterior genera una idealización de las sociedades japonesa y coreana en términos valóricos, en oposición a los valores de Latinoamérica y Occidente. En ese contexto, la pulsionalidad de la imagen provoca gusto en el espectador, pero es leída valoricamente y bajo los marcos cognitivos occidentales. Los fans en Chile no son conscientes del funcionamiento visual de las imágenes japonesas y en definitiva, no conocen su articulación códiga, a diferencia de cómo un sujeto japonés o coreano consume e interpreta ese contenido.

Estas conclusiones nos plantean las brechas aún existentes entre ambas regiones —Chile y Asia Pacífico— para lograr un mayor entendimiento. Los procesos perceptivos y cognitivos en los fans de estas culturas foráneas son un indicio importante para avanzar en la integración de estas dos regiones y superar los muros, que no son sólo idiomáticos, en un contexto de convergencia digital.

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EL ESPACIO DEL METRO DE SANTIAGO DE CHILE: DESCRIPCIÓN DE LA FOCALIZACIÓN PERCEPTIVA Y LA TIPOLOGÍA DE SUS PASAJEROS

Catalina Largo González
Universidad de Chile, Chile
mclargogonzalez@gmail.com

Abstract

Jean Marie Floch propuso una tipología de usuario del Metro de París en 1993. Esta investigación retoma esta propuesta, basada en la descripción del cuadrado semiótico de A. J. Greimas, para ser aplicada en el Metro de Santiago en 2015-2016. Dicha tipología clasifica a los pasajeros en Agrimensores, Sonámbulos, Dinámicos y Vagabundos. Agrimensores y Vagabundos tendrían en común la observación de la realidad externa, mientras que los Dinámicos y Sonámbulos estarían volcados en su mundo interno. Nuestra observación relaciona lo anterior con el planteamiento de los diferentes niveles de complejidad cognitiva (alta, media o baja) que a su vez tendría relación con las edades de vida. En un segundo momento, un grupo de pasajeros fue entrevistado, arrojando datos que desechaban la premisa de que los pasajeros con más alto nivel cognitivo clasificaban como Agrimensores o Vagabundos. Paradójicamente, se encontró que los pasajeros mayores, generalmente relacionados con el nivel cognitivo bajo, son quienes más observan el espacio externo en el Metro. A diferencia de los pasajeros jóvenes, identificados con múltiples espacios cognitivos simultáneos, que clasificaban como Sonámbulos o Dinámicos. Todo lo anterior visibiliza un conflicto de interfaces que la actual convergencia tecnológica implica.

1. Introducción

La presente investigación tuvo por objetivo principal describir a los usuarios del Metro de Santiago; las acciones que desarrollan, y, por lo tanto, la focalización del espacio. En definitiva, buscamos un diagnóstico acerca de la significación que sus usuarios, en sus gestos y actividades, dan a este espacio público.

El presente objetivo se sustenta en los trabajos de dos autores. Por una parte, para comprender los procesos perceptivos de los pasajeros del Metro, se consideraron dos planteamientos. La

percepción no tendría un ordenamiento determinado: “[...] En los cerebros reales no hay reglas ni un procesador lógico central, y que la información no está almacenada en lugares precisos. En cambio, es evidente que el cerebro operaba a partir de interconexiones masivas” (Varela 1990:53). Asimismo, la historia social de los sujetos, su contexto, tiene un rol fundamental en este proceso de percepción. Es decir, los sujetos son agentes en el proceso cognitivo: “El contexto y el sentido común no son artefactos residuales que se puedan eliminar progresivamente mediante el descubrimiento de reglas más elaboradas. Constituyen la esencia misma de la cognición creativa” (Varela 1990: 96).

Por otra parte, Jean Marie Floch ofrece una suerte de guía para el análisis semiótico del trayecto en metro, que considera a este tal como un relato, con partes identificables con un inicio (entrada a la estación), un desarrollo (viaje en metro) y un final (salida de la estación de llegada): “[...] Al igual que un texto, el trayecto puede ser objeto de una segmentación, es decir, de una división en un número limitado de unidades, de etapas o de momentos que se relacionan entre ellos según ciertas reglas” ([1990] 1993: 39). Y luego nos entrega una pauta claramente identificable de los distintos momentos que componen un viaje por la red subterránea: “Reconocibles al anotar el seguimiento — como vamos a ver — mediante una determinada secuencia o macrosecuencia gestual (móvil/inmóvil, de pie/sentado, acelerado/marcha lenta...) o proxémica (abertura a los otros/repliegue sobre sí mismo, distancia/proximidad, encuentro frontal o tangente) [...]” (Floch [1990] 1993: 39).

De esta observación se desprende una tipología de usuario que será incorporada plenamente en nuestra investigación. Así, diremos que alguien es Agrimensor cuando se dedica a observar el paisaje de la estación, conociendo los diferentes servicios que una estación determinada puede ofrecer (locales de venta de comida, lectura, pagos de servicios básicos, etcétera), de esta forma el agrimensor intenta diversificar los usos asignados al Metro; por otra parte, los Dinámicos esquivarán los grandes flujos de pasajeros y se ubicarán en lugares estratégicos del andén para esperar el próximo tren, de sus movimientos raudos se desprende que ellos buscan optimizar el tiempo de su trayecto, evitando eventos que puedan entorpecer su paso; los Sonámbulos se ubicarán en un lugar determinado y se enfocarán totalmente en una actividad, que puede ser chatear o escuchar música, entre otros; y finalmente, los Vagabundos, que se dedicarán a apreciar afiches y pantallas, o cualquier espectáculo inesperado que se presente en el Metro.

Para concluir la introducción, es necesario contextualizar brevemente acerca del espacio físico en el que se desarrolló la observación de los sujetos: el Metro de Santiago, Chile. Estamos hablando del medio de transporte que concentra el 61% de las preferencias de los pasajeros de la región Metropolitana, con 800 millones de viajes anuales proyectados para el año 2018 (Diario El Mercurio, 2014), año en que la red de Metro contará con 7 líneas, lo que haría disponer de 139 estaciones operativas. El Metro de Santiago fue inaugurado en 1975, por lo que cuenta con una historia de servicio relativamente reciente, si lo comparamos con otros metros del mundo, como el caso del Metro de Londres, inaugurado en 1863. O el de París, que comenzó sus servicios en 1900. Estamos hablando de un sistema de transporte masivo y de gran concurrencia, con un público altamente heterogéneo, considerando la presencia en aumento de inmigrantes, además de pasajeros de todas las edades y estratos sociales.

Además, es necesario considerar la presencia masificada de tecnología en el contexto de los trayectos realizados en Metro. Específicamente nos referimos a teléfonos inteligentes, y, en menor medida, tablets (Observatorio Digital del Gobierno de Chile 2010). Estamos hablando de un objeto que actualmente interviene en prácticamente todos los aspectos de la vida de los sujetos,

y en este sentido, los tiempos de trayecto de los pasajeros no están exentos de su presencia. Los teléfonos inteligentes no sólo se presentan como distractores o herramientas, sino también modifican la forma en que los sujetos se relacionan con el espacio. Como veremos, el espacio y tiempo de viaje que los pasajeros experimentan también se verá modificado, e incluso, resignificado.

2. Metodología

Comenzamos por definir los grupos que serían observados, a modo de captar los segmentos más representativos de los pasajeros. En este sentido, se estableció la observación de tres grupos etarios. Para fundamentar la elección de estas edades utilizamos los Proyectos de Investigación Fondecyt Regular N°1000954 y N°1120064 (Del Villar 2006, 2014). Estas investigaciones sostienen la tendencia de mayor complejidad cognitiva en los grupos etarios más jóvenes, mientras que se evidencia una curva menor en los grupos etarios más adultos, es decir, habría mayor simplicidad cognitiva en estos últimos. El resultado más significativo es que en los tres estratos sociales en los segmentos etarios 40-45 y 50-55, se da una predominancia del manejo de complejidad baja y a posteriori media, lo que es cualitativamente distinto en 30-35, que se aproxima a 11-12, 16-18 y 20-24, donde se manifiesta una curva normal (Del Villar 2014). De allí que los grupos escogidos para la observación sean pasajeros de 16-18 años, 20-35 años y 40-55 años.

Para sistematizar aún más la información se establecieron polos de observación. Estos consistieron en dos estaciones de Metro: estación El Golf y estación Hospital Sótero del Río. Ambas representan dos sectores significativamente distintos en relación con indicadores socioeconómicos (Astroza y Graells 2014). En este sentido, no sólo nos preguntamos acerca de si la brecha socioeconómica influye en el proceso perceptivo de los pasajeros, también es necesario observar el contexto de los sujetos, pues es la historia personal la que tendría un papel decisivo en este proceso perceptivo-cognitivo (Varela 1990).

Las observaciones fueron realizadas entre los meses de octubre y diciembre de 2015, días martes, miércoles y jueves. En cuanto a las observaciones de trayectos (dentro de los vagones) y andenes, en el caso Hospital Sótero del Río-Tobalaba, estas se realizaron en el horario punta de la mañana (7:30-9:00 horas) para lograr captar el desplazamiento de los pasajeros desde sus residencias hacia sus lugares de trabajo y estudio. En cuanto al trayecto El Golf-Los Dominicos, se observó en el horario de la tarde, entre 13:00 y 16:00 horas, para lograr captar el grupo de usuarios del sector, distinto al que utiliza el Metro en horario punta, que sólo acude a estas estaciones en este horario luego de finalizar su jornada para dirigirse hacia otros puntos de la ciudad.

Respecto a las entrevistas, estas fueron realizadas en julio de 2016, a personas que se ajustaran a las edades requeridas. Consistieron en dos mujeres de 16-18 años, dos hombres de 16-18 años, dos mujeres de 40-55 años y dos hombres de 40-55 años, dando un total de ocho entrevistas. Estas entrevistas semiestructuradas a pasajeros permitieron observar la relación entre las variantes según grupo etario, género y segmento socioeconómico. Se intentó plasmar la mayor diversidad posible en relación con los niveles de procesos perceptivo-cognitivo, es decir, personas que sean simples y otras que sean complejas para tratar de validar y profundizar los análisis etnográficos realizados. De allí que se generara una mini encuesta respecto al procesamiento cognitivo para seleccionar a aquellos que se entrevistaron. Finalmente, en estas entrevistas se aplicó la tipología de usuarios propuesta por Floch: agrimensores, sonámbulos, dinámicos y vagabundos. Si hay una relación entre las edades y la complejidad cognitiva, sería importante detectar cómo opera ello en realidades concretas de uso del Metro. Concretamente, si los adultos tienden a ser simples y los complejos tienden a ser los jóvenes, ¿qué pasa con el uso del celular, que por

convergencia tecnológica es teléfono, internet, televisión, GPS, etcétera? ¿El sujeto complejo utiliza la complejidad sólo al utilizar el celular? ¿Ha visto o no la señalética del metro, o está en condiciones de verla?

3. Análisis

En ambos trayectos se observó las actividades que los pasajeros realizaban a bordo del vagón. Con esto quisimos registrar en qué enfocan su atención los usuarios en cada recorrido, por lo que en un primer momento clasificamos el tipo de actividad que ejecutan (leer, revisar el celular o nada). Luego se registró el aspecto perceptivo de estas actividades, es decir, realizan una actividad o varias a la vez (Del Villar 2006, 2014).

Posteriormente se observó a los usuarios según sus tipos de recorrido en los andenes de las estaciones El Golf y Hospital Sótero del Río. De esta forma se aplicó la tipología de usuario propuesta por Floch ([1990] 1993).

El Golf-Los Dominicos

	16-18		20-35		40-55	
ACTIVIDADES:	H	M	H	M	H	M
Leer	0%	0%	6,7% (2)	13,3% (4)	3,3% (1)	3,3% (1)
Celular	56,7% (17)	40,0% (12)	60% (18)	56,7% (17)	40% (12)	40% (12)
Nada	43,3% (13)	60% (18)	33,3% (10)	30%(9)	56,7% (17)	56,7% (17)
PERCEPCIÓN/COGNICIÓN:						
-Sólo ejecuta una acción (celular o leer)	26,7% (8)	23,3% (7)	50% (15)	70% (21)	16,7% (5)	30% (9)
-Mira la ventana, afiches, lee o mira el celular	36,7% (11)	23,3% (7)	23,3% (7)	13,3%(4)	40% (12)	16,7% (5)
-Mira a la gente solamente	36,7% (11)	53,3% (16)	26,7% (8)	16,7% (5)	43,3% (13)	53,3% (16)

Figura 1. Focalización del espacio perceptivo El Golf-Los Dominicos.

3.1 Focalización del espacio perceptivo según tipo de actividad

Si bien existen ciertas diferencias, ninguna de ellas es significativa. La variable determinante en este sentido sería constituida por los grupos etarios, es decir, existen tendencias marcadas por los grupos etarios y estas serían transversales a los sectores socioeconómicos. Vemos cómo en los dos casos son los del grupo 20-35 quienes más utilizan el celular dentro de los vagones, mientras que los adultos de 40-55 son quienes más observan a las personas, y los del grupo más joven, 16-18 años, son quienes más tienden a percibir varios espacios a la vez.

Hospital Sótero del Río / Tobalaba

ACTIVIDADES:	16-18		20-35		40-55	
	H	M	H	M	H	M
Leer	3,3% (1)	0%	6,7% (2)	13,3% (4)	10% (3)	16,7% (5)
Celular	40% (12)	3,3% (1)	63,3% (19)	66,7% (20)	40% (12)	16,7% (5)
Nada	56,7% (17)	96,7% (29)	30% (9)	20% (6)	50% (15)	66,7% (20)
PERCEPCIÓN/COGNICIÓN: -Sólo ejecuta una acción (celular o leer)	26,7% (8)	3,3% (1)	40% (12)	63,3% (19)	36,7% (11)	20% (6)
-Mira la ventana, afiches, lee o mira el celular	50% (15)	20% (6)	43,3% (13)	20% (6)	23,3%(7)	36,7% (11)
-Mira a la gente solamente	23,3% (7)	76,7% (23)	16,7% (5)	16,7% (5)	40% (12)	43,3% (13)

Figura 2. Focalización del espacio perceptivo Hospital Sótero del Río-Tobalaba.

3. 2. Tipología de usuarioHospital Sótero del Río / Tobalaba

ACTIVIDADES:	16-18		20-35		40-55	
	H	M	H	M	H	M
Leer	3,3% (1)	0%	6,7% (2)	13,3% (4)	10% (3)	16,7% (5)
Celular	40% (12)	3,3% (1)	63,3% (19)	66,7% (20)	40% (12)	16,7% (5)
Nada	56,7% (17)	96,7% (29)	30% (9)	20% (6)	50% (15)	66,7% (20)
PERCEPCIÓN/COGNICIÓN: -Sólo ejecuta una acción (celular o leer)	26,7% (8)	3,3% (1)	40% (12)	63,3% (19)	36,7% (11)	20% (6)
-Mira la ventana, afiches, lee o mira el celular	50% (15)	20% (6)	43,3% (13)	20% (6)	23,3%(7)	36,7% (11)
-Mira a la gente solamente	23,3% (7)	76,7% (23)	16,7% (5)	16,7% (5)	40% (12)	43,3% (13)

Figura 3. Tipología de usuario El Golf.

Estación Hospital Sótero del Río

TIPO DE USUARIO:	16-18		20-35		40-55		% Total
	H	M	H	M	H	M	
Sonámbulo	26.7% (8)	30% (9)	40% (12)	50% (15)	26.7% (8)	23.3% (7)	32.7% (59)
Agrimensor	20% (6)	20% (6)	6.7% (2)	0%	10% (3)	20% (6)	12.8% (23)
Dinámico	46.6% (14)	40% (12)	20% (6)	13.3% (4)	30% (9)	16.7% (5)	27.8% (50)
Vagabundo	6.7% (2)	10% (3)	33.3% (10)	36.7% (11)	33.3% (10)	40% (12)	26.7% (48)

Figura 4. Tipología de usuario Hospital Sótero del Río

Vemos que las tendencias son compartidas tanto en El Golf como en Estación Hospital Sótero del Río. En ambos sectores predomina el usuario Sonámbulo y Dinámico, incluso con diferencias similares entre cada grupo etario. Por ejemplo, en ambas estaciones los sonámbulos de 20-35 representan a un 15% (27 casos). En el caso de los dinámicos, el grupo de 20-35 de El Golf representa un 6,1% (11 casos), mientras que el segmento de la misma edad en Hospital Sótero del Río concentra el 5,6% (10 casos). En tanto que los dinámicos de 40-55 de El Golf representan el 7,2% (13 casos), y los de Hospital Sótero del Río, 7,8% (14 casos).

Sin embargo, al observar las cifras de ambos cuadros comparativos, resalta la cifra del grupo Vagabundo en Hospital Sótero del Río. Para ilustrar lo anterior debemos regresar por unos instantes a la explicación de la tipología de usuarios de Floch. Esta clasificación está basada en el Cuadro Semiótico (Greimas 1971). Sonámbulos y Dinámicos comparten una relación de “no realidad”, en el sentido de reducir al mínimo la interacción con el exterior en sus trayectos a través del metro (Sonámbulos se encuentran ensimismados en una actividad puntual y Dinámicos se mueven rápidamente para ubicarse en el andén y abordar el próximo vagón). Inversamente, Vagabundos y Agrimensores sí presentan esta relación con la “realidad”, pues ambos interactúan con el mundo externo. Vagabundos se detienen a observar cualquier acontecimiento inesperado y Agrimensores prefieren ubicarse y observar a los pasajeros que llegan, además de conocer los espacios de la estación. Pero la relación cruzada no se queda en la variable “realidad” / “no realidad”. También emerge la “estrategia”, que sí manifiestan Agrimensores y Dinámicos. Agrimensores porque evalúan dónde bajar o subir al vagón, dependiendo de la hora, por ejemplo, pues conocen la estación y sus capacidades; así como los Dinámicos, que saben qué lugares son convenientes para subir a un vagón más expedito, por lo general en los extremos. Mientras que Sonámbulos y Vagabundos presentan una denominada “no estrategia”, debido a que privilegian otras actividades mientras permanecen en el andén. Sonámbulos están ensimismados en sus celulares, escuchando música o leyendo; Vagabundos están observando pantallas, carteles o apreciando cualquier evento inesperado que pudiera suceder. De lo anterior se desprende la complejidad cognitiva asociada a los tipos de usuario. Es decir, Vagabundos y Agrimensores presentarían una complejidad cognitiva mayor si pensamos no sólo que se encuentran en contacto con el mundo externo, sino que por lo mismo están percibiendo mayores espacios perceptivo-cognitivos. A diferencia de Sonámbulos y Dinámicos, que se encuentran concentrados en menos espacios cognitivos, pues no observan el espacio externo, no hay mayor interacción.

Retomando el punto inicial de esta explicación, volvamos al grupo Vagabundo en Sótero del Río. Pese a no ser un grupo mayoritario, salta a la vista la cifra, casi teniendo la misma presencia que Dinámicos. Al observar que el mayor número está en el grupo de 40-55 años (22 casos),

da cuenta de una diferencia con el supuesto inicial con el que contamos a la hora de establecer los grupos etarios. Hasta el momento pensábamos que este grupo de 40-55 años debía tender a presentar una complejidad cognitiva menor, debido al comportamiento mostrado en estudios anteriores relacionados con navegación por internet. Al parecer en este contexto, los adultos presentan una forma distinta de percibir los espacios.

3.3 Contrastando la información: entrevistas aleatorias

Hasta el momento se han registrado tipos de focalización que hacen los usuarios del Metro de Santiago. Al mismo tiempo, se ha descrito el tipo de comportamiento desplegado. Corresponde ahora profundizar sobre cómo perciben los usuarios del Metro su realidad de uso. Es claro que la variable edad ha destacado, más allá de la descripción de un sector socioeconómico. Mientras, detectamos diferencias entre las edades 20-35 años, quienes ocupan más el celular dentro de los carros, y los adultos de 40-55 años, son quienes más observan a las personas. Los de 16-18 años, por la hora de observación, se movían en grupos y conversaban entre ellos. Por otra parte, es claro que el comportamiento de los jóvenes se identificó mayoritariamente con los grupos Sonámbulo y Dinámico. En tanto que al parecer privilegian más la acción que la observación. Luego, queda por esclarecer varias dimensiones que hacen necesaria la realización de las entrevistas: qué ligazón hay entre el hacer varias cosas a la vez (complejidad cognitiva) con el hecho de la adscripción a un tipo de categoría de comportamiento en el Metro. Se decidió entrevistar personas pertenecientes a los grupos 16-18 años y 40-55 años, debido a que representan los comportamientos más polarizados, dos mujeres y dos hombres de cada grupo etario, intentando plasmar la mayor diversidad posible en cuanto a niveles de complejidad cognitiva. Para conocer el nivel de complejidad cognitiva de los sujetos se aplicó previamente este pretest:

Instituto de la Comunicación e Imagen, Universidad de Chile			
Género	M	F	Edad: /
Nombre		Comuna	
1.- Cuando trabajas en el PC, ¿escuchas música?			
Nunca	A veces		X
Siempre	No sabe / no responde		
2.- ¿Acostumbra trabajar en el computador y chatear al mismo tiempo?			
Siempre	A veces	X	No
3.- Tienes problemas de atención en clases o en el trabajo cuando:			
Las instrucciones son demasiado obvias		No me interesa el tema	
Cuando las instrucciones son demasiado complejas		No tengo problemas de concentración	
4.- Comúnmente, ¿con cuántas personas puedes chatear al mismo tiempo? Al chatear ¿Cuántas conversaciones puedes mantener al mismo tiempo?			
3, 0, 2, N° personas			
5.- ¿Qué es lo que más valoras en una obra audiovisual? Marque sólo una categoría			
1. el tema			X
2. los personajes			X
3. la música			X
4. la imagen			
5. los colores			
6. Un combinación de los anteriores			
7. Ninguna de las Anteriores			
6.- Qué te es más placentero cuando navegas (marca dos alternativas)			
Ver imágenes diferentes a las cotidianas (países, pinturas, etc.)		Ver imágenes impactantes	
Ver imágenes de hombres atractivos (cantantes, músicos, modelos, etc.)		Ver imágenes humorísticas	
Ver imágenes de mujeres atractivas		No sabe/ no responde	
Ver informaciones (noticias, reportajes, etc.)			
7.- Marca en cada línea la Alternativa que tú consideres que describe bien tu navegación por Internet:			
		Si	No
Cuándo navegas, ¿sacudes frecuentemente el mouse?			X
¿Te ha sorprendido acercándote o alejándote de la pantalla al navegar o jugar en el computador?			X
¿Cambias rápidamente de una página a otra al navegar?		X	
¿Golpeas fuertemente el teclado?		X	
8.- ¿En qué te fijas más cuando navegas?. Marca sólo una alternativa			
-Las Fotos o imágenes			
-Los Títulos		X	
-El Texto Escrito			
No Sabe- No Responde			

Figura 5. Modelo pretest para entrevistas.

Luego de realizar las entrevistas, se infirió de las entrevistas al grupo más joven (16-18 años) que las personas de mayor complejidad cognitiva (que implica manejo de varios espacios paralelos, tales como escuchar música, los afiches, revisar el teléfono móvil) no tienen necesariamente un tipo de comportamiento de usuario del Metro. Esto es, pueden ser Agrimensores, donde evalúan su comportamiento a un análisis de la realidad de varias variables, lo que va junto con una focalización de tres objetos paralelos (música, chatear, afiches), pero al mismo tiempo algunos no manifiestan su complejidad cognitiva en analizar lo real, sino que se comportan como Sonámbulos y toda la complejidad cognitiva se reenvía al uso del celular. La complejidad media permite por lo menos dos o tres espacios cognitivos que a veces se transforman en un comportamiento Dinámico, consistente en evaluar un principio presupuesto de calidad óptima del Metro y sus afiches, es decir, desplazamiento eficiente y a menor tiempo. Al mismo tiempo esta complejidad media puede transformarse en un Agrimensor, consistente en análisis de la realidad y de los afiches del Metro. Por otra parte, la complejidad media permite a varios sujetos ver distintos espacios del Metro, sin embargo, siguen siendo Dinámicos, es decir, sin una evaluación del uso del Metro real. Lo importante es destacar la relación entre la complejidad cognitiva y lo que se realiza, y el descubrimiento de que la alta complejidad cognitiva puede desembocar en un comportamiento Agrimensor o Sonámbulo, según su focalización en lo real o en el celular. Incluso, en una de las entrevistas se encontró que la complejidad cognitiva tiene un correlato con la focalización de afiches, señaléticas, etc. (todo el espacio del Metro), pero el uso del Metro mismo es automático y funciona como un usuario Dinámico, es decir, un sólo espacio cognitivo. Por otra parte, todos los usuarios de 16-18 años focalizan varios espacios cognitivos (teléfono móvil, chatear, escuchar música, etc). O bien a través del uso del teléfono móvil, y desde allí se integra a varios espacios. En definitiva, en esta generación predomina una relación con el espacio que se puede situar en otro espacio, tal como lo plantea Marc Augé (2012): existe un lugar y un no-lugar al mismo tiempo.

En el caso del grupo 40-55 años, se debe reiterar que el instrumento referido a la simplicidad cognitiva empleado es eminentemente referido a los espacios de la navegación por internet. La mayoría de esos usuarios no son asiduos a estas redes. Los sujetos en apariencia resultan cognitivamente simples, pues algunos utilizan escasamente internet. Sin embargo, sí perciben la realidad externa y observan a los pasajeros del Metro, las obras de arte, y se comportan como Agrimensor. Si bien dentro de este grupo se encontraron variaciones respecto a la relación con las plataformas digitales, el grupo de 40-55 años se caracteriza por desarrollar varias actividades a la vez. Sin embargo, a diferencia del grupo más joven, estas actividades son realizadas en la realidad concreta.

Esto significa que la convergencia tecnológica es una forma de funcionamiento generalizada en la sociedad, sin embargo, no todos los consumidores la viven. La generación de 40-55 años está más en el lugar de la realidad que en el no lugar de internet, y como están en la realidad, pueden ser simples o complejos. A diferencia del grupo 16-18 años, todos tienen en común la presencia de un no lugar, de internet, del celular. Sin embargo, no se infiere de allí que todos tengan el mismo comportamiento. Algunos ven internet como la vida misma, y son Agrimensores. Otros ven internet en el teléfono móvil de forma compleja, pero se comportan como Dinámicos y simples con respecto a su operar en la vida cotidiana. Luego, debiésemos diferenciar a estos dos consumidores, teniendo en cuenta que resultan polarmente diferentes.

4. A modo de conclusión

De lo anterior se desprende la importancia de los pasajeros de tipo Vagabundo en estación Hospital Sótero del Río. Es decir, pasajeros adultos (40-55 años) que se esperaba que percibieran menor cantidad de espacios, sin embargo, estaban percibiendo toda la estación, a diferencia de los más jóvenes que estaban ensimismados.

Tal vez, la consideración más relevante de esta investigación sea que esta convergencia tecnológica nos hace vivir en medio de plataformas disímiles: afiches, señalética, etcétera; al mismo tiempo, whatsapp, redes sociales, teléfonos móviles. El uso de las generaciones hacia estas plataformas es distinto. Como se evidenció en las entrevistas, los adultos tienden a observar más la realidad, pero pueden ser simples o complejos. En cambio, los más jóvenes pueden situarse en espacios de no lugar, y ver algunos la realidad externa y otros no. Por lo tanto, no hay relación directa entre el comportamiento de los pasajeros y su nivel de complejidad cognitiva.

La observación de los pasajeros del Metro de Santiago de Chile nos ofrece pensar en la convergencia tecnológica actual desde otra perspectiva: la resignificación de los espacios, o de lo que hasta ahora se conoce como “no lugares” de Augé (2012). Se requiere profundizar en las transformaciones de los espacios, o, mejor dicho, nuestra percepción de los espacios, como consecuencia de la instalación de estas nuevas tecnologías. No sólo cabe preguntarse por esta modificación en la percepción de los espacios, sino también en esta división que continúa haciéndose respecto a lo “real” y lo “virtual”. Luego de observar la interacción de los pasajeros del Metro de Santiago, también es necesario cuestionar esta diferenciación. Los más jóvenes parecen Sonámbulos ensimismados en sus celulares, pero dentro de esos aparatos se encuentra un mundo, permite estar en numerosos espacios a la vez. A estas alturas cabe preguntarnos si esa forma de estar es virtual o real, pues pareciera que estos nuevos espacios tienen tantas implicancias en la vida de los sujetos como cualquier hecho que suceda fuera de Internet.

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**FROM THE SESSION
“SEMIOTICS AND
CONSUMPTION”**

BRAND SHAPING MECHANISMS: CAMPER AND MORITZ AS CASE STUDIES OF SIGNIFICATION ADVERTISING

Felip Vidal

Open University of Catalonia, Spain
fvidala@uoc.edu

Abstract

In today's advertising we are witnessing the inflation of the imaginary content in the semiotic production of brands. Such process needs to be understood in the framework of the evolution of signification advertising and the increasing virtualization process of late capitalism. The aim of this paper is to conceptualize and exemplify a renewed semiotic production of brands which uses different shaping mechanisms: a) the use of several typical and atypical media and interfaces of advertising, b) the brand's narrativization and c) the embodiment of the brand through consumers' activity. In this way — as we can notice by analyzing the relevant case studies of two well-known Spanish brands, Camper and Moritz — today's advertising goes beyond the screen, manages to create spaces and events and meets the need for materializing the imaginary content of the increasingly virtualized brands.

1. Introduction and aims

A little over a decade ago, Ries and Ries (2002) predicted the fall and the end of advertising (and the rise of public relations) and Zyman (2002) pointed out the end of advertising, at least in the way it exists today. One year later, Cappel (2003) predicted that the escalating battle for consumers' attention would require a greater emphasis on below-the-line media.

In any case, at present, the Web 2.0 tools and Big Data foster building brand imagery through a plurality of media which have brought about major changes in the advertising formats and strategies. Currently the advertising activities used to build a brand include the use of microsites in social media, mobile marketing, digital signage, guerrilla marketing, event marketing and hybrid advertising techniques such as adver-games. For all these mechanisms, consumers have become a key element in building or co-creating brand value (brand equity).

Therefore, the data from advertising investment studies show that the current situation is characterized by changes in the distribution of advertising. Traditional media does not hold the

monopoly anymore, but quite the opposite. The increased investment in alternative media to traditional advertising and the Internet is giving rise to the emergence of a new multi-platform media ecosystem characterized by the search for new contact points between brands and consumers.

The aim of this paper is to conceptualize and exemplify the brand shaping mechanisms used by two popular Spanish brands such as Camper and Moritz, as these mechanisms can be considered exemplary models of the current tools for building brand imagery. The methodology used is that of case study, which means that the objective is not to analyse in detail the commercial or marketing policies of these brands, but rather to understand the practices illustrating what could be called “brand shaping mechanisms”.

2. A brief description of some brand imagery shaping mechanisms

In today's advertising we are witnessing the inflation of the imaginary content in the semiotic production of brands (Vidal 2012). Such a process needs to be understood in the framework of the evolution of signification advertising (Caro 1993, 1994, 2010; Vidal 2017) and the increasing virtualization process of late capitalism.

Therefore, the mainly informative and product-oriented referential advertising has given way to signification advertising, which focuses on building brands' imagery. At present this type of advertising has resulted in new forms of advertising which have minimized even more the material content of a product, maximizing the brand's imagery. Thus, in the new forms of signification advertising brand equity is created through a renewed semiotic production of brands which are increasingly virtualized and in which emotional and experiential factors play a predominant and specific role.

Nevertheless, this does not mean that the product is irrelevant or that the brand is only a pipe dream, as one might imagine; on the contrary, this entails a new scenario in which the imaginary signification of a brand's imagery needs to be represented or materialized (Vidal 2015).

Consequently, virtualizing a brand means densifying it through a renewed semiotic production which uses different shaping mechanisms (Vidal 2016) — which are briefly described in this chapter by analyzing the relevant case studies of Camper and Moritz —, the essential points of which consist in: a) the use of several typical and atypical media and interfaces of advertising; b) the brand's narrativization; and c) the embodiment of the brand through consumers' activity.

As previously stated, these three shaping mechanisms seek to densify a brand through its materialization. In addition, they represent invisibility and non-recognition techniques which prevent consumers from identifying the way in which a brand's imagery has been built. Thus, these mechanisms are used to lead to communicative closure in order to maintain the referential illusion between the product and the brand. Therefore, the aim is to hide the logic behind the semiotic production of a brand from consumers and to conceal its constructive and fictional nature by getting around the fact that once a brand's imagery is dematerialized it refers to nothing but itself.

As the analysis of the case studies show, in order to fulfil the densification and invisibility tasks, the advertising activity focuses strategically on the development of techniques which allow consumers' active involvement in the semiotic production of a brand. The main strategy is to try to make consumers and brands become partners as a result of a projective activity, since this creates an experiential adhesion of the consumer to the brand's imaginary world.

Furthermore, in order to establish a relationship between a brand's imagery and its product which would foster, support and lead to an experiential adhesion, the shaping mechanisms that have been mentioned seek to create an experience as “genuine” as possible. Hence, the new developments in signification advertising, i.e. the new forms of advertising resulting from a renewed semiotic production of brands, do not only pursue the commercialization of experiences

but also the fulfilment of a more complex task. This task entails creating spaces and brand stories in order to foster consumers' involvement and densifying and hiding the nature of the semiotic production from consumers. This is carried out by creating "genuine" experiences for brands which are increasingly detached from the object they represent but which need to be linked to it.

In this way, today's advertising activity, which is precisely a development at the heart of signification advertising, which goes beyond the screen and manages to create spaces and events, meets the need for materializing the imaginary content of increasingly virtualized brands. This is done, in turn, by offering consumers a "genuine" experience which is ultimately an undeniable simulation of itself.

These shaping mechanisms intend to intensify the use of emotional and/or experiential elements in order to make up for the minimization of the product materiality which goes hand in hand with the maximization of the brand's imagery, characteristic of the brands' virtualization within late capitalism.

3. Introduction to the case studies

In order to exemplify the mechanisms described in the previous section what follows is the analysis of two brands: Moritz and Camper. In spite of the fact that the methodology used is the case study, the aim is not to analyse in detail the commercial or marketing policies of these brands, but rather to understand more deeply the practices illustrating at a general level — but taking into account the nuances each brand presents and which are described below — the three shaping mechanisms described in the previous section.

First of all, it is important to take into account that these three shaping mechanisms are not mutually exclusive, given that what they represent is precisely a taxonomy whose elements are mutually compatible and accumulative. In practice these mechanisms are not clearly differentiated and, therefore, it is common to find campaigns in which it is difficult to discern each of them. This is mainly due to the fact that Web 2.0 tools offer a wide range of possibilities but also because the 360-degree campaigns are becoming increasingly complex. Thus, although the case studies include these three brand shaping mechanisms, the present section has endeavoured to highlight the most significant feature which distinguishes each mechanism from the others.

In any case, the following cases exemplify how to shape a brand effectively. The analysed brands illustrate the so-called new developments in signification advertising, in which brand equity is not attached to the "intrinsic" features of a product anymore. It is attached to the brand imagery and has become a central and decisive element of the consumption experience — which is even based on it — regardless of the fact that the term experience might not be included in the advertising communication literature.

What stands out in both cases is the constructive function the advertising discourse has, as it charges the brands with signification, and the different forms it takes in the implementation of the different brand imagery shaping mechanisms.

Thus, as the case studies have shown, it can be stated that in the framework of signification advertising the process of brand building has taken a step further with its abstraction and, therefore, it is identified with the consumption experience. This experience, in turn, while becoming independent of the product materiality, has expanded and spread to different media and interfaces, other than the screen, in order to take shape through several brand shaping mechanisms.

3.1. Moritz

In general, all above-mentioned shaping mechanisms are used by Moritz (<http://moritz.com/en>) in the process of brand building. However, the first one prevails and, therefore, the main mecha-

nism used consists of creating places which are used as physical anchors to the brand's imagery. These places are locations where consumers can have paradigmatic brand experiences. The most prominent location is the Fàbrica Moritz Barcelona (the Old Brewery), the brand's flagship, which was restored by the renowned French architect Jen Nouvel (<http://moritz.com/en/section/fbrica-moritz-barcelona>). The Fàbrica Moritz is a place representing experiences related to the brand, where presentations of cultural events are hosted and where there is a restaurant. The gastronomic director is Jordi Vilà, who was awarded a Michelin star, and the menu combines traditional and contemporary elements.

Moreover, Moritz organises many different events, such as a tour of Barcelona driving the vintage car Seat 600 and the Moritz Touring Bar, which consists of a tour of four places in Barcelona (the music festival Primavera Sound's shop, the Surf House in La Barceloneta, the tapas bar Lolita Tapería and the pub 33/45 in El Raval neighbourhood) and a dinner at the Brewery.

On the other hand, the second shaping mechanism is used by the brand in the following cases: first of all, the brand uses the story its founder's journey (<http://moritz.com/en/section/our-history>). In 1851 a twenty-year-old boy left his Alsatian hometown, Pfaffenhoffe, to travel to Barcelona, a city which was becoming industrially well-known. This young man, whose name was Louis Moritz Trautmann, soon started working with a small brewery in El Raval, which he would already own in 1856. In 1864 he inaugurated the first big brewery in Barcelona, located on the Ronda Sant Antoni.

Secondly, the second shaping mechanism is present in the refurbishment of the building, as many original elements were preserved and restored. This can be seen on the brand's website, in the pictures showing the old, first brewery.

Thirdly, the way in which the brewing process and characteristics are described on the website is another instance of the use of the second shaping mechanism. Similarly, Moritz' labels and old posters show the brand's communication history, which is used to exploit emotions of nostalgia as it is a sign of evolution.

Finally, another innovative tool for brand narrativization is the interactive multimedia book available on their website, which takes us on a "journey through the history of the human being and one of the most international beverage: the beer". This book relates the history of beer to universal history and includes a historical atlas which combines the 20th century milestones with the history of the brand.

The use of the third shaping mechanism is also clear, as consumers can participate in the events hosted at the Fàbrica Moritz live or via social media, such as Facebook, Twitter, YouTube or Flickr. Furthermore, at the moment the brand's website is being updated and it promises new features.

3.2. Camper

Camper (http://www.camper.com/en_US) is a design and innovation-focused brand which was awarded the Spanish National Design Award in 1998 and has managed to combine local values with a global perspective. The name of the brand means 'peasant', which highlights its rural origin, its rural production environment and the use of traditional techniques. In this sense, Camper combines rural and urban features and stands out because of its high quality and comfortable products with a handcrafted look.

Camper combines the use of the three shaping mechanisms. The second shaping mechanism is very significant on the brand's website, since a large part of it is devoted to the brand's history and origins (http://www.camper.com/en_US/content/history), to their history of graphic communication, to present their designs throughout the history and to exhibit their communication campaigns.

The first shaping mechanism is represented by the product itself, given that it is perfectly recognisable, and by the relevance the design of their stores is given. Camper materialises its brand imagery by integrating the space and the brand into the stores' design in order to create multiple store formats which can be moved or extended to other spaces, such as hotels or restaurants, which in principle are not related to the brand.

To be more precise, Camper has different store formats (http://www.camper.com/en_US/together). Camper Together is a model of collaboration with leading international designers (such as Campana Brothers, Marie Blaisse and Jasper Morrison among others) to create "exclusive products and unique stores", as stated on their website (http://www.camper.com/en_US/together). It is about facing up to "a new international reality, which requires the ability of using designs to integrate different cultures and creative experiences into one project, and an enterprise which can communicate and launch exclusive initiatives targeted at a select global market".

On the other hand, the second and third shaping mechanisms prevail in "Walk in progress" and "Info-shop". The "Info-shop" concept, created by the designer Martí Guixé in 2003, makes it possible for the store to become a publication creating therefore an analogy between the store and a magazine. According to their website, "the idea behind this concept is that design elements can be used to send messages and that content is as valuable as design. Thus, information becomes decoration and decoration becomes information". Therefore, the content is found in the elements of their stores' interior design, such as the walls, the floor, graphic materials or furniture. The design of the London "Info-shop" focuses on the *somera*, the typical donkey from Mallorca, which is in danger of extinction. Thus, the idea is to raise awareness about a local issue, which relates the audience to the brand's origin.

The "Walk in progress" shops, in turn, represent the idea of creating temporary, provisional and interactive design which allows the store to open and trade before the definitive design and decoration are complete. The store is decorated with a central table made from shoe boxes. "The walls are painted white with a 'imagine a better world' title to invite the customers to write and draw their messages, ideas, dreams, impressions etc. emphasising the interactive nature of the 'Walk in progress' concept". As shown, "Walk in progress" is a type of store which allows the interaction between consumers and the brand, which proves the use of the first brand shaping mechanisms.

In short, the brand imagery is visible in different supports, such as the communication campaigns, the products and the stores. Moreover, the brand's hotels, called Casa Camper (<http://www.casacamper.com/default-en.html>), also show the use of the first shaping mechanism.

Finally, there are three events which exemplify the use of the third shaping mechanism: the "#WHEREISTAND" competition (<http://blog.camper.com/whereistand-your-own-camper-moments/>) and the "Camper walks" (<http://blog.camper.com/camper-walks/>) and "Camper Love Day" (<http://blog.camper.com/2nd-camper-loveday-celebration/>) events. The first one consisted in consumers sharing their Camper moments uploading pictures in which they are wearing Camper shoes. The winner was chosen according to the originality, creativity of the picture or how spectacular the location was. The second event consisted of a tour of different areas of London to get to know the design industry by visiting design studios and talking to designers. Lastly, the third event asks "Camper's fan", as the brand itself calls them, to bring objects which were inspired by Camper shoes to a previously specified store in order to be able to win a pair of shoes. Likewise, the competition continues on social media (Twitter, Instagram, Flickr or Facebook), where consumers can upload a photograph and the author of the most voted one wins a pair of shoes as well.

Thus, the idea is to create a recognition effect similar to the one created by Bench's campaign, Made Yourself, since consumers can somehow identify with users. Hence, as the home page of the "#WHEREISTAND" competition says: "Do you fancy doing it? Take a closer look at our

campaign pictures. There you go. Boys and girls like you wearing their new Camper shoes on the streets around the world”.

4. Conclusions

Building brand imagery has become the central task of a kind of advertising which has extended to new types of media and supports. The construction of the brand imagery of Camper and Moritz — that is to say, the way that semiotic production of brand equity is carried out — is characterized by the use of multi-platform advertising practices synthesized in three shaping mechanisms: a) the use of distinct media and/or interfaces that may or may not be used for advertising; b) the use of narrative; and c) the embodiment of the brand through consumer activity.

Hence, we can see that both brands attach great importance to the design of a product — i.e. to its formal layout and to how it is advertised at the point of sale (first mechanism). In addition, the brand’s storytelling is the core for both brands and so they make their story known through interviews to the designers, who explain the origin and creation of all the lamps they sell, and videos on YouTube or on specific sections of their websites (second mechanism). Likewise, both brands encourage consumers — usually using Web 2.0 — to generate communicative content or to customize the product they are going to buy.

It is true that, in practice, such mechanisms, which are based on increasingly complex 360° campaigns, are difficult to identify accurately. Nevertheless, they represent the way in which the most innovative brands are built and in which these mask a simulated dialogicity and consumers’ engagement through push strategies.

In conclusion, the argument put forward in this paper is that brands are trying to systematically incorporate those mechanisms in order to adapt to a new scenario marked by the availability of tools and strategies characterized by the use of multi-platform advertising which have gained more importance than the media used in traditional advertising.

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SEMIOTICS, BRANDING AND CONSUMPTION: STREET SIGNS AND DIVERSITY ON THE CATWALK

Gustavo Tristão

University of São Paulo, Brazil
gu.tristao@gmail.com

Clotilde Perez

University of São Paulo, Brazil
cloperetz@terra.com.br

Abstract

The paper aims to explore the contact points between the areas of semiotics, the study of brands and consumption from the analysis of the Laboratório Fantasma brand fashion show during the São Paulo Fashion Week 2016. Considering the fact that the brand is owned by the Brazilian rapper Emicida, it represents aesthetic and discursive traits of rap as a cultural and media product, a fact previously unheard of in an event of such magnitude. The fashion show, in its costumes, scenographic and sound dimensions, carries sign elements present in the rapper's artistic production, linked to ethnic-social diversities and established patterns of beauty in the fashion world. The theoretical-methodological reference privileges both the Peircean semiotic in its dynamic vision of the process of signification and the Greimasian semiotics in its focus on the generative stracts of meaning, contemplating the understanding of brands as media (Trindade and Perez, 2014) and anthropological postulates that weave an approximation between culture and consumption (McCracken, 2003). With this, it intends to identify how the manifestations of the brand express trends of the contemporary fashion and culture, evidencing the importance of the consumption in the process of identities construction.

1. Introduction

The current scene of Brazilian rap, represented by the so-called “new generation”, has aroused our interest in the recent phenomenon of groups and artists that began to manifest not only for their music and audiovisual content, but also through consumer goods. In recent years, these have gained space and started to compete with their own music in importance within rapper's

career development strategies, composing a range of (sub) products among which stand out clothing brands and accessories intended for their fan community. The consumption of these brands and its publicity strategies seem to favor a notion of belonging to a group among the fans, reinforcing the need to deepen our study on the cultural and identity mediation of consumption, from the understanding of brands as media (Trindade and Perez 2014) and the sense links between brands and their consumers (*idem*). The products, in some cases conceived under the direct interference of artists, indicate identity and symbolic dimensions as a possibility of perception of their cultural and media dynamics.

One of the greatest examples of the current rap scene to act commercially in this direction is the company Laboratório Fantasma, owned by rapper Emicida, who has invested in the production, marketing and advertising of its product independently. The magnitude of both company and brand growth, unprecedented in the Brazilian rap scene, was accompanied by the success of Emicida and the rise of the artist worldwide. In a certain extent, it confirms the transcendence in the categorization of rap only as a musical genre, as Teperman (2015: 57) suggests “Thinking rap as just a musical genre seems to be reducing it to just one of its dimensions. Certainly, it’s not the only style of music to play beyond music. Perhaps the peculiarity of rap is explicitly claiming the fact that “it is in the world”“.

For us, one of the most obvious ways rap is currently used to claim the fact of “being in the world” is through consumption. To this, in its different dimensions, other definitions and functions are assigned by the currents of scientific thought, whose approaches are necessary to better understand our object of study. From a socio-cultural perspective, which also contemplates an anthropological view, in the analysis undertaken here we propose a discussion about consumption in its link with the formation of the identities of groups and individuals in the context of postmodernity. Therefore, we use a referential that favors a conception of consumption as a creator of meanings, instead of reduce it to a disintegrating phenomenon.

Faced with the postmodern reality, exchanges that allow contact between groups and individuals who share different repertoires and systems of meanings among themselves are established, forming networks of meaning from the social and cultural universes.

We believe that the articulation between the theoretical bases of the three strands proposed here - semiotics, branding and consumption - is capable of broadly contemplate the characteristics of our research object. Thus, the idea of consumption as a producer of meanings permeates all the analysis and is supported by the contributions of material culture theorists who guide their investigations in the same direction. The centrality of consumption in the postmodern society is assumed based on anthropological notes and the study of the meaning of objects for groups and individuals, which guide relations of belonging-exclusion.

2. Consumption in the postmodernity

Postmodernity has been shaped by the increase of consumption as a regulatory phenomenon of political and cultural actions, which composes a scenario where relations between consumers and consumer goods acquire peculiar traits. The material goods overload in contemporary metropolitan societies implies that new theoretical approaches are adopted on the meanings and symbologies involved in consumption activities. Since perspectives based on a logic that counterposes production and consumption are no longer much more profitable in the sense of explaining the mechanisms that lead people to consume the goods that are part of their daily lives.

Thus, it is necessary to overcome this logic of opposition through the theoretical articulation between some branches of the social sciences that allows an apprehension of the material world beyond the mereously objective factors that precedes the acquisition of products. Thus,

we intend to extend an analysis of consumption in its complexity by encompassing its potential as meaning producer instead of viewing it as a merely disaggregating process, evidencing how it can be used to communicate the subjectivity of individuals and groups.

Moreover, Baccega (2009), in his explanations about how the interrelationships involving communication and consumption in the cultural plot take place, highlight the role of the active subject, based on Marx's considerations about a complementarity between production and consumption to demonstrate that both "are two sides of the same coin" (p.113). For Marx, who is often mistakenly attributed a negative judgment on consumption, "The production is immediately consumption; consumption is immediately production. Each one is immediately its opposite" (Marx 1992: 8 *apud* Baccega 2009: 113). From this assertion, the author indicates that production constitutes the great mediator of consumption by creating materials that serve as raw material for the manufacture of the object, while, likewise, consumption is also the great mediator of production, since they are created for the products or subjects for which they are products. In order to clarify this interdependence between consumption and production, Baccega uses the concept of *sign* and the relationship of dependence that it establishes with the social life to materialize itself.

Two faces of the same coin, like the sign, the product only receives its finish in consumption, that is, the concretization, the meaning of the product is in consumption, just as the realization of the verbal sign - the word - lies in the dynamics of social life. Otherwise, the product is no more than itself, it is not effective within the social (2009: 114).

Miller (2007) provides us a valuable insight into the possibilities of viewing consumption from the perspective of contemporary material culture studies of anthropological roots. By extrapolating conceptions that frame consumption as the destruction of material culture, largely responsible for giving it an evil aura, the anthropological perspective shows in what degree consumption can be used to understand society.

Still in the cultural perspective, McCracken (2003), in his new approaches touching on the symbolic character of the goods and activities of consumption, assumes that it would be shaped, directed and constrained in all its aspects by cultural considerations. Drawing on the anthropological postulates of Mary Douglas and Baron Isherwood, the author weaves an approximation between culture and consumption that helps us to understand the importance of consumer objects to postmodern society.

Consumer objects are part of what Douglas and Isherwood called the "visible part" of culture (1978: 66). They help to give ideas of culture, which are by their very nature intangible, a certain concreteness. When the culture is realized in the form of consumer objects, it becomes more stable and consistent. It is removed, in Miles Richardson's words, from "whirlwind and flow of opinions, attitudes, and ideas" and is given to it a new substance and authority (1974: 4). In other words, goods create a kind of ballast that works against the cultural whirlwind (McCracken 2003: 137).

The author also indicates the existence of a traditional trajectory that guides the movement of meaning, starting with the culturally constituted world and being transferred to the good of consumption, which later moves away from the good of consumption and is transferred to the consumer. Thus, the mobile nature implies that both - consumers and consumer goods - are designated as intermediary stations of meaning.

In the same direction, Douglas and Isherwood (2006) emphasize the need for a metaphorical understanding that would help us come up with a more precise idea of the motives that drive consumers to buy goods. The authors affirm that it is fundamental to deny the reductionist logic of the idealizing economic theory of a rational individual, which in practice they consider an impossible abstraction of social life. The retraction of this logic reinforces the importance of the transformations that the individuals provoke when they share the consumption through the purchase and the use of the goods in their daily life. Consequently, it can be seen that although goods are neutral in themselves, they are social in their usage, which gives them the possibility of being used as “fences or bridges” (Douglas and Isherwood 2006: 34), their capacity to establish links and to play the role of mediators of social relations through their use as elements of distinction or belonging.

3. Branding, culture and identity

The brands seek to express values, identities and images of products through actions and manifestations. Such actions and manifestations can be presented in a variety of ways, for example in print media advertisements, audiovisual content, merchandising actions - such as shop showcases, shelves, among others - and, in our case, through a fashion parade. The common point is that all of them are aimed at generating positive bonds, pleasant associations and taking the potential consumer to the act of buying and using the product or service.

That said, in order for brands to convey their values, ideals and aspirations, brand managers need to anticipate the signals that society emanates - in other words, managers must be immersed in contemporary culture and trends. That is, they need to pay attention to the movements and values that society aspires to. Brands, through a well-coordinated management, need to anticipate the information and prepare its message, its communication, so that it meets its target audience. For this, it is necessary that such a message be result of what is sought so much and that the consumers seek the brand to its completeness.

Hall (2004) indicates that when consumers consume the same goods, they create “shared identities”, even though they are spatially and temporally distant from each other, a logic that we extend here to the dynamic involving brands and their target audiences. According to the author, this raises transformations in social life, but does not imply an absolute homogenization of identities, since the exaltation of difference instigates the search for alterity in local cultural and ethnic groups, articulating the global with the local, characteristics that are present in the Lab Yasuke collection, as we will explore later on.

The possible worlds of brands offer the individual organized, pertinent and attractive constructions of meaning. In this way, their relation with the brands is permeated by symbolic systems that helps to think the postmodern world, whose fragmented and multiple nature demands the construction of a coherent and unitarian world view by the subject facing discrepant and often contradictory experiences. Therefore, the brand stands out as an important element of social cohesion, fulfilling a very relevant role in the construction of individual and collective identity, as explained by Semprini (2006). The author lists some of the most relevant characteristics of contemporary brands, among which we highlight:

Its omnipresence in public space, its ability to mark the symbolic and the collective, its propensity to move public opinion and attract the attention of the media, its functions as identity intermediary or collective flag shift the mark of the only sphere of consumption and project at the very heart of social behaviors, the logics of exchange, the mechanisms of identity construction of individuals and groups (2006: 322).

Perez (2004) defines the brand as a symbolic and affective connection established between an organization, its material, intangible and aspirational supply and the people for whom it is intended, highlighting some characteristics that guide our analysis.

The brand is a kind of “machine” of producing meanings and, in this sense, operates in the construction of a particular social locus. By using and consuming a certain product of a certain brand, we are positioning ourselves socially, we are stating who we are, what we like, what we value, and so on. (2004: 15)

In order to show that the consumption of a product and a brand goes far beyond mere acquisition, Trindade and Perez (2014) adopt the term “sense links” to describe the relationships between consumers and brands based on the sense of belonging, pertinence and affectivity in people’s lives. The same authors also provide another important concept about a vision of the cultural and identity mediation of consumption from the understanding of brands as media and their natural relational, semiotic and evolutionary essence, proposing a theory of the sense links between brands and their consumers.

4. Semiotics prints

The analysis of the LabYasuke collection parade will highlight both the traits of Peircian semiotics in its dynamic view of the signification process and those of Greimasian semiotics in its focus on the generative strata of meaning, in the attempt to map the set of meanings and the brand and its potential role in the construction of group identities. In the process, we will give special attention to the identification of street signs and diversity in order to fulfill the purpose of the article, which, however, prevents us from further analytical deepening when we consider the extent of the content and the restricted space that we have.

In this course, Peircean semiotics will have as aid the themes and figures of Greimasian semiotics. In identifying such representations, the signic potential that will be analyzed aims to verify, as already suggested, if the brand is inspired by the tendencies - understood as social values - and how the brand expresses the production of meaning through the signs generated by the themes and figures.

Santaella (2008) explains that the semiotic analysis of the Peircian line allows us to explore the interior of the messages in three aspects: first - qualities and sensoriality of their internal properties (colors, lines, shapes); second - message in its particularity, in its here and now, or in its context; third - to what the message has of general, conventional, cultural.

In the face of reference, semiotics allows us to understand what the messages indicate, what they refer to or apply to. Three aspects: first, suggestive, metaphorical; second, denotative power, ability to indicate something that is outside the message; third, to represent abstract and conventional, culturally shared ideas.

Finally, in the face of interpretation, in relation to the interpretant, the semiotic analysis enables us to examine the effects that the messages can awaken in the receiver. Three types: emotional, more or less defined feeling; second, reactive effects, the receiver is led to act on the message received; third, mental, when the message leads the receiver to reflect.

As for Greimasian semiotics, it presents the generative path of meaning that consists of three levels - the deep (or fundamental), the narrative and the discursive. The attention of our analysis will be focused on the latter, in order to identify themes and figures that act on the discourse, which will enable us to understand deeper meanings not apprehensible in a more superficial reading.

The thematic texts have the function of explaining a reality, establishing relations of semantic coherence, which lead us to an explanation. The figurativization, in turn, has to do with “figures of content that cover the abstract thematic paths and attribute to them traces of sensorial coating” (Barros 2008: 72). Thus, we will see how the figurative texts used in the Lab Yasuke’s parade pretend to create a reality effect in an attempt to recreate the world through their figures, that is, how they describe or represent actions.



Figure 1. The Lab Yasuke collection.

The themes and figures will be important in our analysis in the ones the themes represent the trends in which the brand is inspired to transmit the values of its identity to the consumers. The figures are the symbolic manifestations of these themes in their potentiality, which give concreteness to the abstract themes. It is in an attempt to represent trends on the catwalk that the figures emerge, enabling consumers to identify with what is communicated.

5. Lab Yasuke: Street signs and diversity on the catwalk

The imagery, costume and sound construction of the Lab Yasuke collection is very rich in the production of meaning when aligned with the repertoire of the consumers for which it is intended. By committing to the signs, fans of rapper Emicida and consumers of the brand can establish strong links between images, music, costumes, speech and the ideology of the rapper inspired by São Paulo cosmopolitan reality. Therefore, we propose the analysis of the signic manifestations present in the parade punctuating some elements that give force to the brand. In advance, we deem it pertinent to quote here the proposal of the event (<http://texbrasil.com.br/en/focus-of-42nd-spfw-is-transformation/>):

Transformation, transgression, transition. In its 42nd edition, São Paulo Fashion Week draws attention once again to the scenario of changes typical of the beginning of the century. They are new challenges, new ways of doing things, other opportunities. The prefix trans- translates the idea of going beyond. It serves to provoke us. Alone or in association with other words, it is the mark of this edition.

Closely linked to it, the concept of the Lab Yasuke collection is:

The prints in this collection were influenced by two sources: Japan and Africa. From Japan, we have brought graphics, fonts, geometry, clean strokes, contrast of black and white and minimalism of the applications of these images in the clothing parts. From Africa came the stylized prints from the pattern of the traditional fabrics of Angola, the Samakaka. We re-read fragments of Samakaka's drawing, creating new, unique and original designs that bring an African identity to our collection, in a modern and contemporary way.

Yasuke was a legendary black samurai from Africa who inspired Emicida and the creative director João Pimenta in the development of the collection. The character evokes the black person as a warrior, whose struggle is to overcome hardships such as racism, poverty and lack of opportunities. Such themes are recurrent in the artistic production of the rapper.

The generative stracts of meaning are based on the lyrics of the poem sung by Emicida during the parade, highlighting the themes and figures explored in his speech. The first Emicida verse says, "It was always a chain break, no kidding", brings as a figure the chains, referring to the theme of deprivation of liberty and slavery. The lack of black people's representativeness on television is presented as a theme in the verse "I know it's an unfair war, the screen frustrates", where the television (or the screen) represents an important means of identification, since the consumption of cultural products acts directly in the identity construction of subjects. Emicida talks about the remnants of slavery and places itself as a representative of the black people saying that "I saw loads of loads of centennial, daily, several cheating/ I want to tell you this 400 years ago". The theme of slavery is reinforced by the expression "400 years" which was the approximate duration of modern slavery in Brazil, the last country in the world to abolish it, period in which the blacks suffered numerous abuses.

When Emicida says, "Being free have it's price in a world where black people scares/ Wanna know? Since a long time I don't ask how much things costs", he wants to explain that being free is "expensive" for black people, but also says he has not cared about the cost of things since a long time. Despite of this, he is aware that his presence as a free man still frightens, suggesting that racism remains although his social ascension. Therefore, here we have again the theme of liberty, which is strongly related, with the possession of money, which means that Emicida reached a new social level.

The theme of the importance of collectivity as a way to fight against racism and prejudice is reiterated by the verses "People are like words/ They only make sense if together with the others". The comparison between the words of a text and the union of people around a common ideal fulfills the figurative function, thinking that both a word taken in isolation and a subject alone have less potential for expression and change than they would have if they were together with other.

Finally, in the last lines the rapper says that "I did with the catwalk what they did with the jail / and with the favela / I filled it with black people". Here we have the theme of freedom once again, since both the prison and the favela caused blacks deprivation of access to other spaces, evidencing the racial and social segregation caused by them. The context reveals a clear message to those who maintain racist attitudes, suggesting that black people who were previously thrown into slums and jails are now free and occupy the catwalk of one of the biggest events in world fashion, supposing a kind of elegant revenge. From this, once the main themes and figures have been identified by means of Greimasian semiotic notes, we will present some signs that help us to understand how the sense construction takes place, especially those related to diversity and the streets.



Figure 2. Plus size model wears a samurai kimono.



Figure 3. Model wears "I love quebrada" t-shirt.



Figure 4. Model wears “Ubuntu” t-shirt and cap.

The colors work as signs of ethnic diversity, considering that the Lab Yasuke’s collection colors are red, black and white. These colors form the Brazilian ethnic matrix: black (African), white (European) and red (Amerindian). In the song sung during the parade, the rapper claims to have gathered all the colors, from where a rainbow arose. Thus, the intention of giving an aura of ethnic diversity to the brand becomes even more evident. The rainbow is also a sign of the gender diversity all around the world. The red, associated with white, can refer to Japan’s flag colors. Red also represents the color of *Orixá Xangô* in Umbanda, an Afro-Brazilian religion, which is the *orixá* of justice and has the dominion of the fire and the thunder. In mythology, *Xangô* appears as the one who was born to reign, conquer and solidify. White is the color of *Oxalá*, which represents the *orixá* who created the world and the human specie, invoked when seeking support in difficulties.

The genderless notion appears as gender diversity signs, expressed by clothing historically attributed to the opposite sex in Brazil. It is the case of the model who wears a samurai kimono - a figure usually represented by a man - and the famous singer and Brazilian actor Seu Jorge, who wears a pleated skirt. With this, the parade evokes the genderless idea, something noticed in the latest world fashion trends.

Signs of fashion aesthetic standards breaking are one of the highlights of the parade, represented by plus size models, which were cheered by the audience. The choice raises the question of the aesthetic standards in the fashion world, which usually favors only extremely thin models. The option extends to the of the brand sizes catalog, which starts to sell extra-large pieces of clothing directed to this public.

Besides the streetwear clothes themselves, other street signs are present in some prints that bring the idea of the street as a habitat of cultural expression. These phrases reinforce the affective bond between the brand and its potential consumers, since these live the urban culture daily. For example, we have the phrases “I love quebrada” (“I love ghetto”) and “A rua é nóiz” (“The street is us”). In this last one, the word us (“nós”), in its colloquial form “nóiz”, can be interpreted in two ways: as a reference to a collective of people (the pronom “us” or “we”), or, as also proposed by the rapper, as “knots” (substantive). Both words have the same pronounce and suggest a strong sense of unity, appearing in Emicida’s songs.

Some musical signs were indentified in the music that accompanies the rapper verses, which is cathartic, mixing samples of organic instruments with the beats and electronic dissonances. The rhythms carry references of Candomble religion and Japanese music, emphasizing the importance of culture in establishing affective links through the recognition of popular music. The religious syncretism between Afro-Brazilian religions and Catholicism is present in the chorus “Blessed, be praised”, repeated many times throughout the music. Someway, music atmosphere refers to the chaotic environment of metropolises such as São Paulo.

We have also identified some philosophies of life signs in the prints, as the expression “ubuntu”, which refers to “A way of living, a possibility of existing together with other people in an unselfish way, an antiracist and polycentric community existence” (Noguera 2012: 147-148). The print of a black Buddha evokes a philosophy of life that helps people to perceive the impermanence of everything that exists and thus to deal better with transformations, illnesses and losses.



Figure 5. Ubuntu”, “black Buddha” and “I love quebrada” t-shirts.

The Japan, country, which strongly influenced the collection, represents the opposite extreme of Brazil, suggesting the idea of crossing the world, reaffirmed by the Japanese tour that Emicida made after the parade. Japan is also called “the land of the rising sun”, which exposes a notion of prosperity. Other possible interpretations concern equal opportunities, as in the expressions “the sun was rised for all” and “seek a place in the sun”. The idea is complemented by imagi-

nary references to Liberdade¹ neighborhood, where most Japanese descendants are based in São Paulo, the largest colony in the world outside Japan.

6. Final considerations

Despite the difficulty to analyze such extensive material – the video lasts almost ten minutes - in a few pages, we hope to have offered a panorama able to demonstrate the strong presence of street signs and diversity in the expressions of the Laboratório Fantasma brand and the Lab Yasuke. Nevertheless, since the parade in question will be the object of an analysis of a master's thesis, we believe that we have at least identified the most relevant points, which will be fully developed. In the course, we will focus on a more detailed analysis, mainly in relation to the application of the methods of Peircian and Greimasian semiotics in any aspects not contemplated here.

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¹ Means “freedom”.

SIGN SYSTEMS, IT SYSTEMS, TRANSLATION PROCESSES

Coen Suurmond

RBK Group, Deventer
csuurmond@rbk.nl

Abstract

Sign systems can be categorised in many ways, one of them is the division in social sign systems and formal sign systems. In the former, full semiosis is possible, in the latter the interpretation of signs is determined by formal rules. IT systems are based on formal sign systems, and users of IT systems are continuously translating between social and formal sign systems. Implementing a new IT system will have an impact on this behaviour, and not only in ways managers and IT consultants are prepared and planning for. The core of this problem lies in the conventional approaches to developing IT systems, where the conditions for good translations between the IT world and the world of the customers often are not satisfied.

For a semiotically sound way of developing and implementing IT systems, the direction of thinking should be reversed. Information processing issues should be analysed from the full range of sign systems involved, taking into account different types of translation processes: (1) in automation, social and/or physical processes are translated into formal models; (2) in working with information systems, the user is translating between social and formal sign systems. In this paper I will analyse the various sign systems, as well as the intersemiotic translation processes involved.

1. Introduction

Working with computers has an impact on the semiosphere of the users. This is due in part to the use of new signs (smileys), in part to the shift of meaning of familiar words (file, dictionary), and in part to the nature of the formal sign systems as medium for computer software. In business information systems, the impact of the latter is largely underestimated and the unnoticed changes and disruptions in the semiosphere of its users is a major cause of disappointing results of IT projects.

At first sight, business processes in general and more specifically industrial production processes seem to be a good and 'easy' field for automation. In the past decades rationalisations of processes and increases in scale have brought about much standardisation and formalisation, making the processes suited to automation. This is the popular view especially with managers

and IT consultants. However, this is not the full story. Each and every day people are adjusting their behaviour in business processes according to their interpretation of circumstances and their weighing of norms. And exactly this is the kind of information where IT systems have problems, because of the rigidity and meaninglessness of their formal rules. When the semiosphere of the user is incompatible with the information processed by IT systems, either the IT systems takes over and the user is degraded to an extension of the IT system, or the user neglects what the IT system is doing and develops methods to keep the IT system satisfied. Both situations are to be avoided, but how?

Mazzoni describes in his Theory of the Novel human beings as "... individual, particular beings, thrown into time, located in a world, and placed among others" (Mazzoni 2017:13). This characterisation of the nature of human being is not only true for humans at leisure, but also for humans at work. Human beings must continuously act in concrete situations, working with multiple social and formal sign systems solving problems, mutually adjusting to each other and dealing with all kinds of information and interpretation. Dealing with contingencies on the job is what makes the job worthwhile.

In this paper, the role of different sign systems in the semiosphere will be briefly assessed, followed by a discussion of different kinds of translation. Next is a description of IT systems as formal sign systems, and an analysis of what this implies (1) for meaninglessness in IT systems and (2) attribution of meaning in working with IT systems. This section is closed by a discussion of the kind of translations involved in the conventional approach to developing IT systems, and the problems that arise here. The penultimate section proposes an alternative approach to the development of IT systems, an approach that translates the projected new semiosphere into operational practices of the users. This approach focuses on the semiosphere of the users and the two "source texts" of (1) existing semiosphere and (2) stated project goals into one coherent "target text" of the new semiosphere of the users. A short discussion of translation and complexity concludes the paper.

2. Sign systems

In daily life, people use a broad variety of sign systems. Natural language is the most obvious sign system, and a sign language such as American Sign Language is an example for a variant of natural language where hand shapes, orientation and movements take the place of spoken words. Within a natural language, dialects and sociolects can be discerned. Professional disciplines have their own jargon, sometimes using specific terms, and sometimes using more general terms but with a specific meaning. Then there are pictographic languages such as traffic signs, often in combination with texts in natural language. Chess has its own base sign system, with many different physical and diagrammatic expressions of each of the pieces. Talking about chess in turn has its own sign system, designating abstract concepts and patterns on the chessboard. Sign systems are probably as difficult to describe as the language games of Wittgenstein.

Meaning is generated by semiosis, in using signs in a social context. People new to the sign system, will learn to use it in practice. Meaning will develop in practice as social contexts are shifting. Meeting a married couple some decades ago implied meeting man and wife; nowadays it implies just meeting a couple of people. The meaning of 'weekend' is Saturday and Sunday in Europe, and Friday and Saturday in Arab countries. If the average height of the population is changing over time, so will the meaning of tall and short people if this meaning is expressed in a measurement. However, if the meaning is expressed as longer or shorter than average, then the meaning does not change. However, someone who was considered 'tall' in her youth 40 years ago, might now be considered of average length.

Apart from factual meaning, people use natural languages in a social context to express mood and tense (think of Comey reporting Trump as saying: “I hope you can let this go”). In a natural language its users have a great flexibility to refer to a something (or group of somethings), to indicate vague or indeterminate situations, and to communicate by metaphor.

Formal sign systems are defined by formal rules for manipulating variables. Examples are the sign systems of mathematics and logic. Formal sign systems are constituted by primitives and formulae for manipulating the primitives. There is only syntax and no semantics or pragmatics in a formal sign system. However, people using formal sign systems may read meaning into the variables. In reading the formula a user from the field of physics will read distance, velocity, acceleration and time in the four variables x , v , a and t . And he will know which units of measurements to use in order to calculate with the formula successfully.

In chess, a whole variety of sign systems is on display. Firstly, the rules of the game constitute a formal sign system. The primitives are defined (the chessboard, the chessmen with their initial position on the chessboard), a set of allowable moves is defined, and the criteria for the end of a game are defined (as a win or as a draw). Secondly, there are diagrammatic sign systems for representing the chessboard and the chess pieces, both two-dimensional on paper or on screen and three dimensional for playing chess as a physical game. Thirdly, there are semi-formal notational sign systems for both representing and annotating the moves, and for evaluating positions. Fourthly, there are social sign systems denoting gestures for offering a draw or admitting defeat. Fifthly, in chess literature a variety of social sign systems is in use for discussing theory, notably opening theory, where terms denote patterns of play such as “the Pirc”. Finally, there are social sign systems in use for people talking about chess, chess tournaments, chess players, chess culture, and so on. The kernel of the chess game, however, is about the formal system with the constitutive rules of the game and a very limited social sign system needed for people to start, play and end a game of chess. Playing chess is taking part in both the formal sign system that specifies the constitutive rules of the game, and the social sign system specifying behaviour at the chessboard. Being a chess player is taking part in the chess culture with its many social sign systems about opening theory, behaviour at tournaments, discussing chess games, revering the great players and the great games, and so on.

As an example of the essential differences between social sign systems and formal sign systems, imagine a customer asking his meat supplier to deliver by the end of next week about 3000 kg trimmings, not too fat. People will have not a problem to work on this information. A formal sign system, however, will need precise information: delivery date Friday the 7th, item code 370023, and amount ordered 3000kg. By translating from the social assign system into the formal sign system, meaningful information about leeway is lost.

3. Translation

The Oxford English Dictionary (OED) gives for ‘translation’ several different meanings, the most relevant of which are: (1) “The action or process of expressing the sense of a word, passage, etc., in a different language. Also, the product of this” and (2) “The expression or rendering of something in another medium, form, or mode of expression. Also, the result of this”. Furthermore, the OED gives as ‘now rare’ another meaning that is relevant for this paper: (3) “Transformation, alteration, change; changing or adapting to another use; renovation” (OED 1991). Roman Jakobson distinguishes three types of translation in his article *On Linguistic Aspects of Translation*: “it may be translated into other signs of the same language, into another language, or into another, nonverbal system of symbols” (Jakobson 1959:233). He labels this as respectively the intralingual, the interlingual and the intersemiotic kind of translation. The first OED meaning corresponds with interlingual translation of Jakobson, and the second meaning with intra-

lingual (rephrasing) or intersemiotic (in another medium). The third OED meaning is more about a transfer from a ‘source situation’ to a ‘target situation’ than about textual translation.

On the interpretation issues in translating Jakobson refers to Bertrand Russell, who has stated that nobody could grasp the meaning of the word ‘cheese’ without actually having had “nonlinguistic acquaintance with cheese”. In addition to Russell, Jakobson states that nobody can grasp the meaning of the word “cheese” without “acquaintance with the meaning assigned to this word in the lexical code of English” (Jakobson 1959:232). Words derive their meaning from their place in encompassing linguistics structures. Different natural languages have created different structures of meaning, and as the well-known example given by Hjelmslev shows (Figure 1), it is not always possible to find one-to-one relationships between words in different languages.

<i>træ</i>	<i>Baum</i>	<i>arbre</i>
	<i>Holz</i>	<i>bois</i>
<i>skov</i>	<i>Wald</i>	<i>forêt</i>

Figure 1. Correspondences between Danish, German and French (From Hjelmslev [1943] 1969:54).

In the course of time, thinking about translation has shifted from an orientation on the meaning of the source text via the intention of the source text towards the pragmatic dimension of the effects of the target text, and from a focus on translating literary texts (novels and poetry) towards translating of prosaic texts in institutional contexts (e.g. political and legal texts in the European Union). Christiane Nord analyses in her book (1997) *Translating as a Purposeful Activity* the functionalist approach to translation. Equivalence of source text and target text has long been a prime criterion for translations. The functionalist approach adds the criterion of adequacy and puts this criterion in first place. Nord writes she has a problem with the universality of the so-called Skopos model of functional translating, because it does not analyse the culture-specificity of translational models. Another issue she discusses is the relationship between the translator and the source text author. These two concerns lead to her addition of a third criterion: translation as a purposeful activity requires loyalty of the translator to both the source and the target side of the translation process. Although Nord does not mention him, this third criterion seems to have a close relationship with the maxims of Grice for conversations. People who engage in communication are assumed to be committed to the principle of cooperation, and the translator should be committed to cooperation with both the source and the target side. In the glossary of Nord’s book the three criteria are formulated as follows (Nord 1997:137):

1. ‘Equivalence’: A relationship of equal communicative value or function between a source text and a target text, or, on lower ranks, between words, phrases, sentences, syntactic structures etc. of a source and a target language.
2. ‘Adequacy’: In terms of functional approaches to translation, ‘adequacy’ is used to describe the appropriateness of a translated text for the communicative purpose defined in the translation brief.
3. ‘Loyalty’: The responsibility the translators have towards their partners in translational interaction. Loyalty commits the translator bilaterally to the source and target sides, taking account of the difference between culture-specific concepts of translation prevailing in the two cultures involved.

4. IT systems

4.1. IT systems are formal sign systems without meaning

Essentially, IT systems are formal sign systems defined by a combination of a vocabulary of primitives and a set of derivation rules. As Tanenbaum points out in his fundamental book *Structured Computer Organization*, a computer system can be thought of as composed of layers. The innermost layer has the processors programmed in low level programming code, and each next layer can be considered as a virtual machine consisting of a vocabulary and an instruction set, to be interpreted by the lower layer. An example of such a virtual machine is the Pascal programming language, as specified by Niklaus Wirth in 1968/1969. He developed this language because he needed a compact, clean and well-defined programming language for his university courses. The language is specified in the Extended Backus-Naur Form, “a collection of rules or productions collectively called a “grammar” that describe the formation of sentences in the language” (Jensen and Wirth [1974] 1985:213). The formal specification is eight pages in text, and ten pages with the specification expressed in diagrams. Such a programming language provides a virtual machine for the software developer, his software program provides a virtual machine for the software customizer, and the configured software provides a virtual machine for the business user.

IT systems as virtual machines do not have (or “know about”) meaning. As formulated above in the specification of the Extended Backus-Naur Form, computers blindly apply rules on variables. There is only syntax, no semantics. In practice, IT systems do suggest meaning, because of the meaningful texts on screens and because of the meaningful variable names chosen by the programmer. However, these choices of texts here do not impact the working of the software, they are just mnemonics for the user. Instead of “customer”, “street”, “house number”, “postal code” and “town” the screen could also have displayed: “Cst”, “Str”, “Nr”, “PC”, “T” or “A1”, “A2” “A3” “A4” “A5”. The IT system will not behave differently when the labels on the screen are changed. The same applies for the choice of variable names in the software: the software is fully indifferent to the chosen names.

4.2. IT systems and user pragmatics

In using IT systems the user is implicitly or explicitly doing intersemiotic translations, because he is translating from social sign systems into formal sign systems and vice versa. However, the user will have the impression of an intralingual translation (or no translation at all), because the formal sign system is hidden behind conventional texts on the screen.

An IT consultant or a programmer might also not recognize the translational aspect here, he might be thinking inputting data into the IT system is just recording what is given in the outside world, and well-designed output of the IT system should not need any interpretation. However, when information in the outside world does not match the formal sign system, the user must make a choice. For “end of the week” he must choose between Thursday and Friday. And perhaps he will develop a convention to code “end of the week” as Saturday, and being aware in working with the system what an order date on Saturday actually means (for him).

An example of user pragmatics from the work floor: suppose a checkpoint in a production line. The operator has two buttons coding for irregularity A and irregularity B. When he pushes A, a warning signal will be activated, pushing button B will stop the production line. A responsible user will use his knowledge of the effect of pushing A or B in his behaviour. In effect, he will not use A or B according to their intended representation of an occurrence of A or B, but according to his evaluation of the situation and the appropriate action: “warning signal” or “stop the line”. At the

same time, the IT system will report to management about the frequency of irregularities A and B. The result: divergent translation for different users of the same information in the IT system.

4.3. Translations in development of IT systems

In developing a new IT-based information system, three essential translation stages can be distinguished: (1) in translating existing and projected business processes into descriptions and models in the preparation of the new IT system; (2) in translating the descriptions and models into a configuration of the IT system, and (3) in translating the configured IT system back into the world of the actual business processes and actual users. In the first stage, the 'source texts' are the existing day-to-day routine practices in combination with the ideas about the processes-to-be as intended in the project. The result will be a document with models of business processes, for the representation of the models a combination will be used of descriptions in natural language and schematic representations with annotations. In the second stage, the models will be translated into the formal sign system of the configuration parameters of the IT system, possibly into software code. In the third stage, the configured IT system will be translated into the social sign system of the future users by choosing meaningful labels on screen and reports, and by instruction documents for the users.

In such a development of a new system, groups of people with very different backgrounds are involved. The most prominent groups are: (1A) the people that are actually 'doing' the processes, (1B) the customer as commissioner and guardian of the project, (1C) representatives of the customer who combine process knowledge with IT knowledge, (2A) the IT contractor as such, (2B) the business consultants at the IT contractor, and (3) the technical consultants at the IT contractor. Decision-making and management of the project is a high-level responsibility for customer and contractor, the internal and external consultants with knowledge of processes and IT are responsible for the business translations in the project, and the technical consultants are responsible for the technical translations.

4.4. Translational problems in development of IT systems

As described above in development of IT systems we can distinguish three essential stages of translation, we have the three criteria for translations as formulated by Christiane Nord, and we have the three types of translation as defined by Roman Jakobson. Because a full discussion of translations in IT development would require much more space than is available in this paper, I will restrict myself to the most salient issues. In the three stages of translation in the development of an IT system different types of translation are involved. In analysing and modelling business processes the translation type is primarily intralingual. Both source text(s) and target text are based on social sign systems. This is also the case when schematic representations are used, because interpretation of schemas in this context is based on social conventions and informal interpretation. It would be different when the IT system would be generated directly from the business processes as modelled, but despite decades of work on tools in this area, this approach still has little practical value. The second translation stage is primarily intersemiotic, because the descriptions and models from the social sign systems of the first stage are translated into the formal sign systems of the software configurations. The third translation stage, where the configured computer system is translated back into the social sign systems of the users, is a mix of intralingual and intersemiotic translation. It is intersemiotic because the formal sign system of the IT systems is translated into the social world of the users, and it is intralingual because the descriptions and models of the first stage are used in giving meaning to the formal sign system.

As mentioned above, Nord has formulated three criteria for translations: equivalence, adequacy and loyalty. The first criterion requires the translator to be proficient in both source and target language and culture. External consultants often have problems here: they are outsiders to the language and culture of the customer, they are (much) more used to abstract forms of model-based-thinking than to the concrete details of real-world execution of business processes. This can create a major misfit and non-equivalence between the clean models as formulated by the external consultant and the processes as experienced by the users. Next, clean models are adequate for the translation of the model into system parameters, but are inadequate for translating the systems back into the user-world. Too many relevant process-details are lost in the translation of 'dirty' processes into 'clean' models. Summarising: differences in semiosphere (culture, language, habits, ...) between IT and customer give rise to non-equivalent and inadequate translations in the development of IT systems, and as a consequence disappointed customers and users. An additional problem can be the loyalty of the external business and technical consultants. Do they have enough sensitivity and commitment for all cultures involved, and are they capable of bridging the gaps? Generally, only consultants that are working for and with the same customer over a longer period will develop this kind of loyalty. The conclusion of this paragraph is that it is not very probable that the criteria for good translations are met in IT projects.

5. System development as translation from source to target semiosphere

Doing an IT project implies changing or even disrupting the semiosphere of the future users of the IT system. Conventional development methods as discussed in the previous section are not suited for preparing the users for their new semiosphere. This is a major cause for friction and failure in IT projects. However, users will always adapt to new situations and new systems. The issue is, their adaptations will be partly ungoverned and might be detrimental to the effectiveness and efficiency of the business processes.

As a preliminary for introducing an alternative approach it is good to be aware that two basic informational questions for each and every business process are: (1) "which information is required to do a proper job?" and (2) "which information is required to be generated from the process for properly fulfilling the jobs in business processes downstream?". The information referred to in these two basic questions might be in any sign system in the semiosphere of the user, and much of the information will belong to the realm of tacit knowledge. Another important issue is the consistency across sign systems: how to match a reference in one sign system to a reference in another sign system ("The early morning flight to Aberdeen" or "Flight LM0031" or "That crate over there").

In the alternative approach, the focus is on the semiosphere of the user. As a preliminary, at the start of the IT project the project objectives are to be translated into a high-level, coherent and full description of the "new world" as the intended result of the project (this will be a challenge in many projects!). This high-level description is subsequently translated into the operational world of the people executing the business processes in the new situation. In doing this translation (with many different stakeholders involved) the users are transferred from their existing to the new semiosphere, thereby (1) checking the viability of the information flows via the new IT system, (2) explicitly adapting other sign systems to the new situation. In doing this, the two informational questions formulated above ("which information is required ...") are central and the discussion is about the best way the new IT system can contribute to the semiosphere of the users in answering these questions. The outcome of this process must be used to manage the development of the IT system as such, and must have an influence on the three translation stages identified in the conventional approach.

6. Complexity and translation

This brings us to the final consideration of this paper. Conventional translation studies are mostly dealing with rather static, linguistic, demarcated and homogeneous source and target texts (which is not to say that the intentions of the source author and the effects on the target audience(s) are always clearly demarcated and homogeneous). I have identified three kinds of translation in the conventional IT project approach and added two additional kinds of translation in the alternative approach. In each of these five translations the broader semiosphere with all kinds of language practices, patterns, perceptual competences and categorisations are involved. Source and target texts are not clearly demarcated and homogeneous. In the alternative approach the translation of the project aims and ambitions (often formulated in vague language but to be realised in formal and rigid IT systems) into new concrete operational practices is key. It is the translation from existing work practices into new or modified work practices, which involves all aspects of the semiosphere. Source and target of all these translations are not static: doing the translations implies bringing about changes in the semiosphere of the people involved. Furthermore, a whole network of business processes with many formal and informal mutual adjustment mechanisms is involved, which makes our social world of business processes a complex system.

Kobus Marais has written about translation theory in a much wider sense than the traditional focus on texts and linguistic aspects (grammatical, semantical, and pragmatic). He wants to conceptualise translation as “both a complex adaptive system constituted by complex adaptive subsystems and a complex adaptive subsystem that co-constitutes a number of complex adaptive systems, or social reality as a complex adaptive supra-system” (Marais 2014:44). Marais elaborates his approach with analysing his experiences with translation in the context of development studies in South Africa, taking into account the cultures and life-worlds of all the participants involved. In the discussion of the alternative approach to the development of IT systems important elements of the conceptualisation of Marais can be discerned: the translational activities are not regulated by a set of static and rigid rules, but are continuously adapted to the social and technical context. At the same time, participants are changing their views and experiences of their social world as a direct consequence of the translational activities, thereby changing the social world itself.

7. Conclusion

To summarise the argument in this paper: in the development of IT systems a number of different translations are involved. In the conventional approach, three consecutive translation stages can be identified. It is highly improbable or even impossible that the general criteria for good translations are met in an IT project because of the lack of background of the translator, and because of the failure to appreciate the differences between social and formal sign systems. The first problem leads to wrong translations due to misunderstandings, the second problem leads to reductionist translations and loss of information in developing the IT system. Therefore, translations do not meet the criteria of equivalence and adequacy. Loyalty can be compromised as a result of commercial and organisational forces, which adds to the problems. In an alternative approach, the primary focus is on the semiosphere of the users and not on the IT system. The aim of this approach is to guide the user from the existing to the new semiosphere, and to verify the operational conditions for the new IT system. In this approach, the complexity and adaptiveness of the participants are not only recognised but the starting point of the translational activities. As Marais writes about translation as “carrying over” and emphasizes that “there are many more

carryings over to be studied” than just of the linguistic and literary type (Marais 2014:207), I think that in the semiosphere of the future users in IT projects many more carryings over must be studied than just the information about to be processed by the IT system.

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**FROM THE SESSION “SEMIOTICS
OF POP CULTURE IN THE 21ST
CENTURY OF JAPAN”**

ON SEMIOSIS IN THE POP CULTURE WORLD

Hisashi Muroi

Yokohama National University, Japan
hmuroi1@mac.com

Abstract

Pop culture was born by the capitalist society of the 20th century. Each genre was produced by the mass media like newspaper, television, publisher and film company. Now, since the appearance of the Internet, the environment of such pop-culture has been drastically changing.

Pop culture in the 21st century gained a completely different dimension from the past and it seems to be showing the new aspects unknown. In short, by the advent of distributed personal media such as the Internet, the “location” of pop culture itself had moved to a variety of live events and diverse communication places in a wider range of media environment. In the spread of such new media, the connection between the sender and recipient of pop culture became much closer. Thus, there appeared a new direct relationship of author and recipient by not passing the mass media. We call such environment the Pop Culture World (PCW).

The “PCW” is the world=environment including the huge complex of the recipients that are tied each other by the Internet. In such a condition, recipients are not the passive audience now, but they are directly intervening or interfering in the process of the production system of pop-culture itself.

We will develop this idea of the PCW in the semiotic perspectives.

1. Introduction

In round table “Semiotics of Pop Culture in the 21st. Century of Japan”, five Japanese researchers discussed about pop culture from the various points of view.

Our research group was organized in 2013 for studying the contemporary pop culture including comics, animation, video game, idol, costume play (*Kos-play*), photography and movie etc. I would like to propose the perspectives and the theoretical frameworks of our research.

In the modern aesthetics and art theory, the artworks and literature of modern Western Europe have been considered as the standard. Of course, there were also artworks of the other regions and times to study, but even in those cases, as an implicit assumption, it has been thought that the modern Western art research is to be the absolute standard.

In such a historical context, we will encounter with the various difficulties when we start considering about the aspects of current pop culture. Of course, it is not just a problem of pop culture. Whenever we try to deal with the issues outside of modern Western European art -- for example, African or Oceanian crafts, Indian miniatures Japanese *Ukiyo-e* or whatever a variety of video and music files exchanged on the Internet – we will encounter the similar problems. Simply speaking, in the framework of “modern art theories”, we cannot capture these cultural phenomena outside of that very well.

2. What is pop culture?

I would like to distinguish at first what the pop culture is. Here the most important is that the popular culture or pop culture was born with the appearance of mass information transmission system in the industrial society, so to say that it was impossible without the mass media.

Before the appearance of the mass media, there were authoritarian and official cultures in the dynasties and churches. On the other hand, there were folk or traditional cultures which were spontaneously born among people.

Then, there appeared the civic culture or bourgeois culture in the 18th century. By taking over the aristocratic culture, it accompanied behavior like collecting oil painting or go to the theater or opera frequently, and the bourgeoisie obtained their satisfaction. Such a style of bourgeois life was called “snobbism”.

At last, with the birth of mass society, so-called *Popular culture* or *Mass culture* appeared. It was very different from either of the previous official culture and folk culture, because it was based on the Mass media based on printing technology and photography.

It was strongly linked with the production style of factory system machinery industry. Therefore, it was very different from the previous folk culture and bourgeois culture.

It is important that the cultural commodities were born by the appearance of media technologies like printing technology or photography and the reproduction of culture spread out in a large scale. With the appearance of the record, movie and digital technology further, these forms of culture have been extended more and more.

Movie creates a complex entertainment industry with a huge worldwide network and CD or record has created a huge music business market that sells tens of millions of copies worldwide. Digital technology is becoming producer of the license business called content industry.

In short, new cultural industry was born by the maturation of the industrial society that enabled mass production and mass distribution.

It provides many cultural commodities towards people with an unprecedented wide range. Observing its contents, it looks like very similar to the previous popular culture like a freak show, circus or Panorama in urban areas, but it is very different in its overwhelming quantity of the distribution amount. Hundreds of thousands of consumers and hundreds of thousands of cultural commodities appeared in the media technologies like newspaper, photos, posters, telegraph, telephone, movie and Internet.

3. The Art was also born with the mass media

Here I want to emphasize one thing. That is, the development of such mass media not only made the pop culture. At the same time, it also made enlargement of the modern art and literature as civic culture.

It is no exaggeration to say that modern art and literature were not possible without mass media like photo reproductions, art book, and exhibition catalog or paperback.

If there were no invention of the photograph, masterpieces of Louvre and Orsay museums would not have been known so much to people all over the world. Alternatively, if there were no printing technology, only a few people would know the name of Flaubert and Kafka.

Therefore, modern art, modern literature or classic music would never exist without mass media. Before mass media appeared, only a small number of people knew those activities. Even if museums were open to the public or even if concerts were very popular, without the articles of newspapers or magazines, only few people would have known those existences.

After all, art and literature have been treated as the position of products and commodity in the cultural industry. Art market has steadily swelled along with the process of globalization of the market. Moreover, it has become a huge scale for the investment now.

Therefore, surprisingly, modern art was born with the advent of mass media. Unquestionably it crossed the borders and became to be known around the world by the mass media. It came to be considered as product or commodity to be a long seller for upper class who has the enough cultural capital.

The aesthetics of autonomy made for the modern art in 19th century and the Romanticism aesthetics which regards the work of art as an “expression” of the “author” were also became the strong standard for pop culture. Paintings and posters, novels and popular literature or comics, modern poetry and pop song lyrics, opera and musicals, theater and movie have a very similar style in each.

Because, pop culture as a product must have been packaged in an appropriate length and time. Pop culture is distributed by the name of the author, and the movie is set to the length of about two hours and record or a CD set to the length of the concert. That is, it was sold as “work of art”.

4. Four phases of media

Mass media has been increasing the amount of the flow of information and changing their forms.

In the first phase, the newspapers, magazines and photos were the major media. Then records, movies, radio and television have appeared and the visualized pop culture and the recorded music became the mainstream of pop culture since 1920s. We can say this stage the second phase.

The third phase, due to the spread of satellite broadcasting and international network, would include the era of internationalization of pop culture. Since the mid-1960s, the mass media through a multi-channel of the international network and television broadcasting, has gained a global reach. Dependent on the economic forces, it was accompanied by a diffusion into the world of the culture of English-speaking countries, including the United States, which has an overwhelming economic power and information transmission force.

With the third phases, Coca-Cola and McDonald began to spread all over the world, and the music such as The Beatles and Michael Jackson had flown all over the world. Everyone began to wear T-shirts and jeans and to watch Hollywood movies. Disneyland destroyed all local amusement parks in the world and the art magazines published in New York have governed the art market of the world.

Let us consider the situation of art and literature in each phase.

The first phase, which was the era of modernism. Along with the expansion of popular culture, art and literature have gained the special commercial values as the superior culture made from the ingenious individuals. However, their spread remained regional and local.

The second phase is the era of the avant-garde. Along with the spread of the replication technique, the art also goes out to the world market. Among them, the cutting-edge consumers began to have much interest in the most advanced culture in developed countries. The avant-garde consumers were few, but they had received a social respect as innovators of a new culture.

The third phase is the era of post modernistic “Pop Art” and “conceptual art” after the modernism has ended.

In the late capitalist society, pop culture is flooding around us, and the cultural memory of the people cannot exist apart from the pop images no longer.

Therefore, art and literature as cutting-edge cultural activities also will not be independent of this pop image.

Now we are facing the completely different the phase of the pop culture. This is the fourth phase.

In response to the wave of consumer society of up to excess in developed countries since the 1980s, communications media became more and more diverse. Information has been more and more fragmented. Since the Internet emerged in the 1990s, the cultural flow has been continuing to transfigure into something entirely different from the past.

Until the third phase, cultural products had been distributed and exchanged by the forms of substance and package. However, at present all the information is distributed as a binary code digitized. Movies and TV programs are both reduced to a category of “moving picture”. Photos and illustrations will also be reduced to the pixel images. Music is now distributed as data files. In other words, information is a ceaseless enormous flow without the beginning and the end, and it needs no more packaging.

With those changes, there occurred a significantly great turn in the cultural products and media.

Information communication media such as the Internet is not mass media but it is a two-way network media. Information is not supplied as a fixed package in it. The participants can also engage the information making process. Alternatively, you can collect only favorite information, and edit it yourself or in some cases, you can make the secondary or tertiary creation, as is said make the “N-order creation”. In other words, in the place of unilateral information flows in the direction from the author to the recipient, the circuit of interactive communication was born with it.

Of course, even in the third phase, you could personalize information by using personal media, such as a tape recorder or video recorder. However, after the digital media were appeared, the degree of freedom has been further increased rapidly.

In addition, in the fourth stage because they do not have to depend on the substance, it may not have to worry about the amount and length of the content.

And it will also affect the conventional art. Art is also becoming free from the form of fixed artwork. For example, many museums started publishing high-resolution images of their collections on the Internet. It is threatening the existence value of complete works and catalogs in the form of books.

5. How can we approach to pop culture again?

Therefore, to understand the pop culture of the fourth phase and later, we cannot use the theoretical framework of the conventional literature research and artistic research.

In the modern theory of aesthetics, the scheme of Author - Works - Recipient (reader) was indispensable.

There is an “author” and this “author” is the most important as the originator of the work, so the author studies have always been the center of the art research since the 19th century.

In the 20th century, the “studies of works” appeared, which were disconnected from the author. Though the concepts like “text” or “structure” were introduced there, the dominant studies had not much changed and the author studies remained major.

In addition, in the late 20th century, the flow of “reception aesthetics” of Konstanz School (Hans Robert Jauss and Wolfgang Iser) appeared. However, except for some sociological studies, it has not been continued.

Pop culture until the third phase was produced in the same communication structure as mass media. Popular literature, movies, cartoons, anime, such as TV drama, expanded with the development of mass media. Pop culture has also been considered in the framework of “author”, “work” and “recipient”.

For example, in the film review, the director is considered as an author of a certain film. Popular literature, manga and anime have been taken same framework as the literary text. It is because both the modern art and pop culture belong to the same structure of mass communication.

However, the pop culture with the fourth phase got an entirely different dimension.

In short, by the advent of discrete personal media such as the Internet, the place of pop culture is no longer in mass media, and it seems that they are moving towards a more diverse and widespread media environment.

These signs appeared in the late 20th century. For example, Comic Market (Komike) which was born in the late 1970s increased the number of participants with each decade, and now has come to gather the more than 600,000 participants.

In addition, a variety of similar events like animation festival or fan events such as cosplay events appeared. In addition, various active communities of the N-order creations and related goods, are going to be formed.

The acceleration of such movements came from the characteristics of the new media environment represented by the Internet. The spread of new media accelerates largely the recipient mutual ties and as a result, a new creation linking between the sender and the recipient was born.

Inspired by Arthur Danto’s concept of the “Art world” (1964), I would like to name this new media environment “Pop Culture World”.

Danto’s “Art world” means a social and cultural context around the art with the prominent artists, critics, curators, gallerists, collectors and art journalism. As such, “Pop culture world” is the environment with the advertising agency, the production company, and media like television or publishers. However, not only with these, “Pop culture world” has a huge community on the internet and a diverse connection, which ties the producer and recipients in a complex manner.

Therefore, there is a huge endless process of semiosis in the pop culture world. Unlike the conventional art world, the fixed framework as “author - work - recipient” as a fictional environment will be dismantled in the pop culture world. Among other things, the recipient here is not only accepting products passively, but they are involved as active agent=actor who is the co-producer in the pop culture world. For example, the cosplay performers or N-order creators are actively participating in the making process itself of pop culture. They are clearly participating in the making system of the fictional environment of the production such as character making or building the framework or setting of the fictional world.

We should turn our main concern into such concept of “pop culture world” now.

In the past pop studies, there remained strongly the concept of “author” and “work”. In contrast, without the concept of “pop culture world”, we cannot explain a phenomenon that, for example, millions of people prefer to participate in idol group live concert than buying their CD, or that live tickets of the voice actor of anime are sold out, or some application is sold out with almost no advertising, etc.

In the future, we want to develop further studies on pop culture from this point of view.

YOSAKOI SORAN AS A SITE OF RE-LOCALIZATION AND ITS RELATIONSHIP TO JAPANESE POP CULTURE¹

Fuminori Akiba

Nagoya University, Japan
akibaf@i.nagoya-u.ac.jp

Abstract

The Yosakoi Soran is a dance festival that was first held in Sapporo in 1992. Since then, it has spread throughout Japan. During the dance festival, each participating team conveys the local culture to which the team belongs within 4 minutes and 30 seconds. I analyze the multilayered semiotic process of Yosakoi Soran especially regarding the process of de-localization and re-localization, and make clear its relationship with Japanese pop culture. Finally, I suggest the defining characteristic of re-localization at Yosakoi Soran, which is localization freed from authenticity.

1. Introduction

The Yosakoi Soran is a dance festival that was first held in Sapporo in 1992 by a Hokkaido University student who was inspired by the *Yosakoi* festival in Kochi, Shikoku. The word *Yosakoi* originally means “come at night”; *Soran* is a folk song originating in Hokkaido. Since 1992, Yosakoi Soran has spread throughout Japan and is now enjoyed in more than 200 locations. During the dance festival, each participating team conveys the music’s dramatic theme — often the team’s local area’s culture — within a given time (4 minutes and 30 seconds).

Previous research on Yosakoi Soran has explored the role it plays in local revitalization (Osaka 2007: 21), the unique Japanese style related to “Yankee” culture (Saito et al. 2014: 190-193), and dance style (Hirata 2010: 126). This paper aims to use concrete examples to clarify the multilayered semiotic process of Yosakoi Soran, the changes that it has undergone during the process of de-localization and re-localization, and its relationship to Japanese pop culture.

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2. Basic elements of Yosakoi Soran and the semiotic process

Yosakoi Soran inherits its basic elements from Yosakoi in Kochi. The most basic of these are *naruko* (a musical instrument similar to castanets that was originally used to drive birds out of farmland) and music. In general, for a dance to be classifiable as a Yosakoi Soran dance, it should satisfy the following two conditions (Hirata 2010: 117): first, there should be a dance that incorporates *naruko*; and second, the music should contain parts of local folk songs. Originally, Yosakoi Soran included a part of the Soran, a folk song originating in Hokkaido.

What is distinctive about this rule is that there are almost no requirements on the style of dance, which is another basic element of Yosakoi Soran. Therefore, any kind of dance team can participate in this festival. This loose regulation therefore promoted the explosive popularization of Yosakoi Soran (Matsudaira 2008). Additional basic elements include dancing, costumes, an MC (master of ceremonies), singers, *jikata-sha* (cars equipped with mobile sound systems), and venues (streets or stages). Below, I explain the basic significance of some of these.

2.1. Naruko and folk songs

The use of *naruko* and folk songs forms the most basic semiotic process instructing people to ensure that every movement, costume, and piece of music satisfies this requirement of belonging to Yosakoi Soran. The *naruko* itself gains a secondary meaning as a musical instrument that produces a rhythm, additional to its first meaning as a tool that emits sound and drives birds out of farmland. Likewise, folk songs themselves transform from their primary meaning of a song associated with a particular local group or group of professionals to a secondary meaning of merely symbolizing a local area.

2.2. Costume

Yosakoi Soran participants usually wear a *happi* coat. Therefore, similar to *Naruko* and folk songs, the *happi* coat, which is primarily a costume of specific local residents or professional groups, gains a secondary meaning as a festival costume. It is worth noting that although the *happi* coat has become the predominant clothing choice among festival participants, there is no specific costume requirement, and in principal it is possible to wear any costume, not only the *happi* coat.

2.3. Dance

As mentioned previously, because few provisions exist regarding style of dance, in principle any kind of dance is possible at Yosakoi Soran. Initially, the Yosakoi Soran dance imitated the movement of waves and fishermen's bodies in response to these. Currently, very few dances are based on such imitation. For example, dances imitating the movement of a rushing wave have largely been replaced by those dedicated to the flowering of cherry blossoms, and a secondary symbolic meaning is derived. However, such imitative dances have decreased in frequency. As the imitative value of each movement diminishes, the meaning of each dance must be explained by an MC, and supplemented by costumes and props. I will describe this change in more detail later.

2.4. Expansion of Yosakoi Soran

The relaxed requirements promoted the participation of people outside the traditional local community, such as university students. Dancing in the Yosakoi Soran made it possible to create a new community that is not a traditional community. Additionally, as Yosakoi Soran changes from a parade-centered street festival to a stage-centered dance competition, victory in the competition becomes participants' main goal. Consequently, costumes and dance techniques

became increasingly sophisticated; dance practices increased in intensity; costume production, choreography, and music production were outsourced, and a large amount of funds will be spent there. The popularity of Yosakoi Soran increased because of such changes, and it became an event that attracted a large audience.

Local government and television stations noticed the economic impact of Yosakoi Soran because dance teams, basically amateurs, participate in the competition using their own funds without any financial support from local administration, while the audience attracted by the dance teams often spends a large sum of money. Therefore, local government and television stations began to actively support the competition. This in turn encouraged visitors who saw the success of the competition to organize their own team in subsequent years. Residents in local areas without competitions began to organize their own competitions. Other local governments and media outlets who saw the success of these competitions in neighboring areas therefore supported holding the competition in their own area. Consequently, it spread across Japan.

Through this process, code 1 (the code of traditional community), which was implemented when Yosakoi Soran originated, was modified into code 2 (the code of Yosakoi Soran) and further stratified into code 3 (the code of new community) and code 4 (the code of tourism and revitalization of local areas) as a result of the expansion of Yosakoi Soran.

This process is the result of de-localization and re-localization. By examining this, the relationship between Yosakoi Soran and Japanese pop culture will become clearer.

3. Changes in Yosakoi Soran

3.1. De-localization and re-localization

As mentioned above, Yosakoi Soran was established by repurposing agricultural tools as musical instruments, and folk songs as mere symbols. In other words, it was delocalized from the beginning. At the same time, by always including part of Hokkaido's Soran folk song in its music, it re-localizes itself as a Hokkaido festival. The process of de-localization and re-localization can be found in each of Yosakoi Soran's basic elements. I will explain this in more detail below.

3.2. Dance

One of the classic movements in Yosakoi Soran choreography was the imitation of the movement of waves where fishing is carried out. It can be argued that this was to de-localize Kochi's Yosakoi and re-localize it as a Hokkaido dance. A 1996 performance of *Nan-chu Soran* performed by students of Wakkanai Minami Junior High School is an example of this (Executive Committee of the Yosakoi Soran Festival in Sapporo 2016). During the performance, light music based on the folk song Soran is played throughout in a constant beat, while imitative actions of pulling, drawing, carrying the net, and movements like a wave splash are repeated.

However, because Yosakoi Soran has almost no requirements for dance style, the choreography naturally deviates over time from dances about Hokkaido. This process is de-localization. As this happens, it becomes increasingly difficult to communicate the meaning previously supported by imitations. Movements that once imitated the movement of waves are diverted to other things, such as cherry blossoms blooming and burning flames, and are separated from their original meaning. Separation and diversion between movement and semantic content make it difficult for the viewer to understand the meaning of the dance from the movement alone. This can be seen when viewing recordings of current Yosakoi Soran dances without sound, which are almost impossible to understand. The direct linkage between dance and meaning from specific local areas was lost.

However, dances at Yoskaoi Soran have changed from a dance performed according to music based on Hokkaido folk songs to musical dramas that convey various stories based on local cultures. It must effectively convey complicated narrative content in a short time. Therefore, Yosakoi Soran has been transferring its role to convey local stories through elements other than dance, such as explanations by an MC or costume changes according to the musical setting. De-localization from themes specific to Hokkaido caused re-localization to local cultures across Japan as the themes of performance. Elements other than dance, such as MCs, music, props, and costumes, are used to enable this re-localization.

3.3. Costume

Happi is a standard costume for festivals. However, in many traditional festivals, only people who live in certain areas can wear happi and participate in festivals. Additionally, the pattern on the coat is dictated by the area, and not any pattern can be worn (see, for example, Happi at Hakata Gion Yamakasa Festival in Fukuoka). In contrast, at Yosakoi Soran, each dance team (following the provision of Kochi's Yosakoi) can wear any costume, not limited to traditional ones. In this sense, the costume of Yosakoi Soran has been de-localized.

As this de-localization happens, the costume is also re-localized. There are two major types of re-localization on costumes. One is a direct re-localization, that is, the characteristics of the area in which the team is based are taken directly into costumes. For example, a team comprising members belonging to the Brazilian community may join Yosakoi Soran to dance Samba with costumes similar to those worn at the Rio Carnival. In this case, costumes are directly linked to the participants' identity, so it is normal to not change during the performance. The other is to re-localize costumes caused by the de-localization of dance. In this case, the costume does not directly represent the identity of the area like a national costume. Although the Yosakoi Soran dance teams usually wear Japanese-style costumes, the various patterns used have lost almost all meaning (as derived from the strict code traditionally used for kimono) and are now used purely for decoration. In one performance, multiple costumes may be used. Costume changes explain the regional culture and contribute to the realization of re-localization.

Color changes are a clear example of this. For example, a dance team from an area famous for both cherry blossoms and autumn leaves may change their costumes from cherry blossom color to autumnal colors to represent changes from spring (cherry blossom) to autumn (autumn leaves). Similarly, a dance team based in a district famous for samurai may change their costumes from white to flame color to indicate a situation in which the samurai's situation changed from peace to wartime, and so on.

However, there are many cases in which it is difficult to understand the meaning of a color change or the cultural meaning of the area to the audience using only costumes. It is the MC's words that determine their meaning.

3.4. MC

The role of the MC has also changed over time. The MC is now supposed to provide most of the explanation of the story, such as the theme, situation, or scene changes, in addition to encouraging the audience to participate (such as clapping along). For example, in the previously-mentioned case of the *Nan-chu Soran* performance, the dances were composed of imitative movements and there is no MC because there is no need to explain the performance (see above 3.2). Conversely, at the Cherry Blossom Festival in Okazaki, Aichi Prefecture on April 9, 2017, the performance titled *Geten* (human society) by the dance team *Kagura* (meaning Shinto music

and dance) included an MC who played various roles. These roles are described with the contents of the performance. The letters A to I represent each scene, while content in parentheses describes the role played by the MC during each scene.

A. Introduction

1. Before the dance begins, the MC greets the audience and introduces the area from which the team comes (here, the MC acts as a representative of the team).
2. The MC explains that the theme of the dance comes from the local area, and that the performance is strongly tied with the area. In this performance, the theme is the lifetime of a samurai (Nobunaga Oda) who was born in the dance team's local area. Although this samurai was a famous warrior, he was also a noted for his cultural pursuits such as Noh. Nobunaga was betrayed by his subordinate and killed himself shortly before achieving his goal of unifying Japan. The story of Nobunaga's life is quite well-known in Japan.
3. Before the performance begins, the MC asks the audience to encourage the performance by clapping their hands.

B. Preparation for the performance

1. The MC shouts "Ha!" and the team adopt a dancing posture (here, he acts as a conductor).

C. Performance (Part 1: Peacetime)

2. He tells the story of the performance using storytelling skills (acting as a narrator).

D. Actual start of music and dance

1. The MC acts the main character's self-introduction (acting as a voice actor).
2. He shouts "Ha, ha, ha, ha" and "Sei-ya sah" at a certain speed to regulate the rhythm (acting as a conductor).
3. He calls "Oh sei-ha", and the dancers answer "Sei-ha". The MC urges the audience to respond by repeating the call & response (acting as a conductor).
4. He expresses the main character's love for Noh by singing "Yoooooo", which is commonly used in Noh (acting as a voice actor).

E. Performance (Part 2: Wartime)

1. The MC represents the scream of the enemy (the hero's subordinate) that instructs enemy soldiers to attack the main character (acting as a voice actor).
2. He explains how the samurai is prepared for his own death, but that he did not give up and continued to fight (acting as a voice actor).
3. As the fighting becomes fiercer, he screams repeatedly (acting as a voice actor).

F. Performance (Part 3: Ending)

1. The MC screams again (acting as a voice actor).
2. He shouts the words of the protagonist, who has reached the end of his life (acting as a voice actor).

G. Unlock the acting position

1. The MC says "Ha!" and unlocks the acting position (acting as a conductor).

H. Closing remarks

1. The MC thanks the audience from his heart (acting as a team representative).

I. Order of withdrawal

1. He says "Ha!" again and lets the team withdraw (acting as a conductor).

In this way, the MC is not merely saying “Ha”. The MC plays an extremely important role in clarifying the relationship between the ambiguous meanings of dances and regional culture through its various acts. The MC is not only the moderator who explains the dance theme before the performance, but also repeatedly enters in and leaves the performance as it continues. Sometimes he will explain the meaning of the performance from a position outside the dance team. Sometimes he will interact directly with the team, not as a performer, but rather as a conductor who regulates the dancers. In some cases, the MC acts as a voice actor to convey characters’ feelings. By doing so, the performance’s meaning and story are conveyed to the audience.

3.5. Music and Song

Music plays an important role in conveying the content of performance, but such role itself is common to all accompaniment music, not unique to music of Yosakoi Soran. However, the performance style of Yosakoi Soran extends beyond mere dance to become a musical drama that expresses a local area’s story using many scene transitions. Consequently, it is almost impossible to continue playing the same folk song throughout the performance in a monotonous beat. Instead, it is becoming increasingly common that different music is used depending on the scene. Therefore, the musical accompaniment at Yosakoi Soran is also changing.

It is noteworthy that, as mentioned previously, there is no more detailed provision than that local music should be included in that passage; in principle, any music is acceptable.

Another important factor about the music is the role of songs. In the performance of *Geten* mentioned previously, while role of MC is performed by a man, the singing is performed by women. This song by female voice, if using the scene sign used in 2.4, is sung in parts E and F, that is, in the climax of the performance. However, its content is surprising. The subject of the song is not the story’s hero (Nobunaga), but the team members, who dance as powerfully as they can. The song is sung during the re-localization process, but it is not related to the local hero. Why is this? I will answer this in section 4. Before that, I will discuss the relationship between Yosakoi Soran and Japanese pop culture, another factor that makes re-localization possible during these performances.

4. Points of contact with Japanese pop culture

In general, mass media are currently the main distributors of Japanese pop culture. Various cultural items are produced through different cultural industries (animation, video games, idols, tourism, and so on) and released through online and offline routes. As co-creators of culture, people rebuild such items into their own products and bring them into various real sites. For example, they may enjoy cosplaying at events, or going on pilgrimages to sacred sites. They exchange their products with each other and comment on others’ photos and videos on social media. Anything that is placed in such a flow is a pop culture artifact, even though it is already out of fashion in a genre of cultural industry.

Yosakoi Soran is also such a site of cultural co-creation, and many similarities exist between Japanese pop culture such as video games, idols, tourism, and costumes and Yosakoi Soran. To fulfill the semiotic process necessary for the realization of re-localization, that is, to share the local culture with the audience, the semiosis in Japanese pop culture not directly related to the local culture is utilized.

4.1. Relationship with video games

I have previously discussed how the Yosakoi Soran team decided on the theme of local culture as their own basis for re-localization. Through the process of this re-localization, a relationship with video games, one of the artifacts of Japanese pop culture, appears.

In the previous section, I introduced the dance team *Kagura*, based in Aichi Prefecture, who danced the story of the life and death of a local samurai hero. The similarities with video games lie in the style of the hero's costume. The hero is a samurai, Nobunaga Oda, who is connected with Gifu and Aichi prefectures. In an official portrait, he is depicted in a figure wearing *kamishimo*, a samurai costume. However, the costume the dancer playing Nobunaga wears on the stage is not the costume of this portrait. Instead, his costume is extremely close to the costume that the Nobunaga character has worn in Japanese video games based on the Sengoku period, such as *Nobunaga no Yabou* (The Ambition of Nobunaga) since 1983. In these games Nobunaga wears a long Western-style cloak, with a high collar and ornate fringe. Of course, we cannot say the style is completely fictional. Luis Frois, a missionary of the Society of Jesus noted in his *History of Japan* that some aristocrats or citizens gave Nobunaga a scarlet cloak as a gift (Matsuda and Kawasaki 1973: 28). However, no official portrait exists depicting Nobunaga in this style. Nevertheless, it is used not only in video games but also in manga and anime. In other words, this style is an established image of Nobunaga that has widely penetrated pop culture. Therefore, it can be understood by anyone. The audience also shares that image, which further establishes it in pop culture. To convey the culture of their local area in the short time allocated to the dance teams, the image of Nobunaga established in video games is the most effective.

4.2. Relationship to local idol and tourism groups

The image of Nobunaga perpetuated in pop culture is also shared in local idol and tourism groups. Although it has disbanded, there was a local idol group in Gifu Prefecture called *Tenka Fubu*. *Tenka Fubu* was Nobunaga's political slogan, and stood for unifying Japan with seven virtues and bringing peace. Members of *Tenka Fubu* also dressed and danced in costumes with colorful collars. Local tourist groups used clothing in a similar manner. There are several sight-seeing guide groups in Aichi and Gifu prefectures that use Nobunaga as a mascot. Although they are not idols, they are usually a group of *ikemen* (handsome young men); they are recognized as being equivalent to idols, and also earn enthusiastic fans. As in video games, these groups display Nobunaga as wearing a Western-style cloak.

4.3. Relationship with pop culture as seen from costume matrix

We have explored the relationship between a samurai's costume and Japanese pop culture, but here again I analyze the costume from a different perspective, that is, from the perspective of the "costume matrix". A costume matrix is an idea proposed by various textbooks that teach how to efficiently depict various manga and anime characters (Mizunami and Mizuma 2014). It is a matrix comprising various items such as "uniforms, military uniforms, casual, goths, kimono, ethnic costumes, plants, animals, mechanics, attributes, four seasons"; by combining some of these items we can create a new character. For example, "kimono × mecha", "ethnic costume × four seasons", and so on. The advantage of this method is that it not only allows the user to easily create new characters with unusual combinations, but also that the characteristics of these characters can be easily recognized through the appearance of the combined costumes. This allows two things that are not usually compatible — novelty and familiarity — to be realized simultaneously.

Such a semiotic process is most common as a database consumption peculiar to Japanese culture (Azuma 2001: 71), but *Yosakoi Soran's* costumes are also determined in the same way by selecting symbolized items from a costume matrix. As discussed previously, it is necessary to change costumes many times during *Yosakoi Soran* performances according to the story progression. Therefore, dancers' costumes must be easy to put on and take off and should be revers-

ible. In addition, they must contribute greatly to viewers' impression of the whole performance. To that end, there is a special costume production company that creates garments that meet these requirements. On their website, as with the costume matrix, various combinations of items are proposed. Not all teams use these production companies and their matrix, but the idea of selecting and combining items is shared by many Yosakoi Soran teams. Such costume matrices are widely used when teams are considering new costumes for performances on different themes. As if these stage plays were based on video games such as *Ansanburu Staazu!* (Ensemble Stars!) or *Touken Ranbu* (Sword Dance), various real-world items such as kimono, swords, military costumes, and so on, are combined to create new characters. The idea of choosing and combining items, and creating a fresh yet familiar combination, makes it possible to effectively convey the story of new performances at Yosakoi Soran.

4.4. MC and music

In section 3.4, I described the various roles that the MC performs. The MC's shouting style seems to show some influence from the narrative style in anime tailors performed by the voice actor Shigeru Chiba. Because almost any musical style is accepted at Yosakoi Soran, various elements found in music from pop culture often appear. In the performance *Geten*, the female vocal at the climax of the performance clearly shows the influence of the vocal style of many female vocalists from the early 2000s. Although the performance refers to a centuries-old story, the manner in which it is told is firmly rooted in the world of pop culture.

4.5. Localization freed from authenticity

However, the use of a costume matrix and modern musical styles urge us to reconsider the idea of re-localization. Each team expresses their regional culture. However, the subject changes every year, and the theme danced one year is abandoned for the following year. Each time, costume selection and combination from the matrix also changes. Whenever a new theme is chosen, new costumes are made. Themes and costumes are not shackled by requirements of authenticity. In this sense, the re-localization process at Yosakoi Soran is, as it were, a re-localization freed from authenticity.

The same phenomenon can also be seen in musical style. For example, the lyrics of the song sung at the climax of *Geten* do not concern the main character, but address those who are performing. This contrasts the MC's role of conveying the story to the audience. At the climax of the story, the male voice (MC) honoring the hero and the female voice (singer) praising the dancers intersect. There, the hero who survived as long as possible, and those who danced as possible, overlap. This further suggests the characteristics of re-localization at Yosakoi Soran, which is localization freed from authenticity.

5. Concluding remarks

I have identified and analyzed the multilayered semiotic process of Yosakoi Soran and its relationship with Japanese pop culture, especially regarding de-localization and re-localization. Consequently, it was possible to suggest the defining characteristic of re-localization at Yosakoi Soran, which is localization freed from authenticity. This research will serve as the basis for future studies that will investigate a wider range of cultural artifacts at Yosakoi Soran. It will also allow for a deeper analysis of its political implications, such as why fake historical elements are so rampant at Yosakoi Soran.

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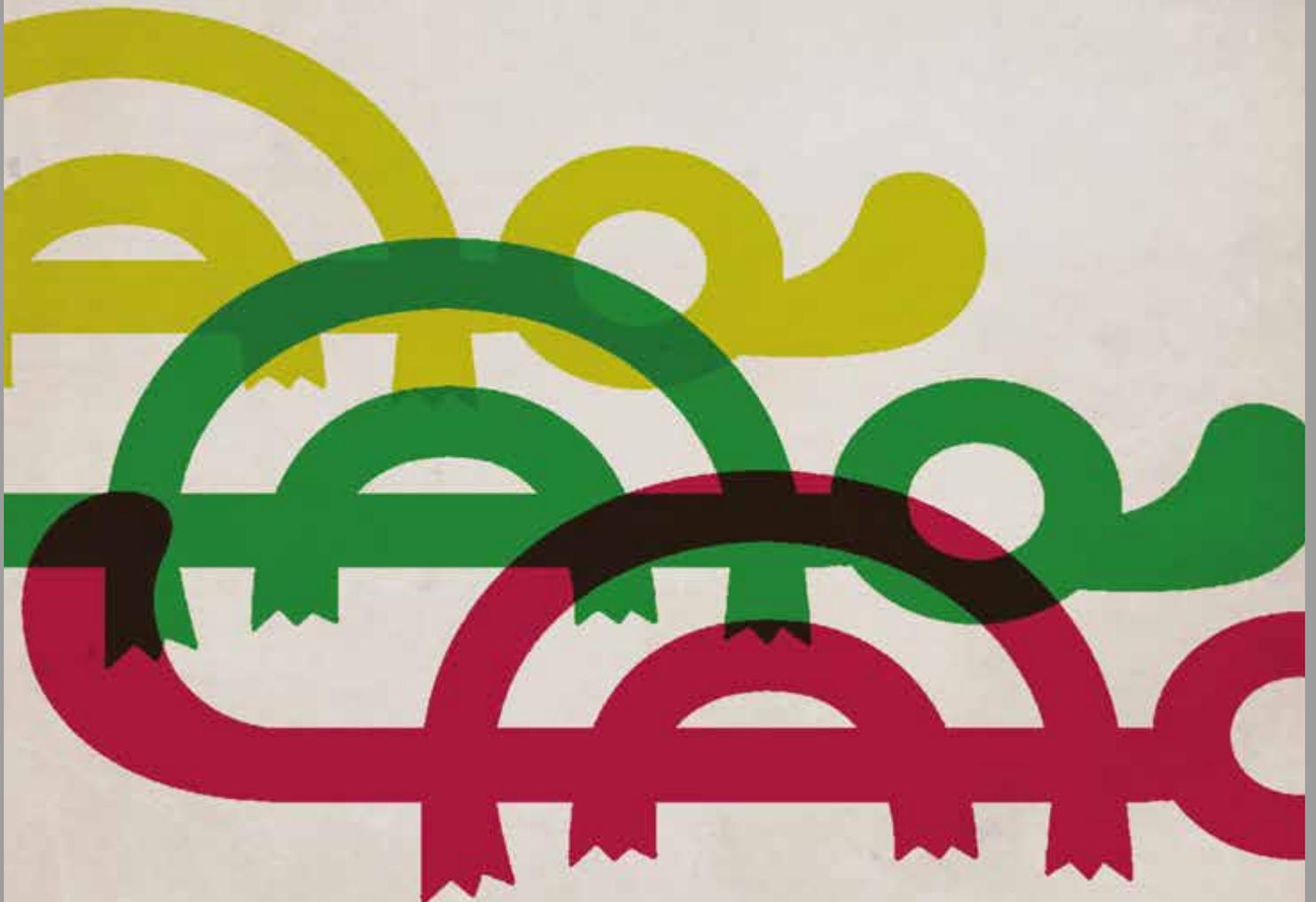
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SOCIETY, CULTURE, POLITICS

**FROM THE SESSION “(LA)
PRODUCCIÓN CIRCULACIÓN Y CONSUMO DE LA
SEMIÓTICA EN AMÉRICA
LATINA Y ESPAÑA”**

ESCENOSFERA

Benito Cañada Rangel

Universidad Autónoma de Querétaro, Mexico

benito.canada@uaq.edu.mx

bcanadamx@yahoo.com

Abstract

Esta investigación nace con la intención de encontrar una manera de estudiar y comprender el teatro en el siglo XXI, con el objetivo de aplicarlo en la formación de actores; el mejor apoyo es lo da la semiótica, como dice Pavis: “la semiología teatral es un método de análisis del texto y / o la representación”. Este estudio se basa en los estudios de Kowzan, que plantea que el teatro se puede estudiar en dos grandes áreas: lo que se ve y lo que se escucha, esto nos sitúa para nuestro estudio, desde la isóptica del espectador, quien percibe la dramaturgia escénica. Boves, aludiendo a Kowzan, refiere en el libro *Teatro y Semiología*: la clasificación de todos estos lenguajes o sistemas por “la intercambiabilidad de los signos de diferentes sistemas, su ambigüedad, la posibilidad de la expresión simultánea sobre la escena de algunos signos de diferentes sistemas, frente a la sucesividad que impone el signo verbal; e insiste en los problemas de la percepción e interpretación del signo dramático, por la falta de codificación y por la posibilidad de ofrecer varios significantes para un único significado” ; la multiplicidad de lenguajes y signos, la posibilidad polisémica entre cada uno de ellos, permite que veamos a todos ellos como los que conforman el universo al que llamaremos *Escenosfera*. En este ensayo puntualizaremos sobre uno de los sistemas que existen en la escenosfera, el actor y su proceso creativo para la creación del personaje.

1. Escenosfera

El presente ensayo es parte de un proceso de disertación que tiene la intención de encontrar una manera de estudiar y comprender el teatro en el siglo XXI, con el objetivo de aplicarlo en la formación de actores. El mejor apoyo es lo da la semiótica, como dice P. Pavis: la semiología teatral es un método de análisis del texto y/o la representación. Más precisamente nos basamos en los estudios de Kowzan (1997), quien plantea que el teatro se puede estudiar en dos grandes áreas: lo que se ve y lo que se escucha — esto nos sitúa desde la isóptica del espectador. Boves, aludiendo a Kowzan, refiere en el libro *Teatro y Semiología*, la clasificación de todos estos lenguajes o sistemas por:

La intercambiabilidad de los signos de diferentes sistemas, su ambigüedad, la posibilidad de la expresión simultánea sobre la escena de algunos signos de diferentes sistemas, frente a la sucesividad que impone el signo verbal; e insiste en los problemas de la percepción e interpretación del signo dramático, por la falta de codificación y por la posibilidad de ofrecer varios significantes para un único significado (Bobes Naves 2004: 504).

La multiplicidad de lenguajes y signos, la posibilidad polisémica entre cada uno de ellos, permite que los veamos como el universo al que llamaremos *Escenosfera*; ellos generan el vasto universo material y simbólico que toma vida en el espacio escénico, los cuales, a su vez, crearán las fronteras, como señala Kowzan, refiriéndose a los conjuntos de signos que se generan en cada uno de los sistemas escénicos:

Lo que verdaderamente nos interesa son los conjuntos de signos de diferentes orígenes, sus articulaciones internas y externas, sus encadenamientos, el aspecto heterosemiótico (o heterosémico) del fenómeno teatral, de la textura del espectáculo”; así, empezamos a conceptualizar los límites y fronteras de la escenosfera, como señala Lotman sobre las características de la semiosfera: “necesita de un entorno exterior “no organizado” y se lo construye en caso de ausencia de éste (Kowzan 1997).

Nuestro espacio exterior será el espectador, quien es el motivo de todo el fenómeno teatral y, al ser el último receptor, estará encargado del proceso de decodificación y recodificación del mensaje que se transmite.

Es clara la gran variedad de lenguajes que conforman la dramaturgia escénica, la gran multiplicidad de signos, códigos y convenciones y, como estos, se potencian o multiplican en el momento de la representación; en todo el proceso, existen múltiples instantes de codificación-decodificación y de significación, al pasar por cada uno de los receptores, dígame: dramaturgo, director, actor, público o lector. Los límites y fronteras de la escenosfera serán los diferentes lenguajes escénicos-teatrales, ellos generan el vasto universo material y simbólico que toma vida en la representación, el espacio exterior, estará limitado por el espectador, quien es el motivo de todo el fenómeno escénico.

La escenosfera estará conformada por: el edificio teatral, el espacio escénico, la escenografía, la utilería, el vestuario, los peinados, el maquillaje, la iluminación, el actor-personaje, el texto escrito, el texto pronunciado, la música, los efectos sonoros y, como ya comentamos, el público o espectador. En todos estos lenguajes y sistemas existen diferentes niveles de percepción y lectura; a continuación veremos uno de ellos: el proceso de creación del actor al construir el personaje.

2. Del actor a la creación del personaje

El *actor* es el que ejecuta las acciones e integra todo en la escenosfera; estas y el manejo de sus herramientas expresivas (voz, cuerpo y emociones) le permiten lograr de manera veraz su fin: crear e interpretar — actuar — un personaje.

El punto de partida está en el texto dramático, material que recibe el actor para estudiar y analizar en el trabajo de mesa y desempeñar su trabajo; el arte dramático lleva a escena un texto con todos sus elementos y convenciones, poniendo de manifiesto los signos de manera implícita y/o explícita para que sean vistos y decodificados por el espectador en el tiempo de la representación, “El tiempo dramático se da en presente, y el tiempo de un drama puede ser medido en tres niveles: El de las acciones o situaciones (historia); El de las palabras (discurso); y el de La Representación, que suma a las palabras los signos no – verbales del texto espectacular que se realizarán en escena” (Bobes Naves 1991). El actor aplica el material recogido en el trabajo de mesa, en el análisis del texto, con las indicaciones que dé el director, para llevar a cabo su trabajo en la creación del personaje a través de las improvisaciones en los ensayos.

¿Qué es interpretar, representar?, Aristóteles lo planteaba como *mimesis*, “imitación”, y creía que imitar es algo natural del hombre y que todos los hombres sienten placer en la imitación. El capítulo II determina el objeto de la imitación, es decir, se imita a sujetos que obran, que actúan y éstos han de ser por su carácter o buenos o malos, lo que se distingue por sus costumbres, que éstas sean por la virtud y por el vicio. El capítulo III recuerda de forma concisa las diferentes maneras de imitar, refiriéndose a las cualidades del poeta y su manera de estructurar los sucesos en la fábula, nos aclara que en estos sucesos se *desarrollan las acciones* y éstas son *determinadas por las costumbres y la manera de pensar de los personajes*. Los sucesos dentro de la fábula tienen un principio, un desarrollo y un fin, y tienen que suscitar acciones veraces, que sean probables en tiempo y lugar (las tres unidades); todas estas acciones tienen que originar un reconocimiento y éste causará lástima o espanto (el justo medio).

El vestuario, el maquillaje, los decorados, los accesorios, la iluminación, la música y los efectos especiales, todos ellos parte de la escenasfera, se usan para ayudar a crear una ilusión de lugares, tiempos, personajes, o para enfatizar una cualidad especial de la representación y diferenciarla de la experiencia cotidiana, siempre sirviendo de apoyo y respaldo al trabajo del actor, siendo su misión: interpretar el personaje, ejecutarlo y recrearlo mediante *acciones* que denoten el *carácter del personaje*, sus antecedentes, sus consecuentes, sus *emociones*, sus *motivos*, sus *objetivos*, todo dentro de una estructura que cuenta con un lugar de acción, un tiempo en el que suceden los acontecimientos y con todos los elementos que rodean a la representación para que se generen (codifiquen) y sean leídos (decodifiquen) los *signos* de la manera en que se ha decidido contar la historia en la dramaturgia escénica.

Por lo tanto, podemos decir que la imitación es la reproducción de ciertos fenómenos, como una postura, un gesto o un acto; la mayoría de las conductas y comportamientos sociales, como la educación, las tradiciones y costumbres, o la moda, se basan en la imitación.

Cuando vemos que un hombre camina por una habitación, abre cajones, mira debajo de las revistas, etc., podemos describir su conducta en términos totalmente objetivos. Ahora está en determinada parte de la habitación; ha tomado un libro entre el pulgar y el índice de su mano derecha; levanta el libro e inclina la cabeza de tal manera que puede ver cualquier objeto que esté debajo. También podemos interpretar su conducta, o “leer un significado en ella”, si decimos que “está buscando algo” o, más específicamente, que “está buscando sus gafas”. Lo que hemos añadido no es una descripción más completa de su conducta, sino una inferencia sobre las variables que la causan. Esto es así, aunque preguntemos qué hace y él responda: “busco mis gafas”. Esto no es una descripción más completa de su conducta, sino de “las variables de las cuales su conducta es una función” (Fadiman y Frager 1979).

La imitación del personaje o máscara es compleja, porque exige transmitir en signos visuales-corporales la conducta, las costumbres, las actitudes, la manera de hablar, los movimientos, los ritmos, dejando ver el carácter y el temperamento. Como comenta César Oliva refiriéndose a la máscara con los griegos: “Podríamos decir que la máscara opera la transmutación del actor en personaje o, mejor dicho, la ocultación de los rasgos que individualizan al actor; a fin de que éste deje manifiestos los rasgos del personaje reflejados en la máscara” (Oliva 1990).

¿Cómo lograr que un actor imite perfectamente, más allá de sus cualidades histriónicas, de su inspiración o de su talento? Primero está la formación profesional que tenga y la práctica escénica o las tablas; todo aquel que tenga la osadía de pisar un escenario debe tener una formación profesional, tiene que haber estudiado *técnicas interpretativas*, tener una *formación corporal* rigurosa, tener una *preparación vocal* adecuada y tiene que haber desarrollado la habilidad de aplicar todas esas técnicas sobre el material que recibe, el texto dramático, para lo cual, tiene que tener una preparación en el *estudio y análisis del texto*, tener una buena *cultura general*.

Se han planteado diferentes elementos a considerar en el momento de estudiar el personaje y a recrear en el proceso de construirlo; la mayoría de estos rasgos y características pertenecen al actor como individuo, pero tendrá que adaptarlas, modificarlas o ignorarlas para adecuar su *yo* a las características de la personalidad del personaje. Las *tipologías* o *tipos* son sistemas de clasificación de la personalidad de los individuos que se basan en cuatro características: constitución física, temperamento, inteligencia y carácter.

- *Constitución física*: el correcto desarrollo corporal permite una mejor integración social y las deficiencias físicas condicionan el trato social y la misma autoestima del individuo, llevándolo a una intro o extroversión. Algunos subrayan elementos de la morfología corporal *biotipos*, los cuales se supone determinan no sólo el aspecto físico; sino también el comportamiento psíquico. De estas tendencias es de donde evolucionan algunas técnicas o escuelas de interpretación, donde el trabajo básico del actor en su formación es lo que denominamos la *Biomecánica* de Meyerhold.
- *Temperamento*: son los fenómenos característicos de la naturaleza emocional de un individuo, incluyendo susceptibilidad emocional, estado de humor; es el aspecto emotivo de la personalidad. Desde la antigüedad y en el campo de la medicina, Hipócrates ya había definido los temperamentos, acercándose o partiendo de los elementos de la naturaleza y de los humores.

Elementos	Humores	Temperamentos
Aire	Sangre	Sanguíneo
Tierra	Bilis Negra	Melancólico
Fuego	Bilis Amarilla	Colérico
Agua	Flema	Flemático

Jung dice que existen dos líneas dentro de los temperamentos: *extroversión*, centrado en el mundo, es espontáneo, abierto y la *introversión*, centrado en su *yo*; también nos habla de cuatro *funciones* que son las maneras de lidiar con el mundo ya seas intro o extrovertido.

Sensaciones: obtener información a través de los significados de los sentidos; es una función racional, comprende más a las percepciones que al juicio de la información.

Pensamiento: evaluar la información o las ideas de forma racional y lógica, es una función racional.

Intuición: modelo de percepción que funciona fuera de los procesos conscientes típicos, es una función irracional, “es como ver alrededor de las esquinas”.

Sentimientos: sentir, como pensar, es una evaluación de la información, es una función racional (Fordham 1968: 64).

Eysenck, amplía las líneas del temperamento de Jung a cuatro:

Extroversión: activo, optimista, impulsivo, voluble, sociable, hablador

Introversión: tranquilo, poco sociable, reservado, pesimista, reflexivo.

Estable: activo, ecuanimidad, calma, control, despreocupado, dinámico.

Inestable: susceptible, agitado, agresivo, excitable, ansioso (Jourad y Landsman 1987: 123).

Emoción es un término empleado frecuentemente como sinónimo de sentimientos y que en psicología se emplea para denominar una reacción que implica determinados cambios fisiológicos, tales como: la aceleración o la disminución del ritmo del pulso; la disminución o el

incremento de la actividad de ciertas glándulas, o un cambio de la temperatura corporal. Todo ello estimula al individuo, o alguna parte de su organismo, para aumentar su actividad: “Las tres reacciones primarias de este tipo son la ira, el amor y el miedo, que brotan como respuesta inmediata a un estímulo externo, o son el resultado de un proceso subjetivo, como la memoria, la asociación o la introspección” (Jourard, S y Landsman, T. 1987).

Veamos lo que dicen tres expertos sobre las emociones y cómo afectan en nuestra integración social, en el desarrollo de nuestros deseos para el alcance de metas y objetivos, y cómo son estimuladas por diferentes glándulas.

Jung nos habla sobre la importancia de las emociones: “La emoción es la fuente principal de la conciencia” (Jung, 1970: 69). Mientras que Alfred Adler profundiza sobre ellas y cómo afectan a nuestra integración social:

Habla de dos tipos de emociones: las emociones socialmente disyuntivas, que están relacionadas con el logro individual de las metas, y las emociones socialmente conjuntivas, que propenden a fomentar la interacción social. Las emociones disyuntivas, como la ira, el temor o el disgusto, tratan de producir un cambio sustitutivo en la situación de vida del individuo, a que a veces sea a expensas de los demás. Surgen de una sensación de fracaso o inadaptación y sirven para movilizar la fuerza del individuo, para realizar nuevos esfuerzos. Las emociones conjuntivas tratan de estar socialmente orientadas, como sucede con el deseo de compartir la alegría, la risa con los demás. La emoción de simpatía es “la expresión más pura de interés social” y revela hasta dónde podemos relacionarlas con otras (Fadiman y Frager 1979: 80).

Para Frederick S. Perls:

Las emociones son la fuerza que da energía a todas las acciones”. Las emociones son la expresión de nuestra excitación fundamental, “las formas y los medios para expresar nuestras elecciones y satisfacer nuestras necesidades”. La emoción es distinta según las diferentes situaciones; por ejemplo, “es diferente la de las glándulas suprarrenales de la ira y el temor en comparación a la de las glándulas sexuales en la libido. La excitación emocional moviliza el sistema muscular. Si evitamos la expresión muscular de la emoción, provocamos la ansiedad, que es el embotellamiento de la excitación (Fadiman y Frager 1979: 187).

Se puede concluir que: las emociones son la energía de las acciones, reguladas por nuestra relación-reacción al entorno, provocando diferentes sentimientos que son dados por cambios o reacciones fisiológicas, dicho sea: son los patrones de conducta y estos regulan nuestros hábitos.

Al momento de estudiar el papel y construir el personaje es de vital importancia tener en cuenta todos los patrones de conducta que observemos en el personaje, ya que a partir de estos patrones podremos estructurar y crear la partitura de acción del personaje. Como dice B. F. Skinner: “La personalidad es como una colección de patrones de conducta” (Fadiman y Frager 1979: 258). ¿Qué es la conducta? Es todo aquello que un organismo, en nuestro caso un personaje, *hace y puede ser observado...* Es aquella parte del funcionamiento de un organismo que está empeñada en actuar o tener trato con el mundo exterior.

Según Skinner:

La conducta es el reflejo de algún estímulo y éste puede ser condicionado, ya sea por la voluntad de un tercero, o se va condicionando el individuo por medio de los estímulos que su entorno social le da, por experiencias previas y por su historia genética; generando así, acciones y reacciones que moldean la personalidad del individuo (Fadiman y Frager 1979: 269).

Cada uno de estos estímulos generará una respuesta en el individuo, a esto es a lo que Skinner llama *condicionamiento operante*: la conducta operante se fortalece o se debilita por medio

de los eventos que siguen a la respuesta. Él pone de ejemplo cuando quería enseñar a nadar a su hija, que tenía miedo de meter la cabeza al agua y hacer burbujas mientras estaba sumergida; para romper ese miedo buscó condicionar la respuesta de su hija con un estímulo: si se mojaba la cabeza le daba un chocolate — esto es, cambiar el miedo por un estímulo placentero.

De la misma manera en la vida diaria, si hacemos algo y el resultado es positivo, compensa el esfuerzo realizado; de esta forma, si en alguna otra ocasión se plantea una situación similar ya tendremos la experiencia para ejecutar una acción igual o similar con más confianza, es parte del aprendizaje de la vida. Todo lo contrario pasa si el resultado en la experiencia es negativo, ya que no tendremos el ánimo y no habremos generado el hábito para enfrentarnos al estímulo. Para lograr superar esa etapa de negación o de indecisión entre hacer algo o no, pese a la experiencia, tenemos que tener o vivir una etapa de:

Reforzamiento: cualquier estímulo que aumenta la probabilidad de una respuesta. Existen dos tipos de reforzadores, los positivos y los negativos; los primeros hacen que ocurra una conducta o una respuesta deseada y los segundos, produce la respuesta deseada mediante un estímulo aversivo, en el sentido de que son las cosas de las cuales nos apartamos. Están también los: Reforzadores primarios, que son las recompensas físicas directas, y los secundarios son los estímulos neutrales que se han asociado con los reforzadores primarios, de modo que a su vez actúan como recompensas. El dinero es un ejemplo de reforzador secundario (Fadiman y Frager 1979: 260).

Seguimos sumando elementos que nos son útiles en la creación del personaje, tenemos que saber observar el ambiente en el que se desarrolla la acción, los antecedentes históricos y de relación, a lo que llamamos las circunstancias dadas, ya que como hemos visto, éstas determinarán *las emociones, la conducta, los hábitos y la personalidad*.

Todos los *estímulos* que recibimos, son el motor para alcanzar los *objetivos del personaje* en la historia, y que los *reforzadores* son los generadores de *los conflictos*, la lucha de fuerzas; estos reforzadores obligan *a tomar decisiones para ejecutar una acción* en pos del objetivo, en esta toma de decisión intervienen: la experiencia de vida, la experiencia emotiva, los recuerdos, los conocimientos adquiridos, es decir, las circunstancias dadas, (tanto del personaje como del actor.)

La energía, la fuerza y la seguridad con que ejecute las acciones nuestro personaje, dependerán de su madurez emotiva, esto es, de su actitud, siendo ésta la disposición que se tiene para responder de manera favorable o desfavorable hacia algún estímulo.

Las actitudes están integradas por opiniones (ideas que se tiene sobre algo, no siempre de manera objetiva), creencias, sentimientos (reacción emocional sobre algún estímulo), conductas (tendencia a comportarse según opinión y sentimiento propio), no sólo *la actitud* determina la respuesta; depende *del carácter, de la personalidad, del temperamento*, son parte del todo que llamamos *ser humano*, no se pueden considerar de manera aislada.

- *Inteligencia*: es la capacidad que tenemos para resolver problemas y adaptarnos al continuo cambio de nuestro entorno; la inteligencia se clasifica de diferentes maneras según como captamos y asimilemos este entorno, tendiendo más a las imágenes, al raciocinio, a la emotividad, etc. *Tipos de Inteligencia*: comprensiva, inventiva, crítica, espacial o concreta y abstracta.
- *Carácter*: determina nuestra forma de actuar, de comportarnos de una manera constante y deja ver nuestros rasgos o patrones de conductas morales y éticas y sociales. Distingue inconfundiblemente a un individuo. El carácter tiene matices, como son: *a)* rasgos morales y éticos y *b)* Determina formas constantes y típicas de actuar. La importancia del carácter radica en que demuestra los valores que vive el individuo, la forma de tomar y llevar a cabo las decisiones y de conducirse conscientemente con los demás.

3. La caracterización del personaje

Después de tratar los aspectos sobre el carácter, el temperamento, los hábitos, las emociones y todos los detalles que indican la personalidad, podemos hablar sobre la *caracterización*. En el mundo de la interpretación se habla de la *caracterización*, ésta se puede trabajar en dos líneas: la primera, para crear el personaje desde sus *características* físicas (caracterización externa); la segunda, para crear un personaje desde su psicología, desde su *carácter*, desde su personalidad (caracterización interna). Hablar de la construcción del carácter de un personaje no es tarea fácil por la gran cantidad de variables que involucra; la asimilación y aplicación de las variables se complica cuando se pretende utilizarlas para interpretar o recrear la vida de un personaje, implica el esfuerzo que conlleva al actor poder adaptar todas estas variables a su propia personalidad y romper con sus patrones de conducta.

En cuanto a la construcción de las *características* físicas, es otra tarea que debe desarrollar el actor a la hora de construir su personaje en los ensayos, la construcción física consiste en volcar de manera convincente todos los movimientos y acciones que ejecuta el personaje para obtener sus objetivos dentro de la línea de acción de manera armónica con su carácter.

El carácter, o los caracteres, se ha estudiado mucho y desde muy diversos puntos de vista; ha sido una preocupación, o más bien, la ocupación de los filósofos desde los tiempos de Platón y Aristóteles, uno de los discípulos de éste, Teofrasto, nos ha brindado un estudio sobre los caracteres, al mismo tiempo nos deja ver y conocer el perfil de diferentes comportamientos de los individuos de su época. Teofrasto escribe su tratado sobre los caracteres, donde analiza los distintos temperamentos como respuesta a su interés por el hecho cómico, en su poética, habla sobre un género antagónico a la tragedia, donde subraya la importancia de la imitación de personas inferiores.

Para conseguir una semejanza con la realidad, es preciso reproducir los hechos de la vida cotidiana y el lenguaje natural que se emplea en tales circunstancias, ya que, en ambos niveles — la situación y la elocución —, es donde puede desencadenarse el mecanismo psíquico de la risa... La obra que comentamos es una mimesis de los defectos — que no de los vicios — que aquejan frecuentemente a la gente mediocre y carente de formación (Teofrasto 1988: 20).

La forma en que plantea sus observaciones sobre los defectos y diferentes perfiles psicológicos en seres cotidianos nos da un material riquísimo para nuestro trabajo actoral, también nos da un ejemplo de cómo podemos ver, observar y analizar a nuestros congéneres, para enriquecer nuestra memoria emotiva, sensitiva, de patrones de conducta y en general toda la información, que a su tiempo, podemos utilizar en el proceso de construcción de personaje, ya que nos da: “una serie de rasgos diferenciadores y paradigmáticos en cada caso. La observación directa de los seres y de la naturaleza en general debió ser determinante. Todas estas orientaciones tienden a un mejor conocimiento del hombre en tanto individuo” (Teofrasto 1988: 27).

Hay que tener en cuenta estos cuatro puntos: constitución física, temperamento, inteligencia y carácter cuando construimos a nuestro personaje; tenemos que considerar también, las reacciones orgánicas que se generan en cualquier momento de la vida de nuestro personaje, el que vamos a representar, como por ejemplo: los estados emotivos generan un ritmo respiratorio y cardíaco específico, diferente a un estado de reposo, el estado de estrés o tensión corporal no es el mismo en una situación de acecho si se es la víctima o el victimario; la sudoración o deshidratación que se puede generar con relación al lugar y época en la que se desarrolle la acción; estas diferentes variables físicas producto de los estados anímicos, generan reacciones orgánicas diferentes en nuestro personaje, lograr representarlas o no por parte del actor dependerá de la técnica o metodología de trabajo que haya aprendido y utilice en su proceso creativo; también,

del estilo de la obra y de las exigencias del director para realizar su dramaturgia escénica, pero, sin importar cuáles sean las variables que el actor enfrente y tenga que superar, deberá sumar e incluir en su trabajo creativo todo el proceso de búsqueda y análisis, pretendiendo siempre que su acción sea: veraz, orgánica y ética.

Al analizar el texto dramático es necesario tener en cuenta todo lo contemplado, de los rasgos más sutiles o de las pequeñas insinuaciones o pistas que el dramaturgo nos dé en el texto dramático, tendremos que obtener toda la información que necesitamos para construir nuestro personaje.

Stanislavsky hace una síntesis de todos los procesos para la construcción del personaje:

Una obra y sus roles poseen diversos planos, por donde fluye su vida:

- “Primero, existe el plano externo de los hechos, lo que ocurre, la trama, su forma. Es contiguo al plano de la situación social, subdividido en clase, nacionalidad y ubicación histórica.
- Hay un plano literario, que comprende las ideas, su estilo y otros aspectos.
- Hay un plano estético, al que concierne todo lo que es específicamente teatral, artístico, que tiene que ver con la puesta en escena y la producción.
- Hay un plano psicológico de la línea interna de acción y sentimientos y caracterización interna.
- El plano físico cuyas leyes fundamentales son: naturaleza, objetivos y acciones físicas y la caracterización externa.
- Finalmente, existe el plano personal de sentimientos creativos que pertenecen al actor.”
- “Cuanto mejor conozca el actor la psicología del alma y la naturaleza humana, cuanto más la estudie en sus momentos libres, más profundamente podrá penetrar en la escénica espiritual de la pasión humana, y por lo tanto más detallada, compleja y variada será la partitura de cualquier papel que haga” (Stanislavsky 1984).

Queda mucho por hacer, por decir, por compartir y, sobre todo, por recibir de todos los investigadores y estudiosos de esta área.

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LAS FUNCIONES DOCUMENTALES. ESTRATEGIAS DE USO DE LOS DOCUMENTOS EN EL CÓMIC DOCUMENTAL¹

Rayco González

Universidad de Burgos, España
raycogg@ubu.es

Marcello Serra

Universidad Carlos III de Madrid, España
mserra@hum.uc3m.es

Abstract

En los últimos años se han originado claras tendencias enfocadas hacia la conservación y el almacenamiento de datos, lo cual se ha visto reflejado en numerosas prácticas culturales que podrían resumirse con la perífrasis *inflación documental*. Estas tendencias han tenido como respuesta una serie de prácticas, fundamentalmente narrativas, que pretenden dar inteligibilidad a esos datos. El cómic no es ajeno a estas tendencias, sobre todo en publicaciones recientes, donde se estrecha el vínculo entre la narración y los hechos reales.

A partir de los reportajes más cercanos al periodismo, pasando por proyectos biográficos hasta trabajos menos etiquetables dentro del cómic, nuestro objetivo es elaborar un modelo semiótico que dé cuenta de los posibles usos de los documentos en aquellos textos cómic que podríamos llamar documentales.

El corpus quedará articulado en una tipología de las distintas funciones documentales que pueden cumplir los documentos dentro de estos textos: referencial-veridictiva, sistémica, narrativa y reveladora. A cada una de ellas le corresponderán distintas estrategias textuales que determinarán en última instancia diferentes actitudes de lectura de la realidad que se pretende conocer o describir.

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1. Introducción

Parece un diagnóstico incuestionable el hecho de que vivimos en un presente obstinado por la documentación, que tiene su correlato en la incesante producción de información en numerosos campos: el histórico, el burocrático, el comercial y el científico. Esta coyuntura ha sido bien resumida por la socióloga Nathalie Heinich (2009) con la expresión “inflación documental”.

Entre otras consecuencias, este espíritu del tiempo ha provocado que el género documental se encuentre en uno de sus momentos de mayor auge. Especialmente a partir de los años noventa las narraciones de no ficción se abrieron paso en las plataformas más dispares, apareciendo entre los géneros periodísticos nuevas formas de relato de gran formato que utilizan todo tipo de soportes y de estrategias narrativas.

Actualmente las narraciones de hechos reales ocupan una posición importante en la semiósfera mediática: desde los tradicionales medios televisivo y cinematográfico hasta territorios que, históricamente, han sido ocupados principalmente por los géneros de ficción. Entre ellos, el cómic, dominio por excelencia de aventuras fantásticas, ha visto aparecer recientemente en sus páginas siempre más relatos que pretenden dar fe de la realidad.

Precisamente el caso del cómic nos servirá para examinar nuestra pequeña hipótesis sobre el funcionamiento global del género documental. Para ello, y como paso previo, nos resulta necesario aclarar algunas cuestiones teóricas y metodológicas respecto a nuestro trabajo.

Una de las cuestiones principales sobre la que gira nuestro trabajo es la descripción de las formas o los modos posibles en que se podría dividir las relaciones entre los textos documentales y los documentos mismos. Lo que se observa aquí es un doble proceso de traducción: primero los documentos traducen los hechos reales o la realidad; y luego los textos documentales traducen los documentos de nuevo a determinadas formas que permiten el acceso a esa misma realidad.

Dentro de esta problemática es necesario ocuparse también del “valor documental”. Con ello entendemos una propiedad subyacente a los textos que ambicionan dar cuenta de una determinada realidad. Intentaremos identificar este rasgo general, que, además, no se circunscribe exclusivamente al género documental, sino que se puede hallar también en otros tipos de relato.

Es necesario especificar también que este valor depende de una sanción cultural, es decir, cada cultura establece cuáles son los rasgos pertinentes que determinan que un texto posea o no un valor documental. Con el fin de aclarar este cierto relativismo conceptual de partida, nos serviremos de un ejemplo de Umberto Eco (2012), quien recordaba que, para los griegos, la *Iliada* era un texto histórico y mantuvo su valor de historicidad hasta que los estoicos lo sancionaran como leyenda, privilegiando una lectura alegórica y excluyendo, por tanto, una lectura histórica o factual.

Asimismo, también es necesario tener presente que el valor de cada texto dentro de una cultura se correlaciona con una determinada función que aquel posee en el sistema. Iuri Lotman y Alexander Piatigorski lo expresan de forma muy clara: “la función del texto es definida como su papel social, su capacidad de dar servicio a determinadas necesidades de la colectividad” (1998: 163).

Por tanto, si aceptamos esta premisa, aceptaremos igualmente que, en nuestra cultura contemporánea, la función documental está estrechamente relacionada con el uso de los documentos que se hace en ciertos textos. De este modo, el objetivo de este trabajo es articular una breve tipología en la que puedan inscribirse las distintas estrategias textuales que rigen los usos de los documentos, a partir de las posibles funciones que tales estrategias otorgan a los documentos.

Por último, es oportuno establecer que, desde nuestra perspectiva metodológica, todo texto puede poseer una función documental. Partimos, como consecuencia, del presupuesto teórico de que todo objeto de conocimiento es, de algún modo, construido, y que el mismo acto mediante el

cual lo modelamos, hace relevantes ciertas pertinencias a expensas de otras. O, dicho de otra forma, es posible proyectar el concepto de documento sobre cualquier colección de datos y de textos.

A todo esto se añade la circunstancia que, a pesar de la existencia de una disciplina enteramente dedicada a este objeto de estudio, no se ha alcanzado una definición suficientemente precisa del concepto de documento. En efecto, las definiciones clásicas en el campo de la documentación, que remiten esencialmente a las obras de Paul Otlet (1934) y de Suzanne Briet (1951), consideran documento todo aquel objeto que cumpla el papel de prueba de un hecho. La clave de estas definiciones se encuentra en el valor de mediación y en la sanción que permita a un objeto desempeñar la función de documento. En este sentido, todo objeto de la realidad adquiere el valor de documento a través de un proceso de documentación, que, desde una perspectiva semiótica, viene a coincidir con un proceso de textualización. En esta línea, vale la pena rescatar las palabras de Roger Collingwood, escuetas y esclarecedoras: “cualquier cosa en el mundo es documento potencial de algo” (1952: 280).

Tras este preámbulo, reflexionaremos a propósito de las funciones documentales tomando como referencia el caso del cómic. En los últimos veinte años han germinado en este medio numerosas publicaciones que, más allá de sus formas y aproximaciones particulares, pertenecen a la tendencia creciente que se podría definir como “cómic documental”. El origen de esta tradición se puede situar en 1996, cuando el reportero gráfico Joe Sacco publicó *Palestina*, obra que describe la vida cotidiana en los Territorios Ocupados de Cisjordania y de la Franja de Gaza. Desde este momento, son numerosos los autores de cómics que se han dedicado a las narraciones documentalistas, etiqueta amplia en la que caben tanto publicaciones de corte periodístico como también histórico.

Aparte del propio Sacco, que ha continuado su trabajo con obras como *Gorazde*, *El mediador*, *Notas al pie de Gaza* o *El final de la guerra*, entre los autores más significativos encontramos al canadiense Guy Delisle (*Shenzhen*, *Pyongyang*, *Crónicas birmanas*, *Crónicas de Jerusalén*, *Escapar*) y a la estadounidense Sarah Glidden (*Una judía americana perdida en Israel*, *Oscuridades programadas*). Además, en Europa son varios los autores que han hecho incursiones puntuales dentro de este género. Entre los casos más sobresalientes hallamos: el interesante experimento, a caballo entre el cómic y la serie fotográfica, de *El fotógrafo* de Emmanuel Guibert, Didier Lefèvre y Frédéric Lemercier; el apasionado reportaje *Kobane Calling* de ZeroCalcere, sobre la actual situación en la zona del Kurdistán sirio; el recientemente publicado *La grieta* de Carlos Spottorno y Guillermo Abril, un fotorreportaje sobre las fronteras europeas que adquiere la forma de cómic; y la trilogía biográfica *Doctor Uriel* de Sento, que traduce en cómic los cuadernos de un médico aragonés durante la Guerra Civil.

Apuntamos, por último, los dos cómics del italiano Igort, *Cuadernos ucranianos* y *Cuadernos rusos*, díptico dedicado a la herencia soviética que tomaremos como fuente principal de nuestros ejemplos. En palabras del mismo autor estos cuadernos representa una obra única, que relata su viaje en Ucrania y en Rusia, donde se afincó durante más de dos años para conocer la realidad actual y la herencia de los tiempos de la Unión Soviética en el presente.

En el primer volumen, *Cuadernos ucranianos. Memorias de los tiempos de la URSS*, Igort compila una colección de historias de vida y de informes de la policía secreta soviética con el fin prioritario de documentar el Holodomor, la hambruna sufrida en Ucrania en el invierno entre 1932 y 1933 y presuntamente orquestada por el gobierno moscovita.

El segundo libro, *Cuadernos rusos*, en la traducción española lleva por subtítulo *La guerra olvidada del Cáucaso*, lo cual indica su intención de documentar el conflicto ruso-checheno.

Pero, más en concreto, se trata de una investigación de Igot sobre la obra de la periodista rusa Anna Politkovskaya, como está señalado en el subtítulo original italiano: “*Sulle tracce di Anna Politkovskaya*” (“Tras las huellas de Anna Politkovskaya”).

Estos textos representan solo una selección de la producción documentalista de los últimos años. De ella, además, hemos excluido las publicaciones más enfocadas a lo noticioso (como los interesantes casos de la página web holandesa *Drawing the Times*, de la web italiana *Graphic News* y de la revista francesa *La Revue Dessinée*), hecho que habría multiplicado los ejemplos sin proporcionar elementos significativos con respecto a nuestra propuesta analítica. Como resultado del análisis de estos cómics, hemos intentado distinguir cuáles son las funciones documentales que puede desempeñar un texto y creemos que es posible reducirlas a cuatro. Se trata de una pequeña tipología cuya característica clave es la ausencia de exclusividad: como en el caso de las funciones del lenguaje descritas por Roman Jakobson (1988), todas pueden (o no) estar presentes al mismo tiempo, pero cada texto establece un orden jerárquico y pone en primer plano una(s) de ellas.

2. Función referencial-veridictiva

La primera función la llamaremos referencial-veridictiva. Con ella entendemos una estrategia textual que otorga a determinados documentos el valor de prueba o de indicio de un hecho. El texto sugiere una lectura indicial de los documentos, nos propone considerarlos como una huella de la realidad.

Así pues, los informes policiales desclasificados y los testimonios recopilados por Igot cumplen una función referencial, ya que son tratados como indicios del Holodomor en Ucrania y de los horrores de la guerra en Chechenia. Y obviamente, en los cómics que utilizan la fotografía, como *El fotógrafo* y *La grieta*, el efecto referencial se construye precisamente a partir del valor indicial de la imagen fotográfica, de la creencia socialmente aceptada según la cual la fotografía es testimonio de que algo ha estado ahí, delante de la cámara (Barthes 1990).

Esta función también puede suponer un cambio de sanción cultural con respecto a unos hechos pasados. Algo que se consideraba verdadero pasa a ser considerado como falso, o viceversa. En ella se establece la necesidad de decir la verdad sobre uno o varios hechos del pasado, lo cual determina también una acusación hacia los datos y los relatos existentes, que formarían parte de una “historia oficial” o de una “enciclopedia” hasta entonces incuestionables. Por tanto, el texto documental sugiere una nueva interpretación de los documentos y de los datos del pasado con el objetivo de encontrar contradicciones e incoherencias; otra posibilidad es que nuevos documentos aporten nueva información que haga emerger discordancias en los datos. En ambos casos, la consecuencia es una determinada reorganización del discurso sobre los hechos.

En este sentido, Igot denuncia de manera clara los dos acontecimientos que describe como genocidios y utiliza los documentos para apoyar esta interpretación. De esta forma se establece una tensión constante entre, por un lado, los informes de la Checa y las memorias de los testigos, y, por otro, la historia oficial, que permanece implícita durante toda la obra, aunque mencionada al inicio de *Cuadernos ucranianos*. De hecho, *Pagine nomadi*, obra publicada en 2012 que sirve de comentario sobre el proceso de creación de ambos *Cuadernos*, lleva un subtítulo que explicita esta polémica: “historias no oficiales de la Unión Soviética”. En la misma dirección se mueven las *Notas al pie de Gaza* de Joe Sacco, que él mismo presenta como acotaciones al margen de la historia, relatos sobre la cuestión palestina que nos muestran un conflicto distinto del que aparece en la narración oficial.

3. Función sistémica

A la segunda función le daremos el nombre de sistémica. En este punto podríamos remontarnos incluso a una observación de Ferdinand de Saussure (1916), quien recordaba que la reconstrucción del sistema de cada lengua es una operación que depende de la colección de documentos que se posee y que se selecciona. Podríamos decir, por tanto, que, mediante esta función, el texto otorga a los documentos un valor ejemplar con respecto a un sistema cultural o a un determinado lenguaje. Es decir, los documentos son tomados como manifestaciones especialmente significativas de un sistema de reglas; o de varios, ya que un mismo documento, por ejemplo, puede tener simultáneamente valor de ejemplaridad con respecto a una lengua natural y a un sistema literario. Más sencillamente, la función sistémica tiene que ver con el uso que se hace de los documentos para dar inteligibilidad a un determinado sistema cultural.

En *Cuadernos ucranianos* los testimonios que Igort recopila durante su proceso de inmersión en esa cultura que le es ajena le permiten entender mejor su funcionamiento como sistema, un procedimiento desplegado igualmente por ZeroCalcare en su viaje en los territorios del Kurdistán. Volviendo a la obra de Igort, podemos observar también cómo los testimonios del Holodomor constituyen una reconstrucción de un hecho histórico mediante su valor de ejemplaridad: las historias recopiladas por el autor italiano representan el acontecimiento por sinécdoque y por significatividad. Una operación análoga es la que lleva a cabo Guy Delisle, aunque de forma más superficial, cuando, observando las distintas indumentarias que llevan las comunidades hebreas en Jerusalén, describe sus hábitos, sus prácticas sociales y sus sistemas de creencias.

4. Función narrativa

Otro caso es el de la función narrativa. Aquí el texto pone los documentos al servicio del relato. Es decir, se establece un uso narrativo de los documentos, donde son las estructuras narrativas - con su memoria de género y el sistema de expectativas que de ella deriva, con sus propios ritmos, con sus propias necesidades - la que determinará la selección de datos, la inclusión y la exclusión de aquellos documentos que servirán de fuente.

Igort lo dice claramente en *Pagine nomadi*: “algunos relatos fueron descartados no porque fueran menos interesantes [...], sino porque estaban caracterizados por un particular ritmo narrativo. Como en la música: te das un ritmo y sobre él comienzas a componer la melodía” (2012: 29). De forma más prosaica, una idea análoga es expresada por Sarah Glidden en la introducción de su *Oscuridades programadas*: “las conversaciones transcritas han pasado por una fase de edición y condensación con el fin de que se transformaran en el guion de un cómic legible” (2017: XX).

En otras palabras, se podría decir que te das una estructura narrativa y sobre ella organizas datos y documentos. De alguna forma, además, esta función es intrínseca al propio proceso de disposición narrativa de los documentos, ya que inevitablemente la narración obliga a una determinada selección. Precisamente, escribir la historia implica hacer relevante un documento mediante la narración. Y es esta relevancia la que otorgará al documento un determinado valor histórico.

Además, hay que tener presente que el simple acto de marcar un inicio y un final significa imponer una estructura narrativa sobre los acontecimientos, aunque fuere mínima. Una historia, por verídica que sea, no es simplemente lo que ha acontecido. Siguiendo las indicaciones de Gregory Bateson (1976) y Iuri Lotman (1996) sobre el marco, podemos resaltar que la acción simbólica fundamental de encuadrar un conjunto de hechos dentro de un principio y un final es una operación poderosa a la par que sencilla. De esta manera, cualquier elemento incluido significa no solo por sí mismo, sino por la relación narrativa que mantiene con el resto de los elementos. El acto de trazar unas fronteras tiene por efecto la transformación de los elementos

dentro de su espacio, de manera que la inclusión de un documento en una narración implica que aquel adquiera una significación ulterior, añadida a la ya existente.

Aquí merece la pena señalar que en el nivel discursivo los documentos pueden cumplir diferentes funciones dentro del programa narrativo de cualquier texto, tanto en el plano sintáctico como en el semántico. Primeramente, en la dimensión sintáctica un documento puede estar actorializado, de manera que desempeñe alguna de las funciones actanciales que le están asignadas en el recorrido generativo del discurso.

Por ejemplo, en el trabajo de Igort algunos documentos cumplen el rol actancial de ayudante, es decir, aporta al sujeto la ayuda necesaria para la conjunción con su objeto de valor, que en el caso que hemos analizado es “convertirse en ruso”. Las entrevistas que Igort realiza, las publicaciones de Anna Politkovskaya, los informes de los servicios secretos soviéticos y demás documentos usados sirven a Igort para adquirir las competencias necesarias para la realización de su programa narrativo.

El documento puede desempeñar también los roles de objeto y de oponente. Por ejemplo, en algunos textos el documento aparece como un objeto a descubrir por parte del sujeto o también puede obstaculizar la realización del programa narrativo del sujeto, como ocurre en los casos de documentos falsos o encriptados.

También puede darse que el documento tematice el texto: en este caso estaríamos en la dimensión semántica del nivel discursivo. Esto se puede observar en el informe de la ONU sobre la matanza de Khan Younis que tematiza la obra de Joe Sacco *Notas al pie de Gaza*.

5. Función reveladora

El último caso de nuestra tipología podríamos denominarlo función reveladora, retomando una expresión que Siegfried Kracauer (1989) ha acuñado a propósito del cine. Esta función aparece cuando un texto hace dialogar a varios documentos, mediante una técnica que podríamos denominar de montaje. Es entonces posible que, por el mero hecho de estar en contacto o en relación, se revelan elementos que, pese a estar presentes en los documentos, sin este diálogo no podrían ser descubiertos. La relación sobre el que se fundamenta esta función establece un mecanismo semejante al que Walter Benjamin (2005) define como imagen dialéctica, donde, merced a una operación de montaje de fragmentos, se elabora una imagen conceptual que hace que pasado y futuro se iluminen recíprocamente desde el presente.

Esto lo podemos observar en un paso de los *Cuadernos* de Igort, cuando en el epílogo se hace dialogar a dos informes policiales sobre el exterminio de los *kulaks* y a la obra *Filocalia* del místico ucraniano Paisio Velichkovski. Las privaciones y los sufrimientos descritos en los informes se proyectan en una dimensión temporal y existencial más amplia, ya que, puestos en relación con el credo ortodoxo, se descifra en ellos el alma rusa y, en definitiva, toda su historia.

6. Conclusiones

Esperamos que nuestras consideraciones encuentren una futura confirmación en las evoluciones de esta forma. Con todo, tenemos la impresión de que la pequeña tipología que hemos delineado puede hallar su aplicabilidad también más allá de los territorios del cómic y confiamos que ayude a la inteligibilidad del papel de los documentos en todo tipo de relato documental. Quedaría por ver si estas cuatro funciones pueden ser refinadas o ampliadas a través de ulteriores análisis, tanto sobre el cómic como lo audiovisual o el medio escrito.

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**FROM THE SESSION
“SOCIOSEMIÓTICA,
INTERDISCIPLINA Y
TRANSDISCIPLINA”**

INTERDISCURSIVIDAD SOCIO-SEMIÓTICA

Norma Fatala

Universidad Nacional de Córdoba, Argentina

nfatala_ar@yahoo.com.ar

Abstract

Este trabajo propone examinar la productividad del concepto sociológico de *campo* para los estudios del discurso. En ese sentido, resume primero las formas más elaboradas de transposición de la noción — el *campo discursivo* en la teoría del discurso social de Marc Angenot y el *tipo de discurso* propuesto por Eliseo Verón — para desarrollar luego las propuestas emanadas de mi propio trabajo de investigación; ya que, además de ofrecer un ingreso al *espesor* de lo social, la conflictividad de los campos y, fundamentalmente, la modificación de la posición que ocupan en la distribución de la tarea discursiva preludian, como trataré de mostrar, transformaciones generalizadas en la discursividad social.

1. La noción y sus interpretantes

En términos de Pierre Bourdieu, el campo es “una red o configuración de relaciones objetivas entre posiciones”, cuya estructura se define por la relación de fuerza entre los participantes y cuyo límites “se encuentran en el punto en el cual terminan los efectos de campo”. Las fuerzas activas en el campo, sostiene Bourdieu, son las que definen el *capital específico*, que confiere un poder sobre “los instrumentos materializados o incorporados de producción o reproducción” y sobre “las reglas que definen el funcionamiento ordinario del campo” (Bourdieu y Wacquant [1992] 1995: 64-67).

Aunque no hay referencias explícitas, es posible relevar las resonancias de este planteo en el trabajo de Eliseo Verón. Como se recordará, Verón desarrolla, a partir del paradigma ternario de Peirce, una construcción relacional de los objetos del análisis del discurso (1993: 128), donde el recorte extrae del *continuum* de la actividad empírica del *discurrir* fragmentos discursivos — i.e. *estados* o *productos* (124) — en relación triádica con sus *condiciones de producción y reconocimiento*:

Las condiciones productivas de los discursos sociales tienen que ver, ya sea con las determinaciones que dan cuenta de las restricciones de generación de un discurso o de un tipo de discurso, ya sea con las determina-

ciones que definen las restricciones de su recepción. Llamamos a las primeras *condiciones de producción* y, a las segundas, *condiciones de reconocimiento*. Generados bajo condiciones determinadas, que producen sus efectos bajo condiciones también determinadas, es entre estos dos conjuntos de condiciones que circulan los discursos sociales” (Verón [1988] 1993: 127).

Entre las condiciones que determinan la producción de sentido — y dejan huellas en la superficie textual de los productos — ocupan un lugar fundamental otros discursos; pero también las relaciones, las prácticas y las instituciones que estructuran la vida social. El análisis de un corpus extendido permite así despejar el conjunto de reglas (la *gramática de producción*) que modelizan “el engendramiento de un tipo o de un género-P [género producto]” (Verón [1988] 2004: 201). Si bien Verón pone el énfasis en el dispositivo de enunciación, las estructuras institucionales y el esquema relacional son fundamentales en la definición de lo que llama *tipo de discurso* (periodístico, político, religioso, ...):

En lo que se refiere a la noción de “tipo” de discurso, me parece esencial asociarla, por un lado, a estructuras institucionales complejas que constituyen sus soportes organizacionales y, por el otro, a relaciones sociales cristalizadas de ofertas/expectativas que son los correlatos de estas estructuras institucionales. Por supuesto, estas estructuras institucionales y estas configuraciones de ofertas/expectativas, [...] son inseparables de los sistemas de representaciones que, en producción, estructuran el imaginario donde se construyen las figuras de los emisores y de los receptores de los discursos (Verón [1988] 2004: 195).

Más ambiciosa, seguramente, la noción de *campo discursivo* propuesta por Marc Angenot permite sistematizar de manera más compleja las condiciones de producción de los discursos sociales — entre ellas, las relaciones que sostienen con otras formaciones discursivas. Para poner en foco la operatividad de la noción, e incluso discutir los desarrollos posibles, es necesario, sin embargo, retener el marco conceptual en el cual aparece. Como se sabe, Angenot propone el sintagma *discurso social* — en singular — para designar un “objeto compuesto, formado por una serie de sub-conjuntos interactivos, de elementos migrantes metafóricos, donde operan las tendencias hegemónicas y las leyes tácitas” (1989: 16)¹. Esto implica la posibilidad de identificar, más allá del todo cacofónico y empírico, del vasto rumor de los discursos sociales, de la infinita variedad de lenguajes, prácticas significantes, estilos y opiniones, una dominancia global a la cual llama, siguiendo a Gramsci, *hegemonía discursiva*: “La hegemonía es, fundamentalmente, un conjunto de mecanismos unificadores y reguladores que aseguran a la vez la división del trabajo discursivo y un grado de homogeneización de las retóricas, las tópicos y las doxa transdiscursivas” (1989: 22).

En unas coordenadas sociohistóricas determinadas, este conjunto de dispositivos prefigura los límites de lo decible y lo pensable, no como una reproducción mecánica, sino como un equilibrio inestable de fuerzas centrífugas y centrípetas, sostenido mediante desplazamientos y reciclajes; por cooptaciones, incorporaciones y banalizaciones de las novedades “verdaderas” (*contradiscursos*).

Al enumerar los componentes — indisociables — del “hecho hegemónico” (1989: 27-35), Angenot destaca seis elementos unificadores: la lengua legítima, tópica y gnoseología, fetiches y tabúes, egocentrismo/etnocentrismo, temáticas y visión de mundo, dominantes de pathos.

En tanto estos seis componentes explican las regularidades y semejanzas que atraviesan y cohesionan la variedad de la discursividad social en una época dada; el séptimo, el *sistema topológico*, da cuenta de la división de la tarea discursiva en *campos* trazados por las distintas formaciones, que Angenot define como “[...] el conjunto de elementos que hacen institucional-

1 Todas las traducciones de 1889 *Un état du discours social* son mías.

mente posible la formación, el control y la legitimación de un subsistema de discurso, y confieren un estatuto de reconocimiento a los agentes que en él operan, constituyendo una camaradería conflictiva en torno a las apuestas (enjeux) comunes” (1989: 93).

Los discursos reunidos en cada campo comparten rasgos pragmáticos, retóricos y temáticos, cumplen funciones conexas, y tienen una doctrina legitimante (una ideología del campo) que configura el objeto propio, determina los participantes reconocidos y permite la homologación de los productos. Visto desde afuera, dice Angenot, “todo campo es un dispositivo de rarefacción y de censura” (1989: 93).

El reconocimiento de estas particularidades no redundaría, sin embargo, en una naturalización de su autonomía, de su clausura o de su ahistoricidad. Por el contrario, Angenot sostiene que los campos, los géneros, los estilos son “formas reguladas de la disimilación de los discursos”, entre las cuales circulan, más o menos subrepticamente, las fórmulas y temas comunes que “refuerzan el efecto global de la hegemonía” (1989: 91).

No se trata, por supuesto, de que el autor desconozca las luchas que tensionan el discurso social (cf. 1989: 1081) o los cambios que se operan en el tiempo (cf. 2005: 28). Como se dijo, los campos no son colectividades “armoniosas”, sino espacios de confrontación. Más allá de la migración de ideologemas o de las sobredeterminaciones, esta conflictividad interna se reduplica *en la relación entre los campos*: hay fronteras imprecisas y porosas, zonas en litigio y “tierras de nadie”, guerras de independencia disciplinares y luchas por posicionarse en el centro del espacio simbólico. La topología de los discursos, desde el canon a los márgenes, es por definición inestable e histórica; pero el enfoque de la teoría del discurso social privilegia la capacidad totalizadora de la hegemonía discursiva en una sincronía en tiempo real; esto es, en un estado de discurso.

2. Campos y semiosis

Para una perspectiva sociosemiótica más interesada por el cambio (por el devenir de la semiosis), así se considere entre estados de discurso, los avatares de los campos discursivos y las modificaciones en la distribución de la tarea discursiva son fundamentales para comprender ciertas transformaciones generalizadas y concurrentes en las dominancias y el régimen de aceptabilidad hegemónicas. Es necesario, creo, pensar la conflictividad de los campos canónicos como el dispositivo que garantiza (paradoja aparente), la reformulación cíclica y la preservación de la hegemonía.

En ese sentido, el tránsito entre dos estados de discurso supone una crisis de la hegemonía discursiva y su superación mediante un nuevo *régimen signifiante* (Deleuze y Guattari [1980] 1987: 112) capaz de restaurar el /un/ equilibrio que neutralice y absorba las perturbaciones en el discurso social global.

A mi entender, las crisis de la hegemonía discursiva son postulables a partir de la multiplicación de enunciados que ponen en cuestión el régimen signifiante que estabilizaba un estado de discurso. Esa multiplicidad, “espontánea” y heterogénea, de la que no se puede predicar un objetivo “claro y distinto”, indicaría, según Žižek ([1987] 1992), la irrupción de *lo real* en el campo del signifiante. En cualquier caso y aun, como lo muestra la experiencia, en las revoluciones “verdaderas”, la crisis no implica la subversión total del sentido del mundo (para eso está la hegemonía de larga duración), sino brechas, zonas de riesgo, que vuelven *parcialmente* visible la inconmensurabilidad de las palabras y las cosas. En las crisis de envergadura, los enfrentamientos atraviesan los campos discursivos y desestabilizan la topología. Cualquiera sea el sector que logre imponerse — y esto se aplica tanto a la topología global como a los campos restringidos —, la superación de la crisis es un *trabajo* (de conservación o de transformación). Si el discurso dominante desafiado logra recomponer su predominio ideológico, el impulso conservador de

ratificación de su régimen signifiante no implicará un retorno de lo idéntico, sino que mostrará las huellas de la incorporación, banalización, resemantización, de formulaciones antagónicas (cf. Williams [1977]1997: 135).

A su vez, un sector que se postule como innovador deberá trabajar doblemente. Por una parte, para instalar su propio régimen signifiante, *interpelar a sus sujetos*; esto es, instaurar sujetos según sus propios dispositivos de identificación, y *articular el mundo* (el tiempo y el espacio) de manera diferencial. Por otra, para equilibrar tradición e innovación en su construcción del pasado y, sobre todo, para desviar la mirada de las *continuidades* con el régimen signifiante anterior.

Son necesarias, sin embargo, algunas precisiones acerca de la noción deleuzeana de *régimen signifiante*. En esta, así como en la de *campo ideológico* en Žižek (1992: 125), el signifiante amo (el *point de capiton*) que articula la red simbólica, fija los significados e inviste de valor a las oposiciones semánticas, es, lacanianamente, un signifiante vacío. No obstante, desde un punto de vista semiótico, parece excesivo hacer derivar de la arbitrariedad del signo (una noción lingüística), la arbitrariedad azarosa de la hegemonía. Si bien no es novedad que los signos no son motivados, no hay significantes *socialmente* “puros” o “vacíos” (cf. Voloshinov [c.1929] 1992: 48, y también Verón 1974: 26) y no cualquier signifiante puede “acolchar” una hegemonía, cuyo efecto de real depende de su capacidad de poner en relación un conjunto de *topoi* preexistentes, de tradiciones reciclables, de memorias y expectativas y también de resentimientos difusos, *en las condiciones de producción adecuadas*. Y esto incluye, generalmente, la crisis o agotamiento de un ciclo (político, económico, social...).

A modo de ilustración: “democracia” es indudablemente una noción perpetuamente conflictiva y rigurosamente indefinible (eso lo dice muy bien Rosanvallon (2003: 20-24)); sin embargo, su potencialidad como *point de capiton* en la Argentina de 1983 es infinitamente superior a la de cualquier otro signifiante, dado que tiene como condición de producción el descrédito del discurso militar.

Esto introduce otra restricción: el discurso social, agente del consenso, como dice Fossaert (1983: 119), no excluye la coerción, sino que forma con ésta combinaciones históricas particulares. De allí que, aunque las versiones más sofisticadas de hegemonía discursiva se correspondan generalmente con el funcionamiento democrático (cf. Gramsci [1931-1932] 1997: 264) ninguna forma de ejercicio del poder puede prescindir de ella. Para dar un ejemplo cercano, conviene recordar el consenso inicial (difuso, restringido, resignado) que acompañó los últimos golpes militares en Argentina, oscilando en el componente tímico entre el deseo de orden y el temor al caos. Conviene recordarlo, sobre todo, porque esta aceptabilidad se ha vuelto imposible en 1989, cuando el putsch financiero hizo su ingreso en la vida política argentina. El final apresurado del gobierno alfonsinista es indicial, a su vez, del agotamiento de un régimen signifiante articulado por la forma de gobierno:

Vamos a vivir en libertad. [...] los argentinos hemos aprendido, a la luz de las trágicas experiencias de los años recientes, que la democracia es un valor aún más alto que el de una mera forma de legitimidad del poder, porque con la democracia no sólo se vota, sino que también se come, se educa y se cura (Discurso de investidura de R. R. Alfonsín (1983), en Graglia y Specchia 2009: 34).

Pero el gobierno de Alfonsín no pudo — o no supo — superar la problemática de la economía argentina [...] La crisis vivió sus momentos más dramáticos en febrero de 1989 cuando en palabras del propio Presidente “la economía nos explotó en las manos” (Graglia y Specchia 2009: 27).

En este caso, el descrédito del discurso político alentado por la recesión económica y el “desorden” social no favorece a los sectores militares — desacreditados a su vez por *el saber sobre el*

terrorismo de Estado que la democracia ha propiciado —, sino a un sector “impolítico y experto”, los economistas, que a partir de la asunción de Carlos Menem a la Presidencia van a ocupar el lugar de *producción de la verdad*.

Conviene aclarar que cuando hablamos de *producir la verdad*, no nos referimos a verdades filosóficas (desnudas o no), sino más bien a estrategias discursivas orientadas a producir en reconocimiento un *efecto de verdad* (Paolo Fabbri, en Ruiz Collantes 2003: 75), *efecto de real*, por su adecuación a un estado de relaciones (Bourdieu y Wacquant 1995: 64). Como hemos podido ver en este breve recorrido, tres sectores dirigentes, pertenecientes a tres campos discursivos canónicos (el militar, el político y el económico), han logrado, en diferentes momentos, hegemonizar el espacio simbólico a partir de diferentes *points de capiton* — seguridad nacional, democracia, mercado global — sin subvertir la hegemonía de larga duración.

3. En suma...

Considerar la operatividad de los campos en el discurso social implica, por una parte, atender a la gramática de producción propia de cada formación, sus vínculos institucionales, sus tradiciones y apuestas, y su relación con alguna clase de poder — en los términos clásicos: político, económico o ideológico (cf. Norberto Bobbio, en Bobbio *et al.* [1991] 2000: 1216) —, diferencias todas que constituyen su especificidad y prefiguran los límites de su producción; pero sin perder de vista que todos los campos aparecen tensionados por antagonismos internos que a menudo remiten a enfrentamientos transversales y muestran la permeación de las fronteras por el discurso global. En ese sentido, la operación de los dispositivos hegemónicos puede inferirse a partir de las migraciones, las recurrencias, los presupuestos y temáticas comunes; pero también de las maneras en que las manifestaciones de los diversos campos adecuan (deben adecuar) sus propias restricciones para garantizar su aceptabilidad; esto es, para competir por el público.

A su vez, es necesario retener el rol fundamental de los campos en las transformaciones de mediana duración; ya que esto permite apreciar en su justa medida, por ejemplo, la hegemonización del espacio simbólico (y de la episteme, diría Foucault) operada en las últimas décadas por el discurso tecnocrático.

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MEMORIAS DE LA GUERRA: APUNTES SOBRE LO HUMORISTICO EN EL CINE DE MALVINAS

Sandra Savoini

Universidad Nacional de Córdoba, Argentina
sandra.savoini@gmail.com

Abstract

En el campo de la producción cultural argentina postdictadura, el número de obras audiovisuales que tematizan la guerra de Malvinas ha sido muy importante. Esta producción audiovisual presenta vínculos estrechos con otros campos de la producción memorística de la época y se visibiliza particularmente en el espacio mediático en los tiempos de las conmemoraciones.

Así, a partir de la recuperación de conceptualizaciones del campo del análisis del discurso y la sociosemiótica en torno a las relaciones intertextuales e interdiscursivas que constituyen las memorias, nos proponemos caracterizar los sentidos dados a Malvinas en las obras producidas en Argentina en el marco de la conmemoración de los treinta años de la guerra. Nos detendremos en la exploración de los cortometrajes nucleados bajo el título *Malvinas. 30 miradas* (2014), a fin de interrogarnos sobre el lugar de lo humorístico como estrategia de representación de acontecimientos traumáticos.

1. Introducción

En el contexto amplio de las conmemoraciones realizadas en Argentina en el primer lustro de la década actual, en las que se destacaron tanto los festejos del Bicentenario de la Revolución de Mayo (2010) — un hito de los procesos independentistas de las por entonces colonias españolas en América — como los actos conmemorativos en torno a la guerra de Malvinas en el Atlántico Sur (1982) y los 30 años de restitución de la democracia en el país (1983), los discursos audiovisuales se constituyeron en espacios privilegiados de expresión de memorias en el marco de una sociedad en la que los medios, a través de diferentes pantallas, ocupan un rol central en la construcción de colectivos e intervienen fuertemente en las representaciones sociales del mundo.

Por memorias aludimos aquí, desde una mirada sociosemiótica, a los dispositivos de saber/poder que retoman y organizan lo que puede ser enunciado y visibilizado sobre determinados

acontecimientos del pasado de una comunidad, desde ciertos posicionamientos ideológicos, proveyendo una interpretación de la temporalidad histórica; ellas nos permiten comprender cómo el presente se constituye a partir de la recuperación de lo ya enunciado/visibilizado, puesto que toda producción discursiva repite, transforma o deniega discursos ya formulados. Esta caracterización se apoya tanto en la teoría del enunciado bajtiniana sobre el dialogismo (Bajtín 2003) y sus reformulaciones en el campo del Análisis del Discurso (Courtine 1981) en términos de memorias discursivas, como en los planteos de Voloshinov (2009), para quien todo signo es siempre ideológico. Asimismo, este modo de conceptualizar la/s memoria/s se articula con la semiótica de Peirce (1987) y su proceso de reenvíos significantes, en tanto un signo es siempre interpretante de otro en una cadena de remisiones infinitas. En ese sentido, los procesos de memoria son inherentes a los procesos de construcción de la semiosis y dialógicos por naturaleza.

En ese espacio/tiempo signado por la recordación de hitos ligados a los procesos que marcaron la construcción de la nación, la guerra de Malvinas emergió en los discursos públicos argentinos de la época como uno de los temas de la agenda política a visitar: un tema complejo, atravesado por los tiempos y las necesidades históricas de interpretar lo ocurrido en el pasado según las urgencias de ese presente y con las posibilidades que abren los años transcurridos de aquel suceso traumático. El cambio en las condiciones de producción y reconocimiento discursivo (Verón, 1987) permitiría, entre otros aspectos distintivos de la filmografía estudiada, el uso de recursos ligados al humor, novedosos en los relatos de la única guerra en la que Argentina participó a lo largo del siglo XX.

2. La producción audiovisual sobre Malvinas

El número de obras audiovisuales que tematizan la guerra de Malvinas resulta significativo en el campo de la producción cultural argentina postdictadura, y su difusión se acrecienta en las grillas televisivas durante el mes de abril¹ de cada año en el marco de los eventos conmemorativos.

Hemos relevado la producción y circulación, entre 1982 y el año 2017, de al menos 19 documentales y 16 filmes ficcionales, además de series televisivas y propuestas didácticas audiovisuales. La mayor parte de estas producciones es del periodo 2003-2015, en coincidencia con una gestión de gobierno nacional que hizo de la revisión de la dictadura una política estatal, recuperando y potenciando las acciones de diversas organizaciones de la sociedad civil: esa producción audiovisual podría así entenderse como el efecto de diversas acciones de construcción de una memoria oficial con vínculos estrechos con otros campos de la producción memorística de la época ligada a políticas activas de reivindicación de derechos, siendo este fue uno de los ejes de las estrategias de interpelación subjetiva (Althusser 1988) que caracterizó la discursividad de la llamada década kirchnerista².

En las producciones audiovisuales cinematográficas y televisivas sobre Malvinas realizadas en este nuevo siglo/milenio se destaca el creciente cuestionamiento hacia el rol de la sociedad y particularmente hacia el Estado argentino en la posguerra, tópicos recurrentes en los discursos de la última década, así como la inscripción de esa guerra en los discursos de la memoria en torno a la dictadura desde la perspectiva de los derechos humanos, hecho que resulta novedoso en relación a la manera en que la sociedad argentina en general ha categorizado ese acontecimiento traumático de la historia reciente.

Esta hipótesis interpretativa ha orientado nuestra reflexión sobre el filme *Malvinas. 30 miradas*, presentado en el año 2014 como parte de las conmemoraciones. Esa obra está constituida por 30 cortometrajes de unos 10 minutos cada uno, dirigidos por diferentes cineastas

1 Creado por la ley nacional n° 25.370 del año 2000, el 2 de abril se conmemora en Argentina el día de los Veteranos y Caídos en la guerra de Malvinas, tomando como fecha a recordar el desembarco argentino en las islas en 1982.

latinoamericanos, la mayoría de ellos argentinos³. Una producción colectiva en la cual, más allá de la diversidad de narrativas y estilos que allí se expresan, se observan huellas de las políticas de visibilización, revisión y reparación del Estado en relación a la dictadura, incluyendo en ellas la cuestión Malvinas, arrancándolo del olvido de los procesos sociales de memoria que caracterizaron las políticas estatales de los ochenta y los noventa.

En *Malvinas. 30 miradas*, así como en otras obras audiovisuales sobre el tema, y en paralelo a lo ocurrido en otras zonas del discurso social (Angenot 2010), se observa la multiplicación de miradas y voces que participan en la disputa por la imposición del sentido de la guerra y la posguerra y se delinea una nueva lectura epocal que invierte la clave que dominó su interpretación durante años: de la guerra como un acontecimiento construido por fuera de la violación de derechos ocurridos en el marco de la dictadura y, dados sus actores, sus motivaciones y la derrota sufrida, un suceso a olvidar, a una persistente búsqueda de recordación y una revisión de esa historia, a través de la inscripción de Malvinas en el marco de las políticas de violencia ejercidas por la última dictadura militar a la población argentina (1976-1983), que involucra también una crítica a la propia posición de la sociedad con respecto a los procesos de dominación y violencia, en sus múltiples formas. En el filme analizado, esas condiciones de producción y de reconocimiento dejan su huella en los cortometrajes.

Más allá de la cacofonía, como diría Angenot (2010), hay líneas de sentido que atraviesan la heterogeneidad de los relatos presentes en *Malvinas. 30 miradas* — con la diversidad de historias y miradas que proponen — y nos hablan de una política discursiva que evoca y articula el acontecimiento Malvinas con el proceso de desaparición y muerte implementado por el terrorismo de estado en el país durante la década del setenta y comienzos de la década del ochenta⁴.

Entre los cortometrajes en los que esta relación se hace evidente figuran los titulados: *Entrevista*, *La tumba sin nombre* y *CP 9409*⁵. En este último caso, particularmente, el relato comienza con el acto del por entonces presidente de la nación Néstor Kirchner en el que se descuelgan los cuadros de los militares⁶, lo que da inicio a un proceso de búsqueda, recordación y reparación, en el que la protagonista entrega a sus originales destinatarios las cartas salvadas de la destrucción y guardadas por años, que fueron escritas para los soldados de Malvinas en el periodo de la guerra, proceso similar al encarado por la sociedad argentina posdictadura y, en especial, por la construcción que de sí hace el enunciador presidencial. Ese cortometraje es así una suerte de construcción metafórica que alude al proceso iniciado en la Argentina luego de la dictadura y se potencia con el kirchnerismo.

3. Trauma y humor

En los cortometrajes que integran el filme analizado, Malvinas es el nombre propio que alude a una experiencia traumática. Para la Real Academia, el trauma es un vocablo que proviene del griego y significa herida. Tiene varias acepciones que aluden a una lesión que persiste en el tiempo⁷.

Un trauma es el resultado de la irrupción de algún tipo de violencia que perdura más allá del suceso, sobre todo cuando no se logra resolver porque no puede acceder al orden del discurso:

3 El filme fue realizado por el Centro de Producción e Investigación Audiovisual (CePIA) del Ministerio de Cultura de la Nación, junto con el Consejo Asesor de la Televisión Digital Terrestre en colaboración con la Universidad Nacional de Tres de Febrero.

4 La guerra de Malvinas fue el punto de giro de ese proceso ya que la derrota bélica, entre otros aspectos, acrecentó el descontento y sentó las bases para la vuelta a la democracia.

5 El título del cortometraje alude al código postal de las islas Malvinas.

6 El 24 de marzo de 2004 el presidente tomó una decisión que haría historia: ordenó el retiro de los cuadros de Jorge Rafael Videla y Reynaldo Bignone (jefes de las juntas militares en diferentes momentos de la dictadura iniciada en 1976), que estaban colgados en una de las galerías del Colegio Militar.

7 Trauma: "1. m. Lesión duradera producida por un agente mecánico, generalmente externo. 2. m. Choque emocional que produce un daño duradero en el inconsciente. 3. m. Emoción o impresión negativa, fuerte y duradera" (Real Academia Española 2001).

esto es lo sucedido con aquellos que de alguna manera u otra participaron de la guerra, como resultado de un complejo conjunto de factores que podríamos incluir en lo que algunos llamarían una política del olvido, que también es un hecho de memoria.

En este marco, ¿puede el humor exorcizar el trauma? ¿hay lugar para lo risible en los procesos de representación en torno a Malvinas?

En el caso de lo audiovisual, son muy escasas las producciones cinematográficas que emplean estrategias discursivas que generan este efecto. En *Malvinas. 30 miradas*, el filme que analizamos en este trabajo, hay varios ejemplos que emplean la distancia humorística para lograrlo, en general vía la parodia⁸.

Para Freud “el humor produce una actitud — siempre construida por el lenguaje — que toma distancia de la respuesta sumisa, complaciente o temerosa previsible” (1969: 27), y justamente esta toma de distancia a la que aquí se alude se asienta en la posibilidad que la propia distancia temporal y las transformaciones del discurso social argentino de estos últimos años habilitan para referirse a la guerra de Malvinas. Ejemplos del uso de esta estrategia en el filme de autoría colectiva *Malvinas. 30 miradas* son los cortometrajes: *Para muestra basta un botón* (Montalbano 2014), *¿Qué hacemos?* (Bowen 2014) y *En la colonia* (Martínez 2014), mientras otros cortos presentan algunos procedimientos paródicos que introducen segmentos de lo risible vía lo “ridículo”. En este caso mediante la exageración de rasgos comportamentales de los personajes, inserto en situaciones fuertemente dramáticas: por ejemplo, en los cortometrajes que también integran esta obra, *Entrevista* (Bellotti 2014) y en *Apto* (Grande 2014), que supone a su vez un destinatario cómplice.

El sentido de todos estos cortos mencionados se juega en las competencias que movilizan, esto es, en la complicidad y capacidad de relacionar lo que se dice/muestra en el texto audiovisual con otros discursos, activando relaciones intertextuales e interdiscursivas, a partir del supuesto de que el destinatario es competente para participar en el juego irónico propuesto. Esto supone el reconocimiento de discursos previos, en una relación dialógica que también supone la intersubjetividad con una finalidad crítica de ciertos valores establecidos, poniendo al revés el discurso evocado y, en ese gesto, señalando sus inconsistencias, sus debilidades y sus tensiones.

4. Malvinas/Argentina: una mirada sobre la colonización

Nos detendremos particularmente en uno de los cortometrajes ya mencionados: *En la colonia* (Martínez 2014), con la finalidad de ilustrar algunas de las ideas anteriores.

Según la sinopsis empleada para la difusión, ese relato narra una situación presentada en términos desopilantes: “En la cima de una colina de las islas Malvinas, dos niños de unos 10 años están terminando la guardia y pronto serán relevados por sus propias madres; ambas integrantes de la Comisión de Festejos de las Falkland Islands”.

Así, el corto se inicia con la ubicación espacial de los personajes, mientras oímos en off una risa bufonesca. Se desarrolla en un territorio que sugiere la presencia de los pozos de zorro en un espacio rural malvinense, que identificamos por remisión interdiscursiva y la desambiguación producida por el anclaje lingüístico de un cartel que dice: “Welcome cuin Elizabeth. Comité

8 Un antecedente de esta estrategia es otro cortometraje: *Guariso, los olvidados* (Stagnaro 1995), que integra *Historias breves 1*, una compilación de producciones de los ganadores de la primera edición del concurso de cortos del INCAA (Instituto Nacional de Cine y Artes Audiovisuales), que dio inicio al llamado Nuevo Cine Argentino, nominación propuesta por la crítica especializada para designar la emergencia distintiva de producciones cinematográficas que hacia mediados de la década del noventa se caracterizó, entre otros rasgos, por ser producciones independientes, de realizadores que proponían diferentes miradas en términos temáticos, estéticos y narrativos.

mixto Falklands islands”. Este anclaje establece una clave de lectura del discurso, en relación también al título que lo identifica: En la colonia.

Malvinas es aquí una colonia y sus habitantes, colonizados. Pero, estos habitantes re-niegan de ese estatuto y para ello se apela a una construcción de personajes insertos en acciones que recuperan estereotipos, lugares comunes de la *doxa* argentina para ridiculizar esa identidad y los valores/creencias que la sostienen.

La construcción del decorado, el vestuario y el maquillaje siempre exacerbado, el uso de algunos primeros planos y su montaje marcado por el sonido lo inscribe en la tradición de los relatos populares cómicos (rememora cierto cine silente y ciertos sketch televisivos y sus usos del gag, en el que los recursos audiovisuales están puntuando el efecto risible buscado).

El tiempo de la historia no está claramente precisado, ya que la única referencia que nos permitiría reconstruir la época son los objetos empleados, pero estos remiten a temporalidades diferentes yuxtapuestas, dotando de cierta universalidad a la situación: por caso, el celular y la revista de historietas para niños *Patoruzito*, que reenvían a diferentes décadas pasadas, con lo cual podemos hipotetizar que esas acciones se presentifican por la aparición de restos (objetos/huellas) de diversas épocas que coexisten como en un cambalache.

Otro aspecto a destacar es el relativo a los actores. Dos hombres dan cuerpo a cuatro personajes: dos madres (Olga y Yolanda) y sus respectivos hijos (Georgie y el Mencho). Estos últimos, supuestamente niños pero encarnados en esos cuerpos adultos, vestidos con ropas militares, pero en pantalones cortos, leen revistas ‘prohibidas’ mientras — acatando el mandato materno — están de guardia, sometidos todos a una obsecuente espera por la visita de la reina, en especial las mujeres madres encarnadas por esos cuerpos travestidos. La transgresión durante la espera, la búsqueda de reconocimiento/aceptación, el ejercicio de la violencia en sus diversas formas, el rito de tomar té y las conversaciones que involucra ese acto son los núcleos que estructuran la historia ficcional de estos cuatro personajes, quienes a su vez evocan por su hacer y/o decir a personajes de la historia argentina reciente, reconocibles en tanto tipos sociales. Entre ellos, particularmente, los “chicos de la guerra”, sintagma que identifica popularmente a los muy jóvenes soldados conscriptos enviados a la guerra, quienes contaban con escasa instrucción militar, ya que fueron al frente por estar cumpliendo el servicio militar obligatorio.

Los cuatro personajes, al igual que el cartel con su mezcla de inglés y español, se caracterizan por ostentar su hibridez genérica (hombres que representan mujeres), su hibridez en cuanto a la edad (hombres vestidos como niños), su hibridez de clase (mujeres que remiten a las representaciones de la oligarquía criolla y su gusto por lo europeo, pero en una versión *kitsch*), su hibridez cultural en un sentido amplio (objetos y prácticas considerados de la alta cultura entremezclados con lo popular) y nacional (argentinos que desean ser británicos). Ser y parecer se (con)funden. Este el campo semántico en el que se mueven los personajes en la ficción, evocando por analogía la confusión y el engaño sufrido y/o autosostenido por la sociedad argentina de aquel momento.

En el marco de este relato que se distingue por la construcción de estas figuras abyectas, particularmente las mujeres/madres, que expresan una identidad en clave grotesca, aparece en los parlamentos la siguiente interpelación de Yolanda a Olga: “¿usted sabe dónde está su hijo en estos momentos?”. Más adelante, la misma Yolanda le contesta: “Esto es lo que está haciendo su hijo. Leyendo literatura subversiva!” (se muestra la tapa de la revista *Patoruzito*, una popular y conservadora publicación humorística argentina destinada a un amplio público infantil). ¿Qué relación hay en esta historia de colonizados entre este enunciado recuperado de los discursos oficiales de la propaganda militar y Malvinas?

En primer lugar, el cortometraje retoma aquí la fuerza ilocutoria del enunciado original: el tono amenazante destinado al control de la población joven considerada en riesgo y un riesgo.

Enunciado que circulaba en los setenta y sirvió de interpelación a madres y padres de familia en el discurso propagandístico militar.

En segundo lugar, nuevamente, como en otros casos, la relación entre terrorismo de Estado y la guerra de Malvinas.

En tercer lugar, podríamos conjeturar, que la recuperación de ese enunciado da cuenta del cuestionamiento a la matriz de discursos del poder que organizaban el sentido común por entonces. *Doxa* que fue el fundamento del “algo habrán hecho”, entre tantas construcciones nominalizadas que expresaban posicionamientos ideológicos y que sirvieron para justificar y dotar de aceptabilidad las prácticas de violencia, que son producidas y reproducidas por las instituciones, marcando de este modo el sinsentido de numerosos discursos, incluso en este presente, en los que este ideograma aún perdura dotado de cierta aceptabilidad. La puesta en discurso de este cortometraje se funda en las relaciones con otros textos de la cultura, y particularmente de aquellos enunciados típicos del sentido común de los setenta y de amplia circulación en los medios, remisión intertextual sin la cual este relato pierde su fuerza pragmática. La clave de esta estrategia es la apelación a la parodia que, en términos bajtinianos, es la recuperación de la palabra ajena (incluyendo aquí tanto textos como géneros, estilos o modos de pensar) con un sentido inverso al que originalmente tenía, para señalar a un destinatario cómplice lo complejo y contradictorio de las relaciones centro-periferia, al tematizar la participación, siempre necesaria, del dominado en los procesos de dominación.

5. Anotación final

Algunos filmes argentinos, particularmente en los últimos años, abordan la experiencia de la guerra a través de operaciones que recurren al humor absurdo o la parodia, tensionando así ciertas representaciones que se instituyeron en la posguerra y poniendo en evidencia algunas de las relaciones de poder que permean la construcción de los colectivos nacionales. Esta estrategia se asienta en la distancia que el devenir temporal introduce: emerge un modo de mirar/representar fundado en un pathos reflexivo y crítico, que no puede sustraerse de las políticas de memoria(s) impulsadas por el Estado nacional de entonces.

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SOCIOSEMIÓTICA: INTERDISCIPLINA Y PROYECCIÓN TRANSDISCIPLINAR

María Teresa Dalmasso

Universidad Nacional de Córdoba, Argentina
maritedalmasso@gmail.com

Abstract

Entendemos la producción social del sentido como un complejo tejido, cuyo entramado no se agota en la participación de la práctica discursiva. Esa interacción generalizada asume las formas de la intertextualidad y la interdiscursividad, al mismo tiempo que se manifiesta como intersemiosis, puesto que los préstamos y contaminaciones entre los diversos procesos significantes, desafiando las condiciones materiales propias de cada práctica, vulneran barreras y disuelven fronteras. En ese marco, nos interesa comprender por qué, más allá de la complejidad de esa interacción, se verifican ciertas dominantes de sentido en una época o una sociedad determinada. Tal como se visibiliza en el objeto de estudio foco de nuestra atención: la construcción de identidades colectivas. En ese sentido, una perspectiva sociosemiótica (constitutivamente interdisciplinaria) se revela pertinente, ya que al situar socio-históricamente tales procesos, permiten comprender “su razón de ser”. Estos planteos conducen a interrogarnos sobre las posibilidades de la sociosemiótica de desarrollarse como una suerte de transdisciplina, capaz de dar cuenta de la variedad y complejidad de procesos semióticos en funcionamiento dentro de la sociedad, sin violentar o distorsionar sus características específicas. Y, finalmente, si esta capacidad transdisciplinar atribuible a la sociosemiótica encontraría su posibilidad en el desarrollo de una metodología cimentada en la concepción peirceana de la semiosis.

1. La sociosemiótica: una propuesta inter/transdisciplinar

El discurso que recorría los espacios intelectuales europeos de posguerra hizo posible la emergencia de la sociosemiótica, tal como la conocemos a través de la propuesta de Eliseo Verón (1987). El interés por dar cuenta de la producción de sentido en su dimensión social cobra especial vigor durante el período que se inicia al promediar los años sesenta y va a alcanzar una significativa productividad en las siguientes décadas del siglo XX, durante las cuales se abocará fundamentalmente al estudio de la discursividad pública y en particular al discurso político y al discurso mediático. Esta orientación no es ajena a las preocupaciones ideológicas que dominaban el discurso académico de la época y que toma forma explícita en el proyecto de Althusser (1988) de elaborar una teoría de las ideologías. La influencia del materialismo histórico y la noción de

trabajo, así como la del psicoanálisis y su concepción del trabajo onírico, se vislumbran ya desde la década anterior. De modo que en el dominio de las ciencias sociales y humanas, gran parte de las investigaciones estaban encaminadas a poner en descubierto las ideologías subyacentes a los discursos. Entre los nombres de quienes jugaron un papel relevante en esta etapa — sin pretender agotar la amplia nómina — encontramos los de Barthes (1957), Prieto (1975), Rossi Landi (1973), Kristeva (1973) y Lotman (1973). Ahora bien, todos estos movimientos en los que se operan cruces disciplinarios fueron posibles ya que, como sabemos, a partir del auge del estructuralismo, en el campo de las ciencias sociales y humanas ceden las fronteras disciplinares y proliferan las migraciones conceptuales y metodológicas, producto de una estimulante y fructífera *interacción*, entendida, según los casos, como interdisciplina, transdisciplina o multidisciplina.

Ambos fenómenos, indisociables, constituyen un campo propicio para la emergencia de la sociosemiótica. Dentro de ese marco, donde se abre espacio el interés por comprender los procesos de producción de sentido y en el que la apertura interdisciplinaria, o más bien transdisciplinaria, complejiza el objeto de estudio, Eliseo Verón, munido de un andamiaje intelectual pluridisciplinario, desarrolla la teoría de los discursos sociales, en la que, a fin de abordar el estudio de los procesos de producción social de sentido, pone en juego su formación filosófica y sociológica, reactivada por el entrecruzamiento con saberes provenientes de la lingüística, la teoría de la información y la teoría de la comunicación.

La teoría de los discursos sociales o sociosemiótica, propuesta por Verón y sostenida y enriquecida por intelectuales afines a esta línea de pensamiento (en particular en Argentina), enfoca su atención en la articulación entre producción de sentido y sociedad y se define como constitutivamente inter/transdisciplinaria. Desde sus primeras formulaciones, llevadas a cabo a fines de los sesenta y principios de los setenta del siglo pasado, la propuesta sociosemiótica se ha caracterizado por la centralidad otorgada a la noción de proceso y por la relevancia de la dimensión temporal. En esta concepción dinámica del trabajo social de producción de sentido adquieren un papel relevante los aportes de Peirce y de la teoría de la enunciación. En especial, la primera de estas teorías proporciona a Verón el fundamento necesario para sostener los desarrollos teóricos que, aún antes de haber incorporado plenamente la noción de semiosis elaborada por Peirce, pregonaban la necesidad de focalizar el estudio en los procesos de producción social de sentido.

El papel sustancial para la teoría de los discursos sociales desempeñado por la concepción de la semiosis de Peirce puede resumirse en las palabras del propio Verón: “Peirce fundó la semiótica y, a la vez, definió su problemática teórica fundamental: la de las relaciones entre *la producción de sentido, la construcción de lo real y el funcionamiento de la sociedad*” (1987: 120, cursiva del autor).

Es así que la sociosemiótica se propone indagar los procedimientos mediante los cuales los discursos construyen lo real y, para comprender sus razones (no necesariamente conscientes) se hace indispensable establecer las relaciones existentes entre los distintos conjuntos significantes y los aspectos fundamentales de todo sistema productivo: la producción, la circulación y el consumo o reconocimiento (Verón 1980: 146). De modo que el análisis de los discursos sociales, productos de operaciones mediante las cuales una materia, o más, es investida de sentido (Verón 1974: 24), debe rastrear las huellas de los condicionamientos sociales, políticos, económicos, psicológicos, sin dejar de lado aquellos impuestos por la materialidad misma del soporte, que, en alguna medida, supeditan las operaciones que intervienen para convertirla en materia significativa.

En lo que respecta a noción de discurso — vital para la comprensión de la producción de sentido en su dinamismo — la Teoría de la Enunciación, en particular la perspectiva proporcionada por Culioli (2010), permite abordar la problemática de la enunciación en un sentido

amplio, que no se agota en la esfera de lo lingüístico y conduce a Verón a concluir que los requisitos para dar cuenta de fenómenos heterogéneos mediante un discurso homogéneo deben obedecer a “[...] una doble condición: evitar la ilusión de la unidad de la conciencia subjetiva, que hace desaparecer lo social, y resistirse a la tentación de reificar el sistema, que ignora la complejidad dinámica de la semiosis” (Verón 2013: 119).

En una primera etapa del desarrollo de la perspectiva sociosemiótica, por razones que se desprenden de sus condiciones de emergencia, el acento estuvo puesto en los estudios de la producción. Es precisamente en ese polo donde los semiólogos, al proponerse reconstruir los procesos de producción, se obstinan en escudriñar las trazas del complejo diálogo intertextual, interdiscursivo e intersemiótico que se revela en las estrategias discursivas y que remiten a un contexto que no se agota en lo inmediato.

En un segundo momento, la atención se desplaza hacia el reconocimiento. La noción de contrato, que contempla el vínculo entre enunciador y destinatario, impone su pertinencia y ubica el poder del discurso en el polo del reconocimiento. El poder, o sea los efectos de los discursos son abordados, con sus particularidades, en las dinámicas diacrónica y sincrónica. No obstante, en el caso de Verón (2004: 213-230), el centro de interés se ubica fundamentalmente en la articulación entre producción y reconocimiento.

Estas dos etapas del desarrollo de la sociosemiótica están en estrecha relación con el estudio de los medios masivos, los que, gracias a su capacidad de programar la vida social, cumplieron un papel central en los procesos de producción social de sentido durante el pasado siglo. Esta destacada función social se enlaza con su capacidad de registro, en la que se activan, combinan y complejizan procesos semióticos simbólicos, indiciales e icónicos y cuyo éxito no puede dejar de vincularse con las capacidades y hábitos perceptivos de los seres humanos. Podemos decir, como lo hace Carlón (2016), que en una operatoria semejante se puede apreciar la conjunción de lo maquínico, la naturaleza y lo social.

A fin de entender la actualidad y proyección de la sociosemiótica, dada su constitutiva apertura transdisciplinar, pensamos que puede resultar ilustrativo detenernos en la que podríamos considerar una tercera etapa, y que es la que se inicia con el advenimiento de los nuevos medios. Si bien la productividad manifestada por la sociosemiótica en el campo de los medios masivos es incontestable — tanto en lo relativo a los medios impresos, en los que domina el funcionamiento simbólico, como en lo que refiere a los medios como radio, cine y televisión, en cuya operatoria los órdenes icónico e indicial desempeñan un papel central —, las transformaciones comunicacionales generadas por los innovadores productos del desarrollo tecnológico tensan con fuerza la actitud autorreflexiva y abierta que la orientación sociosemiótica asumió desde sus orígenes y mantuvo a lo largo de su desarrollo, y la llevan a profundizar aún más las especulaciones en torno a las relaciones entre semiosis y técnica, pero también a examinar las conexiones con un conjunto de saberes tales como los proporcionados por las ciencias biológicas y las ciencias cognitivas, entre otros. Estas reflexiones la conducen a integrar esos aportes, a replantearlos, en la medida en que le proporcionan elementos para aprehender los fenómenos de producción de sentido en su máxima complejidad.

2. La sociosemiótica hoy. Los nuevos desafíos

Nos vamos a referir aquí a dos de los nuevos desafíos a los que se ve enfrentada la sociosemiótica y que movilizan el diálogo interdisciplinario. De algún modo, se trata de retos que ponen a prueba lo que Verón calificara como su poder conceptual y su eficacia metodológica. El primero de ellos, que es una consecuencia del advenimiento de los nuevos medios, desencadena una serie de transformaciones en el circuito de producción, circulación y reconocimiento que obliga al estudioso de esos fenómenos a renovar la mirada. Entre los cambios pertinentes desde el punto de vista sociosemiótico, se destaca la nueva relación que se establece entre los actores individuales y los

medios (Verón 2013: 279). Los desarrollos tecnológicos provocan, entre otras innovaciones, una modificación en las condiciones de circulación, como producto de la apertura que habilita a los actores individuales para producir contenidos y decidir las fronteras entre lo privado y lo público.

Una derivación de estos cambios propiciados por la tecnología se observa en el debilitamiento de la posibilidad de programar la vida social, tal como lo habían hecho los medios tradicionales. Se advierte así la incidencia de la tecnología en la organización de las relaciones sociales. Sin embargo, a pesar de la multiplicación de voces propiciada por la Internet, lo que parece ser una anodina deriva de infinitas y caprichosas programaciones no lo es, o por lo menos no lo es totalmente. El productor/consumidor es incapaz de sustraerse a los condicionamientos sociales (intelectuales, ideológicos, de estrato social, etarios, etc.) que modelan sus gustos e intereses y, subrepticamente, orientan el diseño de su itinerario comunicacional, integrándolo a diversos colectivos (Verón 2013: 287). Ninguno de esos discursos, en consecuencia, puede eludir ser leído desde la perspectiva de lo ideológico y del poder. Esto hace que, inspirados en Verón (2013: 282), podamos decir que tales transformaciones en los procesos de circulación han hecho de ella el nuevo campo de batalla en el que se juega la imposición de la palabra y — nos atreveríamos a agregar — el lugar en el que se consolidan ciertos y determinados colectivos.

Otra alteración importante, y no sin vinculación con la precedente, se desprende del empleo de los procedimientos de digitalización, que implican la posibilidad de manipulación icónica y la consecuente desestabilización de la función indicial. Estos procedimientos que desobligan a los discursos mediáticos de la finalidad de registro, vulneran su carácter testimonial y provocan una suerte de perturbación en los procesos cognitivos ante la necesidad de sopesar, en cada contexto, los comportamientos semióticos remitidos a los órdenes simbólico, indicial e icónico. Respecto de este punto, cabría preguntarse sobre la incidencia que esa alteración, generada por fenómenos del orden de lo tecnológico, ejerce sobre la percepción y/o la construcción de nuestros tiempos como la era de la posverdad.

En segundo lugar y como se desprende de lo que hemos expresado con anterioridad, ya desde hace varias décadas y como producto de la reflexión sobre sus límites (Eco 1977) (en alguna medida precipitada por las innovaciones tecnológicas), la semiótica — y en particular la orientación sociosemiótica — ha extendido la interacción a un espectro más amplio de disciplinas y ha puesto en crisis los límites que separaban las ciencias sociales y humanas de las ciencias de la naturaleza.

Aunado a eso, y como se infiere de lo que hemos planteado sucintamente en relación a la emergencia de los nuevos medios, el dinamismo y la apertura demostrados por la sociosemiótica desde sus orígenes impiden que permanezca ajena a los saberes que se ponen en movimiento al ritmo de la generación de modificaciones en las prácticas sociales, o que desatienda a reflexiones de orden filosófico como la que pregona “el fin de la excepción humana” (Schaeffer 2009), desarrollos, ambos, que inducen una renovada labor transdisciplinaria.

En ese sentido, y desde una mirada despojada de antropocentrismo, Verón, en sus últimos trabajos, hace visible su adhesión a la tesis formulada por J.-M. Schaeffer en torno al fin de la excepción humana. Este posicionamiento lo lleva a sostener que “la humanidad no es un tipo sino un proceso en curso, cuyo estatuto ontológico no es otra cosa que su devenir evolutivo”, a lo que agrega: “La semiosis es parte constitutiva, como lo había anticipado Peirce, de la evolución general de la vida tal como se ha producido en este ínfimo fragmento del universo en el que nos encontramos”¹ (Verón 2013: 139).

1 No podemos dejar de relacionar estas reflexiones con los postulados de Jesper Hoffmeyer, referente ineludible de la bio-semiótica, para quien “La biosemiótica no realiza distinciones esencialistas entre la especie humana y el resto de los seres de los reinos animal y vegetal, sólo reconoce que los humanos se diferencian por la capacidad de discriminar entre objetos de la conciencia y objetos del mundo fuera de ellos mismos” (2013: 17-80). Esto que lo lleva a sostener que la biosemiótica no admite que la generación de conocimiento se divida por estatutos o rangos, como el científico y el humanístico.

En este marco y en relación a lo que hemos designado como los dos nuevos desafíos a los que se enfrenta la sociosemiótica, resulta pertinente recuperar otra cita de Schaeffer, en este caso mencionada por Carlón (2016: 148, nota 134), en la que el filósofo se refiere al antropocentrismo y dice: “En su forma más radical, que es filosófica, no sólo se niega a fijar la identidad del hombre a la vida biológica, sino también a la vida social: en su esencia propiamente humana, el hombre sería un ‘yo’ o un ‘sujeto’, radicalmente autónomo y fundador de su propio ser [...]”. Apreciaciones como estas refuerzan la convicción de que la sociosemiótica, retroalimentada en el entorno científico y tecnológico contemporáneo, vigoriza su poder conceptual al considerar la interacción entre los condicionamientos biológicos, tecnológicos y sociales cuando de abordar el análisis de las condiciones de producción, circulación y reconocimiento se trata.

Es en este mismo sentido que Carlón (2016: 148-156), enrolado en ese posicionamiento no antropocéntrico, recrimina a la perspectiva antropocéntrica el rehusarse a reconocer que la naturaleza o las máquinas puedan producir sentido y, por tanto, ignorar que el carácter de medios de registro, atribuido tradicionalmente a los medios masivos, es consecuencia de su condición de máquinas que, de algún modo, reproducen la percepción humana y cuyos productos semióticos revisten el valor indicial. Lo que ellos muestran es algo que está o ha estado allí; que es o ha sido (Barthes 1990). En este sentido, resulta ilustrativa y completa la idea la posición de Noël Carroll², quien incorpora el orden de lo biológico como condición necesaria para la concreción de la semiosis: “El éxito de un medio no depende sólo de su capacidad de interpelar exitosamente vuestros dispositivos cognoscentes sin cuerpo, como sostienen algunas teorías antropocéntricas: somos también seres biológicos, dotados de singulares y específicos dispositivos perceptivos”.

Ahora bien, como ya lo hemos señalado en el comienzo de este trabajo, la sociosemiótica surge de la necesidad de disolver barreras disciplinarias y si bien, en alguna medida, en sus orígenes ha privilegiado la articulación con el campo de las ciencias humanas y sociales, los trabajos de Verón demuestran que los aportes de los saberes tecnológicos y de las ciencias de la naturaleza no se han visto de ningún modo excluidos. Con el arribo de los nuevos medios y la revisión de los que dominaron la escena a lo largo del siglo XX, se volvió indispensable y urgente repensar la vinculación de los procesos de producción social de sentido, tanto con lo tecnológico (o maquínico, en palabras de Carlón) como con la naturaleza.

Consideramos que la sociosemiótica hoy, impelida por las interacciones transdisciplinarias precipitadas por las nuevas prácticas y saberes, transcurre una etapa de profunda reflexión epistemológica en pos de ampliar la capacidad y eficacia hermenéutica de su aparato conceptual y metodológico.

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2 Citado por Carlón (2016:155).

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**FROM THE SESSION
“SEMIÓTICAS DE LAS
MEDIATIZACIONES”**

FORMA DE VIDA Y DIGNIDAD EN EL DISCURSO JURÍDICO EN COLOMBIA

José Horacio Rosales Cueva

Universidad Industrial de Santander, Colombia
jrosales@uis.edu.co

Orlando Pardo Martínez

Universidad Industrial de Santander, Colombia
opardo@uis.edu.co

Abstract

Este artículo presenta los resultados de una investigación que busca comprender y describir cómo la forma de vida, específicamente colombiana, soportada en el principio de la dignidad, se condensa en un texto-enunciado que contiene los parámetros de la acción y establece las soluciones cuando sucedan desajustes entre lo prescrito y el quehacer de los actores sociales. La investigación recurre al modelo de la jerarquía de niveles de las prácticas semióticas según el modo de expresión de estas, propuesto por Jacques Fontanille, y demuestra el proceso por el cual el desajuste entre el texto-enunciado y las escenas prácticas requiere de otra escena práctica (llamada interpretante) para el redireccionamiento de la acción, lo que está previsto como estrategia jurídica del universo cultural colombiano y, en consecuencia, de muchos Estados sociales de derecho. Para el caso, se hizo un seguimiento analítico de la figura de la *dignidad* en la Carta Política y en 152 fallos producidos por la Corte Constitucional y por jueces de tutela, entre los años 1992 y 2016.

Del estudio, resulta que el *hacer creer* de las sentencias de los jueces y de la corte se basa estratégicamente en una relación fiduciaria entre los actantes de la escena interpretativa y de la escena práctica, donde se debe dar el ajuste entre las acciones y el principio de dignidad que rige la identidad de los actores sociales y la guía axiológica de las acciones. Finalmente, se planea la hipótesis según la cual, en las dinámicas de la sociedad contemporánea, y en términos de las relaciones entre los espacios culturales de la semiosfera descrita por Lotman, algunas culturas parecen más determinadas por unos textos, prácticas inconstitucionales y militancias anti-axiológicas poderosas que contrarrestan el alcance de las coordinadas formales y jurídicas que pasarían a ser textos de la periferia cultural.

1. La dignidad en la interpretación de la Carta Política colombiana

El ordenamiento jurídico-político de la República de Colombia se rige por la Constitución de 1991, fundada en el respeto de la dignidad humana. Esta aparece formalmente enunciada, en los artículos primero y quinto, como el más inherente de los derechos inalienables de la persona. En el artículo 12 establece la primacía de la dignidad de la persona como el parámetro de la interpretación que se haga de la misma Carta Política y que el Estado propenderá por el respeto a la calidad de ser humano. Esta condición jurídica sería inviolable y, según el artículo 70, cubre a particulares y a colectivos y se extiende al reconocimiento de las diversas culturas del país. Sin embargo, suceden actuaciones en contravía de este mandato y, ante esto, el orden constitucional tiene instituido un procedimiento canónico para restablecerse, lo que se puede comprender como una relación de determinación entre el texto-enunciado, los comportamientos de los actores sociales en el devenir de la vida cotidiana y el ethos de la cultura.

La investigación de la que resulta este artículo parte del problema de cómo la forma de vida colombiana, soportada en principios de obligatorio cumplimiento, como la dignidad, se condensa en un texto-enunciado que contiene los parámetros de la acción y establece las soluciones cuando sucedan desajustes entre lo prescrito y el quehacer de los actores sociales. La investigación aborda el análisis de este asunto como una práctica cultural y, por esto, recurre al modelo de la jerarquía de prácticas semióticas propuesto por Jacques Fontanille (2014). El proceso analítico tiene como objetivo esquematizar el proceso por el cual el desajuste entre el texto-enunciado y las escenas prácticas requiere de otra escena práctica (llamada interpretante) para el redireccionamiento de la acción, lo que está previsto como estrategia jurídica del universo cultural colombiano y, en consecuencia, de muchos Estados sociales de derecho. En otros términos, el análisis semiótico de la interpretación de la dignidad en el universo jurídico colombiano contribuye a precisar los procedimientos semióticos por los cuales las culturas resuelven conflictos de convivencia humana a través de una escena interpretativa que afecta los textos normativos y las estrategias de los actores en la praxis cultural.

Para el caso, se hizo un seguimiento analítico de la figura de la dignidad en la Carta Política y en 152 fallos producidos por la Corte Constitucional y por jueces de tutela, entre los años 1992 y 2016. Las sentencias analizadas sucedieron cuando la Corte debió *i)* resolver necesidades interpretativas del contenido de la constitución y *ii)* decidir ante demandas interpuestas por personas naturales o jurídicas por vulneración de derechos. Los desajustes entre el texto-enunciado y la acción son resueltos por el juez de tutela y la Corte Constitucional a partir de la competencia que se les reconoce como actantes intérpretes que, además, realizan una labor persuasiva (o directiva, en términos de actos de habla) para ratificar las axiologías de la forma de vida contenidas en el texto-enunciado normativo. Debe precisarse que la tutela, en Colombia, es una acción preferente y rápida a la que toda persona puede recurrir, en todo momento y lugar, para instar a los jueces a la protección inmediata de derechos constitucionales fundamentales vulnerados o amenazados. Así, el juez de tutela actúa como un intérprete de la carta, pues verifica el cumplimiento de los mandatos constitucionales de protección y primacía de los derechos inalienables de la persona.

2. El proceso de análisis

El modelo de las prácticas semióticas jerarquiza niveles de pertinencia de análisis, según el modo de expresión de los objetos significantes, lo que puede sintetizarse como un proceso ascendente de integración del objeto semiótico de un nivel n a un nivel superior $n+1$, de modo que, en el nivel englobante y más complejo, la semiótica-objeto adquiere una nueva caracterización y exhibe elementos constituyentes que son más pertinentes en el nuevo nivel de estudio. En estas

relaciones de generación y de integración ascendente y descendente se comprende mejor la determinación recíproca y de dependencia de los objetos semióticos que poseen una constitución interna más o menos estable, como los textos enunciados, y el modo en que ellos participan en intercambios intersubjetivos o en dinámicas más intensas, como las escenas prácticas, donde los agentes que movilizan los objetos semióticos son los actores que los usan, adaptan, transforman, etc. según estrategias culturales recurrentes para resolver los problemas cotidianos de sentido. La estructura morfológica o material en que los objetos se manifiestan para entrar en las relaciones intersubjetivas sería la interfaz entre *i*) los niveles inferiores y más o menos estables de las prácticas semióticas y *ii*) los niveles superiores y más dinámicos donde los actores sociales y sus creencias tienen un papel determinante. Cada uno de los seis niveles del modelo propuesto por Fontanille (que, en orden de integración ascendente, son el de las figuras, los textos, los objetos materiales, las escenas prácticas, las estrategias y la forma de vida) se condensa y expande internamente en los niveles inferiores, de modo que cada nivel inferior concentra y depura el nivel inferior para simbolizarlo (Fontanille 2014: 87).

Si se considera que las prácticas semióticas se organizan en estos planos de expresión, se tendría que la Carta Política es un texto constituido por elementos figurativos y que, en términos de la investigación de las prácticas semióticas, condensa una serie de prescripciones para la convivencia en un orden social y hace hacer a los sujetos en las escenas de interacción social, donde la manipulación y la programación de la acción debe corresponder al acuerdo social condensado en el texto del mandato jurídico-político apropiado por cada sujeto. Pero en la compleja praxis relacionada con este texto constitucional, la acción de los actores puede resquebrajar el sistema axiológico que fundamenta la forma de vida del universo cultural, basada en valores como la solidaridad y en el concepto de derechos fundamentales propio del Estado moderno.

Dado que el hacer de los sujetos está determinado por la competencia cognitiva, afectiva y social de estos, la Carta Política establece las soluciones, en el aparato jurídico que fundamenta, frente a posibles desajustes de los actores sociales ante lo ordenado jurídica y políticamente. Los desajustes y acomodaciones cognitivos, activos y sociales pueden manifestarse en las escenas prácticas y en cualquier otro nivel en que tenga lugar el conflicto intersubjetivo o sobre bienes materiales. La memoria de la acción desajustada de la norma y la solución constitucional quedan simbolizadas luego, por condensación, en un objeto semiótico de un nivel inferior (como la parte resolutoria de una sentencia que conmina a una acción determinada) o en uno superior al que el objeto (sentencia) se integra y en el cual se despliega con una reprogramación del hacer que tiene necesarios efectos pragmáticos. Pero esta vía de solución estratégica debe contar con escenarios precisos en que sea posible la interpretación autorizada y competente por parte de un actante intérprete, con fuerza ilocutiva otorgada por el contenido del enunciado normativo de base que instaura, precisamente, la competencia para dirimir el conflicto. Esto es, en términos estratégicos, el modo con el que la comunidad y el orden constitucional prevén un cuerpo colegiado competente, la Corte Constitucional, o al juez de tutela, como recursos para la solución de los conflictos de naturaleza constitucional en las escenas prácticas.

3. Resultados del análisis

3.1. La dignidad en el texto-enunciado como determinante de interpretación

El texto-enunciado constitucional se rige por principios y valores, entre los cuales están la solidaridad (Pardo y Rosales 2014) que hace parte de la gramática de la cultura, pero esta se tensa con acciones reales que la contravienen y que parecieran desplazar al texto a la periferia cultural. Con respecto de la dignidad, la carta expresa que es un valor que sirve de referencia

para el Estado social y la democracia constitucional, lo que es ratificado por el Juez Constitucional cuando emite sentencias interpretativas y correctivas de la acción en las escenas prácticas.

Al analizar el texto-enunciado y las sentencias de los jueces constitucionales, se encuentra una diferencia entre la dignidad como valor y la dignidad como principio constitucional. En la Constitución Política, en las sentencias de control constitucional (de la Corte Constitucional) y de amparo de derechos (de jueces de tutela), la dignidad se manifiesta en diferentes categorías del derecho figuradas como vida, solidaridad, intimidad, salud, trabajo, minorías, derecho de las víctimas, condiciones de reclusión, reducción de la prostitución, intimidad, autonomía y sexualidad, discapacidad, libre desarrollo de la personalidad, seguridad social. Como principio, cuenta con un componente imperativo más preciso que en la concepción como valor porque *i*) aglutina varios valores constitucionales, como solidaridad, vida, igualdad, seguridad, libertad, y tiene los ámbitos propios para la protección de la autonomía individual, las condiciones materiales de existencia e integridad física y moral; *ii*) y, al ser un principio general, opera como la guía de la interpretación cuando las normas y reglas no son solución a los problemas jurídicos.

La dignidad humana es así una delimitación específica del ordenamiento y no es una finalidad abierta a la interpretación. En el orden constitucional se establece que la competencia de la Corte y del Juez Constitucional está configurada por la práctica imperiosa e inmediata de este principio que inicia el ordenamiento jurídico colombiano (T-406 de 1992) y que inspira las actuaciones estatales. Esto se sostiene sobre la neta prevalencia de la categoría del ser sobre la del tener o del haber, dentro de un hondo y genuino humanismo que debe presidir los actos de los administradores de justicia en todos los niveles del sistema jurídico (T-414 de 1992). En la sentencia T-488, la Corte estimó que esto debe entenderse como un principio de acción, según el cual todas las autoridades del Estado deben realizar todas las conductas relacionadas con sus funciones constitucionales y legales para lograr las condiciones autonomía individual y las condiciones materiales de existencia e integridad física y moral de las personas.

La Corte ha estimado que el derecho a la dignidad humana supone *i*) la prohibición de intervenir el Estado en aspectos propios de la intimidad del ser humano y del libre desarrollo de la personalidad y *ii*) la adopción, por el Estado, de todas las medidas posibles para que la libertad pueda ejercerse de manera real y efectiva, sin restricciones injustificadas. La sentencia T-488 de 2007 distinguió la dignidad humana como autonomía para vivir como se quiere, como la necesidad de satisfacer ciertas condiciones materiales de existencia (o el vivir bien) y como exigencia orientada a preservar la integridad física y moral de las personas (o el vivir libre de humillaciones). Con estas soluciones de los fallos, guiadas por principios constitucionales, se observa que la competencia y actuación la Corte y del juez tienen efectos en el mismo texto que interpretan desde otros niveles de las prácticas semióticas, como en las escenas prácticas donde actúan como intérpretes, con un hacer persuasivo, y en el nivel de las estrategias, donde se integran a la solución prevista por la organicidad del sistema para la solución de los conflictos jurídicos.

3.2. Escena práctica de actuación inconstitucional y escena interpretativa

La Carta Política obliga así a la Corte Constitucional a resolver problemas de interpretación de ella misma y a arbitrar en caso de vulneraciones de la dignidad. Esta, en el horizonte filo-político, no se limita al análisis inmanente del contenido del texto mediador de los valores, sino que se expande a la relación de este con las escenas en que se practica el concepto y con las estrategias que permean las relaciones intersubjetivas aglutinadas por un principio más englobante. En torno a la defensa de la dignidad humana, más allá de una categoría proclamada lingüísticamente y como correlato de la forma de vida, la Corte Constitucional ha afirmado que la garantía constitucional no es una facultad de la persona para adquirir su dignidad, ni para que el Estado

se la otorgue o conceda, porque “la dignidad es un atributo esencial de la persona humana” y equivale a que en el desarrollo de la acción se dé a todos un trato que respete plenamente la condición de ser humano (C-636 de 2009).

Pero son muchos los caminos para atentarse contra la dignidad con tratamientos inhumanos, como la tortura mental, el sometimiento de alguien a la privación del sueño, de la higiene, etc., y esto señala que la dignidad corresponde a las necesidades biológicas, psicológicas y sociales del ser humano (Fabre-Magnan 2007). Ya Arendt ha expresado que la vulneración de la dignidad consiste en matar en el hombre toda autonomía de la voluntad y que el camino a la dominación total consiste en matar en el hombre a la persona jurídica (2002: 975). Supiot expresa que “el papel del derecho frente a la dignidad consiste en otorgar la infinitud de nuestro universo mental a la finitud de nuestra experiencia física y es en esto que estriba una función antropológica de institución de la razón” (2005: 10), concepto que para Fabre-Magnan ve cumplido en el principio de dignidad.

La actividad del Juez Constitucional se encamina a hacer valer el respeto por este derecho cuando los actores sociales estén determinados por ciertas incompetencias que atentan contra ellos mismos y que conducen, además, a la construcción de una escena práctica para que tenga lugar la acción interpretativa del juez o de la Corte para superar los desajustes prácticos. Los fundamentos de las sentencias analizadas demuestran la dimensión cognitiva, actancial y afectiva de quien actúa fuera del marco constitucional y las diferentes categorías de causas de este hacer permitirían discriminar la incompetencia *a*) por *ignorancia* del mandato o de la norma; *b*) por *miedo* a la respuesta del semejante (como en el caso del temor a que una persona auxiliada sea realmente una amenaza que simula vulnerabilidad en una estrategia tramposa); *c*) por *ausencia de empatía* y de buena voluntad del sujeto hacia un particular; *d*) por *falta de medios*, lo que hace materialmente imposible que el sujeto pueda hacer y *e*) por *cinismo* o el no-creer en el sistema axiológico, lo que conduce, incluso, a la omisión, como la legislativa (González 2017), y causa la ruptura de los otros determinantes modales para actuar, dado que se desconfía del propio saber, no se justifica el deber y se paraliza el poder (Rosales y Pardo 2014).

A partir de Greimas, Fontanille recupera la distancia entre el hacer interpretativo, o acto cognitivo que, en un texto, se contrapone al hacer persuasivo. Este consiste en reconstruir el sentido de las proposiciones que surgen sobre el fondo de una transformación y una manipulación fiduciarias y que se pueden reconocer como un hacer-creer o un creer (Fontanille 2014: 111). Para el caso aquí tratado, el hacer-creer de la sentencia se basa en una relación fiduciaria entre los actantes de la escena interpretativa y de la escena práctica donde se debe dar el ajuste, a derecho, entre las acciones y el principio de dignidad que rige la identidad de los actores sociales y la guía axiológica de las acciones. Aunque se dan los dos en la escena que soluciona el conflicto, el hacer persuasivo y el hacer interpretativo no son actos simétricos porque no reposan sobre la misma disposición fiduciaria, dado que el hacer interpretativo se basa en la labor cognitiva sobre un texto y:

el hacer persuasivo produce enunciados (o cualquier otra forma semiótica) y de creencias, destinados a desencadenar en el enunciatario otras prácticas, comenzando por la práctica interpretativa, pero también la decisión, la acción, la reacción, la evaluación, la veridicción del discurso (Fontanille 2014: 111).

La práctica que se afecta por el texto persuasivo está en un modo de existencia virtual y solo se actualiza o realiza cuando “la diferencia entre semióticas-objetos (texto y práctica subsiguiente) queda suspendida” (Fontanille 2014: 111) por la acción de los interpretes del enunciado persuasivo, resultante del acto interpretativo, que impone el creer y determina el hacer consecuente en unas condiciones precisas.

Al esquematizar la escena práctica como juego de interpretaciones del texto y la producción de otros textos que condensan y obran como interpretaciones del primero, se tiene:

- **Fase 1.** La Carta Política es un *texto enunciado 1* cuya naturaleza concierne a un hacer persuasivo que produce enunciados y creencias destinados a desencadenar en el enunciatario prácticas que determinan, por manipulación, la *escena práctica 1*, donde el sujeto políticamente constituido debe tomar decisiones, actuar, reaccionar, evaluar, verificar el discurso (Fontanille 2014: 111) acorde al principio de la dignidad del *texto enunciado 1*.
- **Fase 2.** La *escena práctica 1* es una semiótica-objeto por su constitución expresiva, de contenido y compleja organización actancial en la que se integran elementos figurativos, textuales y objetos materiales portadores de contenidos. El desajuste en la performance del actor en esta escena se debe a cualquiera de las incompetencias ya mencionadas y en contravía de la forma de vida y del *texto enunciado 1*, quienes han anticipado estrategias para hacer prevalecer los principios fundantes de la organización social. La estrategia prevista para la solución del conflicto es la intervención de un judicador (la Corte o el Juez Constitucional) que obra como actante interpretante de los desajustes entre la *escena práctica 1* y el *texto enunciado 1*. El juez tiene competencia para realizar la defensa de los postulados de la carta y a él se le ha encargado de velar por el respeto de la dignidad humana en los ámbitos de la cotidianidad.
- **Fase 3.** La Corte, el juez de tutela o el actante interpretante (Fontanille 2014: 113) analiza el conjunto de *textos-enunciados* mediados materialmente para determinar el desajuste entre la norma y la acción que atenta contra la dignidad (o cualquier otro derecho vulnerado) y que ha sucedido en la *escena práctica 1*. El intérprete procede por evaluación y a él se le reconoce, sobre el fondo de la cultura y del ordenamiento jurídico, una competencia y un ethos para responder por el acto interpretativo y para que este afecte la *escena práctica 1*. El acto interpretativo se expresa con la sentencia o un *texto-enunciado* que expresa la identidad modal de quien lo profiere.
- **Fase 4.** El *acto interpretativo*, que se basa en procesos argumentativos, desemboca en una resolución persuasiva que redirecciona la acción de los actores de la *escena práctica* para que, sobre un hacer interpretativo de la sentencia, obren de modo que la escena sea ajustada a los principios constitucionales o *escena práctica 2*. Para esto, el enunciatario del enunciado interpretativo debe ser un actor o un actante de ambas escenas prácticas. De esta suerte, la *escena práctica 2* deberá coincidir, en el desarrollo de la acción, con las expectativas del *texto enunciado 1* y el enunciado interpretativo que es, en suma, un *texto-enunciado*, debidamente protocolizado, que media el acto interpretativo y preserva la *forma de vida* condensada en un proceso de simbolización textual con efectos en la acción.

Todo este proceso responde a una táctica interpretativa y a la fuerza persuasiva del enunciado interpretativo que debe materializarse en las acciones consecuentes de la sentencia. Esta, sobre la base de los argumentos, debe reivindicar el principio de la dignidad y debe producir efectos en el ethos del enunciatario; este ethos “no puede reducirse a una competencia y que consiste en una configuración compleja, que comprende isotopías figurativas y temáticas, posiciones axiológicas y “simulacros” modales y pasionales” (Fontanille 2014: 121).

3.3. Las estrategias y forma de vida

La estrategia consiste en que “en una interacción, al menos dos prácticas deben ser coordinadas, ajustadas o confrontadas” (Fontanille 2014: 89). Para Fontanille, vista desde el interior de una sola práctica argumentativa, la interacción entre el enunciador y el enunciatario aparecerá como una confrontación entre “simulacros”, pero ya en el caso de la sentencia, en la perspectiva de las estrategias, cada participante virtual o real de la escena práctica “estará comprometido con su propia práctica y las interacciones operarán como “reales” y no simuladas” (Fontanille 2014: 123).

Lo descrito hasta aquí hace parte de una estrategia englobante, prevista en el orden constitucional para modificar la competencia y performance sujeto para que se ajuste a los prin-

cipios y valores con que la carta busca organizar el universo de convivencia. De este modo, el texto enunciado y las sentencias que resultan del acto interpretativo prevén la acción futura, lo que subraya el carácter persuasivo del género deliberativo y jurídico que tratan del porvenir de las prácticas (Fontanille 2014: 127). El enunciado interpretativo nace de un discurso forense que analiza acontecimientos pasados o los antecedentes (Fontanille 2014: 111) y en los que se verifica el desajuste entre la acción y la prescripción de esta. El resultado de este quehacer discursivo conduce a la producción de un texto jurídico resolutorio de las diversas heterogeneidades que pueden incluirse en la misma categoría de acciones producidas por incompetencias de los actores de la escena práctica o de las omisiones legislativas. Nuevamente, las sentencias se comportan como un género deliberativo que resuelve la discusión con un mandato o enunciado persuasivo.

En las sentencias, el enunciador preserva una distancia enunciativa, y se vale de un juego polifónico de menciones y alusiones de base (Fontanille 2014: 88), para que la Corte o quien ocupe el rol judicador se asuma como una voz desembragada que, aunque directamente parece no comprometer el ethos de los miembros de la Corte misma, se entiende que sí lo hace porque estos, como se ha expuesto, están determinados e inspirados por los principios y valores sobre los cuales deben elaborar todo acto interpretativo. El texto constitucional es, de este modo, un dispositivo condensador de la fuerza del Estado que cuida a todos por igual en nombre del soberano constituido por la totalidad de la comunidad que decidió, sobre este procedimiento estratégico de persistencia democrática y basada en los derechos humanos (forma de vida), que todos sean sujetos al mismo efecto persuasivo de la lógica del texto-enunciado. Esta dinámica expresa cómo el principio de dignidad y el orden constitucional operan, condensados en los textos, como los parámetros (o el parangón) del despliegue de una praxis coercitiva frente a las incompetencias de los sujetos.

4. Conclusiones

El esquema de resolución de la falta o carencia de sentido en el seno de una semiótica objeto, o de una práctica semiótica, propuesto por Fontanille (2014: 152), se expresa así: [*falta de sentido* → *esquematisación* → *regulación* → *acomodación*]. Esta es una construcción heurística que describiría el fenómeno en cualquier nivel del modelo de análisis o en diferentes procesos de integración. Un esquema de la misma naturaleza, que relaciona actos, operadores, objetivos y el horizonte estratégico (Fontanille 2014: 239), relacionado con procesos de resolución de conflictos a través de un quehacer interpretativo con fuerza persuasiva y correspondiente a un texto de la gramática cultural (Lotman 1996), como lo sería el ordenamiento jurídico-constitucional, sería, explícitamente el siguiente el esquema de Fontanille, así:

[*ruptura del sentido* → *evaluación forense* → *regulación* → *acomodación*]¹.

Como las muestras analizadas en esa investigación se relacionan con el modo en que se configura la dignidad, lo interesante del análisis de este fenómeno y de los fallos jurídicos que produce la Corte y el Juez Constitucional es que permite caracterizar mejor el sentido de la dignidad en la cultura colombiana y la afectación por las incompetencias recurrentes de los actores sociales que, en la escena práctica, se separan del mandato expresado en el texto normativo. No obstante, por causa de esta visibilidad del fenómeno y de las operaciones semióticas implicadas, no debe entenderse a la dignidad humana como el derecho que otorga el ordenamiento jurídico,

¹ En una expresión más detallada, sería: [*ruptura del sentido del texto por acción del sujeto incompetente* → *evaluación forense de la escena práctica de la ruptura* → *regulación de la acción por acto interpretativo y persuasivo de autoridad* → *acomodación de la práctica para la reivindicación del vulnerado y ratificación del sistema axiológico*].

sino como un reconocimiento del respeto de la calidad de ser humano, característica que no nace con el Estado de derecho, sino que es anterior como presupuesto filosófico-político de la modernidad, siendo el Estado el medio para garantizarla y desarrollarla.

De este modo, la escena interpretativa, las estrategias establecidas en el ordenamiento jurídico y la acomodación de la realidad por efecto de las sentencias estarían condicionadas siempre por este principio que se reconoce como esencial en el ethos de la cultura colombiana. Pero queda pendiente por detallar, con más precisión, la hipótesis según la cual, en el seno de la vida cotidiana, se manifiestan situaciones en las que la dignidad es vulnerada, incluso ultrajada, lo que haría suponer que el orden constitucional sería un constituyente de una forma de vida compleja. Dicho orden busca persistir en un entramado axiológico y contradictorio, donde se imponen otros valores movidos por dispositivos pasionales y creencias para el ejercicio vertical del poder y el control asimétrico del acceso a los derechos.

En otros términos, valer preguntarse si la forma de vida de algunas culturas de hoy, con una honda huella de la reificación del hombre, y en términos de la dinámica con que Lotman caracteriza los espacios culturales de la semiosfera, están más dinamizadas por unos textos, prácticas inconstitucionales y militancias antiaxiológicas, muy poderosas, que contrarrestan el alcance de las coordinadas formales y jurídicas de la acción y de la convivencia en el orden de los Estados sociales de derecho. Las gramáticas de estos modos de convivencia regidas por la modernidad serían, en consecuencia, textos de la periferia de los espacios culturales.

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LA SENSORIALIDAD FRENTE A LOS AROMAS FLORALES Y LA REPRESENTACIÓN DE LA MUERTE EN LA CULTURA URBANA DE BUCARAMANGA, COLOMBIA

José Horacio Rosales Cueva

Universidad Industrial de Santander, Colombia
jrosales@uis.edu.co

Leonardo Uribe Gómez

Universidad Industrial de Santander, Colombia
leonurgo@gmail.com

Abstract

Este artículo expone los resultados de una investigación, desde la semiótica de la cultura, que se interroga por la relación que, en el ámbito de la ciudad de Bucaramanga, Colombia, se establece entre la sensorialidad olfativa de las fragancias y algunos contenidos axiológicos que operarían como determinante social en la relación de aceptación (euforia) o disfórica (rechazo) de la emanación floral. El objetivo es comprender cómo la experiencia del olor en la escena práctica es expresada por el texto-enunciado que opera como condensador de las decisiones estratégicas en las prácticas de construcción intersubjetiva de sentido.

El constructo axiológico que resulta arrojaría elementos para comprender el ethos del universo cultural frente a la experiencia odorífica de objetos naturales en diversas prácticas culturales, especialmente en las iniciativas de comercialización de nuevos productos. La muestra estudiada está constituida por 72 textos escritos por los informantes en escenarios de formación académica de estudiantes de pregrado y posgrados de Colombia. El modelo de análisis seguido para la consideración de la muestra es el propuesto por la semiótica como jerarquía de los niveles de pertinencia de las prácticas semióticas según el nivel de expresión. Este procedimiento da razón heurística, como se evidencia en este trabajo, de cómo los objetos semióticos, según su complejidad, se insertan o son constituyentes de otro nivel de análisis o de pertinencia en la organización dinámica de las prácticas semióticas y de las dinámicas de los espacios culturales.

1. El problema del olor de las flores en Bucaramanga

En el marco de una semiótica de la cultura, se desarrolló la investigación que se pregunta por la relación que, en el ámbito de la ciudad de Bucaramanga, Colombia, se establece entre la sensorialidad olfativa de las fragancias y algunos contenidos axiológicos que operarían como determinante categorial en la relación de aceptación (euforia) o disfórica (rechazo) de la emanación floral. El sistema olfativo y el poder de asociación sensorial del olor están conectados con la parte más instintiva y menos racional del cerebro humano (Prieto 2012) y, en el orden de la conservación de la vida, el cuerpo se retrae ante los olores que lo agreden y se acomoda receptivamente a los olores que se valoran como convenientes para subsistir. De esto resulta que se producen, en el recuerdo de cada persona, improntas de olores específicos que adquieren sentido bajo la influencia del entorno sociocultural. La manera en que la cultura vive o persiste (Fontanille 2015) dictamina cómo debe ser categorizado cada olor y esto deja en la memoria los modelos cognitivos que relacionan la emanación odorífica, la sensorialidad y el sentido personal y social de la experiencia.

En otros términos, la aceptación o rechazo de la penetración física, afectiva y simbólica del cuerpo por parte de la emanación odorífica aparece como un acontecimiento diferenciado (Groupe μ 2015: 70) que se dota de significado. Para el Groupe μ , construir una categoría es identificar, por razones prácticas, una o varias analogías entre objetos percibidos como diferentes y, para hacer semejantes o exagerar las diferencias entre las cosas, ellas se comparan en una sintaxis (2015: 178) que es la base del sentido o el modo de organizar la experiencia en el tiempo y el espacio. Sin esta labor de diferenciar y de compartir intersubjetivamente las categorías, el mundo se volvería indistinto y desaparecería la posibilidad de sentido. La estabilidad personal e intersubjetiva de las categorías depende de la cultura que “se define como un conjunto coherente de productos de estabilización intersubjetiva” (Groupe μ 2015: 195). La manera en que el entorno sociocultural vive o persiste influye en cómo debe ser categorizado cada olor y este se integra a prácticas semióticas en las que se construyen relatos, convenciones sociales y, en general, objetos significantes que hacen parte y representan cómo se toman decisiones en el mundo.

En este orden de ideas, la investigación se interroga por los valores que un grupo de informantes del departamento de Santander, específicamente en la ciudad de Bucaramanga, relacionan con los olores de las flores y cómo esta experiencia puede ser una manifestación, en términos de la comprensión de prácticas culturales, de un sistema de tensiones axiológicas en la forma de vida. Este interés se relaciona con las iniciativas de apertura de nuevos horizontes de producción y desarrollo económico del campo en la Colombia de hoy, llamada del postconflicto armado, específicamente en la región santandereana, donde es doble el aprovechamiento económico de flores (no solo con fines ornamentales) y de plantas medicinales y aromáticas. El objetivo, en términos semióticos, es comprender cómo la experiencia del olor en la escena práctica es expresada por el texto-enunciado y se integra a un constructo axiológico esquematizable, lo que arrojaría elementos para comprender el *ethos* del universo cultural frente a la experiencia odorífica de objetos naturales empleados en diversas prácticas culturales y en esta iniciativa de comercialización de nuevos productos.

Colombia cuenta con una floricultura favorecida por condiciones agroecológicas del país y su producción de flores ornamentales representa el 16% del mercado mundial, lo que hace que el país latinoamericano ocupe el segundo lugar de la producción floral del mundo, después de Holanda, que cuenta con el 56% del producido (Castro 2015). En la región de Santander, el Centro de Investigaciones de Excelencia, CENIVAM, y el Centro de Investigación en Biomoléculas, CIBIMOL, ambos de la Universidad Industrial de Santander, investigan sobre la composición química y los compuestos bioactivos de hierbas y flores nacionales que, como fuentes de compues-

tos volátiles, abriría el aprovechamiento del recurso renovable en nuevos productos y mercados, específicamente para favorecer a las familias campesinas. Por ejemplo, estudios recientes de flores tropicales, como gloria de la mañana (*Ipomoea horsfalliae*, familia *Convolvulaceae*) y la flor del cielo (*Thunbergia grandiflora*, familia *Acanthaceae*), han permitido conocer la composición química y evaluar de la actividad terapéutica y antioxidante de extractos polifuncionales, pero también las posibilidades de comercialización en la región santandereana y el país.

Otros trabajos importantes de investigación científica de la región santandereana son los relacionados con el cultivo de plantas aromáticas y medicinales tropicales y la obtención de productos, al menos primarios (como aceites esenciales y extractos volátiles) por parte del mismo cultivador. Con la participación de pequeñas y medianas industrias y las asociaciones de cultivadores en proyectos de producción diversa y armónica con la naturaleza, se impulsan nuevos productos para el área de alimentos, de las terapias médicas alternativas, de los cuidados del cuerpo (con antisépticos como enjuagues bucales, geles antisépticos, jabones, perfumes, aceites para masajes) y del entorno (con insecticidas de baja toxicidad, ambientadores, abonos, etc.).

La respectiva obtención y comercialización implica la apertura de escenarios de productividad, pero esto tropieza con la resistencia del consumidor de la región, específicamente el de la ciudad, que opta por las marcas de dominantes. Esto hace que la dinámica económica para el consumo de los productos de la región entre en tensión con otras lógicas de las grandes industrias y empresas. Encontrar las axiologías que fundamentan la significación social de los olores ayudaría a comprender la perspectiva sociocultural sobre la toma de decisiones en el uso de las fragancias, franja del desarrollo económico regional con bajo impacto ambiental.

2. Metodología

Para la semiótica, que se ocupa de analizar los fundamentos de la construcción del sentido en prácticas culturales (Fontanille 2014), el cuerpo vivo es un complejo donde suceden fenómenos sensoriales y perceptivos que dan base a la explicación de los procesos significantes complejos. Estos tienen cierta autonomía con respecto del cuerpo que los produce y son modos de expresar la manera en que la comunidad cultural organiza los valores y en sentido común para resolver problemas de la vida cotidiana, incluso, para la construcción de los asideros que permiten reconocer a la cultura como una persona supraindividual, en los términos de Lotman (1996).

Con este criterio de convergencia cultural de las percepciones particulares, se obtuvo una muestra, constituida por 72 textos escritos por los informantes en escenarios de formación académica de estudiantes de pregrado y posgrados en el área de educación de tres ciudades del departamento de Santander, a saber, del área metropolitana de Bucaramanga (capital del departamento, con una población de 1.350.000 habitantes), Socorro (31.000 habitantes) y Barrancabermeja (200.000 habitantes). Estas dos últimas poblaciones son capitales de dos de las siete provincias que componen al departamento y son lugares de concentración de procesos administrativos de zonas rurales. Los escritos fueron producidos durante procesos de formación académica en los que se reflexionaba, entre otros asuntos, en elementos de la identidad cultural de la región que sirvieran como objetos aprendizaje de lengua. Los educadores que produjeron los textos se consideran competentes por la experiencia de vida en el departamento y, además, porque el 70% de ellos ya realiza actividades de mediación del aprendizaje de otros; es decir, obran como mediadores, ante otras personas, de la cultura y de los valores de esta.

Los informantes inicialmente serían solo de Bucaramanga, dado el interés de este estudio, pero en la medida en que se analizaban los escritos elaborados por ellos, se evidenciaba la necesidad de comparar los contenidos de los textos con otros producidos en la provincia o el es-

pacio rural, razón por la cual se convocó a los otros informantes a la escritura libre y sin mayores condiciones sobre el asunto de experiencias con el olor floral. Así, los informantes son 44 de Bucaramanga (con edades entre los 18 y 25 años), de los cuales 32 son mujeres y 12 hombres. Del área de provincia se tienen 28 informantes, con edades entre 25 y 42 años, de los cuales 21 son mujeres y 7 son hombres. Hay tres elementos diferenciales entre los dos grupos: *a*) el grupo de la provincia es de mayor edad y todos los informantes tienen título universitario para el ejercicio de la docencia, mientras que los informantes de la ciudad son más jóvenes y no están titulados; *b*) todos los informantes son colombianos y el 90% de ellos son oriundos y habitantes del espacio desde el cual construyen los textos (Bucaramanga o de la provincia de Santander); los otros casos provienen de otras regiones del país y tienen en la región santandereana un haber que abarca más de 60% de la vida personal, lo que quiere decir que todos los informantes conocen o han sido educados en las costumbres y creencias de la región.

ALGUNAS CARACTERÍSTICAS DE LOS INFORMANTES

	Área metropolitana de Bucaramanga		Provincia de Santander (Socorro y Barrancabermeja)	
Edades	18 a 25 años		25 a 42 años	
Sexo	Mujeres	Hombres	Mujeres	Hombres
	32	12	21	7
Total	44 (39 oriundos del área urbana)		28 (24 oriundos de la región)	
	menor rango de edad, estudiantes de programas universitarios en el área de educación		informantes de mayor edad, titulación universitaria, ocupados en educación	

Tabla 1. Características de los informantes.

Los escritos fueron analizados como textos-enunciados en los que la instancia de enunciación aparentemente inicia la predicación sobre la cultura santandereana, pero en algún momento del texto construido, con una extensión promedio de 500 palabras, pasa a un relato personal. Esta estrategia de ejemplificar o narrar con fines argumentativos la idea sobre la que se discurre opera como una forma de ratificación de lo expuesto desde el “he vivido” y desde el “pienso que mi experiencia de santandereano me permite afirmar de este modo”, tal como expresan algunas de las composiciones acopiadas y estudiadas. El modelo de análisis seguido para la consideración de la muestra es el propuesto por la semiótica como jerarquía de los niveles de pertinencia de las prácticas semióticas según el nivel de expresión (Fontanille 2014). Este procedimiento da razón heurística de cómo los objetos semióticos, según su complejidad, se insertan o son constituyentes de otro nivel de análisis o de pertinencia en la organización dinámica de las prácticas semióticas. En consecuencia, cada semiótica-objeto, como cada uno de estos textos y el conjunto de ellos, obra como un condensador de lo que sucede en las escenas prácticas, donde los actores sociales obran guiados por estrategias de acomodación y solución de conflictos a partir del ethos cultural.

Al mismo tiempo, los textos-enunciados ratifican los regímenes de creencias y modos de hacer de los actores sociales, al tiempo que evidencian, internamente, cómo suceden tensiones axiológicas en la forma de vida que representan. Esto es observable en los resultados del análisis y en la comparación de los textos de los informantes de Bucaramanga con respecto de los inform-

antes de la provincia santandereana. El nivel de análisis del texto-enunciado fue considerado como el nivel de pertinencia o de inicio del estudio y se recurrió a la consideración de la manifestación figurativa, de los procesos transformacionales y del contenido axiológico de los escritos.

2. Resultados

2.1. El texto enunciado

Un grupo de 44 enunciados textuales fueron producidos por los habitantes del área metropolitana de Bucaramanga (los textos urbanos), mientras que los otros 28 corresponden a informantes de la región de provincia. Ambos tipos de textos, salvo algunas excepciones, recurren a un embrague enunciativo para exponer la manera típica en que el santandereano se relaciona con las flores y el carácter o modo de ser del santandereano: “Solo pretendo una descripción detallada y no la repetición de lo evidente que solemos hacer en Santander [...] Busco santandereanos detallistas que estén más allá de su hosquedad ante los olores” (informante U18-01). Luego, el yo predica de la propia experiencia, lo que consiste en una breve narración que da fundamento al argumento que expone y que explica la relación disfórica o eufórica con el olor de las flores:

La fragancia de estas flores me parecía sobria, suave y delicada. Pero no era un aroma que me originara un placer divertido, sino cierta tranquilidad y serenidad [...] un sentimiento pacífico que apaciguaba cualquier detalle violento [...] Con el tiempo, el olor de las flores que yo manipulaba, como rosas rojas y hortensias, me condicionó a relacionarlo con el olor de la muerte. Procuraba no tener contacto con ese olor y aguantaba la respiración cuando trasladaba los ramos a otro lugar del templo o a la basura. Recuerdo que era un olor detestable que me hacía pensar sobre lo efímero de la vida. [...] Creo, además, que esto participó con el despertar en mí del temor a la finitud [...] El olor [de las flores] ayuda a recrear mayores estados depresivos de las personas que viven el duelo en el espacio mortuario (informante U25-02).

Los textos urbanos tienen construcciones con valores disfóricos asociados a la muerte, al frío de esta, el miedo y lo inaceptablemente efímero de la existencia humana, la tristeza y la depresión, a la corrupción orgánica, el fracaso amoroso y las supersticiones. Las representaciones eufóricas se pueden categorizar con los términos curación terapéutica (siendo esta una construcción positiva del olor de las flores que, en el caso de los textos de provincia, se relaciona con experiencias desagradables, como el verse forzado a tomar infusiones amargas), la belleza de la naturaleza, el recuerdo de experiencias pasadas, especialmente de la infancia y de familiares, el placer y la belleza, ritos religiosos y la tranquilidad.

Los textos construidos por los informantes de la provincia relacionan el olor de las flores con el orgullo por el paisaje y los recursos naturales del país, la armonía, el agrado, el éxtasis, el placer, el amor, el recuerdo de la infancia y de familiares, como los abuelos, la delicadeza en las interacciones sociales, incluidos el saludo de condolencia, en caso de duelo, y el perdón. En el plano de las valoraciones disfóricas, se precisa el nombre de las flores (rosas, jazmín, caballero de la noche, mirtos y claveles) cuyas fragancias recuerdan la muerte, la soledad y los estados depresivos, procesos terapéuticos desagradables, como las nebulizaciones y el consumo de brebajes, el olvido de seres amados y la fragilidad humana. En la tabla 2, el número entre paréntesis indica la frecuencia con que aparecen las figuras lingüísticas en los textos de los informantes.

Todos los textos analizados expresan una captación semántica del objeto tratado (el olor de las flores) puesto que se procede a una construcción de los objetos cognitivos a partir de la consideración de los valores estéticos y figuraciones con equivalencias múltiples en el universo cultural referido; es la instancia de enunciación quien toma posición frente a los objetos cognitivos para autenticar el valor

de ellos, incluso con el recurso a estereotipos y lugares comunes. En los textos más elaborados, se recurre a la captación impresiva del olor o una expresión de valores hedónicos que “permite la manifestación directa de la relación sensible con el mundo; da acceso a las formas y a los valores por intermedio de las puras cualidades perceptivas, percibidas globalmente, sin análisis” (Fontanille 2001: 242).

CATEGORÍAS EN LA REPRESENTACIÓN TEXTUAL DEL OLOR FLORAL		
Valoración	Textos urbanos	Texto de provincia
Eufórica	<ul style="list-style-type: none"> • Terapia (11) • Belleza de natura (8) • Memoria de la infancia (7) • Placer y belleza (5) • Ritos (5) • Tranquilidad (2) 	<ul style="list-style-type: none"> • Naturaleza colombiana (12) • Armonía (11) • Placer, éxtasis amoroso (9) • Memoria de la infancia (8) • Cortesía (6) • Acto de perdón (6)
Disfórica	<ul style="list-style-type: none"> • Muerte (31) • Tristeza y soledad (13) • Corrupción (8) • Fracaso afectivo (3) • Supersticiones (2) 	<ul style="list-style-type: none"> • Muerte (12) • Tristeza y soledad (8) • Terapias (3) • Olvido de seres amados (2) • Fragilidad humana (2)

Tabla 2. Figuras recurrentes en la valoración del olor de las flores.

2.2. La escena práctica, la estrategia y la experiencia odorífica

La interpretación y representación subjetiva que hace el individuo de un aroma alude a las diversas variables individuales y sociales en que él haya vivido, entre estas, las emociones asociadas a objetos particulares (Bedini 2010). De esa manera, la impronta se gesta (Rapaille 2007), prevalece en la memoria de una mente que aprende o se adapta y se auto-organiza (Pozo 2012) y la memoria olfativa recupera, en la escena práctica de un ejercicio de escritura, la justificación de determinada relación eufórica o disfórica con el olor que se proyecta de la experiencia personal a la colectiva. La escena de los acontecimientos pasados traída al presente está someramente enunciada y los textos, en conjunto, responden a un esquema que se puede expresar así: *i)* representación lingüística de la escena experiencia sensorial recordada, *ii)* explicitación de la relación del olor floral con la vivencia sensorial y afectiva, *iii)* exposición categorial de la relación olor floral, *iv)* proyección de la personal captación del fenómeno a lo comunitario. Esto se puede representar sucintamente con el esquema: *recuerdo* → *relación olor/sensibilidad* → *categorización* → *proyección comunitaria*.

Estas construcciones, así esquematizadas, quedan influenciadas por un número importante de factores; junto a la sensorialidad corporal, están la familiaridad, similitud, compatibilidad del estímulo y la respuesta, edad, los efectos de la memoria, entre otros de orden psicológico y social (Engen, citado por Bonadeo 2005: 109). Por ejemplo:

En Santander, el olor de las flores se relaciona con la afectividad, lo que se traduce en una señal de solicitud o de otorgamiento de perdón; el olor de dulces flores en ritos de cortesía entre profesionales (saludos de cumpleaños) y el dolor y la soledad cuando fallece un ser querido. Como esta experiencia es muy dura, el olor de las flores, para la gente de la región se relaciona más con este dolor (informante P30-15).

En el modelo de análisis, la estrategia es una interacción de al menos dos prácticas que deben ser coordinadas, ajustadas o confrontadas (Fontanille 2015: 123) para resolver el problema de dar sentido a las propias acciones y captaciones en la escena práctica, de tal suerte que las soluciones diferentes aparecen como simulacros constituyentes de un nivel de expresión englobante de las prácticas semióticas. A partir de Fontanille (2015: 123), se puede expresar que la interacción de simulacros expresados en el texto enunciado aparece como una confrontación de imágenes (como la imagen textual del enunciatario y la imagen textual del enunciador), pero es en el plano de las estrategias donde los participantes del acto enunciativo y las imágenes y captaciones que expresan en el texto aparecerán como modos específicos de resolver los desafíos reales y no los simulacros. En el caso de los textos analizados, estos reflejan cómo los actores sociales recurren a la estrategia para resolver dos problemas conjuntos: *a)* dar sentido a las escenas prácticas marcadas por el olor de las flores y *b)* expresar esto con las sinestesias y otros recursos del lenguaje verbal escrito, de modo que sea visible la experiencia odorífica como un fenómeno personal y sociocultural.

La estrategia recuperada a través de los textos consiste en la construcción de la relación disfórica entre el sujeto y el olor floral (véase tabla 3). Las relaciones del olor floral con la muerte, la descomposición y de estados anímicos son dominantes en la muestra textual analizada y corresponderían, tanto a informantes del espacio rural como urbano, al recuerdo de la presencia de flores muy fragantes en ritos fúnebres. La estrategia se puede esquematizar como la memoria de una relación afectiva del olor de las flores, lo que desemboca en una captación cognitiva impresiva y semántica de la vivencia. La categorización con un fundamento axiológico, predominantemente disfórico por la asociación con la muerte que despierta miedo y angustia en el ethos de la cultura compartida, es proyectada como lo propio del sentido común del entorno cultural.



Tabla 3. Esquema estratégico de la valoración del olor floral.

Esta determinación disfórica del olor de las flores puede comprenderse por la manera en que se organiza la ciudad bumanguesa. A lo largo de la calle 45, una de las vías que atraviesa la ciudad de este a oeste, y donde convergen vías de acceso al perímetro urbano, se encuentran cementerios, la morgue del Instituto Nacional de Medicina Legal y Ciencias Forenses, varias salas de velación, las dos cárceles (para mujeres y para hombres), el hospital psiquiátrico y otros centros de atención médica, además de áreas consideradas en el pasado como de tolerancia. La investigadora Claudia Mantilla (2010) hizo un estudio semiótico en el que demuestra que los imaginarios de esta calle están asociados a oposiciones axiológicas relacionadas con vida/muerte, salud/enfermedad y libertad/prisión. A lo largo de la vía se instalan los parques y mer-

cados populares de flores que deben gran parte de las operaciones comerciales a los ritos de velación y enterramiento. La investigadora, a partir de pesquisas de historiadores sobre la vida comercial de la región, expresa que las flores son, para los habitantes de la calle 45, un elemento superfluo y ornamental que no corresponde a las urgencias vitales de las personas con el carácter severo y austero del santandereano. Por el contrario, las flores son vistas como lo propio de rituales mortuorios y, en un segundo lugar bastante alejado del primero, como parte de otras ceremonias como los matrimonios.

Además, los mercados populares de Bucaramanga expenden flores con fines terapéuticos (generalmente, quien las vende es conocedor de recetas de curación indígenas y tradicionales, de ritos espirituales y mágicos), lo que fundamentaría algunas de las representaciones disfóricas en que se relacionan terapias, aromas de flores y algunas prácticas de nigromancias, etc. Sin embargo, en la calle 33 de la misma ciudad hay varios expendios de perfumes y aceites (mezclas odoríficas artificiales) con importantes operaciones comerciales. Estas fragancias artificiales son ambientadores y otras son aguas de colonia y de perfumes para uso personal y que imitan fragancias de las reconocidas marcas. Es decir, existe una repulsa ante el olor floral natural y una mejor recepción comercial de las fragancias artificiales o de mezclas que dejan de lado el olor específico de una flor o planta.

La variante de esta estrategia disfórica es la construcción de la relación entre el sujeto y el olor floral con una tendencia eufórica, en espacios rurales o de provincia. Esto se explica porque los informantes de estas zonas son cercanos a los cultivos y al campesinado, ejercen la docencia en ámbitos rurales y tienen una experiencia más directa y constante con “la belleza del paisaje colombiano, la variedad de plantas que huelen en todo momento del día, el trabajo del hombre y de la mujer del campo” (informante P40-27). En estos espacios, las flores y los olores de estas hacen parte del ornato de viviendas y de las reminiscencias infantiles. En estas condiciones, en la construcción de los textos de los informantes de provincia, aparecen elementos que no figuran en la construcción de los textos de los informantes urbanos, quienes hacen menos referencias al paisaje natural, a los privilegios de la geografía santandereana y colombiana y a las ornamentaciones y disfrute del paisaje, menos a la dimensión de las flores con respecto de las nuevas oportunidades laborales en el campo. Precisamente, este es el horizonte de expectativas que se abre en los espacios rurales y que se relaciona con las intervenciones institucionales para el impulso de nuevos productos de origen floral y herbal en el mercado regional y nacional. Esta línea de construcción axiológica dinamiza las relaciones en las lógicas que se tensan en el sentido común y lo transforman.

3. Conclusiones. Forma de vida y coexistencia de sistemas axiológicos

Anne Le Guérer (1998: 119-150) muestra cómo los mitos y los ritos están asociados a los perfumes que oscilan entre olores de lo vivo y los olores de la descomposición (de la muerte), lo que da base a procesos complejos de orden antropológico. En las prácticas de la vida cotidiana, el olor y el cuerpo vivo mantienen una relación de sentido entre la polaridad de la vida y la muerte. Así, por ejemplo, para muchas personas de la cultura santandereana y bumanguesa, el olor de las azucenas (*lirium*) y de las flores del caballero de la noche (*cestrum nocturnum*) no media un valor eufórico, sino disfórico o negativo, porque “huele a muerto”, huella perceptiva en tensión con otras valoraciones positivas relacionadas con el reto de recuperar, en la Colombia de hoy, un ethos constructivo y vital que supere las marcas profundas de la violencia y permita la apertura de caminos de desarrollo sociocultural.

Los textos condensan la experiencia heterogénea y diversa de las escenas prácticas rememoradas; las convergencias y descripciones en los textos expresan complejos sinestésicos o de cómo el olor actúa en toda la dinámica corporal y cultural. Esto se puede esquematizar heurística-

mente como una la resolución textual de la heterogeneidad polisensorial de la escena práctica, en correspondencia con una estrategia que aparece condensada en el enunciado escrito (Fontanille 2014), debido a la pérdida de todas las propiedades de la escena práctica cuando es enunciada lingüísticamente en el texto, pero con una focalización precisa de la captación cognitiva de la experiencia odorífica.

Esta condensación parece afirmar y revertirse en la escena práctica, en una *expansión optimizante*, puesto que el sistema de valores y de creencias contenidas en el texto, a modo de *paragonaje* (Fontanille 2014: 88), son las dadas por informantes que se desempeñan o desempeñarán como mediadores del aprendizaje de bienes culturales y de las axiologías reguladoras de la experiencia y el sentido dado a esta. Las tensiones entre las percepciones de los informantes y el programa de desarrollo regional para comercializar productos naturales como estrategia de sostenibilidad económica con bajo impacto ambiental se relacionan con las dinámicas de la forma de vida, entendida como una forma de representación de las estrategias de iconización, de producción de pautas de sentido o de solución adecuada y adaptada de la cultura a los problemas de sentido. Es así, como afirma Fontanille, que la cultura puede ser entendida como una retórica persuasiva (2014: 93) que ampara el quehacer semiótico de los actores de ella, se convierte en el parámetro de interpretaciones y define las tendencias de sentido de su propia actividad.

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**FROM THE SESSION
“SEMIOTICS FROM
THE VIEWPOINT OF
TRANSDISCIPLINARITY
AND COMPLEXITY
THEORY”**

OF SEMIOTIC PROCESSES, GENDER MEANING PRODUCTION IN POLITICS: FROM MODEL TO POLITICAL CANDIDATE IN MEXICO (2015)

Griselda Zárate

Universidad de Monterrey, Mexico
griselda.zarate@udem.edu

Olga Nelly Estrada

UANL, Mexico
olganellye@yahoo.com

Abstract

This paper studies the semiotic processes, gender meaning production in Mexican politics through the case of pre-candidate Giselle Arellano to a seat in the local congress for the state of Zacatecas, Mexico, in 2013. This cultural phenomenon as a semiotic text includes several subtexts: 1) The negative answer of conservative political party, PAN, to grant the candidacy to model Giselle Arellano, on the grounds that she lacked an honest way of living. 2) Photos and video in lingerie of Arellano published in social networks. 3) Arellano's lawsuit and protest in media regarding this result. 4) The conservative party, PAN, later authorization to Arellano to contend for a seat in the internal process to local congress. The theoretical framework draws from Juri Lotman's notion of semiosphere and text in regards to the different layers of meaning construction in semiotic processes and also his views on the concepts of explosion, unpredictability, inflection point and predictability (1996, 1999, 2000, 2013). The event also offers the possibility to show the tension between socio-cultural semiotic modelling through discursive interaction, specifically gender (Lamas 2000). From a gender perspective, women in politics are discriminated against and excluded due to former types of jobs that patriarchal culture designates. Thus, this to say that when the potential politician, a woman, does not comply with the traditional social imaginary, she is excluded.

1. Introduction

Through the case of pre-candidate Giselle Arellano to a seat in the local congress for the state of Zacatecas, Mexico, in 2013, this paper approaches the semiotic processes, gender meaning

production in Mexican politics. This cultural phenomenon as a semiotic text includes several subtexts: 1) The negative answer of conservative political party, PAN, to grant the candidacy to model Giselle Arellano, on the grounds that she lacked an honest way of living. 2) Photos and video in lingerie of Arellano published in social networks. 3) Arellano's lawsuit and protest in media regarding this result. 4) The conservative party, PAN, later authorization to Arellano to contend for a seat in the internal process to local congress.

One of the objectives of this study from a gender perspective, it is to present a critique towards Mexican political discourse to pinpoint the use of androcentric language that subordinates women (Estrada, 2016). In particular, the aim is to reflect on equality between women and men to eradicate - reduce - the processes of naturalization of violence (Bourdieu, 2003). It also shows how women in politics are at a disadvantage and do not have the cultural and social privileges of their male counterparts. The representations of women imposed by the sex-gender system in Mexican society remain sexist, discriminatory and exclusive. The above is observed in some media narratives when they refer to the actions of women in politics, such is the case of several legislators who broke with the traditional roles of women to enter politics and / or protest against corruption (Estrada and Flores 2016).

Even after Mexican women obtained the right to vote in 1953, women stayed at home. At that time, it was the duty of a woman in spite of the new law. Mexican politics, as a historical-cultural semiosphere, did not include women participating in Congress. It was unheard of seeing women's names on election ballots, despite the fact that the law already stated that right. Nevertheless, in the collective social imagination it was believed that the role of women was to be in the private sphere taking care of children only (Estrada and Ochoa 2015). This semiotic system did not provide the necessary strategies to include them after the right to vote for women to enter politics or make policies for inclusion in the public world, but kept them private until a group of feminists in the 1990s questioned the absence of women in the seats of the Mexican congress is when the percentages of women in representation positions were analysed for the first time (Estrada 2012).

Nevertheless, some strategies and mechanisms were proposed in 2012 to palliate the above, in particular the first initiatives of the so-called positive discrimination or gender quotas. These public policies paved the way for women in the twenty-first century to see their names on the ballots to be candidates and could win some popular election. Based on these findings and the fact that these inequalities became visible, some academics such as Graciela Hierro (1999) opened the feminist reflection within the Mexican academy and decided to give congresses, colloquiums and seminars in universities all over the country so that thought and inclusive language spread in many areas of everyday life and the importance of women entering Mexican politics.

A society that pretends to be democratic, cannot leave women excluded, because for reasons of representation they are a little more than 50 percent of the national population and are citizens with the same rights and opportunities in accordance with the Mexican Constitution, in its Article 43. There are also several ethical, political and efficiency fallacies that lead to the belief that there is less capacity in government or performance for public office. The figure of the feminine remains exposed to a continuous vulnerability and therefore is a political issue projected with different speeches that mask its reality. The prejudice of seclusion in the private space continues to subject women to a subjectivity that confuses them to a state of emergency (Agamben 2000) and, on the other hand, the discourse of public institutions, which generate practices of disapproval, with a load of meaning in which cultural components of various kinds, whether religious, moral, conventional or traditional, are combined (Alencar Rodrigues & Cantera, 2013, UN Women, 2012). For these reasons, this research intends to identify how political discourse shapes practices of naturalized violence within the public space and how, in some way, the media legitimizes it and the political substratum endorses it.

2. Of semiosphere, text and (un)predictability

The theoretical framework draws from Juri Lotman's notion of semiosphere and text in regards to the different layers of meaning construction in semiotic processes and also his views on the concepts of explosion, unpredictability, inflection point and predictability. According to Lotman (1996: 12-19), a semiosphere is a semiotic universe and a semiotic space, which has two distinct characteristics: a delimited character and semiotic irregularity. The notion of border is one fundamental aspect of this delimited character of the semiosphere. One can say with Lotman "the border is a bilingual mechanism that translates all external messages to the semiosphere internal language and vice versa" (1996: 13-14). Any communication into and out the semiosphere is translated to a set of codes. Lotman underlines the importance of coding in the semiotic system. For example, referring to historical Russia, women, children and servants were included in the personality of man. However, in other semiotic systems, this may be different (1996: 13). On the other hand, the semiosphere heterogeneous nature develops in different places and speeds, which determines, partially, the internal organization structural irregularity (Lotman 1996: 16-17).

The social and communicative function of text for Lotman can be summed up in the two following processes: text as a message and text as collective cultural memory. Most importantly, for a message or communication to have the category of text, it must be coded at least in two different codes, the natural language and the specific language. This theorist mentions the text 'law' as an example, which contains the natural language and the legal language coding (Lotman 1996: 53).

Lotman establishes that a continuous process has an implicit predictability, a process that manifests a cyclical or a gradual evolution, in contrast to unpredictability during an explosive process (1999: 19; 2013: 64). Both, predictability and unpredictability are both present in semiotic processes. The following (Un)predictability operative model is based on these Lotman's ideas, as shown in Figure 1.

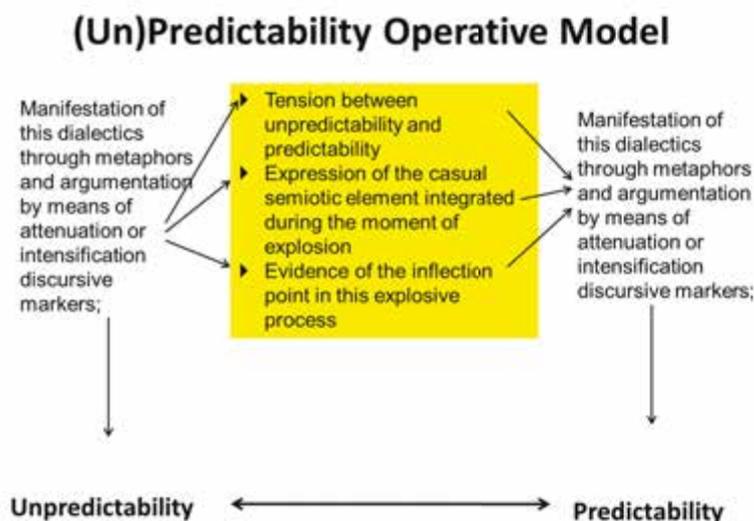


Figure 1. Adapted from (Un)Predictability Operative Model (Zárate & Zambrano, 2015).

3. Semiotic processes and gender meaning production in Mexican politics

Gayle Rubin (1986), gender studies theorist, establishes that being a woman and to act in political scenarios is more criticized in a sex-gender culture. In this sense, one can say that Mexican politics can be conceptualized as a distinct semiosphere where patriarchal views and androcentrism are still present in political discourse when referring to women. According to Ana de

Miguel (2016), androcentrism is when men's views are more valued and they are placed at the centre of all things. This same author expresses that through the notion of sexism is the idea that men are superior to women physically, morally and intellectually, and the status of women is of subordination. Through specific discursive mechanisms, power is exercised (Foucault 2008). In this case, the subordination of women, has taken place as a result of discursive practices, organized and reproduced, to preserve a system of domination (Serret 2006: 68).

In this political scenario and semiotic system, Giselle Arellano, Mexican political pre-candidate for the conservative party, PAN (Partido Acción Nacional in Spanish), tried to contend for a seat in the local congress for the state of Zacatecas, Mexico, in 2013, as shown in Figure 2.

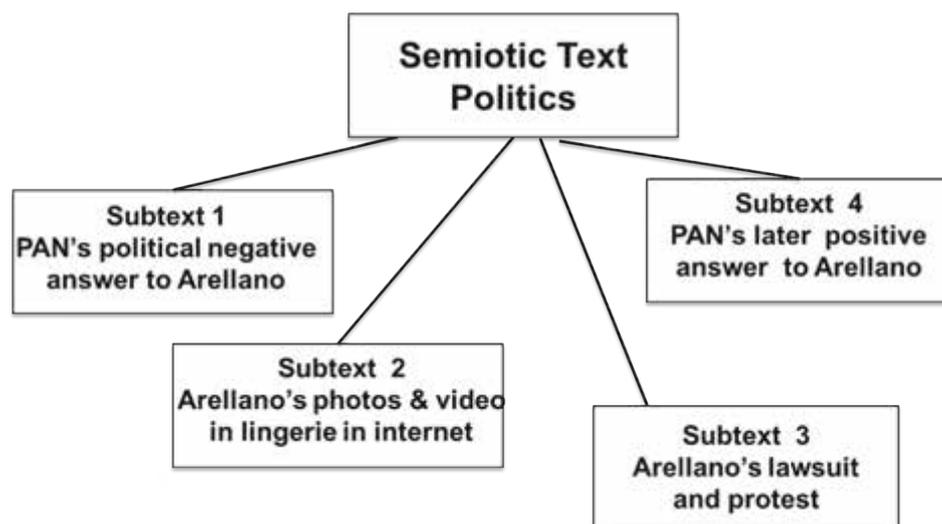


Figure 2. Politics as a semiotic text includes several subtexts.

This cultural phenomenon as a semiotic text includes several subtexts: 1) The negative answer of conservative political party, PAN, to grant the candidacy to model Giselle Arellano, on the grounds that she did not have an honest way of living. 2) Photos and video in lingerie of Arellano published in social networks. 3) Arellano's lawsuit and protest in media regarding this result. 4) The conservative party, PAN, later authorization to Arellano to contend for a seat in the internal process to local congress.

3.1. PAN's political negative answer to Arellano

On March 15, 2013, the article "Niega PAN registro a modelo migrante", written by Gerardo Romo, published in *Reforma* newspaper, mentioned that "La dirigencia nacional del PAN encabezada por Gustavo Madero y Cecilia Romero negaron el registro este viernes como precandidata a diputada migrante de Zacatecas, a Giselle Arellano, argumentando que no tiene un modo honesto de vivir, por lo que la joven de 33 años quien es modelo profesional se dijo denigrada". The quote shows interesting levels of analysis. As stated before, the concept of border is one basic element of the delimited character of the semiosphere (Lotman 1996). One can observe, thus, that the border separates a conservative semiosphere with a more liberal one. There are two distinct semiospheres, one pertaining to Mexican politics. In this sense, the border is translating the external messages to this conservative semiosphere internal language.

3.1.1. Arellano's photos and video

It is a common knowledge in politics the publication of photos or declarations as a political attack. Within the continuum of semiotic processes, predictability is expressed in this sense.

In this respect, one can ask what the notion of border is in this Mexican political semiosphere. This may be clearer in the next quote: “La precandidata causó polémica por un video que apareció en redes sociales en el que aparece modelando en ropa interior y con unas alas de ángel para una empresa de Las Vegas” (Romo 2013). The general public knew of Giselle Arellano’s situation through the social widespread of a video in lingerie. It is interesting to note, though, the case of Marlene Benvenuti, a former lingerie model, a local congresswoman in the state of Nuevo Leon in the same conservative party PAN. In Benvenuti’s case her protest for a state case of corruption, triggered the publication of photos of her former job as a model (Estrada and Zárata, 2017).

The border at the semiosphere periphery translates into this conservative internal language the message that is not appropriate for a candidate to appear in a photo or a video modeling in lingerie. From a gender perspective, as it has been said in a sex-gender culture a woman is more prone to be questioned when acting in politics (Rubin 1986). This idea relies in the woman’s stereotype taken into consideration as housewife, honest worker, in Mexican society (Lamas 2012). Collective imagination in Mexico still conceives women as queens in the home –with all moral attributes, including modesty, and in particular, as emotional and physical caregivers. On the opposing side, this same collective imagination places women as bad persons, with no moral. However, there is a middle type of women who want to exercise power (Ortner 1979), such as Arellano. In this case, one can identify that Arellano was discriminated against due to her former modeling job, which would be a naturalization of violence (Bourdieu 2003).

3.1.2. Arellano’s lawsuit and protest

After receiving the notification from the conservative political party, PAN refusing her candidacy to run for a seat in the state congress of Zacatecas, Mexico, Giselle Arellano sued the party and protested in her Facebook account. Through her lawyer, Arellano demonstrated her legal activities in Las Vegas, in United States, which complied with the party statutes (Proceso 17 March 2013). On the other hand, in her private Facebook account, she stated that: “¡Soy Giselle Arellano, soy migrante, y soy orgullosamente zacatecana! ¡Quiero ser tu diputada migrante!” It is worthwhile to note that her declaration included a cartoon of herself portrayed as the Wonder Woman comic strip character with the background of the party logo.



Figure 3. Image of Giselle Arellano as Wonder Woman character.

Unpredictability takes form in the moment of explosion in this semiotic process when Giselle Arellano sues the party and her protest in social networks.

3.2. PAN's later positive answer to Arellano

Unpredictability is implicit in the explosive semiotic process such as in this case. The conservative political party, PAN (*Partido Acción Nacional* in Spanish) authorized Arellano to run as pre-candidate for a congress seat for the state of Zacatecas, Mexico: "ZACATECAS, MX.- El CEN del PAN revirtió su negativa a permitir la participación de la precandidata del PAN a diputada local migrante, Giselle Arellano Ávila, quien hoy sí apareció en las boletas del proceso interno del partido para definir a sus candidatos al Congreso local que contendrán en la elección constitucional" (Proceso 17 March 2013).

4. Conclusion

This study incorporates Juri Lotman's notion of semiosphere and text in regards to the different layers of meaning construction in semiotic processes and his views on the concepts of explosion, unpredictability, inflection point and predictability. It also includes theoretical gender perspectives (Rubin, Lamas, Ortner) to analyse in the previous pages through the case of pre-candidate Giselle Arellano to a seat in the local congress for the state of Zacatecas, Mexico, in 2013 how semiotic processes, gender meaning production in Mexican politics take place. This cultural phenomenon as a semiotic text includes several subtexts: 1) The negative answer of conservative political party, PAN, to grant the candidacy to model Giselle Arellano, on the grounds that she lacked an honest way of living. 2) Photos and video in lingerie of Arellano published in social networks. 3) Arellano's lawsuit and protest in media regarding this result. 4) The conservative party, PAN, later authorization to Arellano to contend for a seat in the internal process to local congress. Mexican politics as a semiosphere still conveys a collective imagination of woman, on one hand modest, virtuous and emotional and physical caregiver; on the other side, as a woman of no moral or virtues. But what happens with the woman in the middle category, who wants to exercise power? (Ortner 1979).

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**FROM THE SESSION “TO
COEXIST, TO PARTICIPATE,
TO CHANGE”**

IN SOCIAL MOVEMENTS: INTERVENTION IN THE FIELD AS TEXT

Roberto Pellerey

University of Genova, Italy
roberto.pellerey@libero.it

Abstract

Nowadays a widespread social movement challenges the commodification of contemporary society and carries out actions that aim to eliminate the market system's economic mechanisms and create systems to distribute goods through a "reciprocity" dynamic. The paper describes the principles of this vast social movement that has been largely ignored by the media. It also examines some exemplary cases of interventions on the field, which are considered as a special type of text equipped with an author, a reader, an utterance, an interpretation and interpretative cooperation. The paper then proposes a general model to analyse texts made up of ongoing social processes, with their own specific method of documentation and a new general typology of texts, thus giving semiotics back its capacity for social criticism.

1. New social organisms

A wide network of movements and associations in Europe have recently been experimenting with concrete forms of anti-consumerism and systems of income that are alternative to the cycle of industrial production, while at the same time inventing economic models based on the exchange of goods rather than trade. The characteristics shared by these movements make them a new cultural phenomenon that is socially unexpected and economically relevant. Italian Solidarity-based Purchasing Groups (GAS in Italian) are associations that organise local networks to distribute primarily food products by organising collective purchases and transportation, and then distributing to its members the goods produced organically by independent farmers who respect ethical work conditions. This cuts out the chain of organised commercial distribution, the over-elaborate display of products in shopping centres whose buildings have destroyed landscapes, intensive industrial agricultural production, labour exploitation and land exploitation through monocultures in non-European countries as well as the mental intoxication carried out by advertising, marketing, fashion and commercial promotion. Other groups, like the *Campi Aperti* (Open Fields) Association in Bologna, defend land from speculation by making collec-

tive purchases of land through low denomination shareholdings. This land is then farmed by new farmers who sell or exchange agricultural products within local communities. In this way, alternative development models based on the principle of revitalising local economies independently of international agro-industrial production have been elaborated. Still other groups, which are more radical, organise the cultivation of wheat (with non-GMO seeds) on common land, the transformation of wheat into flour and the production of bread, pasta and other staple foodstuffs which are then distributed to 60 families from cities that participate in the work. In this way, space and money is taken from industrial and commercial production processes, and quality goods, that the groups monitor themselves, are obtained. These are just a few examples of the activities with which increasingly widespread yet little known associations and organisms have recently been experimenting. These organisms share some main characteristics, such as (a) widespread presence in different types of areas (metropolises, small towns, rural areas), (b) the total absence of news about them in the mass media, (c) the concrete experimentation of economic and productive forms that conflict with the market system, (d) their theoretical and operational difference from pseudo-movements presented in the media as “alternative” to the institutional system, or that present themselves as such (e.g. “Podemos” in Spain, the Movimento 5 Stelle - 5 Star Movement - in Italy, Occupy Wall Street in the USA), (e) and the presence of economic reference theories such as the theory of Degrowth or Solidarity and Fair Economy equipped with canonical texts and authors (such as Serge Latouche, Joan Martinez Alier, Ivan Illich, Euclides Mance, Vandana Shiva). A fundamental common characteristic is the fact that they carry out direct actions on the ground by operating a real *dissenting economy*: they establish independent networks of agricultural production and non-commercial distribution of food products that are outside the market system; they reclaim abandoned land, plant species and work techniques; they create traditional seed banks; they experiment with new community housing units and urban systems; they exchange self-produced products. These types of concrete actions, that are either episodic or recurring over time, are examined in this paper in order to describe their characteristics and understand their nature.

2. Principles of a dissenting economy

In Europe numerous movements, associations and coordinating authorities operate in opposition to consumerism and commodification, in particular by establishing non-commercial processes for the production, circulation and distribution of goods, especially foodstuffs. However, there are also active organisms opposing the commodification of goods in the context of field interventions by NGOs in international cooperation, and in the Degrowth theoretical movement. The theoretical and operational convergence evident in the organisms that are operating in these three areas means that they can be considered part of single, cultural and political movement that is in the course of formation and has some basic common values:

- a. the objective of creating an economic system that is alternative to the market system, and is based on the economic model of “reciprocity” taken from K. Polanyi’s work (cfr. Polanyi 1944);
- b. an overall de-commodification project for society, that is, the objective of creating a society in which goods are not commodities;
- c. the organisation of a system of direct relations between producers and buyers that eliminates all commercial intermediation, distribution chains and long-distance transport, as well as advertising, marketing, fashion and anything that promotes consumption;
- d. the Domestic Economy model which dates back to Aristotle and is virtuous: self-production of everything necessary for daily life plus a little surplus to exchange with other external

production units in order to obtain that which cannot be produced because of the natural environment. In Aristotle's model, the agricultural holding, the *oikos*, self-produces food and craft products in quantities suitable for their own consumption and it exchanges its surplus and reserves with other *oikos*. Nowadays there are regional areas or organised local groups that coordinate with groups from other areas.

This set of projects includes a wide range of experiments that have been underway for some time. It is this action in the field that is the focus of our interest as the object of a semiotics of the current most important and innovative social processes.

The common reference outlook for this set of movements is the principle of *Food Sovereignty*. This expression, which was introduced by the international coordination of Via Campesina in 1996, refers to the right of every nation and community to maintain its own production of basic foodstuffs according to its own agricultural and productive tradition, and to produce its own food on its own land without depending on external techniques, materials, seeds and supplies. This is a uniform strategy of opposition to industrial agriculture and its different aspects such as systems of intensive monoculture meant solely for international export, GMO seeds, industrial firms' ownership rights of organic goods and living organisms (food plants, medicines, cosmetics) modified by specialised biotechnologies like GMO seeds. Legitimised by treaties like the TRIPS (Trade Related Intellectual Property Rights) established in 1995 by the WTO (World Trade Organisation), these agreements dispossess local communities of their economic and food autonomy. By contrast, the opposition strategy inspired by the food sovereignty principle fosters local communities' re-appropriation of control of their own food resources, and therefore their quality of life.

In poor countries, this strategy is a collective choice made by communities to improve their overall quality of life by adopting an organic programme of coordinated actions aimed at re-launching local community life. Rural organisations, federations of rural producers and networks of territorial coordination manage the production, harvest and distribution of local food, and they promote free exchange of seeds, common ownership of land, creation of mutualistic funds and social training programmes. The ROPPA network (Reseau des Organisations Paysannes et de Producteurs de l'Afrique de l'Ouest) for example, which was created in 2000 brings together about a hundred farmers' associations from 11 African countries (Benin, Burkina Faso, Ivory Coast, Gambia, Guinea, Guinea-Bissau, Mali, Niger, Senegal, Sierra Leone and Togo) into a reciprocal and common action and it is the interlocutor for local governments and the FAO (Food and Agriculture Organisation). In western countries, it is primarily an individual choice that goes through constellations of small productive units, that is, networks of single producers that have made an individual choice to undertake small-scale farming in agreement with varied groups of buyers. Only subsequently do they organise with other individual producers distributed widely on the national territory.

3. The interventions in the field as texts

In semiotic terms we examined interventions in the field carried out by these organisms as texts and identified which factors play the role of textual elements (the equivalent of words and sentences), which are syntactic elements, how the roles of author and reader are distributed, what is the meaning, the processes of interpretation, the interpretant, the reader's collaboration and white spaces. Once it was accepted historically that a text is an organisation of elements and functions, the material of which are not only words and sentences but any other subject (e.g. visual: colours, shapes, diagrams, pictures, photographs, and then posters, architecture, lights - TV or computer screens - etc), this made it possible for all subjects, given certain rules, to con-

stitute textual material, including muscular actions (gestures, movements, behaviours), physical actions with objects (moving objects, exchanging goods), complex actions (digging, building, walking, posing, delivering, etc).

Thus for the purpose of this analysis of the three areas in which the new economic and social vision is manifested (international cooperation, degrowth association actions and actions of anti-consumerism social movements), we distinguished at least four significant moments. First and foremost, by extending the method elaborated for international cooperation actions, it is possible to generally treat social actions, processes and practices as *utterances*, since they can be equipped with an “author”, “reader”, “objective text”, “meaning”, “interpretation”, “results” (interpretants), thus distinguishing the roles laid down by Interpretative Semiotics, and identifying the conditions that render actions effective, that is, that give them meaning (cfr. Pellerey 2011: 110-112; Pellerey 2015:66-123). *Authors* of texts are those who organise actions in different ways and participate in them (NGOs, local organisms, associations, movements, coordinations). *Utterances* or *texts* are the material and objective conditions laid out in the action and organised in technical mechanisms of development or action carried out in the field, and are the objective “letter” of the text. *Readers* are those who benefit from the action, that is the local community or dissenting economy groups that effectively use the mechanisms put in place. *Interpretation* is the activation of technical conditions put in place by the text thus obtaining from the action a series of immediate consequences and results that constitute the meaning. The *meaning* of the action is the result obtained, the meaning the action takes on in the meeting between the material conditions put in place and their interpretation by the affected community. This meeting constitutes the *interpretative cooperation* put in place in the action. The consequences that follow the initial immediate results constitute knock-on *interpretants* up until the final interpretant of the achieved stability of improved quality of life: in fact, the meaning is the effective transformation of the quality of life obtained thanks to the action undertaken. The *limits* of the interpretation are the constraints on the use of text that is uses of mechanisms that are incoherent or incompatible with the basic objectives of the action. A well to extract pure water produced by the cooperative action of different authors (an ONG, local administrations, associations, volunteers...) is a device to obtain water with continued regularity for the benefit of a community before it can be understood as a tool for irrigation for farming or to facilitate hygiene or to change cooking techniques, all of which are possible interpretations in different directions.

In this framework the notion of Model Operator was formulated, which corresponds to the Model Author that is the operational strategy adopted on the field to be an effective operator. While the Author or Empirical Operator is the organisation equipped with its own “biographical”, historical and legal identity, the Model Operator is the operational unit *in loco* with its strategic choices. The Model Operator is composed of people from different entities participating in the action, including members of the same local community. The Model Operator is capable of adopting the necessary ways of thinking how to organise effective actions that make sense in the local situation: that is, that they are capable of transforming the quality of life. This means that the Empirical Reader is the overall indistinct population to whom the action is addressed, and the Model Reader refers to those who interpret the utterance using the mechanisms available, after having drawn the appropriate meaning and obtained its effects and results, that is, the part of the community that participates in activities having grasped their worthwhile meaning.

Secondly, it is possible to identify a series of *utterance terms* of the action, that is, norms of functionality and effectiveness of ways of formulating actions: mechanisms that regulate the formulation of the utterance making the meaning usable in its operational context. These are conditions that organise two types of basic functions, the subdivision of tasks and the reciprocal

recognition among participants of the utterance. They include conditions like the activation of the action only on the explicit request of the local community, its running by a body recognised as legitimate and trustworthy by users and the explicit approval of the agreed programme by the assembly of affected communities, etc. These conditions regulate the roles to be respected and the reciprocal expectations to be maintained in order to produce an utterance recognised as valid and legitimate by both interlocutors (cfr. Pellerey 2011:110-112; Pellerey 2015:96-100).

Thirdly, it was possible to formulate a *pragmatic semantics of the action*, which examines *contextual*, *co-text*, and circumstantial factors that determine the meaning of the action. The three factors just mentioned give rise to the choice of the action that makes sense in specific local conditions. This is a preliminary on-the-ground analysis to choose the most suitable action as well as an analysis of the factors and reasons that have led to the success of a particular action. “Context” in Interpretative Semiotics refers to the general area of facts in which the action is formulated that is the kind of discourse in which the utterance is formulated (e.g. economy versus education or medicine, industrial production versus recovering traditional crafts or the development of tourism etc.). “Circumstances” refer to social, economic and cultural situations in which actions are enclosed (e.g. the presence of conflicts among groups in the community, the existence of strong associative traditions in the workplace or the preference for individual work, relations between ethnic or religious groups, the type of male-female relationships...). “Co-text” is the set of technical and material factors present on the ground including climatic and environmental ones such as the fertility of the land, the existence of an intact or strongly contaminated natural environment, geographical position and road links with the rest of the country, presence of given raw materials, the technical skills of people present etc. The interaction of these factors enables the formulation of an action that makes sense and has real meaning vis-à-vis the place and the moment of its utterance, which is compatible with values, cultural practices and the objectives of the beneficiary community (cfr. Pellerey 2011:110-112; Pellerey 2015:92-96).

Fourthly, the specific property of “procedures for deployment” has been added to the characteristics and properties of a text. The starting point was the need to describe and examine texts such as actions on the field or stage shows made up of social practices or *ongoing processes*, the duration in time of which deprives them of stable, permanent thoroughness that is coexistent with all parts or elements (similar for example to a written text irrespective of length or whether it is divided in chapters). The lack of clear boundaries of the material that constitutes the text (such as the boundaries of a practice, what is part of a street demonstration, a street exhibition of mimes, a public marathon, a garden party?) makes the text vague, and when repeated several times over time, it changes with each rendering like stage shows, for example. This changeable identity has placed doubts on the very observation and documentation of these texts because of their unstable and evanescent nature, so much so that it has been necessary to create a method of documentation especially for these kinds of texts (cfr. Pellerey 2016a and Pellerey 2016b). The same doubts regard their nature as texts articulated over time: when does a process begin and end, that is, what are its time limits and what depends on the author’s planning? These doubts can be attributed to the stable permanence of the text over time and its objective demarcation, as well as the appearance of fortuity due to the lack of structured organisation of the material available, which is guaranteed by an author (Cfr. Pellerey 2016a, 2016b).

Following these observations we have contrasted (a) on one side *stable* texts versus texts that spread their *material manifestation over time*, (b) on the other *finished* or *permanent* texts that are invariable every time they are interpreted or performed, versus *unstable* or *fleeting* texts that change every time they are performed, in a constantly renewed textuality. “Stable” texts can also be described as texts that spread their material manifestation through the spaces of

pages or other fixed bearings instead of over time, thus keeping their material composition unchanged over time. This leads to a general opposition between texts spread through space that remain stable and unchanged in every part of their deployment (among these are films whose frames are fixed and do not change over time), and texts spread over time which have “dynamic” organisational properties: variable with each performance, articulated in successive rather than coexistent phases, vague boundaries and an unpredictable final identity. The “procedures for deployment” will subsequently be extended to qualifying characteristics for every text.

4. Documenting actions in the field

In relation to demarcation, stability and documentation, a method to fix texts with “dynamic” deployment properties, that is ongoing processes like the practices of social movements, is proposed, with the method divided into three phases: (a) *participant observation* in preparatory moments of the action such as meetings, assemblies, discussions, preparation of demonstrative actions in which reasons for and forms of the action are specified; (b) multiple *repeated viewing* of meetings and preparatory assemblies of organisms and associations as well as the actual actions in the field repeated on several occasions in different contexts, or of different single and unique actions; (c) *drafting of observation notes* written during and immediately after meetings and actions. Like in theatre, videos or other recording systems are unfaithful duplicates and are reduced to the visible and sound components of the action which do not render the multiplicity of emotional and perceptual feelings experienced by participants in the midst of the real situation (such as emotional density, collective expectation, tactile and olfactory sensations, temperature, light, ambient noise...). The written notes and the verbal description render what participants experience - that is the atmosphere in which they were immersed and the meaning they attributed to the experience. Combined with this is other paratextual material such as films, photographs, written documents, declarations and interviews with those responsible for the actions, members of organisms and associations as well as casual spectators and suppliers of material.

5. A Food Sovereignty text

A textual *genre* of Food Sovereignty widespread in Europe is the CSA (Community Supported Agriculture), a system of mutual agreements between farmer-producers and communities of supporters, generally city dwellers that pre-purchase a certain amount of goods before sowing time that will be delivered weekly during harvest. Together they establish the quantities and varieties of agricultural or farmed goods to be produced (fruit, vegetables, pulses, eggs, meat, cheese, etc.) and the means of either delivery or direct pick-up from the farm. The aim is to support healthy, fair, local agriculture, smoothing the path of the producers who work knowing they have already sold their harvest and do not have to submit to the fluctuations of the market and the risk of unsold produce. Moreover, they are not forced to chase consumer trends or disproportionately increase production by using chemical fertilisers and pesticides. On the other hand, buyers are ensured a constant annual supply of quality goods at an agreed price. Cutting out the intermediary steps of distribution, display in shops and supermarkets and packaging contributes to lowering the price, reducing environmental pollution and limiting the commercial market. The best-known cases of CSA today are the French AMAP (*Association Maintien Agriculture Paysanne*) which comprise several thousand groups coordinated at a regional and department level.

Making a CSA agreement constitutes an action that can be described as an *utterance* of the overall Sovereign Food text. The Empirical Author of the action is the *entity charged with planning* the agreement, for example, small independent producers of a region or a group of organised buyers. The Model Author is the *operational unit* that organises a project that makes sense

in the specific local area, that is, the set of actors that come together to establish an agreement in real, specific circumstances: the operational unit is composed of some producers and users who, by working together, become a single organism of “co-producers” distributing roles and tasks among themselves. The Model Author is in fact the set of *producers and users* that, among all of those present in the area, established an agreement, recognising its merits and benefits. Thus, the Empirical Reader refers to all those organisms that are *potentially interested* in the action, but the Model Reader is those who actively participate in the agreement and enjoy the benefits. These *benefits* (economic stability and guaranteed sale on one side, quality goods and price controls on the other) are the prime meaning of the utterance, the direct interpretant of the action. The text of the action refers to the *material conditions and technical mechanisms* drawn up on the field, in this case a series of agreed physical actions and organised interactions to bring about the exchange, which is the direct material of the text. The text of the action is therefore (a) the *actual dynamic* of production of agricultural goods which includes, for example, the choice of non-GMO seeds, how seeds are acquired (free trade or rural banks), the *material work* carried out on the field (work techniques and natural fertilisers), the *participation* of users in sowing, harvesting or irrigation, the rotation of crops etc.; (b) the *agreement* established verbally and the forms and timeframes for scheduled payments; (c) the *mechanics of harvesting* goods and their transport that could envisage, for example, the participation of the user and the absence of packaging; (d) the *mechanics of delivery* of goods or their direct collection by the users; (e) the *treatment of land* in the winter period.

The interpretation of the text is the actual *performance* by the Model Reader of what was laid down and agreed: the dialogue to establish the detailed provisions of the agreement, travelling to the work field, producing the agreed quantities in the agreed manner, transporting and distributing goods, treating the land, etc. If the meaning of the utterance refers to the initial direct results obtained by the contractual partners, the concatenation of interpretants follows in the unlimited semiosis: the *reduction* of the commercial exploitation of goods and reducing commercial chains themselves to sale space; reduction of the packaging industry, reduction of the long-distance transport industry and petrol consumption; elimination of the advertising and promotional industry. The subsequent interpretant is the reciprocal social *trust* created between producers and users, that is, the social relations produced and created by an economy of “reciprocity”. The logical final interpretant is the stable *improvement* of conditions of well-being, a condition of life in which the exchange of goods primarily generates social relations rather than consumption or financial income.

6. Transformation of semiotics: innocent texts and colluded texts

Semiotics is continuously changing its tools and models and forging ones that are suitable to the era in which semiologists live and work. In relation to historical and cultural eras and contexts, in the past relevant studies focused on mass media, aesthetic texts and literary works, journalistic and televised information, painting, daily objects and practices such as cooking, media tools that constitute strategic support to the consumer society and commodification like fashion and advertising, and so on. The current outlook is suitable to an era in which the critical crux of the historical present is tied to the debate on models of development and the relationship between development and well-being, both in western countries as well as in impoverished countries.

Therefore, semiotics maintains its nature as a means of describing and analysing the tools and conditions that characterise the production of textual objects in contemporary society. However, it highlights their quality as tools of functional support or natural logical collocation in economic and cultural strategies and ideologies, in which they play a role in supporting and

actually structuring the ideologies and visions in which they are immersed. In fact, texts are not innocent, they collude with one or other vision of the world. Thus, semiotics retrieves its quality of demystifying social action in relation to the processes of social construction of images of reality. Comparing different conceptions of development and wellbeing, and different economic and political choices made when faced with “globalisation”, which is a system of international markets managed by multinational companies rather than governments, is the fulcrum of what will occupy our efforts in the coming decades, with the formation of new cultural paradigms that are only nascent today. In this case, by reinterpreting the original project of critical science of signs, semiotics can usefully turn the explanatory capacity of its tools and its models to the contemporary world’s requests.

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IS THE AMERICANISATION OF THE INTERNET A FORM OF SEMIOTIC COLONIALISM?

Kyle Davidson

University of Tartu, Estonia
kyle.davidson@ut.ee

Abstract

For the most part, the World Wide Web was praised as heralding a new era of enlightenment, making cheap access to the world's knowledge available to everyone, bringing the promise of a space where one would be free to express their individualism and connect with others who want to share or learn about your culture.

However, given the rigidly Western symbolism of the language of technology, is there a danger of corrupting the information that the rest of the world produces, through forcing other cultures to conform to the West? This framework - this semiotic framework put in place largely by America - purports to be focused on user efficiency and ease-of-use via familiarity across the web, but is it just a form of colonialism? Is it easier for the world to interact with technology or is it easier for the West only?

My paper will look at this symbolic language as a tool of digital colonialism and examines the possible impact it will have on a generation of children growing up in a world where the internet is ubiquitous and necessary. These interactions could be a positive sharing of experiences, or it could be a negative reduction of individualism.

1. Introduction

Many countries play key roles in the development of the internet, but no country has created as much that dictates the overt environmental structure of the online world as United States have. Are such design trends a one-way domination of the networked society by the juggernaut of online innovation? Or is it a global, two-way sharing of ideas, knowledge, and values?

This text will be looking at the symbolism and structure of the underlying computer languages and architecture, considering their effect in creating an Americanised internet, spreading Western symbolism in a kind of "semiotic colonialism" of global information. This paper

draws heavily from *Semiotics of Programming* (2010) by Kumiko Tanaka-Ishii, which has greatly influenced this author and is recommended for more depth.

While these questions about globalisation are reminiscent of arguments made about Coca-Cola and Nike, the internet is more pervasive. No one needs soft drinks or designer sneakers, but people increasingly do need the internet to function in the modern world.

Walter Mignolo's (1941-) work on colonialism and modernity is of great relevance to this problem. Very briefly, he states the world is entering an era of polycentricism where capitalism is not controlled solely by the European countries (Mignolo, 2012). This essay is not a critique of Mignolo's work, but rather it seeks to append the discussion from a semiotic perspective. Alongside the polycentric order and the single unifying thread of capitalism, there is the online world. This is, arguably, the biggest source of information, authoritarianism, empowerment, and economics in the modern world.

It could be said that the internet is a key moment of enunciation for Mignolo's statements of control. This era of internet growth is America's (and Europe's) latest attempt at the creation of the capitalist "more" that underpins Western economies. The obtaining of physical "more" (wealth from food, land and consumer products) is becoming increasingly finite with the decrease in resources and cheap labour, and the increase in global players to the market (China, Brazil, India and so on). The online control of infrastructure, knowledge and values, thus allows Western capitalism to continue its growth through the colonial model, using the signs and systems of the internet.

2. Technology and semiotics

Within the browser window or internet application, there are several different languages operating to turn a pre-constructed static concept into something a person can interact with at a visual level, and which can be updated dynamically by the developer. Each element of code serves to anchor the frontend signs, with all the accompanying implications such as position dictating a way of reading the website. Top-down, left-to-right and so on are tropes we see universally online although not all cultures read in such a manner.

When the programme is run, or the website is opened, the code is implemented. This implementation falls into two rough divisions; either the code is interpreted by the browser window and the translated code displayed on the screen or it is compiled by the programmer into a file that is run by the user on their machine without modification. These divisions are not quite that clear cut or defined, but for our semiotic analysis, they work.

The concepts of implementation lead nicely to Ferdinand de Saussure (1857-1913) and Charles Sanders Peirce (1839-1914). Initially, it could be said that programming languages are a system of interdependent signs that do not require any outside framework – much like mathematics, and in line with the Saussueran view of arbitrariness of the sign (Saussure, 1959). It does not matter what the code displays literally, as it is all a signifier to the signified 0's and 1's of the computer code. The syntagms the user types are the symbolic representation of the computer output you wish to achieve. This process is not reversible; the machine code at output cannot be the conceptual signifier for the programming language. Much as the paintbrush can tell something of how the painting was constructed, it cannot convey the meaning of the picture.

The visual output of a website on the screen is the signified of the browser window code so if we are taking a diachronic look at dynamic mark-up languages like HTML, there is a direct signified/signifier relationship to the language that alters as the developer makes changes.

The syntax of website HTML is responsible for the mythological field underpinning most, if

not all, of the internet framework. Whilst the concept of the myth is not innate within the sign (the sign is arbitrary remember) it gains meaning by being or not being with other signs (Barthes, 1991). The finite selection of terms available within the structure exaggerate this exclusivity, restricting the metonymy of the linguistic register – ostensibly for universal comprehension but there are differences with statement terminators and so on. All choice suggests value so the choice of “width” over *largeur* is a social valuation. There is then, the suggestion that anyone who does not use “width” is wrong and not part of the official language.

Edward T. Hall (1914 – 2009) identified several differences between cultures, most notably high context and low context societies. High context cultures are less explicit, use more metaphor, and focus more on relationships (Hall, 1976). Therefore, there is more emphasis on verbs rather than objects. However, some programming architecture is, by its very nature, object-orientated. With these languages, there is less focus on the relationships and context. Thus, high context societies may be better with architectures that focus less on individual design and more on the contextual links between sites and pages. However, as American companies push forward their own design ideals, it highlights a dichotomy with what is considered “good” software/internet design.

From a Peircean perspective, we can start applying a level of interpretation to the equation. The compiler becomes the method of interpretation that leads to the interpretant. It should be noted the interpretant is not a method of interpretation, but rather than having the dyadic signifier/signified relationship, Peirce added the third element as a kind of concept (Short, 2009). Thus, we have the code sign, the object to which it refers (the specific output action) and the interpretant that creates the concept – “Print f parenthesis, an integer” is the sign, the object is the display of the integer and the interpretant is what that number means to the viewer on the screen. However, if we chain together Peirce’s triadic model, then the interpretant becomes the sign of the compiler’s next action, which is to execute the programme in machine code, with the chain continuing *ad infinitum*.

Ruby, written by Yukihiro Matsumoto of Japan, uses primarily English syntax. Ruby is an imperative programming language rather than declarative – that is, it is written like a recipe focusing on what the programme should do sequentially rather than what the computer is to achieve ultimately. In declarative programming, such as database languages and HTML, there is simply an instruction to display the page or perform the query and what happens beyond that is not the concern of the language. The term for this is “side-effects”. Imperative languages allow for modification to a user’s interaction while declarative programming does its best to limit such alterations. Ruby is high context then, but with multi-paradigm aspects that suggest a culture-straddling universality.

Dolittle is an interesting language because it is constructed with Japanese Kanji. Building a simple programme using Dolittle highlights a significant amount of English labelling around its environment. By programming in a primarily logographic syntax, one can experience the Saussurean arbitrariness of the sign, although one can argue that the word “Print” – which does not mean anything to do with printers in software development – is as arbitrary a sign as the Kanji is to non-Japanese readers.

Peirce might posit that both the word and the Kanji have a second-degree relationship, to those that can read them – as with all indices (Short, 2009, p.49-50). Therefore, the difference between using Kanji and English seems to exist within that process of translation where the interpretant exists.

The idealised work environment of the programmer is an abstraction –the programmer does not need to write in machine code or create each website library by hand. There exists an abstrac-

tion layer, which allows for transformations between code and images. Combine this with the process of reinterpretation that is going on with the compiler, the limiting or not of side effects, then is the programme that is displayed the original programme or is it a simulacrum constructed via other people's (Westernised) code? Where is the reality of the programme – is it the preview panel the programmer uses, the original paper and ink sketch or the viewer's interpretation on his individual hardware/software combination? Despite attempts to make every platform's application a clone, there are differences between processing speeds, graphics and icon libraries.

If we are distributing simulacra that are constructed merely within a framework of suggestions (albeit quite strict suggestions) then programming is akin to a post-modern constructivist process where meaning lies with the viewing of signs that point towards an ideal reading which the programmer envisioned. We can often tell from the first page of a novel what genre we are reading because of the signs and our own interpretation. Thus, if websites or software uses non-native cultural signs the interpretation will be skewed from the ideal. This is not merely the choice of icons but the placement and relationship of the components at a philosophical level. The technology is new enough that iconography can be iconic – maybe indexical – but rarely symbolic. It is a metalanguage of signs. How one interacts with and within the creative space is still culturally sensitive and symbolic due to the wide connotations.

Programming is not quite like maths, where numbers and sign are ubiquitous culturally. The future of programming is moving towards drag-and-drop interfaces which are fine, but if the only paradigmatic switches one can make are Western based (chronotropic elements like left-to-right, top-to-bottom scrolling, fonts that work best for the Latin scripts and so on) then it's still restricting the field to a specific linguistic community (Peirce, 1868).

3. Programming culture

The signs of the programming architecture might individually represent English syntax, but the Western colonialism really comes in through the relationships between aspects of the programming code. The words are merely signs, interpreted as they are by English speakers to be reminiscent of that language and its values. But even non-English speakers, learning the language as set of codes and rules, will still feel the influence of low context relationships within these languages unless the languages offer flexibility.

While paradigmatically, programming languages offer a certain freedom, syntagmatically they become increasing fixed and rigid the closer to the machine code you get. There are some languages – Python for example - that attempt a natural language feel but it is cosmetic and there are still very rigid syntagmatic rules to follow. This is not necessarily a problem, we are creating logic not literature many would say, but there is a cultural bias that allows Western developers to more easily translate their pictographic diagrams into a codified computing syntax.

Open source, community-managed languages seem to be more authentic - more analogue - since one can be involved within creating the libraries, the compiler and so on. The proprietary languages are the preserve of the digital corporations. Chandler discusses the notions of privilege within language about cultural relativism, providing a simple but effective introduction to the problem (Chandler, 2017).

In practice, most languages fall somewhere in the middle, but we are witnessing a shift in boundaries where companies are encroaching on the open source and vice versa. This debate is extremely reminiscent of what occurs in the art world when a transient, unofficial object becomes official and durable – Duchamp's *Fountain* for example. The effect for us is that there exists an authoritarian code and a hacker code, with different mythologies attached to each. In

colonial terminology, it could be akin to using a patois for people who are forced to conduct business in a foreign tongue like English.

It is obvious from the first glance that most computer languages are Anglocentric. It is only relatively recently that Western computers have been able to display Chinese, Japanese or Korean languages, let alone allow one to programme in them. It is a bit like providing printing presses to Arabic or Asian cultures but only including the letterpress blocks for A – Z – it is an overt, almost aggressive act of defining the “correct” language of the programming world.

American and European developers, following the American-English structure, wrote the main languages. Most of the keywords and element names being written in the American dialect, making it the “legitimate” language as Pierre Bourdieu (1930-2002) comments. Roland Barthes (1915-1980) also discusses this legitimising language, with the trial of the peasant who was effectively dehumanised by use of an external frame of reference (Barthes, 1991, p. 43-46). The language of the middle class is not his language. This is the same for our Anglocentric code when given to a non-bilingual/non-English speaking programmer. However, Bourdieu points out that once you are a part of legitimate group, you have potential to open the definition up. “Each member of the group is thus instituted as a custodian of the limits of the group: because the definition of the criteria of entry is at stake in each new entry, he can modify the group by modifying the limits of legitimate exchange through some form of misalliance” (Bourdieu, 2016, p.191).

During the design stage, a programmer or designer can use pseudocode to model the programme’s structure prior to building it. This pseudocode omits some of the machine specific logic and instead focuses on being quickly readable to the human. The structure very much depends on the individual writer so there is an interesting opportunity here to imagine that this is the “beginning” of the semiosis that takes a programmer away from her natural language and her own cultural linguistic syntagmatic structure. She is learning a second language, building from her native language, but it is a language that is semiotically mediated through the English signage, even if it is not English *per se*.

4. Problems and programming

The problem with languages being constructed from an Anglocentric starting point is that English is an imperialistic language, and to many it represents oppression and a loss of individual culture (Corradi, 2017). It automatically puts the Anglicised linguistic communities further into the chain of meaning since the step of bilingualism is missed. If one translates the word “string” into Japanese Kanji and then googles the result, the first page contains a Wikipedia entry on strings in programming languages – however it is entirely written in Kanji. The computing languages used as examples include FORTRAN and Pascal, whose syntax is English.

Nevertheless, the Pascal wiki is translated into several languages – including Chinese and Russian -that begs the question, can we not create a natural language programming language that has its own interpreter, and would such a translation negate the authenticity of the programme? The Sapir-Whorf hypothesis, while not rigidly applied any longer, still flavours the semiotic analysis with the idea that the language affects thought as well as thought affecting language – and the construction of reality that this then leads to would be akin to the final programme displayed upon the screen (Chandler, 1994).

The meaning and sign may be indexed but the connotations existing in us, the viewer, are dynamic and volatile (Chandler, 2017). Development of e-commerce, big data analytics, personal websites and so on should be driven by the user and the first user is the developer. We

are at risk of sleepwalking into an online homogeneity, based around the underlying “American-ness” of the internet.

Denying users an experience that they dictate at a signifier level - as opposed to being led to think and act by the signified of another - is increasingly an issue, as “code” becomes the second most widely learned second language. Social technology no longer augments society but is part of people’s very identity, it is affecting how we think and act, so we should be wary of ignoring the underlying semiotic codes (Fischer and Reuber 2011, Meyrowitz 1986, Shrum 2008).

The impact upon future generations will either mean they lose their cultural identity to some degree as they find their online world mediated by a semiotic framework that is Westernised, or they will struggle to interact as harmoniously online as native English speakers will. These non-native speakers do not necessarily need to be resident in non-Western countries either, which increases the “us” and “them” mentality within their online semiosphere (Lotman, 2005). This is akin to the difference between Kull’s idea of Umwelt creating the semiosphere from within and Hoffmeyer stating the Umwelt must fit within the limiting space (Kull, 1998). This perhaps best sums up the future dichotomy of online interactions originating from this paper’s assertion that the architecture of said space is Westernised. While Kull’s theory seems more likely to occur regardless (all populations retranslate and affect eventually), the extent to which all Umwelts can contribute to the semiosphere is perhaps the question – as it was/is in all colonised populations.

With an increase in non-American/European programmers could potentially come a lessening of Anglocentrism, creating a two-way sharing of cultural symbols via technology. Of course, this could also be an example of using foreign labour within the American/Western (economic) framework that, as Walter Mignolo has stated, epitomises colonialism (Mignolo, 2011).

Mignolo sees a process of “dewesternization and rewesternization” alongside a “global political society” emerging from the recent revolutions and populist uprisings that have been occurring across the globe (Mignolo, 2012). However, any global movement to combat colonialism by either the West or from, say, China, will require use of the internet and infrastructure that is, for the most part as we have just seen, infused at its deepest level with the values and symbolism of the West. As Mignolo writes, “A multiplicity of options within capitalism does not really create more freedom. A multiplicity of options does not benefit the client. It is the company making the products that benefits” (Mignolo, 2012: n. p.). The companies in this case, happen to be mostly American.

Mignolo’s prediction of a polycentric global economy will suffer if the only technology linking them is americanised. It is like having many countries export and import goods, but only using American ships, dollars, and speaking English. The future is interesting, and it depends greatly on whether the companies of the internet transcend Western-only values and what the impact is from any opening of the Chinese State internet – the so-called Great Firewall that keeps Western influence out of their technology. A two-way relationship with ideas being shared and a middle ground forming (much how English was formed via influences from multiple other languages) could lead to a truly global internet – a semiosphere, (a space of semiosis that can only exist through its own languages) that evolves with, rather than confines the user.

As Ruby hints at, there are possibilities for multi-paradigm technologies that cater across the spectrum of design. The backend architecture does not need to be as rigidly Western as it currently is. Once back-end developers from around the world are learning to program semiotically, then the designers of the front-end can start to apply cultural individuality without compromising the technical aspects of the site.

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NEWS FRAMING: A SEMIOTIC APPROACH

Jan Podzimek¹

Charles University, Faculty of Social Sciences, Department of Media Studies, Czech Republic
jan.podzimek@fsv.cuni.cz

Abstract

This paper aims to explore the potential of a semiotic approach to the concept of framing, because it is one of the most important concepts in research of media contents, especially of the news. Framing can be defined in short as creating a context leading to a specific sort of semantic biases, to stressing certain values. It is closely connected to the well-known concept of agenda-setting, in which it plays its part. Because framing is a matter of media contents, there are many ways to enrich and deepen its research using various semiotic approaches. This paper will introduce the main solutions already being used, and also outline some new possibilities.²

1. Introduction

Researching contents using semiotic analysis have now become a rather common part of media studies. What we can meet much less often is the intent to use the semiotic apparatus to explore the media-science concepts and theories using a semiotic apparatus. This study is one of such efforts. Its aim is not only to explore the concept of *framing* – so important for the media studies – and to show its analogies with selected semiotic concepts and theories, but also to stress this way the possible benefits for media studies. Because if they focused on searching deeper analogies between their concepts oriented on media contents, and some semiotic theories, it could be surely enriching.

2. Definition of framing

As I already mentioned, framing is one of the crucial concepts of media studies. However, for the needs of this study, we do not need to make any broad media-science exposition of this topic, but only its basic description, ranging from descriptions of its functioning to its main definitions.

Let us start with one comparison: While *agenda-setting* can be defined as influencing audiences through an emphasis on certain topics just by their selection and coverage, *framing* is related to the way of grasping of what is being spoken about, i.e. influencing audiences through

¹ <http://orcid.org/0000-0002-8547-8948>.

the way an issue is characterized in news reports.

In this respect, Scheufele and Tewksbury speak about a “distinction between *accessibility* and *applicability* effects” (Scheufele & Tewksbury 2007: 15). They explain that “even the most basic priming studies in social psychology demonstrate that inapplicable yet highly accessible constructs are unlikely to be used in social perception and judgment” (Scheufele & Tewksbury 2007: 16). For example, Semetko and Valkenburg researched five news frames: *responsibility*, *conflict*, *human interest*, *economic consequences*, and *morality*. They came to a conclusion that “[s]ober and serious newspapers and television news programs more often used the responsibility and conflict frames [...], whereas sensationalist outlets more often used the human interest frame” (Semetko & Valkenburg 2000: 93). Certainly, this conclusion is not very surprising, but it demonstrates that the same topic can be approached from many perspectives – i.e. frames – and that these perspectives are biased.

Most often we can meet two types of definitions of framing. One focuses on framing as a one-time action or change, and it might sound like this: “[framing is] the selection of a small number of attributes for inclusion on the media agenda when a particular object is discussed” (McCombs et al. 1997: 704). The second type focuses on framing as a long-time phenomenon connected more with a social discourse than with the particular object being discussed. An example of such definition is this: “[framing manifests itself as] persistent patterns of selection, emphasis, and exclusion that furnish a coherent interpretation and evaluation of events” (Norris et al. 2003: 4).

2.1. Nature of framing

Thus, we can see that the frames are certain structures present in texts³. The first question we must ask in this context, is, what do frames do in texts, what is their influence? Many researchers have been looking for the answer to this question, so we can say quite a lot about it. Among the most important notions belong these that “[frames] simplify, prioritize, and structure the narrative flow of events” (Norris et al. 2003: 10), that “[frames] help audiences ‘locate, perceive, identify, and label’ the flow of information around them” (Goffman 1974: 21 in Semetko & Valkenburg 2000: 94) or that “[frames are] ‘personifying’ political conflicts to make them more comprehensible” (Norris et al. 2003: 14).

However, the effects are not everything. The second topic we must explore in connection with frames is their nature. Here, the answer is not as clear and self-evident as in the case of their effects. Still, we can learn some important things, starting with the statement that: “In ‘one-sided’ contexts, conventional frames become so widespread within a society that they are often regarded as natural and inevitable” (Norris et al. 2003: 14). This notion implies two crucial things.

First, it is necessary to ask a question of participants. Frames are implanted in texts by their authors and absorbed from texts by their readers. Neither side does it consciously – even when an author is intentionally biasing to something, or when a reader reads in a very critical way, their attention is focused only on a few selected frames. (That is understandable, see below.)

Second, the abovementioned definition gives us a basic support for putting frames into semiotic context.

2.2. Media frames or semiotic frames?

Although “frames” and “framing” are terms used mainly in media studies, their nature is – as we will see – formed by the nature of *semiosis* itself. Even though semiotics might do without frames – because it has a few similar concepts, the frames can hardly do without semiotics. (See Kalaga

3 By the term “text” I mean not only written word, but any message in any sign system or combination of more systems (spoken words and gestures; image and sound etc.).

2016: 128.) Frames are some interpretations or points of view, cores of which are constructs analogous to Peirce's *interpretants*, which makes them essential for meaning-making.⁴ Similarly to signs in a natural language, frames are arbitrary and shaped by culture and society, too. Still, some of them have surely some natural foundations for which we could call them "motivated". And then, "framing" can be defined as – usually long-term – pushing through a certain point of view.

The relation of representamen and interpretant (or signifier and signified) is in the case of frames much more free than in a natural language where one interpretant can be linked only to a few representamens (synonyms), and one representamen can be linked only to one or a few interpretants (homonyms). The reason framing is more free in this sense, is the fact that representamen is every text (or its part) which offers some framing of a given topic – and that is, in fact, each text which includes the given topic.

3. Second-level operations

The fact that certain frame can be, like an interpretant, expressed through an almost unlimited amount of representamens, does not mean that the application of Peirce's model is somehow flawed, but that we cannot use the same criteria here as in the case of language signs. (Even though there is a correspondence in the issues of arbitrariness and motivation, as was shown above.) While language signs work on the primary semiotic level, frames work on the secondary level which makes them similar to the Barthes' *myths*.

3.1. Frames and Barthes' myths

Barthes describes the function of myths that way that a myth takes some primary-level sign and makes it a form, which he fills with its concept (Barthes 2011: 110-118). In the case of frames, it is similar, and just the aforementioned possibility of representing a frame by a virtually unlimited amount of representamens/texts is proof that interpretant or rather the signified of a frame⁵ operates not on the primary, but on the secondary level. (This analogy is also confirmed by Kalaga 2016: 132.)

It might look that I commit a logical mistake here – that I confuse "content" (or more precisely *concept*, as Barthes says) and "form"; that frame as some point of view should be only the form. But no, the frame equals to the concept and the particular framed story is the form – just like in the case of Barthes' myths. After all, the point of the media is not to tell *a* story, but to offer stories continually. It seems that even in this context we can find an echo of the famous McLuhan's words that "the medium is the message" (McLuhan 1991: 20).

It is also necessary to say that the primary-level is never fully suppressed (Barthes 2011: 116) and the primary-level signs chosen for representing the frame always have their effect influenced by their specific connotations which might have both positive and negative impact. Grabe and Bucy offer us a rather thorough analysis when they explore a visual framing of elections in their book: "how comfortably candidates appear to "wear" their visually constructed frames; the better the fit, the more likely voters are to accept this construction (artificial though it may be) as natural and veracious" (Grabe & Bucy 2009: 86). Exactly this imaginary naturalness is, after all, one of the main features of the Barthes' myths.

4 One proof of this being the conference "No Meaning without a Frame" organized in 2014 by the University of Tartu.

5 For the benefits of this study, I switch between Peircean and Saussurean terminology. I believe the disparities are not important here, whereas using both the traditions is surely contributive.

3.2. Framing as a second-level agenda-setting

In one more respect, the framing operates on the second level – it can be described as a second-level agenda setting. Let us have a look at the following definition: “The first level of agenda setting is, of course, the transmission of *object* salience. The second level of agenda setting is the transmission of *attribute* salience” (McCombs, Llamas et al. 1997: 704; emphasis mine).

By this distinction, the authors improved and extended the older approach of Bernard Cohen. They write: “[...] Cohen noted that while the media may not tell us *what to think*, the media are stunningly successful in telling us what to think *about*.⁶ Explicit attention to the second level of agenda setting further suggests that the media also tell us *how to think* about some objects” (McCombs, Llamas et al. 1997: 704).

Although this conception seems quite thought-out, especially with the aforementioned extension, still it raised some opposite attitudes. Scheufele writes:

Empirical work by Nelson, Clawson, and Oxley (1997) and Nelson and Kinder (1996), however, directly contradicted the theorizing put forth by McCombs and his colleagues. Although Nelson and his colleagues did not completely reject the notion of frame accessibility, or salience, and their role in framing processes, they suggested that perceived importance of specific frames, rather than their salience among audiences, is the key variable (Scheufele 1999: 116).

The main difference between the terms “importance” and “salience” lies in the field of consciousness – “salience” is an unknown distinctiveness of a feature or an object, whether “importance” is a product of conscious individual actions or social influence.

No matter which side do we incline to, it is clear that framing – unlike the (first-level) agenda setting – focuses much more on features than objects, i.e. on *how*, not on *what*. Also, it is clear that operation of framing is influenced by various social factors.

4. Framing and a social reality

Framing is something settled, habitualized, even with institutional forms – not in the meaning that it would be expressed explicitly, but it has its standard and wanted, even codified forms within the media routines. For this reason, I think, it is quite valid to say that framing participates in the social construction of reality, as we know it from Berger and Luckmann (1999).

About a substantial participation of framing on the social construction of reality also speaks Scheufele (1999: 104-106). And not only this, he even offers us a model of how a frame is working. He distinguishes four phases of the cycle of framing: 1. frame building, 2. frame setting, 3. individual effects, 4. journalists as audiences (so-called “process model of framing”; 1999: 114-118). The last point is important because it shows that journalists are members of the audience, too, and they not only influence but they are influenced at the same time.

This is closely connected with the question of where the frames are actually located. Entman states four locations: 1. *author's mind*⁷, 2. the *text*, 3. the *receiver's mind* and 4. the *culture* (Entman 1993: 52-53). And the last point, the culture, is so crucial for the whole process because it is where all the participants of communications draw their frames from. “The *culture* is the stock of commonly invoked frames; in fact, culture might be defined as the empirically demonstrable set of common frames exhibited in the discourse and thinking of most people in a social grouping”

⁶ (Cohen 1963: 13).

⁷ Entman writes “communicator” (1993: 52), but I prefer the term “author”, because there is also a “receiver”, and the term “communicator” sounds like that it can mean both author and receiver.

(Entman 1993: 53). And as can be concluded from Berger and Luckmann (1999: 128-144), participants of communication slowly change their culture (and themselves) by their communication.

The term “framing” carries some negative connotation because it is used to be interpreted as a negative bias, whether of hermeneutic or social nature. In other words, there is a reproach that frames take part in either distorting the “objective reality”⁸ or – and mainly – in pushing through and preserving the dominant paradigm at the expense of points of view of those groups who are not dominant (in social, ethnic, gender or other way).

So, however, it might seem that the influence of frames is devastating and that there is no escape from them, their connection with the effort to preserve the status quo offers certain direction or solution. On the individual level, the awareness of frames is the most helpful, as well as researching them. On the level of society, the remedy seems to have the form of long-term effort for elimination of certain stereotypes. As Entman writes, clarifying the term “framing” might have a positive influence on the areas of 1. audience autonomy, 2. journalistic objectivity, 3. content analysis and 4. public opinion and normative democratic theory (Entman 1993: 56-57). The benefits for the first three areas are evident, I suppose. The last point regards the possible use of framing as a tool of manipulation and its influence on the nature of democracy. However, Entman writes that “attempting to determine which of the differently framed opinions is the closest to the public’s “real” sentiments appears futile” (Entman 1993: 57). That confirms the thesis presented in this paper that frames are – (not only) in relation to the reality – similar constructs as Peirce’s interpretants.

5. Conclusions

I hope that in this paper I managed to prove the claim that “framing” is a term suitable not only for exploring biases in media contents but that from its very nature it is something closely related to the principle of semiosis itself. Because of this, frames are *necessary* to express any meaning. Just as natural languages, frames also seem very natural, even though they are mostly arbitrary.

And just as signs in general, also, frames can be intentionally used for persuasive or manipulative purposes. And this is probably the reason for their close connection with the media – so close that we can say that framing is the basis of the language of the media. Still, the results of framing differ according to the type of the media.

Yet, it is not a part of the media in the usual sense – newspapers, radio, television, Internet. Frames are part of any social communication in general, and in this sense, we must explore their part in the social construction of reality. Nevertheless, it does not mean any antithesis of a free will, because the nature of framing when *creating* content is determined by both the nature of an institution and an individual (similar to the gatekeeping). And also there is an important fact, we mentioned before, that framing is a cycle with several locations and at least two participants whose points of view on the content – and on the frames, unconsciously – differs.

Frames are in a certain sense similar to Barthes’ myths because they connect the sphere of real-world objects with the sphere of their socio-cultural interpretations and ideologies (and discourse, paradigms etc.). Just as myths, so too frames operate on a secondary level and they deprive first-level signs their meaning to give them a new one. In this sense, frames are social constructs research of which in media studies could be conveniently enriched thanks to the aforementioned (and other) semiotic concepts. Also, it is a proof of the fact that semiotic theories might stand as an essential part of applied researches, for example of those dealing with framing in media studies.

8 Whatever it may be.

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LA VILLE CRÉATIVE. ESPACE URBAIN, PÉRIPHÉRIE ET MÉMOIRE COLLECTIVE DANS UNE PERSPECTIVE INTERDISCIPLINAIRE

Cristina Greco

University of Business and Technology, Jeddah (Saudi Arabia)
c.greco@ubt.edu.sa

Abstract

Urban creativity presents itself as a constantly changing expressive form, characterized by a multiplicity of forms and supports. We could talk about a translation process that develops from the relationship that urban creativity establishes with other elements of the contemporary city. The paper aims to analyse the relationship between visual perception, imagination, memory, and living urban space in the transformation of local identity and in the re-construction of collective memory. It focuses on the urban periphery exposed to marginalization processes and to criminality, such as Tor Bella Monaca, a neighbourhood on the East side of Rome. For the study of such a problematic object, the research — still ongoing — applies the constructivist paradigm into an integrated approach of qualitative analysis combining the semiotic study of space as a significant system, the effects of meaning produced by creative interventions, and the ethnographic method. Field visits, in-depth interviews and the keeping of a field diary have shown the potential of this interdisciplinary perspective, which allowed positing a hypothesis about the role of creativity and on how imagination urges people who live and cross those spaces to have the kind of experience that creates new frameworks of meaning.

1. Introduction. Art urbaine et régénération des banlieues : d'une étude flexible

Cette contribution fait partie d'une recherche en cours sur l'art urbaine et d'un laboratoire universitaire sur le *street art* comme objet d'étude¹, qui utilise le paradigme constructiviste dans

¹ Le laboratoire d'ethnographie urbaine a eu lieu en mai 2017 dans le cadre de l'offre de formation du CorisLab (Sapienza Université de Rome), le laboratoire de communication et recherche sociale qui apporte un soutien à la recherche scientifique et à l'enseignement des différentes méthodologies dans les domaines des sciences sociales. Le laboratoire s'adresse à des étudiants en premier cycle et doctorants.

une approche intégrée d'analyse qualitative qui combine l'étude sémiotique de l'espace comme système signifiant et les effets de sens produites par des interventions artistiques à la méthode ethnographique, caractérisée par une instance opérative d'extrême pragmatisme et une focalisation progressive (Hammersley 1992 : 63). Le travail de terrain comme activité d'observation, les histoires de vie et les entretiens informels ont montré le potentiel de ce point de vue, qui a permis de formuler une hypothèse de sens sur le rôle de la créativité dans un espace urbain à la périphérie de Rome.

L'exemple du *street art* est très intéressant, parce que, dans un cas comme celui de Rome, complexe et contradictoire, le *street art* et la créativité urbaine en général sont souvent encadrés par des discours stéréotypes liés à la régénération des banlieues, qui omettent un regard plus profond sur les mécanismes et les dynamiques d'interaction, ce qui permet de signaler les changements et révéler des interprétations non conventionnelles.

Parler de *street art* aujourd'hui implique la considération d'une pluralité de formes, supports, styles, méthodes d'interventions, qui sont fondés sur l'opposition entre la durabilité du support et la transiitivité du texte artistique, donc de son être éphémère, y compris en ce qui concerne les travaux artistiques spontanés ou commandés.

Au moment de son arrivée dans une zone urbaine, le *street art* est déjà créateur de signifiés, qui viennent soit par le type de destinataire de l'intervention artistique, par exemple un commanditaire institutionnel, soit par le choix du lieu de sa parution, du support, d'une position déterminée, d'un moment déterminé. On a donc décidé d'entreprendre une étude pour examiner la relation entre l'art et le territoire, s'il est expression de l'identité locale, s'il témoigne la mémoire collective du lieu, s'il contribue à re-communiquer les banlieues, si les résidents y accordent des valeurs différentes de celles du touriste ou visiteur, ou si par ce biais ils refusent et s'opposent à une stratégie dominante. Pour cela, il faut prêter attention aussi aux processus de *nomadisme contemporain* : les interventions de *street art* dans les banlieues romaines ont généré nouveaux accès par différents sujets qui ne partagent pas nécessairement les mêmes compétences spatiales et temporelles. Tout cela souligne la nécessité d'une étude flexible qui peut nous permettre de distinguer le flux d'informations et de mettre au point une stratégie de multiplication des compétences afin de tracer les horizons de sens dans lesquels inscrire les interprétations (Callari Galli, Scandurra et Riccio 2007).

La sémiotique topologique de Greimas nous permet d'analyser l'articulation spatiale et de reconnaître son efficacité symbolique. De plus, l'analyse des qualités sensibles des objets et l'étude des composantes plastiques et figuratives nous permettent de saisir les stratégies de communication et construction d'une mémoire du lieu des objets artistiques, aussi par rapport à la formation de l'identité du quartier.

Face à un si vaste objet, il faut tenir compte, comme Greimas dit — dans *Pour une Sémiotique topologique* —, que « toutes les pratiques sociales organisées en programmes du faire portent en soi la signification comme projet et comme résultat, et inversement : toute transformation de l'espace peut être lue comme signifiante » (1976 : 134). C'est une complexité qui altère la hiérarchie en termes d'importance des éléments de ce texte stratifié dans le temps et variable dans l'espace qui est la ville, et qui retrouve une piste intéressante dans la réflexion de Pezzini sur le paysage sémiotique : « En outre, la ville est l'objet des langages qui parlent d'elle, qui 'la parlent', qui l'analysent et qui l'interprètent, en lui donnant une nature et une personnalité sémiotique ; en même temps, elle est d'une certaine manière un sujet de langages, elle est l'expression et la productrice de cultures qui lui sont inhérentes et spécifiques » (2013 : 4).

Le travail d'un cas d'étude retenu représentative des hypothèses initiales, le projet *Morandi a colori* dans le Centre Culturel Giorgio Morandi, a consisté à identifier des informations potentielles, à documenter les traits significatifs, les processus et les modes de présence des sujets dans l'espace. Au cours de la recherche ont été utilisées différentes techniques d'investigation² :

2 La première phase de la recherche sur le terrain a eu lieu au cours de la période d'avril à juin 2017.

l'observation participante, la définition d'un parcours avec le *gate-keeper* — une personne bien vue et connue, avec la crédibilité et la légitimité chez les habitants —, les colloques avec les informateurs — qui sont particulièrement informés sur ce qui se passe et sur les sous-groupes qui ne peuvent pas être observés directement, par exemple les trafiquants de drogue.

2. Le cas du projet *Morandi a colori*

Le Centre Culturel Giorgio Morandi se trouve dans le quartier Tor Sapienza, à la périphérie est de Rome. Le noyau urbain actuel s'est constitué dans les années vingt, par l'intervention d'un cheminot antifasciste du Molise, Michele Testa, qui a créé la coopérative Tor Sapienza dell'Agro Romano. Il y avait une pharmacie, une école et un médecin généraliste. Après prévue comme zone de développement industriel de la ville, au cours des décennies, cette zone et celles proches ont fonctionnées comme quartiers-dortoirs, qui ont accueillis d'abord les classes populaires expulsées du centre de la ville, ensuite les immigrés italiennes du centre et du sud du pays, et enfin les demandeurs d'asile. Sur ce plan, il est important de préciser que le cas de Tor Sapienza n'est pas isolé. Avec autres zones urbaines tels que San Basilio, Tor Bella Monaca et Collatina, elle a le plus haut niveau de criminalité. Mais ce qui est intéressant c'est la présence de différentes formes de créativité urbaine spontanées, en tant que tout le quartier fait partie d'un projet appelé *Tor Sapienza Quartiere d'Arte*. Il y a la Place Pino Pascali, normalement vide, sauf pendant le marché du dimanche de Porta Portese 2, où la *crew* de *graffiti writing*, qui s'appelle Dans La Rue, organise un événement public annuel, impliquant les différentes disciplines de l'hip hop, principalement le *graffiti*, sur les murs de l'abattoir de Rome, afin aussi d'assurer la participation des habitants. Et encore, dans le même quartier, il y a le Metropolitiz, une occupation illégale — avec une soixantaine de familles d'origines italiennes, péruviennes, marocaines, rom, etc. — d'une ancienne usine de salami, qui accueille au même temps le MAAM, le Musée de l'Autre et de l'Ailleurs de Metropolitiz_ville métissée avec plusieurs œuvres d'art urbain et d'art contemporain d'artistes provenant du monde entier³. Tous les trois font partie d'une recherche en cours sur la créativité urbaine. La particularité de cette zone est donnée aussi par les noms des rues, toutes inspirées aux protagonistes de la peinture italienne, de Giorgio Morandi — et précisément, à Giorgio de Chirico.

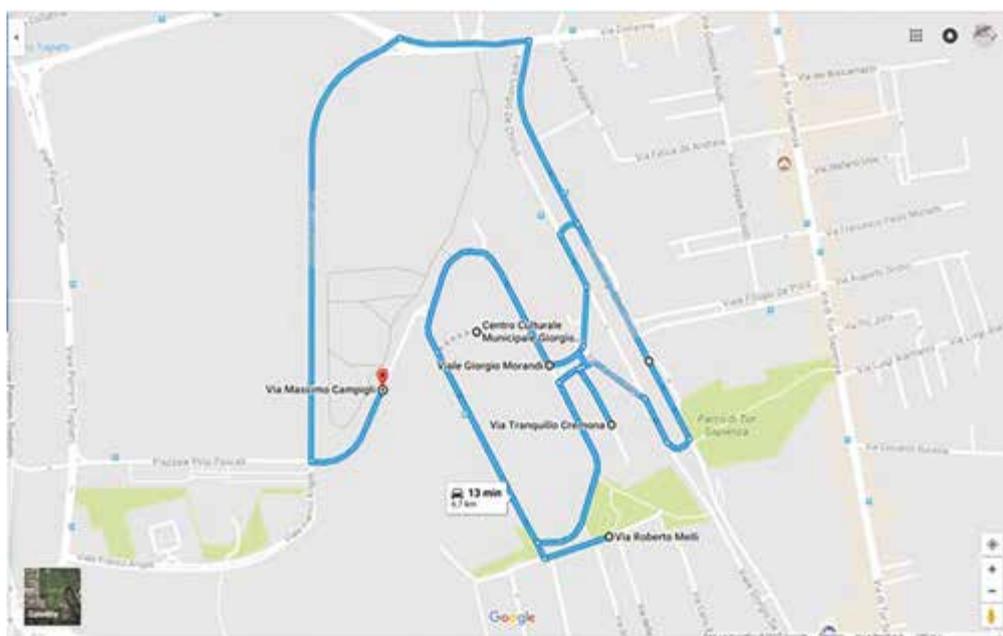


Figure 1. Carte de la zone urbaine confinent avec les logements de l'ATER (© Google Map).

³ Un approfondissement de ce cas d'étude a été présenté au colloque « Greimas aujourd'hui : l'avenir de la structure », 30 mai – 2 juin 2017 (Greco 2017).

Le projet *Morandi a colori* naît à l'intérieur de cette extension de la périphérie de Rome. L'avenue Giorgio Morandi entoure littéralement ce que se trouve à l'intérieur, c'est-à-dire le complexe de logements de l'ATER (Société territoriale pour le logement de la ville de Rome), qui comprend 509 logements populaires livré à-ils-même, entre occupations abusives de slaves, italiens et rom dégradés et problèmes structurels (Fig. 1). On pourrait parler d'une zone franche, privée de magasins, fermés et jamais plus ouvertes, où les institutions semblent ne vouloir pas plus entrer. Depuis 2004, le projet — née de la collaboration entre les deux centres culturels municipaux (Giorgio Morandi et Michele Testa) — s'encadre dans les activités créatives du Centre Giorgio Morandi, actif depuis Trent ans avec nombreuses activités éducatives et ludiques, dans les domaines les plus variés. Dirigé par l'artiste Carlo Gori, le projet vise à renouveler le complexe résidentiel aussi par une galerie d'art en plein air avec les œuvres des différents artistes, la plupart commandée par le projet, comme une ressource pour le quartier, pour développer le sens touristique et effacer la vision d'une zone urbaine à éviter. Il s'agit en effet d'une disposition très complexe liée à un événement terrifiant, datant de 2014, quand un group des habitants, en une véritable guérilla, guidé aussi per des forces politiques d'extrême droit, a attaqué les mineurs et les femmes immigrés d'origine africaine qui résidaient légalement dans les bâtiments de la rue Giorgio Morandi, dans un centre d'hébergement, fait qui a touché l'opinion public au niveau international et a reçu un large écho par les médias.

2.1. L'espace vide entre continuité et discontinuité

En arrivant au Centre culturel Giorgio Morandi, dans les deux directions, on a l'impression que la voie suivie jusqu'ici présente des limites visuels (Fig. 2).



Figure 2. Carte de la zone urbaine confinant avec les logements de l'ATER (© Google Earth).

Déjà à l'extérieur on peut observer une opposition entre les éléments urbains qui indiquent une certaine *continuité* de la section de route et les propriétés plastiques qui font du Morandi un élément de *rupture* de cette continuité. La perception d'une *discontinuité* est donnée par la morphologie architecturale qui distingue le complexe de logements qui, selon Lotman (1987), se manifeste comme un texte architectural hyper structuré, créent un *effet de sens d'exclusion* dans l'opposition intérieur / extérieur (Fig. 3).



Figure 3. Logements de l'ATER, Viale Giorgio Morandi (© Google Earth).

L'espace intérieur est interdit au regard (Fig. 4). La perception de l'extension de l'espace est interrompue au niveau visuel, mais non en ce qui concerne les déplacements pratiques du sujet (Marrone 2001).



Figure 4. Viale Giorgio Morandi (© Google Earth).

En effet, par le moyen des portiques, on peut parler d'un *seuil*, une frontière qui articule l'espace en zones différentes entre elles, qui créent une perception différente entre espaces proches. Les portiques produisent une séparation moins nette ; ils distinguent ce qui est englobé de ce qui est englobant, donc au même temps les lie.



Figure 5. Les portiques des Logements de l'ATER (photographie de l'auteure).

Au de-là des portiques, une fois la frontière passée, on se trouve dans un espace circonscrit et fondamentalement *vide* : la perception c'est d'être seuls.



Figure 6. Les étudiants du laboratoire pendant l'observation sur le terrain e la construction du parcours avec l'informateur (photographie de l'auteure).

Quand on arrive à l'intérieur du complexe, on a le sentiment d'un espace clos, presque une cour interne, finie, comme si on entrait dans une microsphère tout à fait différente de ce qui se trouve au dehors (Fig. 6).

L'architecture particulière du complexe se compose de quatre bâtiments de sept étages chacun. Au centre, il y a deux édifices bas conçus pour accueillir garage et locaux commerciaux (Fig. 7). Mais, actuellement, il n'y a rien de plus que quelques associations, un médecin généraliste et une

église orthodoxe : là où se trouvaient les magasins, il y a vingt ans, sont tous occupés abusivement et au lieu des portes à enroulement il y a des portes d'entrée en aluminium. Mais ce n'est pas tout. Autres logements ont été construits sur le toit, au-dessus des magasins : des baraques en bois ou en maçonnerie, tous renforcés avec des barres de fer pour prévenir l'entrée non autorisée.



Figure 7. Les espaces centraux vue depuis la terrasse d'un bâtiment (photographie de l'auteure).





Figures 8 et 9. L'accès au Centre culturel Giorgio Morandi (photographie de l'auteure).

Malgré le nombre d'habitations, seulement en certains moments est possible voir quelqu'un dans les espaces commune et vert : dans la période d'observation, dans le matin et dans l'après-midi, pendant la période scolaire, mais aussi à la fin de l'année scolaire, il n'y avait personnes à les fréquenter sauf pour un petite group d'enfants avec les mères dans le parc, et de jeunes et enfants, qui occupe un coin dissimulé de la structure qui accueille le Centre Culturel, où, selon les informateurs, ils sont engagés en activités illégales concernant la drogue. Dans le Centre Culturel il y a une exposition réalisée par les enfants des écoles proches pour un projet concernant le rêve traduit en peinture et dessin. À l'extérieur on remarque d'emblée une centralité donnée par plusieurs éléments : la morphologie architecturale, les rampes qui nous portent dans la place où se trouve le Centre Culturel Giorgio Morandi, son positionnement dans l'espace, l'horizontalité de la structure, les traits chromatiques des objets planaires (Fig. 8 et Fig. 9), d'une sémiotique plastique qui, citant Greimas, comme *une langue autre* nous parle de manière différente, autant d'éléments qui l'oppose au complexe essentiellement vertical, gris des parois extérieures des habitations, pointées directement vers le centre comme si c'était un mur d'enceinte (1984).

2.2. L'identité visuelle du lieu

Promenant pour la structure du Centre Culturel Giorgio Morandi on rencontre aussi des objets inattendus et inhabituels, c'est-à-dire les œuvres de Street Art et les stratégies communicatives activées par elles. On peut parler d'un *accident esthétique*, avec Greimas (1987), une rupture de l'isotopie, qui, dans ce cas, resémantise les parcours dans l'espace urbaine avec une conjonction inattendue. Dans la place centrale on peut voir différents types d'œuvres de *street art*, du *graffiti writing* à la peinture murale, qui, si on regarde l'offert de Street Art dans la ville de Rome, récemment souvent caractérisée par des œuvres monumentales, nous donne plutôt l'impression d'un art qui on peut définir à portée de main, soit en ce qui concerne le control, donc sa conservation et restauration, soit pour l'interaction possible, mais toujours vulnérable. Dans plupart des cas, ils communiquent signifiés autonomes qui transcendent les fonctions. Par exemple, dans certains quartiers périphériques de Rome, il y a des cas de projets de Street Art qui ne passent pas par le vouloir des habitants, mais qu'ils sont perçus comme une intervention centralisée par le

haut. Au contraire ici est très forte l'idée d'une certaine structure architectonique qui va au-delà des fonctions pour lesquelles a été conçue. Si on regarde le banc de la place (Fig. 10 et Fig. 11), la relation entre Street Art et objets urbains est très forte. La surface irrégulière — dans certains points dépasse, dans d'autres rentre — joue un rôle décisif dans la création de sens : ces différences créent un cadre idéal des relations oppositives qui émergent à la fois au niveau figuratif et au niveau plastique, en mettant l'accent sur l'*extension*.



Figures 10 et 11. Le banc de la place en face du Centre Culturel (photographie de l'auteure).

Les œuvres occupent toute la surface et ont été réalisées par différents artistes. Et en fait, il se compose de plusieurs pièces qui ont des différences stylistiques assez évidentes. Au niveau figuratif, les œuvres créent un effet de symétrie si on se situe au centre de la place. Les bancs de la structure circulaire sont englobés dans l'œuvre qui dialogue avec l'architecture des habitations. Sont spéculaires mais présentent des traits figuratifs et plastiques différents. La première nous montre une cité médiévale, donc ce qui est passé, la seconde nous parle d'une ville de la future qui rappelle l'architecture actuelle. Donc ces espaces se transforment : ils deviennent non seulement lieux où se déroulent les activités prédéterminés, mais ils acquièrent significations sociales autonomes qui mettent en jeu catégories sémantiques comme, par exemple, individuel / collectif. Une des œuvres qui plus attire l'attention est l'hommage au film *L'Accattone* de Pier Paolo Pasolini réalisée par un artiste réfugié, Aladin (Fig. 12).



Figures 12. Murale de l'artiste Aladin (photographie de l'auteure).

Le murale occupe la façade du Centre Morandi. Du dialogue avec des habitants, il est apparu, cependant, comme cette œuvre a généré la contestation d'un sujet qui refusé cette image pensant que c'était celle de l'homme Pasolini, que ne pouvait pas représenter le quartier, en tant que pédophile, mais c'est le portrait de l'acteur Franco Citti qui dans le 1961 a interprété le rôle. C'est donc une question bien liée à la *grille culturelle*, qui, selon Greimas « [...] qu'étant de nature sociale, cette grille est soumise au relativisme culturel, qu'elle est largement — mais non infiniment — variable dans le temps et l'espace. Dès lors, chaque culture étant dotée d'une « vision du monde » qui lui est propre, elle pose aussi des conditions variables à la reconnaissance des objets [...] » (1984 : 9).

La problématique des conditions variables à la reconnaissance des objets aussi dans la même sémiotique concerne toujours plusieurs interventions artistiques, comme dans le cas des deux murales qui montrent deux personnages clés de la peinture italienne, liés au quartier par les toponymes: Giorgio Morandi et Giorgio de Chirico (Fig. 13 et Fig. 14). Elles sont positionnées sur les façades latérales des bâtiments bas centraux où se trouvaient les magasins et ou, aujourd'hui, se trouvent les locaux occupés abusivement et l'église orthodoxe, tout à fait fermée. Elles se trouvent dans un espace vide, une sorte d'amphithéâtre, ce qu'il reste d'un projet de construction de la métropolitain (de l'année 60), jamais conclu du moment que la zone locale a été considérée comme

pas suffisamment peuplée par un tel plan urbain. Mais ce sont figures pas nécessairement reconnues par les résidents : pendant l'observation, dans le deuxième de deux couloirs de la structure — le premier dans un état de dégradation préoccupant, plongé dans le noir, mais où il y a, quand même, des occupations abusives, et le deuxième, juste en peu plus éclairé — on a rencontré un informateur. Par le récit de ce témoignage, on émerge une valorisation esthétique du Street art dans le Morandi, mais il manque un processus de reconstruction et reconnaissance par l'énonciataire.



Figures 13 et 14. Les peintures murales qui montrent les portraits de Giorgio Morandi (1) e Giorgio de Chirico (2) (photographie de l'auteure).

D'autre part, toutes les œuvres qui sont là jouent à restituer une *mémoire du lieu* à la collectivité et à communiquer le quartier construisent une lecture pluri-isotopique du Street Art. Les valeurs thématiques en figures, par la présence d'une sémantique sus-jacente, sont ceux de l'environnement, de la famille, de la romanité, de la ville, de l'art, qui parle d'elle-même, de la participation, de l'altérité figurativisés par des arbres anthropomorphes, des renards et des papillons, comme dans les œuvres de Mauro Sgarbi, par l'ensemble des membres de la famille par Pino Volpino, par l'arbre de la vie, par les animaux différents qui se dirigent vers l'entrée du Centre culturel de Carlo Gori ; ou encore par la jeune fille de Beetroot, qui couvre presque entièrement la paroi latérale de l'entrée principale du centre culturel. Une œuvre en particulier reprend le thème de l'autre et des conflits qui il y avait dans le quartier et qui regard vers les bâtiments en question maintenant déshabités. De plus les interventions artistiques transforment les murs en façades interactives. Ils demandent au visiteur d'avoir un comportement active et de jouer avec le texte et au texte (Lotman 2009), sans une légende qui peut lui orienter par rapport à certains choix d'interprétation ; il est modalisé selon le *pouvoir faire*, transformer l'élément artistique avec lequel interagit, ainsi assument un rôle active dans le processus de communication : il peut réfléchir son image dans le visage à miroir des personnages d'une œuvre, mettre sa tête sur le corps caricaturés des différents personnages et prendre des photos (Fig. 15), non par une concession programmée, mais plutôt par l'absence d'une interdiction et de suggestions, ou peut participer à la création artistique dans le cadre d'un tableau qui rappelle l'interface d'un ordinateur, objet d'une stratification du sens, selon les indications reportées, mais actuellement peu utilisé (Fig. 16).



Figures 15. Open Wall – Modes d'emploi (photographie de l'auteure).

Le visiteur est ainsi modalisé selon *un vouloir faire*, dans une dimension pragmatique, mais aussi il doit compléter la relation entre l'art et le monde naturel comme dans ces cas par une continuité au niveau figuratif. Ce concerne la définition du point de vue inscrit dans l'énoncé qui simule la position de l'énonciateur et indique la position que l'énonciataire doit occuper pour reconstruire le sens : il doit développer une compétence d'observation.



Figures 16. Open Wall – Modes d'emploi (photographie de l'auteure).

Dans le cas des bancs et des deux visions de la ville, entre passé et future, où l'énonciataire doit faire une opération cognitive pour analogie entre le passé et la future, et entre le texte visuel et le texte architectural qui émerge par superposition au niveau visuel (Fig. 17 et Fig. 18), on pourrait dire, avec Greimas et Courtés, quand un system sémiotique est susceptible d'entretenir des relations (de similitude) avec le monde naturel, surtout en ce qui concerne les sémiotique visuelles (1979).





Figures 17 et 18. Les bancs et entre le texte visuel et le texte architectural (photographie de l'auteure).

3. D'une microsphère observée, parcourue et entendue

Les fréquentes citations, qui se trouvent dans plusieurs œuvres — ils sont, par exemple, à Picasso, Modigliani, Tiziano, tous cités visuellement, ou citations artistiques aux thèmes de l'art de Giorgio Morandi, mais avec une transformation des techniques et des traits plastiques par couleurs fluorescents, formes bidimensionnelles qui n'ont rien à voir avec la rigueur formelle des objets de nature morte de Morandi — interpellent un *faire interprétatif* à partir d'une comparaison entre le nouveau et le déjà connu. Il y a de plus des cas pour lesquels les habitants ont demandé de remplacer un murale avec l'image stéréotype de la romanité, pas populaire ici, du Colisée de Rome (Fig. 19), juste dans le coin dissimulé dont on a déjà parlé.



Figures 19. Le groupe du laboratoire pendant le travail de terrain, avec le gate-keeper, artiste et curateur, Carlo Gori (photographie de l'auteure).

À un regard plus profond, le Centre Culturel et le projet du *Morandi a colori* représente un cas exceptionnel non seulement en ce qui concerne le Street art stricto sensu, mais pour les aspects de la ville et de l'habiter la périphérie qui contiennent comme une microsphère capable de communiquer — si observée, parcourue et entendue par le system de relations — ces différents aspects et le sens, pas du tout évident et acquis, de la relation entre la ville et son formes expressives. Cette émerge d'une opposition entre les textes architecturaux hyper-structurés et les ouvres artistiques, et qu'est liée à la mémoire culturelle que la ville peut exprimer par le Street Art en formulant ces espaces dans une perspective insolite, par la décomposition des règles associatives établies par convention parmi les éléments caractérisent le visage historique et culturel de Rome. Chaque parcours, différent de l'autre, est une tactique qui s'oppose à une stratégie (de Certeau 1990). On peut reprendre la réflexion de Greimas qui, dans *Pour une sémiotique topologique*, parle du créateur individuel, faisant référence à l'idéologie individualiste et réactionnaire de l'urbaniste, qu'ici est ri-communiqué (1976).

Par rapport au phénomène du Street Art, des projets les plus connues, qui encouragent les accès des non autochtones, sollicités par le désir de chasser les ouvres, avec un accroissement de la dimension métropolitaine de ces quartiers, ici est l'identité local à être confirmé, aussi sous la forme d'une réponse à un *multiculturalisme manqué* de Rome. Ici le street art est créatrice d'une mémoire culturelle, comme fauteur d'une créativité du quotidien, reprenant de Certeau (1990), qui réside dans l'utilisation et dans sa capacité de remodeler les habitudes et témoigner la périphérie, retrouvant sa dimension sociales, dans une condition de multiplications des possibilités d'entrer en communication avec l'autre, par une augmentation des informations, qui vient de son polyglottisme structurel (Lotman 1987).

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VISUAL AND AUDIOVISUAL ARTS

**FROM THE SESSION
“ART THERAPY AND
NARRATIVE TOOLS”**

THE ROLE OF INNOVATION AND TRADITION IN ART THERAPY NARRATION

Roberto Caterina

University of Bologna, Italy
roberto.caterina@unibo.it

Abstract

In art therapy, innovation arises from the here-and-now aspects of the patient (client)-therapist relationship and from the sharing of artistic material. It is a creative growth process achieved in finding and recognizing unexpected solutions on the basis of what we already know. In other words, innovation in art therapy can be the creation of something that is, for oneself and for others, a pleasant surprise. This surprise often stems from a cultural tradition and it is important not to consider creativity as irrational but as a new key to understanding universal and specific elements of our cultural environment.

1. Introduction

In dealing with art therapy many problems are still to be settled, such as the role of creativity in such therapies, the similarities and differences between expressive art therapy and art psychotherapy, and what sort of training is required for these new professional roles. Many people generally talk about the healing aspects of art expression and art fruition, but not so many know the extent of these healing aspects and if they are connected with narration and single individual's therapeutic history or whether other things should be taken into account. From my point of view, narration plays an important role in the healing process of art therapies. Different narrative elements can be seen both in art psychotherapies and in expressive art therapies. In many cases verbal language, mostly used in art psychotherapies, makes the difference, even if the polarities verbal vs nonverbal are not so strictly associated with art psychotherapy and expressive art therapy. On the other hand, one should also consider how art therapy may be similar or dissimilar to art, and similar or dissimilar to therapy. Some ideas concerning this topic will be discussed here considering the traditional or innovative aspects of creativity that lie behind the realm of art expression as well as behind the therapeutic setting and the therapeutic relationship between patient (or client) and therapist. In this respect empathy can be seen as a bridge concept

between art and therapy. This is quite natural, but also ethics, an apparently far distant concept, may be worth discussing here, as it may explain some differences in therapeutic approaches and in their narrative qualities. This is less evident, but somehow crucial, as I shall try to demonstrate in the last part of this paper.

2. Creativity

Sometimes creativity is confused with simply original, bizarre, transgressive behavior, which may also have sarcastic connotations (as in the expression “creative finance”) but thoughts and behaviors, to be truly creative, must also be effective and appropriate. When we talk about creative thinking, we refer in particular to problem solving processes that lead to innovative solutions (as in Wertheimer 1945, and the Gestalt tradition). Creativity has therefore to do with implementation and solutions and the best way to reach them. By asking ourselves where this idea of effectiveness and appropriateness comes from we could see that not only cognitive but also emotional processes are involved. This is particularly important in considering communicative aspects involved in art expression and in art fruition. Through emotional regulation, creative behavior can be shared and addressed to the right people. Through art, one can keep one’s own cultural identity and through art one can rediscover one’s own cultural tradition.

3. Old questions and paradoxes

If we consider the role of emotionality in creativity processes we may recall two famous paradoxes suggested by the psychoanalyst Winnicott (1971). Talking about adolescence and conflicts that are typical of this age Winnicott (1971) thinks that the adolescent’s rebellion can be described in terms of his/her wish to “go forward”, to soon become an adult. But to become adult requires time and, above all, the possibility of modulating one’s own emotional world considering the past relationship with parental figures. According to Winnicott (1971), the paradox of the adolescent’s experience is precisely that: to go forward the individual needs to go back to his/her past and live again the emotions linked to that period.

Not so different considerations may be made about originality and creativity, which are somehow connected with a wish to go forward. According to Winnicott (1971), and that is his second paradox, it is not possible to be original unless originality is based on tradition. Tradition is a sort of going back, it is a rediscovery of our past in some way similar to the rediscovery of affection and parental bonds in adolescence. When talking about tradition as a source of artistic expression one should consider some other old questions concerning the universal dimension of myths and archetypal images in the passage from a personal experience to a collective one (Jung, 1959 [1936]; the individual-collective expression question) and what universality has to do with cultural elements and/or with natural aspects such as universal sounds and rhythms (heart rate, water noise, etc., nature-nurture question). Finally, when talking about tradition one should bear in mind that there are at least two forms of tradition, a popular tradition and an elitarian one, just like, for example, the difference between classical and pop music. These different forms of tradition are connected with personal educational experiences.

4. The role of art therapies: the example of the lullaby

All these aspects are in some way present in art therapies. Art therapies encourage learning creative processes where creative learning means recognizing our own emotions, managing to adjust them to our creative purposes. Creative learning means rediscovering — through artistic expression — our own cultural identity that may have individual as well as collective references. As in the lines of the Italian poet Pascoli, “There’s something new / about the sun today/ or

rather something old..." (Pascoli 1907 [1892]), creativity goes back to the individual memories and past of an artist but also to experiences that concern his or her community. A good example of collective reference can be the case of the lullaby. The lullaby, as a poetic work produced not only by a single author, individually, but also by an entire community, due to the many variations and interpretations that are continually added, and as a collective creation and collective heritage, takes on a social and universal value regardless of its creative aspects. Through oral tradition there is a continuous self-regeneration of a collective poetic heritage in time and space. There are often new creations found in places, even far away, as variations of the same theme that has become contaminated as a result of contact with specific heritages. The most magical aspect of the lullaby takes us back to a primitive level of civilization, with a widespread presence of archaic elements. In this case, the "singing to sleep" coincides with casting a spell, relying on the power of an enchanted formula, the use of magical amulets, magic words and regular rhythms. Lullabies are connected with the primitive and popular perception of the risk that children face, due to their fragility, of being captured by the magical powers of the night, easily prey to dark evil forces (De Martino 1959; Ranisio 2016). The repetitive aspects of rhythms enchant, so to speak, the dream and, through music, attention is suspended. Let us consider for a moment this state of suspension: it can also be associated with creativity. The creative mind needs, so to speak, to be put to sleep, to be brought to a reduced state of vigilance as many mediation techniques suggest, together with the free association methodology Freud adopted as a substitute for hypnotic induction in psychoanalysis (Freud 1953 [1900]). Quite recently in the field of neuroscience Limb and Braun (2008) observed that during improvisation tasks the human brain tends to deactivate itself. These considerations apply to art therapies as well. Art therapies in their expressive form as expressive art therapies rely on improvisation techniques just as in many models of music therapy, such as Nordoff and Robinson (2004) and in dance-movement therapy with the technique of authentic movement by Whitehouse (Pallaro 2006). Improvisation in art therapy is a way for a patient (client) to say something about him/herself. It is a sort of narration, even though different from a narration in psychotherapy or in art psychotherapy, where words are mainly used in a rather stable set of rules. Improvisation has certainly to do with innovation, but it is also a tool to rediscover something quite old, almost forgotten and very often belonging not only to individual experience, but also to collective memories and cultures.

5. Art and art therapy

When art and art therapy meet, two important questions may arise: "What can art and artists give to the art therapist?" and "What can an art therapist give to an artist?" Not everything is art. Not every expressive behavior can be considered as artistic. An artist is a person who is involved in a special research project dealing with his/her emotions. Therefore, an artist can give an art therapist this idea of art as a research. Artistic research is where innovation can be used, as we have said, to rediscover tradition. On the other hand, not everything is therapy. In the realm of art therapy every expressive behavior can be used in a therapeutic perspective. Nevertheless, not everything is therapy. Therapy is interaction, dialogue (either verbal or nonverbal) and the possibility to grow together. Therefore, an art therapist can give an artist the possibility to grow, to get out from his/her unproductive periods. Artistic research means growing together in the moment of art fruition. This could be the best possible meeting between art and art therapy, between innovation and repetition.

6. Empathy

Artistic research in a therapeutic view of growing together (therapist and patient-client) has to do with empathy, in other words, feeling what another person feels. Different forms of empathy

have been studied. Imitation and simulation processes have been described in the field of neuroscience. A team of scientists at University of Parma, Italy (see among the others, Gallese 2003), discovered the so-called “mirror neurons” that are activated when we do a motor action as well as when we see another person doing the same action. Another form of empathy has to do with cognitive abilities (Bizzarri 2015; Gallagher 2008): only if and when we recognize another person as different from us can we interact with that person and share with that person qualities and feelings we have in common. A more philosophical aspect of empathy has to do with pure intuition: a sort of direct and immediate communication between two autonomous souls. A romantic relationship, “from the heart to the heart”, as Beethoven wrote in the dedication to his masterpiece *Missa Solemnis* (Solomon 2001, 2004). Maybe these distinctions within the concept of empathy can be regarded more as qualities of the same concept rather than distinct concepts. Nevertheless I think that the intuitive aspects of empathy are the ones that are more in touch with expressive art therapy, where art therapists are required to master their own emotions and facilitate through art the expression of their patients’-clients’ emotional externalizations beyond words. It is important for expressive art therapists to have a good training in these dynamics, as it is very easy to make mistakes using simply a personal projection instead of intuition (Meltzer 1976). When intuition can be properly used a direct emotional communication can be assured between the therapist and his/her patient, or client: the same direct communication that there is between an artist and his public, especially when the artist is a great artist. To work properly, an intuitive relationship requires participants to share some common traditions and roots.

7. Ethics

The therapist-patient (client) relationship has many ethical aspects. We can summarize these aspects as a bundle of prescriptions and rules concerning what therapists and patients (clients) have to do or have not to do. Deontological aspects refer to these ethical aspects. However, this idea of ethics is very rational and has a clear reference to Kant’s philosophy. According to Varela (1999), this ethics is an ethics of knowing what to do. Many psychotherapy models and also art psychotherapy models refer to this idea of ethics concerning what to do. There is, though, another model of ethics that is much more linked to intuition. According to Varela (1999), this ethics is an ethics of knowing how to do. It involves immediate coping rather than rational judgement. If we see a person who needs help we immediately give him/her the help he/she needs instead of thinking about what to do or not to do. In this kind of ethics the situation elicits the action from us: here, according to Varela (1999), we have the true ethical actions. This ethics of knowing how is somehow at the basis of the therapist-patient (client) relationship in the models of art expressive therapies and to some extent the same kind of ethics can be found in the relationship between an artist and his/her public. A sort of spontaneous wisdom has replaced a sophisticated set of rules, a knowledge by acquaintance where sensation and direct emotional communication are present is operating rather than a knowledge by description where language and inferential cues organize individual narration. What comes from sensation is new and old at the same time as we have said earlier quoting Pascoli’s poem. Therefore, we can see how art therapies and arts in general are linked to innovation and tradition; new things can surprise us, they are somehow connected with body arousal, while tradition is in a way linked with repetition that we find so often in many artistic languages. Between arousal and repetition there is a common space where art and expressive art therapies can live and work together, sharing similar emphatic contacts and ethical codices.

8. Conclusions

In art therapy what is new comes from the interaction between the therapist and the artistic material. Creativity can be described as a growing process. Stable and unstable features are taken to-

gether to follow patients' (clients') emotional histories. In this type of narration tradition emerges as a point where people can live all their past experiences, not just a part of them, a process where it is possible to find their own authenticity, what Winnicott (1971) calls the "true Self", a place where one can have a rest and enjoy, without any imposition, his or her wishes. What we believe is unexpected turns out to be a pleasant surprise that we want not just to keep for ourselves but to share with people who can understand us immediately and with whom we can directly communicate our emotions. In other words, what is unexpected is maybe what we have always loved. Sharing surprises is perhaps is the best way of going towards our deepest traditions.

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**FROM THE SESSION
“IMAGE AND SOCIAL
INCLUSION”**

ALIENACIÓN PSICO-POLÍTICO-SOCIOCULTURAL EN LA SEMIOSFERA COSPLAYER DE LA JUVENTUD FRIKI-OTAKU MEXICANA

RJosé Luis Valencia González

Escuela Nacional de Antropología e Historia de México
joseluis_valencia@enah.edu.mx

Georgina Sánchez Borzani

Universidad Anáhuac México Norte
georginasb.anahuac@gmail.com

Abstract

En México, desde la década de los 60s, la presencia de la ideología japonesa se hizo visible a través de varias series animadas que eran transmitidas por televisión. En algunas ocasiones se proyectaban dramas o telenovelas infantiles como el de la *Señorita Cometa* que era muy bien aceptado entre los niños de aquella época, pero al mismo tiempo su preferencia se inclinó a otras series que consistían en seres bienhechores, con poderes extraordinarios, que combatían a los monstruosos villanos que acechaban a las sociedades civilizadas, aunque fue evidente que aquellos defensores eran eco de las viejas formas samuráis aún vigentes en la memoria de su cultura pero ya mezcladas, en una intertextualidad, con la occidentalización que Japón comenzó a experimentar después de su derrota e invasión norteamericana sufrida posterior a la Segunda Guerra Mundial.

El cómic y la animación japonesa se mantienen sin mayor alteración de las décadas de los 70s a los 90s, pero a comienzos de este siglo se da un *boom* en un sector de jóvenes que deambulan entre la extravagancia, de una posible inmadurez psicosocial, que a su vez pudiera provocar la tendencia a manifestar trastornos con rasgos autistas, o simplemente empujar al vacío del consumismo alienado del *friki* y al fanatismo del *manga*, *cómic* y *anime* japonés, y que se fueron transformando en *cosplayers*.

Esta investigación pretende ser transdisciplinaria con el propósito de atender y profundizar sobre lo histórico, lo psicosocial y semiótico-cultural de la semiosfera mexicana de jóvenes inmersos en los textos *friki-otakus*, que se identifican por contener textos homogéneos derivados

de la producción idealizada de la mitología japonesa, pero que al mismo tiempo se convierte en heterogénea a la semiosfera general de su propia cultura, como se puede apreciar en la transformación de la representación que tendrá de su propio cuerpo al ornamentarlo y trastornar, junto a una posible habituación del pensamiento y forma de vida de un estilo semejante al de Japón (Bojarín 2011: 63), generando un mundo ajeno a su propia identidad donde se establecen una serie de actividades y comparten valores fetichistas que se intercambian solamente entre ese mundo del simulacro, posiblemente bajo un régimen orientado hacia la alienación y control político-sociocultural de una ideología que capta e importa lo que en el mismo país oriental califican como basura.

2. El manga: narrativa gráfica japonesa

El presente trabajo rescata estudios que con relación al tema ya han sido desarrollados anteriormente, por ejemplo, se considera el aspecto histórico que nos brinda Tania Lucía Cobos (2010: 9), pero del cual se resguarda, con cierto recato, algunas categorías sociológicas, que no son tan pertinentes desde la percepción antropológica o dimensión cultural.

Con relación al texto de Federico Alvarez (2015) se aprecia la intención de justificar la semiosfera de los jóvenes apegados al *otaku*, considerando que hay todo un proceso de enajenación, de un producto mediático a partir de las estrategias de las nuevas tecnologías de la comunicación virtual. Considera que hay razones para considerar que el grupo *otaku* subalterno no está encañado en el consumismo, ni mucho menos son unos “[...] imbéciles, estúpidos, inmaduros, vagos, locos, anormales e inadaptados sociales”, tal como los han presentados la televisión principalmente.

Por otro lado, Mario Bogarín (2011) pretende penetrar por la parte psicológica, pues se enfoca en la apropiación imaginaria de los objetos del manga y del anime que estos grupos producen. Se cerciora que uno de los principales cometidos de la proyección de la cultura popular japonesa es convertir a todos los personajes de su mitología en tiernos, lindos, dulces, amables, vulnerables, débiles, adorables, inocentes, puros, genuinos e inexpertos; características que parecen forjar una empatía inmediata con el sentir psico-cultural de los *fans otaku*.

En el texto de Dominique Menkes (2012) se establece la relación que hay entre el *otaku* y la posmodernidad, para ello recurren a la fuerza del marketing, que toma un nuevo cause gracias al desarrollo de la multimedia o tecnología que evoluciona la virtualidad, haciendo que existe un enorme surco entre dos generaciones, donde los jóvenes se sienten radicalmente ajenos al de sus padres. El joven *otaku* está siendo mediatizado mediante el fetichismo, y para poder explicar esta condición Menkes accede a la propuesta del simulacro semiótico de Baudrillard.



Ilustración 1. Inuyasha, un cuento de hadas feudal. Autora: Rumiko Takahashi. Publicado por Shonen Sunday 1996 y 2008.

De igual manera, Miguel Ángel Ortiz e Iván Rodríguez (2012) desde la perspectiva española, se inclinan por el estudio del fenómeno *otaku* desde la mercadotecnia. su aportación principal es la de mostrar cómo se dio el boom del anime, para ello refieren los nuevos formatos de video que se fueron desarrollando, desde la *película* que traducirá, a partir de una *intersemiosis*, las historias del manga o de un anime de otro formato; el *OVA*, primero el *VHS* y luego el *DVD*, que se convertiría en el video

doméstico de alguna serie; el ONA que es la consecuencia de la eclosión del OVA con el *Internet* para la producción *Networks*; y, por último, la producción de las series de televisión, con una duración de 30 minutos, inicialmente de 52 episodios y actualmente se cubre con sólo 12 o 13. Agregando a lo anterior, también nos ofrece el género del anime de acuerdo al público de destino: *codomo* para los niños; *shôjo* adolescente y pre-adolescente femenino; *shônen* adolescente y pre-adolescente masculino; *josei* adulto femenino; y *seinen* adulto masculino.

Según el diccionario de la Real Academia de la Lengua Española, el *manga* en su tercera acepción es un cómic de origen japonés. Por *manga* se entiende a la producción japonesa de historietas, mientras que a sus creadores se les llama *mangaka*. Cobos (2010) señala que el *manga* es una creación japonesa con influencia de occidente cuyo desarrollo es diferente al cómic estadounidense y a cualquier forma de narrativa gráfica, la autora menciona que algunas de sus características son los espacios narrativos, dibujos en blanco y negro, diseño de personajes con ojos grandes y uso cinematográfico de perspectivas que incluyen onomatopeyas e imágenes auditivas.

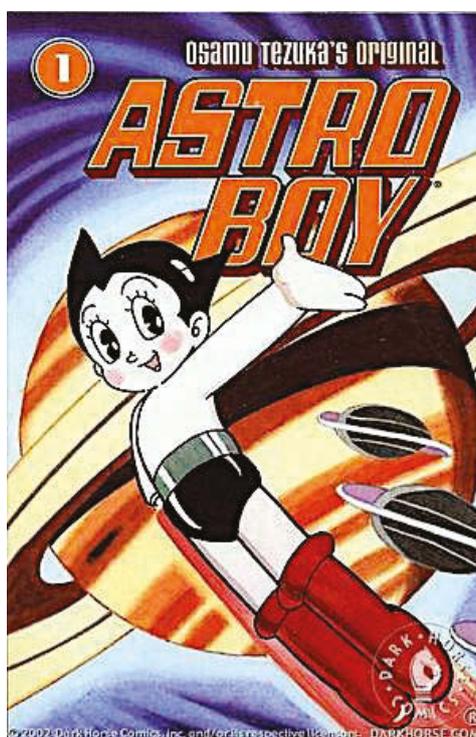


Ilustración 2. Astroboy. Autor: Osamu Tezuka. Publicado por Kobunsha (japonés) y Dark Horse Comics (inglés) 1952 y 1968.

Vania Papalini (2006) trata de esclarecer los orígenes citando a varios autores, el primero Frederick Shodt señala que los orígenes del manga “se encuentran en la tradición del dibujo monocromo japonés, que se despliega en torno a motivos fantásticos, eróticos, humorísticos, o que simplemente ironiza sobre lo cotidiano” (Papalini 2006: 232). Para Jaqueline Berndt tiene su inicio en 1814 con Hokusai Katsushika, maestro de xilografía quien publicó los 15 tomos del Hokusai Manga. Sin embargo, Papalini explica que según Berndt el manga actual tiene influencia de los dibujos conocidos como *ponchi-e* de la década de 1860 que tenían temas políticos-satíricos y se publicaban en diarios de lengua extranjera como *Japan Punch* del inglés Charles Wirgman. En esa misma época otros diarios japoneses comenzaron a publicar sus propias caricaturas, y el dibujante Rakuten Kitazawa propuso el término *manga* “para designar sus caricaturas, las cuales satirizaban las costumbres y situaciones locales” (Papalini 2006: 30). Posteriormente, en 1923¹,

1 Según Papalini (2006) en 1923 la primera historieta estadounidense en Japón fue “Bringing up Father” de George McManus

las historietas norteamericanas se comenzaron a publicar en diarios japoneses y se volvieron muy populares lo que tuvo un impacto en las caricaturas e historietas de dibujantes locales.

Así el manga actual fusiona los elementos estéticos de los ideogramas y monocromos japoneses, los dibujos de artistas locales en situaciones cotidianas y las historietas de Estados Unidos. “la influencia norteamericana [...] se evidencia claramente en la estructura de viñetas, la serialización de las historias y el uso de globos. Pero a diferencia del cómic, las viñetas japonesas se disponían de arriba abajo” (Papalini 2006: 30) esto por la forma de lectura del idioma japonés (de atrás hacia adelante).

Si bien no hay una sola fuente que confirme los orígenes del manga, tenemos referencias sobre las primeras formas del manga actual el cual se remonta a 1947 con el caricaturista Osamu Tezuka. Según Cobos (2010) Tezuka era fanático de Walt Disney, por lo que sus historietas tenían una gran influencia estética de este animador y su estudio. La consolidación del género manga fue gracias a la creación de Tezuka *Tetsuwan-Atom* mejor conocido como *Astroboy* “que cuenta las aventuras de un niño robot con sentimientos humanos, de ojos grandes y orejas en forma de pico sobre su cabeza negra (muy al estilo de Mickey Mouse)” (Cobos 2000: 4).

El manga se popularizó rápidamente en Japón y se comenzaron a producir masivamente para todo tipo de consumidor a partir a una serie de géneros para todos los gustos y edades, Papalini describe al manga actual como “revistas impresas de una sola tinta, con tapa a color, papel de baja calidad, que contienen entre 10 a 25 episodios de historias distintas que se desarrollan entre 300 a 400 páginas” (2006: 34).

2. Animación japonesa: Anime

Según Cobos, “anime es el término occidental con que se conoce a la producción de dibujos animados o caricaturas para televisión hechos en Japón” (2010: 7), pero el término no sólo es exclusivo de la televisión, sino que también se emplea para las producciones para cine, *streaming*² o video.

La animación japonesa comienza en lo que Hernández (2013) llama etapa cinematográfica o pre-televisiva que abarca de 1917 a 1960. Las primeras animaciones experimentales constan de obras cortas de menos de dos minutos con el tema central del folclore japonés como la adaptación del cuento *Urashima Taro* de Kiyatama en 1918, el cine japonés retoma técnicas occidentales:

[...] La primera de ellas la animación por medio de celuloide (*cel animation*) inventada en 1915 que sería sustituida por acetatos [...] a la vez que exploraban otros tipos de animación como la animación por recortes (*cut-out animation* o el *stop motion* [...]) De estas figuras pioneras destacaríamos la figura de Seitaro Kitayama (1888-1945) por la variedad de su obra que incluye la mezcla de imagen real y animación, el cine propagandístico y la experimentación. Kitayama crea además el primer estudio de animación en Japón (Hernández 2013: 89).



Ilustración 3. Comparativo entre el manga (izquierda) y el anime (derecha) de Astroboy.

2 Según Papalini (2006) en 1923 la primera historieta estadounidense en Japón fue “Bringing up Father” de George McManus

La primera película sonora de animación fue *The World of Power an Women* (*Chikara to onna no yo naka*) en 1932. Con la característica de serial, los primeros anime comienzan con la llegada de la televisión con la emisión de los relatos llamados *Mitshu no hanashi* y en 1963 el famoso manga Astroboy (*Tetsuwan Atom*) de Osamu Tezuka fue adaptado para animación. El éxito de este primer manga adaptado para dibujos animados en televisión marcó un punto de inflexión, ya que así se vincularon para siempre la industria editorial del manga y la audiovisual con el anime. A partir de Astroboy, los estudios de animación como Toei Animation comenzaron a adaptar los mangas que eran exitosos para su versión en caricatura dando origen a lo que hoy popularmente es llamado anime.

A la par, por esta unión surge un nuevo término que algunos autores como Hernández (2013) llaman *Manganime* que hace referencia a toda la producción de caricaturas japonesas basadas en mangas.

La llega a América fue en 1963 cuando los derechos de transmisión de Astroboy fueron vendidos a la NBC para su transmisión en Estados Unidos “Los títulos que fueron claves para esa transición entre productos para rellenar la parrilla televisiva infantil y los lanzamientos estrella llegarían con el estreno de la co-producción *Speed Racer* (*Mahha GōGōGō*, 1960-70), que es simultáneamente emitida en ambos países” (Hernández 2013: 95).



Ilustración 4. Speed Racer (Mahha GōGōGō). Título en Latinoamérica "Meteoro". Autor: Tatsuo Yoshida. Versión manga: Shonen Book. Versión anime: Fuji TV.

Por otro lado en el cine Hayao Miyazaki, Isao Takahata y Toshio Susuki crearon los Studio Ghibli que se convertiría en la productora más importante y afamada en Japón y el extranjero con películas como *Mi vecino Totoro* (*Tonari no Totoro* 1988); *El viaje de Chihiro* (*Sen to Chihiro no Kamikakushi* 2001); *El Castillo Vagabundo* (*Huru no Ugoku Shiro* 2004) entre otros títulos que se considerados películas de culto. Si bien las películas de Ghibli no se basan en mangas, mantienen el estilo y temáticas fantásticas características del anime.

Después de Estados Unidos los productos del *manganime* se expandieron con fuerza en todo el mundo incluyendo México y el resto de Latinoamérica. Uno de los factores que propiciaron el éxito de estos productos según Papalini (2006: 42) está relacionado al clima cultural de los 80 y 90 en el que las historias estadounidenses dejaron de ser innovadoras ya que “juegan creativamente con códigos narrativos, lenguajes y modelos figurativos de épocas previas, con permanentes citas, *collages*, préstamos, guiños y recuperación (*remakes*) de materiales conocidos” según la autora héroes como Batman, Hulk, Spiderman, entre otros perdieron originalidad y conexión con muchos públicos al retratar héroes incorruptibles, puros y separados de la realidad, mientras que las historias japonesas siempre fueron fantásticas permeadas por culturas ancestrales orientales con temas mucho más variados. Además, las historias del *manganime* tienen personajes de todo tipo “No obstante el marco fantasioso del grueso de las producciones japonesas importadas, los personajes se vuelven más verosímiles: son contradictorios, se equivocan, tienen malos sentimientos y sienten impulsos eróticos, pareciéndose notablemente al público y sus vivencias” (Papalini 2006: 43).

La variedad de historias es vasta y aunque en principio se catalogue a una caricatura o cómic como algo infantil, el anime y manga tienen distintos géneros que van desde productos infantiles, hasta contenidos pornográficos. Las principales categorías enumeradas por Cobos (2010)

son: a) *Mecha* o historias de robots y tecnología; b) *Magical girls* donde niñas o adolescentes tienen poderes mágicos; c) *Cyberpunk* que se desarrollan en ambientes devastados y oscuros; d) *Ecchi*, comedias con elementos sexuales; e) *Harem* o historias que tienen como protagonistas a hombres rodeado de mujeres o viceversa; f) *Gore* con tramas sangrientas y violentas; g) *Kodomo* o animación para público infantil, por lo general los protagonistas son niños con sus mascotas; h) *Yaoi* tramas románticas entre hombres homosexuales que pueden o no ser explícitos; i) *Yuri* es lo mismo que el *Yaoi* pero el romance es entre mujeres y también pueden o no ser explícitos; y j) el *Hentai* es la animación sexualmente explícita considerada pornográfica.

3. Los procesos transculturales y los productos derivados del *manganime*

Las historias japonesas crearon mecanismos de identificación y apropiación que las han convertido en un éxito global, se puede considerar que actualmente hay un manga y un anime prácticamente para una gran población mundial, en virtud en que en varias culturas se han puesto en práctica. El punto de inicio, el manga, ha sufrido diversas traducciones intertextual e inter-semiótica (sin olvidar las isomórficas y homeomórficas de acuerdo a Iuri M. Lotman (1996), de tal manera que la serie de productos que hoy en día conforman toda una industria han sido procesados dialógicamente para adecuarse a cada cultura, cuando menos es notoria en la mexicana.

La traducción se vierte desde distintas dimensiones, derivado que históricamente, tal como se mencionó, comienza con la invasión norteamericana al Japón después de la devastación nuclear sufrida al terminar la segunda mundial, etapa caracterizada por el sometimiento a la visión del pensamiento occidental que trataron de exterminar las tradiciones de un abatido pueblo japonés. Quizás en su afán de salvar clandestinamente toda esa mirada orgullosa de cultura, o por ser un proceso natural de conservación a partir del dispositivo de la memoria de su cultura, el hecho es que se aprecian las manifestaciones artísticas y de creatividad narrativa en una clara dialógica intertextual e intersemiótica (dejando pendiente lo interdiscursivo) japonés-norteamericano, entonces vemos que el estilo y la estética de los dibujos animados tienen rasgos (isomorfismo) a las creaciones de Walt Disney, como lo que se comentó de Astroboy, quien tenía una cabeza semejante a la de Mickey Mouse.



Ilustración 5. Inuyasha, versión manga.

Pero por otro lado, y debido al impulso que se le da a la cibernética y a la inteligencia artificial, se hace patente, y las historias basadas en la historia samurái se traducen homeomórficamente a la mirada del futuro de la robótica, y se actualiza su tan sagrada mitología, transformándola en una *caricatura*.

Con el tiempo el manga transmutó a un sistema de signos diferentes para crear el anime, así de un soporte gráfico (manga) el anime recrea intersemióticamente las historias en un formato animado con los signos propios del lenguaje



Ilustración 6. Inuyasha, versión anime, videojuego y obra teatral.

audiovisual como animación, diálogos, edición, música, actuación, etc. igualmente el anime tradujo en otros sistemas de signos a los del teatro, videojuego, juegos de mesa, juguetes coleccionables e infinidad de *merchandising*.

Más allá de las traducciones y productos creados por los propietarios de las licencias (productos oficiales), están las interpretaciones de los fanáticos del *manganime* quienes crean historias paralelas llamadas *fanfic* del término en inglés *fan fiction*³; juguetes y dibujos hechos por ellos mismos “son productos de la cultura, definida como lugar de creación y no de simple reproducción, esto es, hay un espacio indeterminado abierto a la imaginación” (Papalini 2006: 45) y por último está la máxima forma de interpretación-personificación que es el *cosplay* contracción de los anglicismos *costume* (disfraz) y *play* (juego) por lo tanto el *cosplay* hace referencia a un juego de disfraces en el que los fanáticos del *manganime* y derivados crean o mandan a hacer sus disfraces lo más apegado a los personajes originales para asistir a convenciones y puntos reunión *Otaku* término con el cual se le conoce a las personas que tienen como hobby el consumo de los distintos productos del *manganime*, cómics y videojuegos.



Ilustración 7. Productos, imágenes y personificación realizada por fans del managa y anime Inuyasha.

4. La semiosfera otaku y cosplay

La palabra japonesa original *otaku* significa “algo ajeno a uno” y también se traduce como “su casa”, “su familia” o “usted” con el nivel más alto de formalismo. Posteriormente el término comenzó a utilizarse como forma de identificación y pertenencia grupal por parte de los fanáticos del anime y manga, las personas no fans los empezaron a catalogar como “raros”, “adictos” y “desadaptados” por eso a la palabra también se le atribuyen estos significados entre las personas ajenas a este grupo. Menke (2012: 52-55) señala que “los otakus son en su mayoría jóvenes aficionados al manga, al anime y/o a los juegos de video, que tienen a convivir entre ellos y para consumir estos productos culturales y sus derivados” la autora también explica que “comienzan por consumir una obra que les gusta o les conmueve [...] Esto provoca que los otakus tiendan a consumir todos los productos de los personajes por los que sienten una atracción”.

Los espacios de reunión entre otakus pueden ser virtuales a través de comunidades de Facebook o blogs; o pueden ser presenciales en eventos masivos conocidos como “convenciones” Álvarez (2015: 47) dice que “tanto en el universo del anime como el de los videojuegos se conjugan en las convenciones de fans, cuya organización en una de las prácticas más representativas

³ Ficción o versión de fanático. En estas versiones los fanáticos escriben finales alternos o desarrollan historias alternas conversando las características de sus personajes favoritos.

de los receptores alrededor de aquellos productos de la cultura masiva de los cuales se apropian como objetos de culto”, el autor explica que los otakus retomaron la idea de las primeras convenciones en Estados Unidos con temáticas de Star Trek y Star Wars, por otro lado Cobos (2010) explica que los productos culturales japoneses al ser importados, adaptados y liberados en el contexto latinoamericano permean otras estructuras sociales y culturales hasta generar una hibridación. Así se han ido generando convenciones con estructuras comunes (que podemos encontrar en cualquier parte del mundo) y a la vez adaptadas al contexto cultural de cada localidad donde se realizan. En las convenciones los otakus se sienten reconocidos y aceptados por sus iguales “escuchando al aficionado con atención, se descubre que él encuentra, en el objeto de su devoción, una narración, unas imágenes, un clima en donde puede reconocerse” (Papalini 2006: 15), por lo tanto se generan procesos de socialización, así que además de la necesidad de entretenimiento la cultura *manganime* satisface necesidades de socialización. Entre los otaku están los grupos de cosplayers, que como dijimos anteriormente son jugadores que se disfrazan como sus personajes favoritos y encuentran gratificación en los concursos destinados a premiar al disfraz (cosplay) más detallado.

Todo este conjunto de textos políglotas conforman la semiosfera del friki-otaku, el cual por propia práctica de un pequeño grupo de seguidores, ha generado ese continuum semiótico que les permite su identidad, en donde el Cosplayer se posiciona como texto nuclear y todo el mundo friki, como los videojuegos, la venta de productos y otros textos más, incluyendo los que se encuentran tras-bambalinas en la frontera de la semiosfera, como K-pop y los youtubers, nuevas modalidades que poco a poco van penetrando y acercándose más hacia el núcleo, aunque aún siguen siendo textos despreciados por los otaku más conservadores, por lo tanto conforman los textos periféricos.



Ilustración 8. Cosplayers (de izquierda a derecha) representando a los personajes de Kagome, Inuyasha y Kikyō del anime Inuyasha

pos posmodernos con preferencias hacia simulacros y no realidades. Bogarín, en el caso de los cosplayers que existe una personificación que consiste en tratar a los objetos y representaciones como personas “La imagen infantiloides en la apariencia del fanático abstraído del mundo real (de la normalidad) casa con la descripción estilística antes señalada: un salto de la caricatura al soporte carne y hueso, que aun así implica la verificación de procesos de interiorización (ajuste de la personalidad) por el consumidor” (2011: 74).

Sin embargo, la postura investigación antropológica sobre otaku que partió de este presupuesto, por el momento no debe tomarse con tanta firmeza, no existen los elementos para tal confirmación en virtud de que hay que “entenderlos como sujetos receptores

Por otro lado, Álvarez explica que muchos consideran a los otakus como desadaptados, infantiles, inmaduros, vagos, locos, etc. lo cual es inadecuado desde el espacio no semiótico a la semiosfera otaku, es decir, una “perspectiva prejuiciosa y estigmatizante del exogrupo no fan” (2015: 48), varios programas de televisión y medios refuerzan los estereotipos que hacen que el resto de la sociedad los vea “como vagos que realizan actividades ‘inútiles’, ‘ridículos’ que se disfrazan a pesar de ya no ser niños, ‘enfermos’ que pueden perder toda noción de la realidad al caracterizar personajes ficticios o figuras risibles y parodiabiles” (Álvarez 2015: 48), mientras que otros autores los consideran grupos



Ilustración 9. Shika, cosplayer profesional caracterizando el personaje de Tharja del videojuego Fire Emblem.

cuyas prácticas de consumo tienen una lógica específica en la configuración de universos simbólicos propios y la construcción de sus identidades culturales, relacionales y diferentes de otro no fan” (Álvarez 2015: 49). Si bien al principio de la elaboración de este artículo se inició con las hipótesis de la alienación y la inmadurez psico-social, durante una parcial investigación de campo realizada entre diciembre de 2016 y junio de 2017, durante las reuniones que tuvieron los niños-jóvenes en 8 convenciones realizadas en diferentes partes de la República Mexicana, se habló de manera informal con los distintos grupos de la semiosfera

otaku y se cuestionó más a profundidad a los cosplayers, y las entrevistas permitieron considerar que efectivamente hay personas con problemas psico-socio-culturales, la mayoría de ellos ve al cosplayer como una actividad lúdica, que los identifica porque sus textos son compartidos dentro de la semiosfera friki-otaku, y el cosplayer es considerado simbólicamente el más importante porque recordemos que está ubicado como texto nuclear dentro de ese espacio semiótico, y cada quien en lo particular sentían satisfacción por las actividades de esparcimiento, el encuentro y reconocimiento entre amigos y otros otakus.



Ilustración 9. Foto grupal de los participantes del concurso de Cosplay de la convención ConComics en Acaapulco Guerrero, México.

Con entrevistas y cuestionarios, que aún falta perfeccionarlos, se pudo observar, por lo pronto, que aparentemente la mayoría de los cosplayers tienen relaciones familiares “normales”, empleos en la sociedad en general, sus actividades son comunes, como las de ser estudiantes, profesores, ingenieros, fotógrafos, arquitectos, mercadólogos, matemáticos, etc. Todos señalaron sentirse adaptados a sus ambientes fuera de la semiosfera friki-otaku, pero es a través de esta insignia como empoderan sus diferencias con las alosemiosferas que no se incluyen en esta semirealidad “es posible afirmar que dichas comunidades de pertenencia se apoyan sobre la base de valores culturales compartidos reproducidos por las prácticas rituales de las convenciones y

por las identidades de los fans” (Álvarez 2015: 54), por lo tanto la pertenencia a la semiosfera otaku no ha demostrado excluir a sus integrantes de las semiosferas más amplias, aunque sí han sufrido de una actividad contraria, es decir, existe una cierta exclusión y el otaku ocupa un lugar sumamente periférico en torno a la semiosfera de la sociedad-cultura mexicana en general.

5. La presencia de alienación y rasgo de trastornos autistas en la semiosfera friki-otaku

En ese sentido es innegable que la semiosfera friki-otaku, que imita conductas extrañas a su propia cultura, como el reflejar comportamientos, ya sea en estilos alimenticios, de vestido, imágenes, y otras muchas actividades generales, envueltas en textos heterogéneos para la sociedad mexicana, es un serio indicador de que sus integrantes, en todos los grados, han asumido la condición de alienación, sin embargo, tal situación no es un aspecto privativo a esta semiosfera, puesto que hay otras que están sujetadas a la misma estrategia de control, tal como lo menciona Michel Pêcheux (1978), las formaciones sociales hegemónicas construyen las formaciones ideológicas, luego las formaciones discursivas y finalmente las formaciones imaginarias que conducen la producción y reproducción de las prácticas semiótico-discursivas del poder, así que en esos términos la comunidad friki-otaku cumple cabalmente con el condición de alienación, incluso se podría anticipar que como consecuencia, los integrantes de esta semiosfera no tienen una ideología que trascienda, no dan muestras de ser una alternativa de lucha social, es decir, no representa un riesgo para el poder que asfixia a una nación en el lodazal de la corrupción como es el caso de México.

En cuanto a que sus integrantes estén sufriendo algún trastorno de desarrollo psicosocial como el autismo, es muy posible, porque sus comportamientos muestran que están por debajo de los umbrales de los estadios evolutivos psicogenéticos. Pero al igual que como se comentó en el párrafo anterior, no sería algo exclusivo de los friki-otaku, existe el proceso de enajenación en otros muchos ámbitos sociales. Aquí la cuestión será considerar que tal vez el ‘infantilismo’ sea más marcado en esta semiosfera, aunque aparentemente sólo se da al interior, pero de ser así, si el comportamiento exterior es distinto, se podría pensar que habría una despersonalización, lo cual es más difícil, por lo que el infantilismo deberá ser un continuum al interior y al exterior de su comunidad.

Por su parte, en cuanto a la presencia de los rasgos del espectro de trastornos autistas se podría decir que el DSM-5 amplió la alteración psicopatológica para identificar secciones del trastorno y no evaluarlo en su forma general, es decir, al parecer con la presencia de los mecanismos de los videojuegos se ha atrapado en un mundo virtual a muchos de los niño-jóvenes, alejándose del contacto con su realidad cultural, por lo tanto, la enorme riqueza del lenguaje, producto de la experiencia asociada a la praxis social, se está anulando, lo que induce a considerar que la conducta de estos sujetos podrían presentar ya algunos trastornos autistas. Es necesario realizar estudios más profundos para confirmarlo.

Por último, se podría decir que de acuerdo a los procesos sociales que se han dado, a la semiosfera friki-otaku no la respalda una memoria de la cultura profunda e histórica, lo cual la ubica simplemente como una moda. Los integrantes de friki-otaku por su dimensionalidad no se le puede considerar ni como una tribu, ni como una comunidad aculturalizada o contracultural, todo parece indicar que será pasajera, quizás se transforme en otra semiosfera, con ciertas características que guarden algunos de sus textos, pero será muy difícil que la dialógica mex-jap genere nuevos textos y se integren la semiosfera de la sociedad mexicana.

De cualquier forma, el trabajo de investigación hasta ahora ha cumplido el hecho de abrir nuevas ideas, ampliar los objetivos, las preguntas y las hipótesis en términos de complejidad y, desde luego, continuar con la investigación.

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**FROM THE SESSION
“MODELLING IN DIGITAL
HUMANITIES”**

A COGNITIVE SEMIOTICS APPROACH TO THE ANALYSIS OF STREET ART. THE CASE OF ATHENS

Georgios Stampoulidis

Lund University, Sweden

georgios.stampoulidis@semiotik.lu.se

Abstract

This paper is part of my ongoing doctoral research centered on “Street Art and Cognitive Semiotics” at the division of Cognitive Semiotics at Lund University. More concretely, in this article, a fresh approach, based on a constructive (verbo-) pictorial argument, is taken to attending the relationship between a cognitive semiotics approach and street art signs in a programmatic way. This study is based on fieldwork research that was carried out during several periods in central Athens between 2014 and 2017, including photo documentation and semi-structured ethnographic interviews with street artists. In the following, my intention is first to outline a cognitive semiotic conceptual toolbox for street art understanding furnished mainly by Sonesson (2008, 2013, 2014). Second, three concrete examples indicative of these attempts are examined and analyzed semiotically.

1. Introduction

Cognitive semiotics consists in the integration of methods, models, and theories from three research fields: linguistics, cognitive science, and semiotics as apprehended from the point of view of the sociocultural lifeworld, the world of our experiences (Sonesson 2014; Zlatev et al 2015).¹ More concretely, in the specific case of picture understanding, several attempts have been made by thinkers such as the psychologist James Gibson (1986), the philosopher Edmund Husserl (1939), the French structuralist semiotician Jean-Marie Floch (1990), and the group consisting of Belgian semioticians known as Groupe μ (1992). Gibson was a leading psychologist who wrote about picture perception from the perspective of perceptual psychology, Husserl was a phenomenologist, and the French and Belgians were semioticians who contributed profoundly

¹ Lifeworld is the English translation of the German term *Lebenswelt*, which was first introduced by the phenomenologist Husserl.

to the specific field of pictorial semiotics and rhetoric, respectively. The analysis in this paper builds on the theory for the analysis of pictorial signs proposed by Sonesson (2008, 2013, 2014), which is inspired by the work of Floch (1990), Gibson (1986), Groupe μ (1992), Husserl (1939), and Peircean semiotic theory (1931-35).

2. Theoretical framework

The cognitive semiotics of the picture sign, though concerned with an object of a very different nature, can provide all these general rules, methods, guidelines and expertise to study pictures, the same way as linguistics does for language (Sonesson 2014). This further points to the general purpose of this study: a fresh approach, which is to be taken on street art research from a cognitive semiotic strand, which functions as a potential frame for detailed experimental and empirical research in the field of rhetorical figures, permitting me to provide thorough justifications (at least to some extent) for meaning construal. The cognitive semiotic conceptual toolbox, which I am going to describe here, includes the following “tools”: 1) the distinction between grounds and signs, 2) the significance of iconicity and indexicality in terms of the distinction between expression and content, primary and secondary iconicity, iconic and plastic orders, and abductive and performative indices, and 3) the model of rhetorical operations.

2.1. Grounds and signs

In the Peircean sense, the concept of semiosis (σημείωσις in Greek, ‘semiosis’), which is perceived as a long-standing process, involves a three-part relationship between the representamen, its object, and its interpretant. Based on this definition, and as commented also by Iliopoulos (2016: 249), “a sign is meaningful if and only if its relation to what it stands for is interpreted”. What interests me here is the relation between the representamen and its object. According to Peirce, the representamen is something, which “stands for that object not in all respects, but in reference to a sort of idea, which I sometimes called the ground of the representamen” (Peirce CP 2:228).

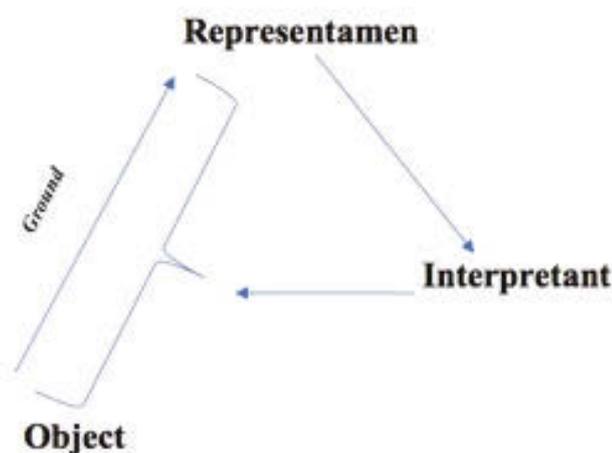


Figure 1. The relations between the Representamen, its Object, and its Interpretant. The semiotic “grounds” as dynamic forces for building up sign functions (adapted from Iliopoulos 2016)

In this case, three fundamental relations can occur between the representamen and its object, namely iconicity, indexicality, and symbolicity, and which may be taken as the “ground” (Figure 2).² If the representamen corresponds to expression and object corresponds to content, then

² It is important to clarify that “ground” is still not a sign. “Ground” is a dynamic function that pre-exists to the sign function.

the first property of iconicity is based on distinct relevant elements between the representamen and its object. An example could be the property of “being Greek” shared between two elements from the point of view of their Greek origin. This corresponds simply to an observation, or in different words to the property of iconicity. When the comparison between both properties (iconicities) takes place, then, the iconic relation of “Greekness”, which corresponds to the iconic ground, is established as a similarity based comparison, thus being a relation, which in Peircean terms, is already a kind of Secondness. They become iconic signs if and only if one can stand for the other due to their in-between similarity based extension.

On the other hand, indexicality (δείξις in Greek, ‘pointing’) by definition exists as a relation to something else from the beginning of its presence corresponding to the indexical relation (or indexical ground), which does not necessarily depend on the sign function. This means that indexicality is conceived as an indexical ground, which is still not a sign, unless it becomes part of any sign relation. Having introduced iconicity and indexicality, it becomes clearer that iconicity has some kind of being as a single property, such as “being Greek” for example, but literally, it does not exist, if no comparison between the representamen and its object takes place, whereas, indexically is always there pointing to the indexical relation, in terms of the indexical ground, being independent from the sign relation. Lastly, in the case of symbolicity, there is only the symbolic (conventional) ground between the representamen and its object, which gives birth to the symbolic sign. Table 1 below displays schematically the different kinds of semiotic grounds and how these semiotic grounds could be elevated to the three sign functions (relations), namely iconic sign (icon), indexical sign (index), and symbolic sign (symbol).

	Firstness = Iconicity	Secondness = Indexicality	Thirdness = Symbolicity
Firstness = property	Iconicity	—	—
Secondness = ground	Iconic ground	Indexicality = Indexical ground	Symbolic ground
Thirdness = sign	Iconic sign = icon	Indexical sign = index	Symbolic sign = symbol

Table 1. Grounds and signs (adapted from Sonesson 2015)

At the level of “ground”, the first two cases of iconic and indexical grounds are considered motivated, and thus the representamen is related to its object either via similarity in the case of the iconic ground, or via contiguity (spatiotemporal relation) or part/whole relation (henceforth factorality) in the case of indexical ground, respectively (see Devylder 2016; Sonesson 2008 for reviews). On the other hand, the case of the symbolic ground is conventional, and thus the representamen is associated to its object via common knowledge shared by the sign users (Figure 2). Examples of conventional symbolic signs could be the euro sign (€) or the dollar sign (\$).

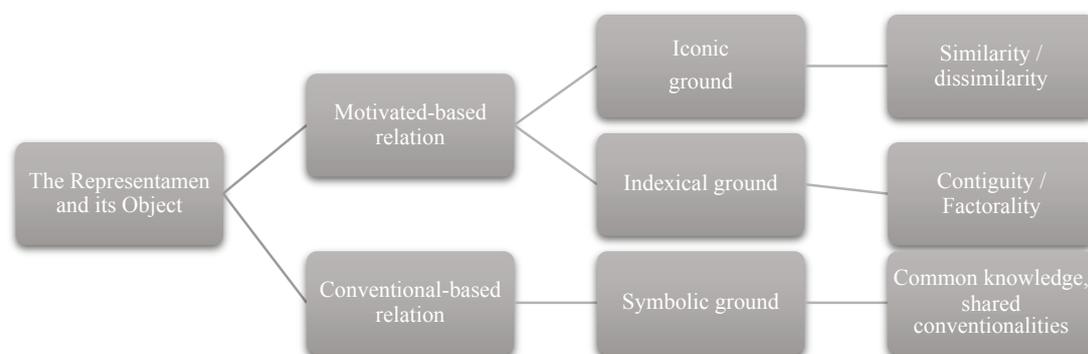


Figure 2. The representamen and its object. Motivated-based and conventional-based relations

Our research questions can now be made more explicit:

1. How and to what extent can these motivated (iconic and indexical) and conventional (symbolic) based relations between the representamen (expression) and its object (content) be applied to street art signs?
2. What are the meanings of a given street art sign and how do these meanings manifest themselves within the rhetorical structure of the picture sign?
3. How are these meanings affected by the sociocultural context?

At this point, it is crucial to mention the criteria that would need to be fulfilled in order for something to be a sign (Sonesson 2013: 316), as exemplified by the case of street art:

1. In the process of experiencing street art signification [semiotic process] there is always a **subject** involved.
2. The street art sign, which is going to be signified, must contain at least two parts: **representamen (expression)** and **object (content)** – (expression could stand for a street art work and content could stand for the depicted thing).
3. They are **differentiated** by the subject – (the street art work is here and now, whereas the depicted thing is spatiotemporally extended).
4. They are **asymmetrical** in relation to each other:
 - a. **Representamen (expression)** → is **directly experienced** (the street art work is directly experienced).
 - b. **Object (content)** → is **in focus** from the subject's perspective (the depicted thing is in focus, not the street art work itself).

2.2. Expression and two layers of content: primary and secondary content

As I argued above representamen could stand for the expression and object could stand for the content, respectively. In this case, starting out from the street artworks found in my collection, I think that we should make a distinction between two corresponding layers of content: one (henceforth *primary content*) that even if it is not directly experienced, nevertheless can be interpreted by the subject without previous sociocultural and/or historical knowledge of the lifeworld, and a second one (henceforth *secondary content*) at a higher level, which is in focus, and thus being crucial for the subject to have distinct sociocultural and/or historical knowledge of his particular lifeworld, at least for a certain period of time. This is explained in detail in Section 3.

2.3. Primary and secondary iconicity

Two cases of iconicity are important to distinguish: primary and secondary iconicity (see Sonesson 2013, 2014). In the case of primary iconic signs, the expression can easily be understood in terms of the content (without being confused with it) without external sociocultural knowledge (no conventions needed). On the other hand, the case of secondary iconicity is a bit more complicated since the similarity between the expression and content is not clear enough. Then, either an explanatory (often verbal) label or extrinsic sociocultural knowledge is needed in order to specify the similarity between two parts (expression and content). The case of secondary iconicity could be related to the secondary content, which I introduced in the subsection 2.2. It is crucial to have the sociocultural knowledge about how EU currency and Greek flag look like, for example, in order to grasp the idea of EU and Greece.

2.4. Iconic (pictorial) and plastic order

Another relevant characterization involves the two orders of the picture sign (Groupe μ 1992; Sonesson 2008, 2014). The iconic (or better pictorial) order corresponds to the depicted thing that is associated to something that can be perceived in experience (the depicted object of the Lifeworld experience), and the plastic order corresponds to the multitude operations of colours, forms, shapes, textures, materialities and so on negotiated through pictures (the visual treatment in other words) of the picture itself (Sonesson 2014: 31).

2.5. Abductive and performative indexicality

Another crucial distinction that exists between two different types of indexical configurations could be well applied to the case of street art: the case of abduction and the case of performativity (Sonesson 2014). First, accepting the fact that indexicality (indexical ground) is found even before the indexical sign being independent of it, the indexical (contiguous) relation between the representamen and its object presupposes an earlier connection based on earlier experiences. This is the case of abductive indexical signs. Second, the indexical (contiguous) relation is created when the street artist, in our case, puts together different elements to build up the representamen (expression), causing a connection. This is the case with the performative indexical signs. Both types of indexical significations, as has been stressed by both Sonesson (2008) and Iliopoulos (2016) can co-exist, also in the case of the street art sign.

2.6. Rhetorical operations

A philosophical model of pictorial rhetoric, which is inspired and indebted to Groupe μ model, and is dissociated into four categories (rhetorical dimensions), namely *the dimension of indexicality*, *the dimension of iconicity*, *the dimension of symbolicity*, and *the dimension of socio-cultural categorization* has been elaborated by Sonesson (2008).³

All these four categories are based on the fundamental axes of cognitive, perceptual, and ontological understanding of the lifeworld (Sonesson 2008). The first category, *the dimension of indexicality*, is related to the indexical grounds of contiguity and factorality; contiguity in the sense of (conceptual) proximity and factorality in the sense of part/whole relations, admitting the hypothesis that we expect to experience the lifeworld in terms of parts and totalities (Sonesson 2008: 19). The second category, *the dimension of iconicity*, is the rhetorical operation, which is related to what we perceive in terms of too much or too little resemblance, always in relation to the sociocultural lifeworld. The third, *dimension of symbolicity*, refers to shared conventionalities, and the last one *the dimension of socio-cultural categorization*, is related to three pictorial subcategories (pictorial kinds), which are quite relevant to street art: the rules of construction of the picture relating expression and content (*constructional*, production), the socially intended effects (*functional*, reception), and the social channels of circulation. The analysis, I am going to do next, traces the ways in which these semiotical categories could be related to street art, at least to some extent (see below Tables 2, 3).

3. A cognitive semiotic interpretation of street art signs: 3 exemplary cases from Athens

I now consider the case of street art, in order to illustrate how the cognitive semiotic conceptual toolbox as outlined in Section 2 in a strictly “Sonessonean” sense could be applied to some indicative examples of street artworks.

³ These categorical dimensions have been built up on both the Peircean trichotomies of Iconicity, Indexicality, and Symbolicity, as they have been discussed in Subsection 2.1, and the Groupe μ rhetorical model. I would say that Sonesson’s main contribution here is both the integration of Peirce’s semiotic theory and Groupe’s μ rhetoric, as well as the elaboration of the fourth dimension of socio-cultural categorization, which may indeed be quite relevant to street art.

As such, it is worth noting that the sociocultural and historical contextual boundaries, the linguistic barriers, and the high level of creativity and redefining of symbols render street art quite unique in opening up new ways of research. I further discuss in what ways street artworks, which constitute (verbo-) pictorial compositions, do bear some degrees of rhetorical figurativity and significance regarding the meaning construal.

The criterion on which I selected these three examples is that they are exemplary cases of (verbo-) pictorial signs (namely street artworks) photographically documented during the period between 2014 and 2017 in central Athens (Stampoulidis 2016), and they share the following characteristics: a) (verbo-) pictorial synergy and figurative potential, b) the verbal intertext (if any) in English, and c) the contextual information being crucial for their interpretation.⁴ The following three street artworks are used as the exemplary cases in this article.

3.1. Politician blended with a dog



Figure 3. Politician blended with a dog. Creator: Lotek, Political Stencil. Photography Georgios Stampoulidis © in December 2016

Let me now have a closer look at the first dimension of indexicality and in particular by taking into account the notion of factorality. More concretely, Figure 3 illustrates: either an unexpected presence of an animal body and an unexpected presence of a human head, or an unexpected absence of a human body and an unexpected absence of animal head (due to combination). This example with the Dutch politician blended with an animal body is a stencil artwork, which corresponds to the representamen (expression).⁵ Its socio-political intended effects correspond to the object (content). Nevertheless, the content of Figure 3, for instance, could be disassociated into two corresponding layers of content, as discussed in Subsection 2.2: 1) the primary content of dog-man at a universal cross-cultural level (the subject does not need any particular sociocul-

⁴ I have decided to include only examples with verbal intertext in English in this study for the sake of unity and clarity.

⁵ Figure 3 portrays the Dutch politician Jeroen Dijsselbloem.

tural and/or historical knowledge to interpret the sign relation), and 2) the secondary content at a higher historical/conventional level that may be that of political corruption, which is perceived as the aforementioned socio-political intended effects (the subject needs to carry some, at least, previous sociocultural and/or historical knowledge to interpret the sign relation). To this extent, representamen (expression) and object (content) entertain a doubly asymmetrical relation also in the specific case of street art. This means that even if the materialities of street artworks come first to one's perception directly, what it actually matters at the end, being in focus, is their intended effects (secondary content), which are being only indirectly present. Here, it is indispensable to have some background knowledge about politics to understand that the human head stands iconically (due to similarity based extension) and indexically (due to contiguous and part/whole relation) for a politician who is associated to a dog. This knowledge is abductive, but their combination is performative, since this contiguity and factorality do not exist outside the sign relation but are created by it.

3.2. Policeman blended with a pig



Figure 4. Policeman blended with a pig. Creator: Unknown. Photography Georgios Stampoulidis © in May 2015.

Figure 4 illustrates: either an unexpected presence of human body and an unexpected absence of human head, or an unexpected absence of animal body, and an unexpected presence of animal head (due to combination as well). As shown, in both examples until now (Figures 3, 4), parts of several (at least two different) totalities or entities (the totality of human body and the totality of animal body) are blended masterfully into one unexpected unity triggering rhetorical effects. The second example with the police man blended with a pig is an artwork made with spray-paints and paintbrush. The human body with an unexpected animal head corresponds to the representamen (expression). Its socio-political intended effects correspond to the object (content). Here, there is a need to grasp the idea about police men being pigs current not only in a wide range of street slogans but in much recent popular culture. This is the abduction, which, in this case, justified by performativity, being created the time that the sign relation itself is constructed.

3.3. Human body parts blended with mechanical gears



Figure 5. Human body parts blended with mechanical gears. Creator: N_Grams. Photography Georgios Stampoulidis © in January 2017.

Figure 5 is the case, where unexpected parts (in this case *gears* instead of *human heads*) are added to a certain entity (in this case *human body*) creating an unexpected factor, triggering rhetorical effects as well, in terms of the lifeworld ecology. This street artwork is a paste-up artwork made by means of a coloured piece of paper (acrylics on newspaper) and pasted on the wall. The human bodies with unexpected gears as human heads correspond to the representamen (expression). Their socio-political intended effects correspond to the object (content). In this case, it is crucial to have some previous socio-political knowledge involving the crisis context in Greece, the part played by EU in Greek politics recently, thus resulting in high taxation, and generally in Greece's present debt problem. So far, the abduction, as knowledge, which is based on earlier experiences, is specified by the performative combination of human body parts and mechanical gears, which may be taken to suggest the bureaucratic nature of the EU.

3.4. Discussion

As I have shown indexicality with the notions of contiguity and factorality is very much relevant to street art at least from the perspective of assuming a general knowledge about the human biology incorporated within the human lifeworld. All three examples are characteristic pictures for the unexpected combination of two different entities (based on the way that is expected to be experienced in the lifeworld), in which an unexpected presence as well as an unexpected absence of factorality is found.

The next case is the dimension of iconicity, in which as noted above the presence of either too much or too little similarity is compared to what we actually see in the picture and how this is perceived within the lifeworld. All three cases of street artworks, which are exemplified here (Figures 3, 4, 5), indicate less similarity (resemblance) than expected, always in terms of the lifeworld ecology. As a matter of fact, this logical opposition in terms of “anthropological universals” (Sonesson 2008) as seen in these three examples produces rhetorical effect:⁶ 1) human head of a Dutch politician is blended with an animal body of a dog, 2) the animal head of a pig is blended with a human body of a police man, and 3) human bodies have gears for head instead of human heads.

The last category of the dimension of socio-cultural categorization approaches pictures as “social objects” (Sonesson 2014: 33). In all three cases, the viewer is invited to consider three operational subcategories that matter depending on their use. The construction category consists of the plastic order (visual treatment in other words) of the picture itself, which encompasses different colour usages, drawing styles, shapes of textual captions, textures, and other materialities, as well as the iconic (pictorial) order. All three examples have mainly socio-political intended effects based on humor, political satire, and sarcasm. They are circulated in public space, mainly on walls (or on any other public surface).

In addition, since I am interested in the rhetorical structure of pictorial signs, and more specifically, in how meaning is construed in street art signs, what should be examined here is if in these three exemplary cases, the signs, in the strict sense of the term, satisfy Sonesson’s criteria (section 2.1).

To begin with, the (verbo-) pictorial representations depicted in the Figures 3, 4, 5 consist of at least two distinct parts: the representamen (expression) and its object (content). Nevertheless, the representamen (expression) and the object (content) would not overlap in spatiotemporal settings. This means that the different kinds of constructing qualities of those pictures (colour patterns, shapes, size, textures etc.) are detected only during the time the subject perceives the (verbo-) pictorial representations, while their socio-political intended effects are spatiotemporally extended. This reveals the different kind of nature of the representamen (expression) and the object (content): the representamen (expression), which is always material, is perceived as the specific methods of stencil, spray-paint, brush paint, and paste-up in the case of street art, whereas the object (especially the secondary one) is perceived as the socio-political intended effects.

Before I conclude this section, I would like to point out the typology of abductive and performative indexicality, which is present in these three examples (Figures 3, 4, 5). If, in all these cases, this contextual information would be missing, it would not be possible for potential recipients to construe any meaningful considerations. Interestingly, what is shown, at least in the last two examples (Figures 4, 5), apart from reinforcing the (verbo-) pictorial integrity, is the presence of verbal abductive indices as well (e.g. in Figure 4 the verbal intertext *A.C.A.B.*, which is very much symbolic, is an anti-police acronym, which generally means that “All Cops (police men) Are Bastards” (<https://en.wikipedia.org/wiki/A.C.A.B.>, accessed 16 October 2017) - and in Figure 5 the EU sign, which is associated to European Union, or the question mark, which is associated to the uncertainty of new Greek generation’s future, presumably).

6 Sonesson (2008: 33) claims that “anthropological universals may be the case in which the contrary terms are subsumed under universals known to every human culture, such as the opposition of the features female + child and male + adult [...] in fact, there may be an even stronger case, in which abstract contrary terms which are anthropological universals appear directly in the picture”. In our case, all three examples bear some kind of sedimented universal contradiction: human body parts + animal body parts as depicted in Figures 3, 4 or human body parts + mechanical gears as depicted in Figure 5.

Iconicity (more or less similarity / dissimilarity than expected) logical oppositions		
Symbolicity (applied to common knowledge and shared conventionalities)		
Indexicality (applied to abductive and performative indices) contiguity and factorality		
Applied to factorality		
Unexpected presence, unexpected absence, or combination		
Unexpected combination of different wholes triggering rhetorical effects	Unexpected parts of a whole triggering rhetorical effects	
		
(Figure 3)	(Figure 4)	(Figure 5)

Table 2. Iconicity, Indexicality, and Symbolicity applied to street art (adapted from Sonesson’s integrated model of rhetorical operations 2008, 2014).

Categories	Figure 3	Figure 4	Figure 5
Mode of construction (stencil, spray-paint, brush, marker pen, paste-up, sticker)	stencil	spray-paint, paintbrush	acrylics on newspaper, paste-up
Function (socio-political, aesthetic)	socio-political intended effects based on humor, political satire, and sarcasm		
Channels of circulation (public walls, façades of state buildings and / or university buildings, cultural historical monuments)	public walls, façades		

Table 3. Pictorial kinds applied to street art (adapted from Sonesson 2008, 2014).

4. Conclusions

The cognitive semiotic conceptual toolbox outlined in this article (Section 2) is a theoretical framework to investigate the meaning-makings in the specific case of the street art genre. To briefly recapitulate, what has been proposed in this work is that the distinction between the grounds and signs, the Peircean notions of iconicity (Firstness), indexicality (Secondness), and symbolicity (Thirdness), as well as Sonesson’s integrated model of rhetorical operations could be adequately applied to street art signs.

As I hope to have demonstrated in this article, the application of the particular cognitive semiotic conceptual toolbox based on the analysis of pictorial signs as proposed by Sonesson (2008, 2013, 2014), inspired by the work of other thinkers and applied to the case of street art, could meaningfully justify the appearance of rhetorical figures, as divergences to our expectations, which are grounded in our lifeworld perception. As I have shown, street artists often make use of iconic, indexical, and symbolic configurations, namely in terms of unexpected absences

and presences, in order to create the aforementioned rhetorical effects. Ultimately, the issues that have been raised in this study concerning the “expected interrelation” between the outlined skeleton of the cognitive semiotic conceptual toolbox (Section 2) and street art semiotic interventions are workable and many aspects remain to be further investigated in order to enable a more integrated analysis of the phenomenon.

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**FROM THE SESSION “TO
WATCH, TO ACT, TO DIRECT”**

SEMIOTICS (OF CINEMA)'S NOT DEAD

Bruno Surace

University of Turin, Italy

b.surace@unito.it

Abstract

Declaring in an academic environment that one deals with semiotics of cinema, or with semi-otics and cinema, is always a risk, often met with sceptical grimaces. The term “semiotics of cinema” evokes an era which is perceived as being antiquated, crystallized on the names of Eco and Metz and on a structuralism which many, perhaps justly, consider outdated. The problem is not to be underestimated: if semiotics does not possess the tools with which to approach the cinema fully in its epistemic horizon, then it has failed from the start, since much of the sense we experience daily has a filmic basis. Asserting the death of semiotics of cinema thus amounts to endorsing the death of semiotics itself. It seems suicidal for a discipline to exclude itself from one of the domains which it should regard as fundamentally preeminent. In order to overcome this impasse, therefore, it could be worth starting a programmed dialogue between the semiological apparatus and the instruments of film studies and aesthetics, abandoning a hegemonic propensity which is anachronistic in this era of crisis of the human sciences. The purpose of my contribution is to propose some theoretical bridges that demonstrate how this debate would be fruitful in order to attest how semiotics has never been more alive.

1. Where we left off

Ample debate has taken place over the possibility of analyzing cinema from a semiotic perspective, but without any stable conclusion being reached. One of the first names that is commonly cited in this regard is that of Christian Metz, who started the ball rolling in 1964 with his article *Le cinéma, langue ou langage?*, in which he speculated whether a cinematographic grammar could be mapped out. Cinema, in fact, since it is based on the juxtaposition of a plurality of codes (Metz 1971), can elicit – as we well know – numerous problems. And if there were no univocal grammar, how could we then treat it? Should it be excluded from the semiotic horizon? And if so, what should we then do with a discipline the purpose of which is to study sense, but which is unable to deal with the realm of the filmic, that is, with one of the hinges on which contemporary society revolves?

This theme has been transversally handled by many authors, whom we cannot but mention here, from Umberto Eco (1968) with his interpretative and codical approach, to Gianfranco

Bettetini, who from the French theories of the Sixties simultaneously cast a glance backwards at Peirce who treated Saint Augustine as the first “audiovisual semiotician” when he postulated the icon, and forwards, sliding the issue from the text to the conversation between enunciator and enunciatee (1984), that is to say, towards the pragmatic dimension. Or again Francesco Casetti, who first divided the problem into three forms of possible analysis (textual, structuralist and semiological) (1990), saying perhaps that the filmic sign is something fluid, which needs to be illuminated by various lights in order to be comprehended, and then more recently moved towards the horizon of Screen Studies, in accordance with the theory (in my opinion a very valid theory) that the history of media, and that of culture, can be read through screen surfaces.

The discipline of semiotics of cinema itself seems always to have been aware of the accusations levelled against it. In Pierluigi Basso’s book *Confini del cinema (Borders of cinema)* (2003), we can read of an “anti-reductionist gaze”, in other words, of the necessity to avoid “debasement” of film with a semiotic deconstruction which undermines its essential wholeness, its intrinsic transcendental-ity. This, indeed, is the great battle which semiotics of cinema has had to wage and continues to have to wage even today, in an era in which it is often repudiated: the reaffirmation of its necessity, but also the demonstration of its ability to deal with film and maintain its essence intact.

On thinking about the matter, however, it seems to assume broader confines. Why are these accusations directed only at semiotics of cinema specifically, and not at the discipline in general? At bottom, if a film by David Lynch can be seen as “oppressed” by a semiological analysis – “raped” by it – then could not the same be said for a painting by Marc Chagall or a poem by Thomas Hardy? The truth is that, in fact, a particular resentment is channeled towards semiotics of cinema because of the film, maybe a more “ineffable” textual entity than others, but also that nowadays the whole of semiotics is considered, as it were, obsolete. During the film studies convention *Contemporary Cinema and Media Aesthetics* (November 24-25, 2016, Roma Tre University) I happened to tell a fellow speaker, evidently very exuberant, that I dealt in semiotics. He replied sardonically: “still?”. In fact, from his point of view he was not wrong, since he probably came from a domain of expertise which made him consider semiotics as a sort of meat grinder, mercilessly mashing everything with the same mechanism. In reality, however, it seems to me that some progress has been made which, paradoxically, enables us to understand how the principles of the past are as valid as ever.

Semiotics proposes itself as a metalanguage that is autonomous, but also intrinsically open to other epistemic horizons. It is no accident that Metz, once having defined film as a *Grande Syntagmatique* (1966), felt the need to approach it psychoanalytically through Freud and Lacan. He understood that the mirage of semiotic hegemony has to be confronted with other viewpoints, for extracting sense from the text, even from the filmic text.

Thus, I would like to subdivide this paper into three passages, which I trust will, in the end, be seen to be interrelated. First, I should like to take a look back at one of the first aesthetic theories of film “analysis”, to demonstrate how these were – I am not sure how consciously – markedly semiotic. I will then move on briefly to a specific case of a contemporary text, to show how semiotics poses as an essential discipline for mediation between the object of study and other subjects. Finally, I will present what I consider to be one of the possible contemporary approaches which make semiotics of cinema a living, pulsating subject.

2. Semiotics and *Photogénie*

The first theory to which I am referring is that of photogenicity, a term first used in a cinematographic setting by the writer Colette in 1917, that is, when the first so-called “attractional” phase of cinema (Gunning 1990) was coming to an end. Photogenicity was and is, loosely, that prop-

erty whereby a determinate subject comes out particularly well when photographed or filmed (also on television, if one thinks about telegenic quality). Louis Delluc and Jean Epstein debated this issue almost coetaneously, from two diametrically opposed perspectives. For Delluc, photogenicity resides in the things and in the beings of the world, which might never be photographed or filmed. It is then the camera operator's task to capture the photogenic quality of these subjects without degrading it with excessive enthusiasm. On the contrary, Epstein views photogenicity as a supremely cinematographic quality. The cinema captures this quality and at the same time engenders it. Thus, while for Delluc the aim of film is to "naturalize" itself in order to comply with photogenicity, for Epstein the film must in some way transform reality, embellish it and produce visions which go beyond the natural. This is what was once referred to as *filmic specificity*. For Delluc photogenicity exists *a priori*, for Epstein it is *a posteriori*.

Epstein's theory would clearly seem the more sustainable, nevertheless it must be underlined how both in reality rest on distinctly semiotic bases. For Delluc (1917) photogenicity, even though it resides in the entity, requires a determined textualization in order to emerge, and that is, the camera operator's ability to highlight certain *aspects* – as Peirce would say – of the filmed object, and transcend others. For Epstein the film does not directly reproduce reality, but transforms it, exactly as foreseen by semiotic epistemology. The film camera *signifies* reality and, as Epstein says, cinema is "highly supernatural". In what way? In that, it stylizes nature, approaching it by means of devices, which are stylistic, therefore rhetorical, and therefore semiotic. Among these devices, Epstein cites, for example, the use of slow motion, which may intensify the dramatic effect of a scene, or superimposition. In fact, if one watches a masterpiece like *Cœur Fidèle* (*Faithful Heart*) from 1923 (a year in which Epstein engages in much reflection on photogenicity), one witnesses the staging of a classic melodrama imbued with hyper-mediation. Myriads of interpellations or gazes in camera – which in semiotics would be called enunciational debrayage – succeed one another, not like those of early cinema, for which they were codified, but as stylistic markers to emphasize the supernatural structure of the film. Therefore, a downpouring of superimpositions and slow motion. The great power of these "figures" is that of signifying the non-filmable transcendentality of cinema through style, and for instance Marc Vernet, in 1988, systematizes gaze in camera and superimposition as "figures of absence".

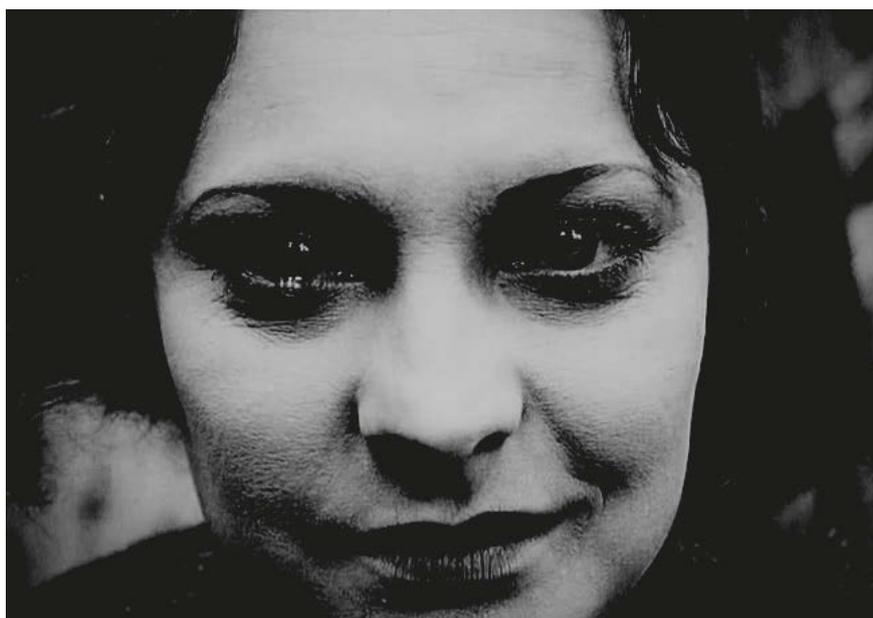


Figure 1. Screenshot from *Cœur Fidèle*

In Epstein's photogenicity, therefore, an aesthetic dimension and a semiotic dimension cohabit larvally, in an epoch in which semiotics of cinema was largely the preserve of the Russian formalists who had already clearly intuited this semioaesthetic "crisis" (which will then become increasingly formalized by the Prague Linguistic Circle as well – think of Mukarovskij's book (1936) in which aesthetic value and norm are associated). Yet this commonality had already been clear many centuries before, for instance to Alexander Gottlieb Baumgarten who had underlined the rhetorical foundations of artistic discourse.¹

Epstein's photogenicity, in other words, seems to me to be an *ante litteram* version of the aesthetic semiotics developed, for example, by the Prague Linguistic Circle. Let me point out once again that the great semiotics authors, from Lotman (1973) to Eco, have widely reflected on the theme of the aesthetic sign and how it becomes an aesthetic text. Thus, semiotics of cinema in reality is nothing but the formal facade, which systematizes aesthetics of cinema, and each needs the other, if a fundamental incompleteness is to be avoided.

This demonstrates how the first aesthetic theories of cinema already concealed in reality a semiotic matrix, based on the recognition of determinate visual, but also narrative, tropes.

3. How to study a film unfinished

Nevertheless, this aesthetic semiotics of film also interfaces with other disciplines. The example I wish to bring to your attention today is that of an exceptional film which is still little known. *A Film Unfinished*, made by Israeli director Yael Hersonski in 2010. Contextualizing this film is no simple operation. It is based on the re-semantization of a 1942 film entitled *Das Ghetto*, shot by an SS troupe in the ghetto of Warsaw. *Das Ghetto* was an incomplete film, without opening or closing credits, which disappeared in an archive after the dissolution of the ghetto and was only found again around the 1960s. The film contains a series of scenes inside the ghetto, which alternate images of Jews living in a sort of luxury with images of begging, starving Jews. For about forty years, historians, in an excess of semiotic zeal, based their interpretations of certain social instances inside the ghetto on this film. In 1998, however, a further reel was discovered, which constituted the completion of the preceding one, and which demonstrated how all the preceding shots were fruit of a series of manipulations effected by the Nazis, who were acting not so much with documentary intent as for purposes of propaganda, in order to demonstrate the innate ignominy of the Jewish people, unable to feel pity even for their own kind. It is this finding that prompts *A Film Unfinished*, where Yael Hersonski combines the two reels, alternating them with various testimonies and demonstrating the Nazis' intentions, which until 1998 had not emerged from *Das Ghetto*.

A Film Unfinished superimposes the enunciation according to various levels. In it can be found the images from *Das Ghetto* as conceived by the Nazi *intelligenza*, contextualized however in the light of the recovery of the "revelatory" reel, but also a series of other formal devices useful for defining the film's primary intention, which is not solely documentary, but also and above all interpretative. Hersonski does not arrange the shots in a linear fashion, but edits and interpolates them with a series of other contents, for the purpose of furnishing a heightened reading of the event which conveys a reflection on the idea of historical research itself and of its sources and, from the point of view of semiotics, on the relevance of *intentiones* in the text. The same images, if edited differently, speak differently.

The authorial syntax reported entails serious reflection on the intentional instances, which support the filmic text. To sum up, vertically the authorial grammar is the following:

1 Cf. Tedesco 2008, 35.

Yael Hersonski “directs” a film which:

- is based on the work of a troupe, embodied by cameraman Willy Wist who
- has been enlisted by a squad of Nazi superiors, first among them the so-called “Gold-pheasant”, who
- base their work on a series of narrative programs, emblemized by Joseph Goebbels’ communications policies designed to demonstrate the legitimacy of the extermination projects, which
- incarnate Nazi ideology, the ultimate symbolic author of *Das Ghetto*.

However, a transversal sectioning of the film also permits the identification of certain instances that are in some way meta-authorial. The survivors contribute spontaneously to the creation of content and re-semanticize the images, both charging them with emotive valence and emphasizing their strongly revisionist purpose. Yet, the very Jews filmed in the ghetto, aware of being filmed, not only actorialize *Das Ghetto* but in some way authorialize it, sanctioning an intention – and that is, a desire to signify – that is diametrically opposed to that of those who commissioned the film: on their side there is the hope that cooperation may result in salvation, while on the other there is the Nazi plan to deceive.



Figure 2. Screenshot from *A Film Unfinished*

A Film Unfinished is therefore a text subject to intentional *Gestalt*, where the authorial summation surpasses the single parts that compose it. Nevertheless, it is the text itself which has the last word in the end, which speaks with its own intention, and again *A Film Unfinished* demonstrates this clearly, if one starts to interpret it from its pulsating heart, and that is, the Nazi ideology: the authorial intention is inscribed in the text, configuring the mechanisms of cooperation between author and addressee (Eco 1992). Every authorial stratification entails an additional intentional layer, which dialogues in a semi-autonomous manner with the others. The symbolic “buyer”, that is Nazism, orders a propaganda film in the ghetto of Varsavia with a result in mind which is decodified by Goebbels (flesh-and-blood signifier of Nazi communication), who in turn is decodified by the hierarchs on site, who are decodified by cameraman Wist, whose hand traces all the *intentiones* which precede him, but also adds something, even if minimal, of its own to the text. Wist does, however, also admit that he has comprehended the buyer’s project, as have numerous Jews in the ghetto, of whom Adam Czerniaków (1989) writes with bitter irony, referring to them as “stars” or “professionals” with different degrees of “photogenic qualities”.

Thus, the director not only employs the montage to reveal the deception of *Das Ghetto*, and implicitly that of filmic fiction and documentary – and of document – *per se*, but also makes use of a multitude of stylistic aids. There is, first of all, the utilization of audio, which contrasts with the original silent shots of *Das Ghetto*. *A Film Unfinished* boasts the presence of three sound components: the voices of the afore-mentioned actors and of the commentator, a soundtrack, and the almost constant crackling of the film projector. It is worth pausing awhile to consider these last two elements. Both blend with the images in an organic manner to the point of constituting a single signifier. Israeli composer Ishai Adar's soundtrack is made up of gloomy tones, and presents a particular analogy with the *Theme from Schindler's List*, composed by John Williams for Steven Spielberg's 1994 film.

It is not easy to find the music score for Ishai Adar's theme, but if one listens to Williams' main motif and that of *A Film Unfinished* one notices the marked similarity, save for the dissonant tones of the latter. Given the thematic affinity of the two films, and the global fame of Spielberg's, it is possible to postulate an intentional relationship between the two soundtracks, and it appears – despite the risk of being accused of over-interpretation – that the dissonant twist in Adar may be seen as an attempt to detach himself from the universe narrated by Spielberg. Spielberg, in fact, despite the tragic nature of the events described, concludes his film with a scene in color of the Jews who survived the Holocaust placing a stone each on Oskar Schindler's tomb, whereas Hersonski places the story of Czerniaków's suicide at the end of her narrative, and associates the "end of the Jews" in the ghetto with the reinstallation of the films in their archive by means of a visual simile (moreover in black-and-white, after a brief passage in color shortly before the finale). Along with the soundtrack, as mentioned before, the film reel manifests its presence throughout. As the film moves forward, the sound of the projector becomes progressively less perceptible, reaffirming the nature of memory, especially of the textual kind. This is reiterated by the insistent use of announced utterances. The film begins and ends with the manipulation of the very reel that the spectator is about to view; the viewing is meta-textually inscribed in a frame where it is repeatedly possible to see the projector; a meta-spectatorial system (the survivors/witnesses) acts as a counterpart to the viewer, creating a further short circuit. Thus, once again there is the restatement of how memory is a process of construction, and how texts must be decoded in the light of their intentions, and not as *true* in themselves. Hyper-mediation (Bolter and Grusin 1999) is also to be seen in the massive use of slow motion and still images, with further enunciative markers on certain highlighted details (essentially the images of the camera operators among the Jews).

This rough analysis demonstrates the utter importance of treating the filmic text, in this case a document or documentary, in the light of a semiotic analysis, which can reveal its internal functioning. Without a semiotic analysis, all the components observed above would remain unexpressed. At the same time, however, the importance for semiotics to interface with other disciplines has also emerged, in the cases considered up to now with the disciplines of aesthetics and history, so as to be able to have at one's disposal the necessary contextual (or, if we wish, inter-textual) elements. However, the heart of the analysis seems to me to be semiotics itself, which supplies the meta-language, the data and the fundamental hermeneutic models for the disciplines with which it co-operates.

4. New perspectives

Coming now to the present I would like to cite the work of a scholar who, in my opinion, brilliantly combines the semiotic approach with a transdisciplinary outlook. I am speaking of Slavoj Žižek, whose work on cinema (for example 2001, 2004, 2006, 2010, 2011, 2011),² although he is often accused of being too "bricoleurist", seems to me may point in a fertile direction. This author's research is multi-focal, but here I wish to concentrate on what he has to say about the

2 Those cited are only some of the works dedicated to the cinema which, in fact, transversely spans all of Žižek's work.

interpretation of society in an ideological key and about the psychoanalytical approach. The premise is that Žižek's work is always based on the text. He produces his analyses starting from texts, in good part cinematographic ones. In other words, his is an atypical semiotics of culture, which traces the great ideological morphologies within the textualities produced by society. Essentially, he re-proposes Michail Bachtin's concept of ideologeme, in its turn re-worked by Julia Kristeva, for whom the text is a device of "translinguistic productivity" where "several utterances, taken from other texts, intersect and neutralize one another" (Kristeva 1980: 36). The cinema as a key to the interpretation of society, able to tell us how cultures function, is one of the great paradigms which mark the bases of Žižek's theorizing. In fact, if we think back to *A Film Unfinished*, we can see in it an unfolding of numerous intentional and, this implies, to some extent ideological layers, able to tell us much about determinate cultures. Here is where the importance of semiotics – and of semiotics of cinema – resides, in the ability to identify the rhetorical and discursive mechanisms useful for mapping the ideals of the cultures which have produced and which receive a film, through a series of sections which:

1. must not undermine the transcendentality of the finished work,
2. may act beyond the question of whether a film is or is not based on a univocal grammar, treating it from manifold angles.

Over and beyond Žižek's writings, I should like to mention two films, directed by Sophie Fiennes, in which he is the protagonist. These are *The Pervert's Guide to Cinema* from 2006, and *The Pervert's Guide to Ideology* from 2012. In my view, both these films furnish evidence that semiotics of cinema should move in a transdisciplinary direction, perhaps with a more decided focus on determinate dynamics of sense. Both movies portray Žižek moving within reconstructed sets from more-or-less famous films in the history of cinema. In *The Pervert's Guide to Cinema* he actually speaks from poor Linda Blair's bed in *The Exorcist*, from the stage in *Blue Velvet*, from the white space in *Matrix*, from the cellar in *Psycho*, and so on. What is proposed here is a Lacanian interpretation of the current construction of desire with the film camera as starting-point, an interpretation which Žižek draws from the films themselves, treating them as symbolic spaces. The same thing, if we think of it, which Michel De Certeau did in the case of films of demonic possession (2002). The focus, therefore, is psychoanalytical, but on a semiotic matrix, and Žižek focalizes both on the narrative dynamics of the texts which he is examining, and on their formal or meta-formal ones, as in the case of the interpretation of the spatial construction of the Bates Motel in *Psycho*.

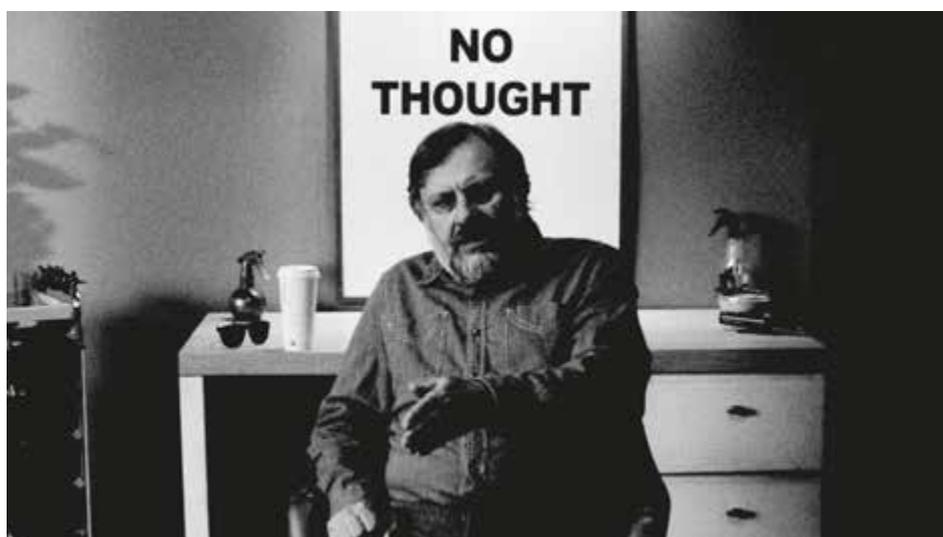


Figure 3. Slavoj Žižek in *The Pervert's Guide to Ideology*, speaking from the world of *They Live* (Carpenter 1988)

Often, however, the analyses, which refer more strictly to the internal mechanisms of film remain unexpressed, and the focus is essentially narratological. This is a choice of Žižek's that one might object to since, as I attempted to demonstrate previously, stylistic components play a fundamental role in the construction of sense. In *The Pervert's Guide to Ideology*, the focus shifts from psychoanalysis to ideological analysis, and the methodology of the film-video-essay is the same. The texts are analyzed from within, by literally being entered. Inside them are scattered the ideologemes (a word which Žižek does not use) with which it is possible to map imaginaries.³ The connections are intertextual, and from a socio-semiotic point of view social phenomena, too, become texts to be read as if connected to films.

5. Conclusions

There is much that could be said on this subject, and I have only scratched the surface a little. Nevertheless, this brief journey through time and through theories had the aim of demonstrating that there exists a living space for the semiotics of cinema, a discipline which on account of its methodology can truly tell us how sense emerges from film. It must not suppurate in analysis for its own sake, but propose itself as an instrument that is always open to the horizons of interpretation of other disciplines. Semiotics must identify what is to be read in a text, and the procedures according to which it is to be read. Subsequently, dialogically, it must decide according to which aspect.

During the *Virality of Extreme Images* (May 23, 2017) symposium at the University of Potsdam, I had the opportunity to view a propaganda video produced by Isis to indoctrinate young viewers. Not so surprisingly, this video showed no images of battle. On the contrary it contained, both in its form and in its narrative content, many of the *tòpoi* on which the big Hollywood blockbusters are based: aliens (already in themselves blasphemous) and apocalypses, rapid disjointed montages, and so on. This is where the importance of semiotics, and of film semiotics, lies. It can identify the *tòpoi* in which such videos are grounded, comprehend their structure, understand where they derive their ideological power from, and connect it to the current troubled circumstances. For reasons, which we cannot discuss here, cinematographic texts, and more generally filmic texts, occupy a privileged position in this complex and fluid environment. In conclusion, all this goes to show, that semiotics of cinema must not die, but is indeed more important than ever.

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³ On the idea of ideologeme in cinema cf. Surace, forth.

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“TOM’S GONE. HE LEFT THE FILM”. WHEN FILM CHARACTERS FROM BOTH SIDES OF THE SCREEN START TO INTERACT

Gloria Withalm

University of Applied Arts Vienna, Austria
gloria.withalm@uni-ak.ac.at

Abstract

Though the quote in the title is from Woody Allen’s 1985 film *The Purple Rose of Cairo*, the phenomenon that characters from a film-within-a-film relate to their audience or vice versa is much older. As early as 1924 the projectionist in *Sherlock Jr.* (played by Buster Keaton) stepped inside the movie just shown. In his case it was only in a dream, but several examples throughout film and television history present the screen as something permeable that the characters can easily go through.

After embedding this stylistic device in a general model of filmic reflexivity, the paper will start from films or television shows in which on-screen characters and their own audience talk to each other. On a scale of increasing interaction between the two worlds, a next step shows objects changing sides. Ultimately, the screen that used to be a “fourth wall” becomes completely pervious and characters are able to cross the boundary and move from one world to the other. The various audiovisual texts will be categorized and discussed with regard to the role the *screen passage* plays within the diegesis. The paper will end with a presentation of the aesthetics modes chosen to visualize the actual passing through.

1. When movies refer to themselves — A comprehensive model of filmic self-referentiality

Screen passages are very special examples of filmic reflexivity. Filmic reference to itself as a medium is as old as the medium itself. It can be found in every genre and different levels of reflexivity can be observed. In much the same way, there is not just one single function of these textual strategies. In order to deal with the topic in a comprehensive way, a model has to be developed which covers the entire range of observable textual strategies and practices relating them to the double nature of film as a *sign system* and as a *socio-cultural system*.

The approach I have chosen for my model¹ is based on the work of the Italian semiotician Ferruccio Rossi-Landi (1977 [1975], 1985): his concept of sign work and a schema of social reproduction derived from the fundamental process of production–exchange–consumption. And film is also subject to this fundamental cycle of *production* — *exchange (or distribution)* — *consumption (or reception)* culminating in the *product* (on top) (Fig. 1), both in the material (including the economic) and in the semiotic sense.

On the production side is the most obvious form of self-referential discourse, often called film-in-film.² After a film has gone through the process of distribution there is the second prominent moment of the cycle: film reception — going to the movies, watching a film.

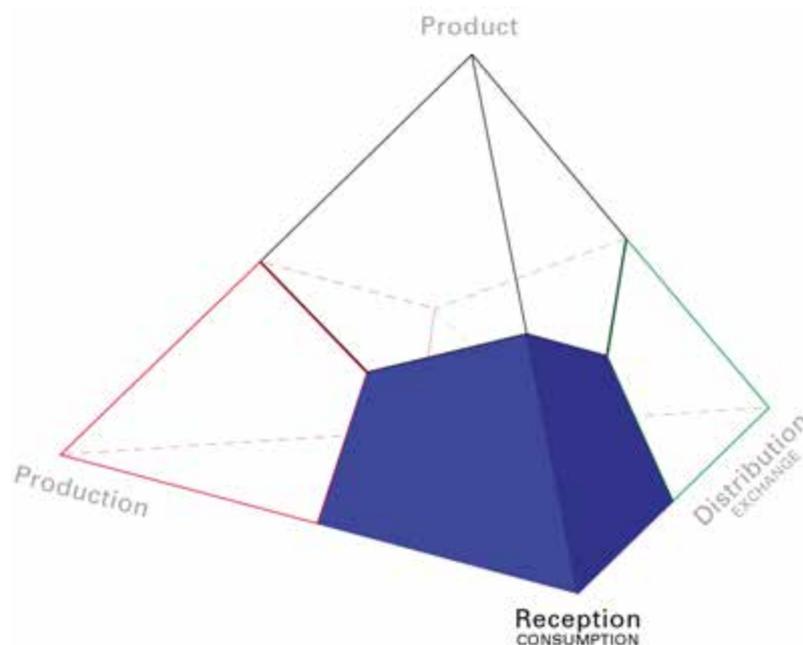


Figure 1. Model of filmic self-referentiality.

2. Reception: a film is (supposed to be) shown

Consumption or *reception* in the “world of the audience” is the third stage in the cycle. Stories deal with the people watching a film either by going to the movies or at home, but also with the movie theaters as such, the people working there, the showing of a film. Filmic references to the whole cycle including reception are indeed almost as old as film itself. In 1896 two Frères Lumière films with the main title *L'Entrée du cinématographe* were released: one (no. 250) shows the audience leaving the Empire Theatre on London's Leicester Square, the other one (no. 275) presents the premises in Vienna. Just five years later, we step inside the movie theatre and watch the screenings in two films and their topic is my point of departure: a very special relation between a patron and the movie on the screen.

Like the first, partly lost film *The Countryman and the Cinematograph* (R.W. Paul, GB 1901)³,

1 For an overview on the model, cf. Withalm 2007.

2 An 1899 film of the Lumière Brothers showed the audience for the first time a cameraman shooting a parade of decorated cars (*Concours d'automobiles fleuris*, FR 1899, n° 1009).

3 R.W. Paul described the film in his catalog of works: “This amusing novelty is a representation of an animated photograph exhibition and shows the stage, proscenium and screen. The first picture thrown on the screen is that of a dancer, and a yokel in the audience becomes so excited over this that he climbs upon the stage, and expresses his delight in pantomime as the picture proceeds. The next picture (within the picture) is that of an express train, which rushes towards the yokel at full speed, so that he becomes frightened, and runs off at the wings. The last scene produced is that of the yokel himself, making love to a dairy maid, and he becomes so enraged that he tears down the screen, disclosing the machine and operator, whom he severely handles” [<http://www.screenonline.org.uk/film/id/444455/synopsis.html>, accessed 26 March 2017].

Uncle Josh at the Moving Picture Show (Edward S. Porter, US 1902) shows a simple guy, a yokel, who goes to the movies for the first time. At one point he mistakes the events on the screen — a kissing couple⁴ — for reality, tries to grab the guy and tears down the fabric. In his film *Les carabiniers* (FR/IT 1962), Jean-Luc Godard lets Michel-Ange (Albert Juross) behave in the same way when he watches a young woman in the bathtub. But the screen can also be destroyed from the other side, from behind. In the *Man From U.N.C.L.E.* episode “The Never-Never Affair” (Joseph Sargent, US-NBC 1965, s1-ep25), an enemy agent is shot and crashes through the screen, just as a guy on a motorbike escaping a chase in *Another 48 Hrs.* (Walter Hill, US 1990) did.

3. “Is there a doctor in the house?” — Film characters talking to their audience and vice versa

True, all the men in the previous examples interact with the movies, so to speak, but in a very material sense, and they remain in the “real world”. However, the next examples show the very onset of actual communication, of dissolving the boundary: the members from the two separate worlds seem to see each other and are able to communicate.

It starts with the girl Red, usually known as Little Red Riding Hood, and the Wolf in *Little Red Walking Hood* (Fred [Tex] Avery, US 1937). Right in the middle of their chase and fight, the Wolf asks her to stop because a man and a woman, or rather their shadows, move slowly from the right to the left at the bottom of the picture, “Hey, Red, just a minute, let’s wait till *these people* here get seated, and we’ll go on with this thing.” Already a year later, in *The Mice Will Play* (Fred Avery, US 1938), a patron in the audience is able to speak to the on-screen characters and even save the life of one of the protagonists. Four little boy mice sneak into the laboratory of Dr. I.M. Nutts, start to fool around and try out the various medical devices. While one looks through a telescope, three mice carry a syringe to pierce Johnny in his buttocks. They start counting “one, two, ...”, but before reaching “three” and finishing the act, the silhouette of a woman appears on screen. She throws her hands high in the air and yells “Don’t do that!”. The three of them drop the syringe, pouting, “We never have any fun”.

Thugs With Dirty Mugs (Fred Avery, US 1939), a cartoon spoof of the 1930s gangster movies, has members of the two worlds talking to each other. When the shadow of a man enters the screen from the bottom, the gangster boss on the screen — named Killer Diller and “played by Ed.G. Robemsome” — draws a gun, points it directly towards the audience and yells, “Well, you sit right down back there ’til this thing’s over, see!”. The poor man does as ordered, but in one of the following scenes, he tips off Captain Flat Foot Flanigan as to the next plans of the gang.

4. “Is there any spinach in the house?” — Objects changing sides & dangerous interactions between screen and audience

Since interaction takes place in several progressive stages, at the next stage objects can already pass through the screen. Unfortunately, in most of the cases it turns out to be quite perilous when the boundary between the two worlds becomes permeable.

The first example is yet another Tex Avery animated cartoon. In *Daffy Duck and Egghead* (Fred Avery, US 1938), Egghead sets out to shoot ducks but is disturbed by the black silhouette of a man on the screen. Egghead whispers, “Sh! Sit down! There’s a duck in here. Sit down!”. The guy, however, stands up a second time to change places and when he gets up for the third time, Egghead just shoots him. In a later cartoon, *Bacall to Arms* (Robert Clampett, US 1946), the spoofed Bogart character (Bogey Gocart) from the feature film *To Have– To Have– To Have–* etc. shoots the horny Hollywood Wolf because he was flirting with Laurie Becool.

⁴ According to the *Edison Films Catalog*, he “evidently thinks he recognizes his own daughter” [no. 135, September 1902, 81–82; <https://www.loc.gov/item/00694324>, accessed 31 October 2017].

However, dissolving the barrier is not at all confined to Warner cartoons of the 1930s and 40s. *Circuito chiuso* (Giuliano Montaldi, IT 1978) opens right before the afternoon showing of a Spaghetti Western in a neighborhood cinema in Rome. During a classic shootout towards the end one of the gunslingers (played by Giuliano Gemma) fires his gun. A man in the audience screams and falls to the side, dead. The film-on-screen claims two more victims in the audience before it finally stops on its own. Ballistics reveals in the end that the bullet came from a gun dating back to 1863.

Contrary to these last films, the lethal shooting in *Smorgasbord* (aka *Cracking Up*; Jerry Lewis, US 1983) does not start in the film. Warren Nefron (Jerry Lewis) tries to commit suicide in a hotel room and has chosen a rather complicated way: a rifle is propped up on a table with the trigger connected to the doorknob, Warren places himself between the muzzle and the TV set, and phones the room service for a bucket of ice. Unfortunately, the door is locked. Warren has to get up and open the bellboy. A shot, the television screen cracks, and one of the on-screen gunslingers is dead. The second one aims at Warren and the bellboy, and fires. A second crack on the screen appears and the young man is gunned down.

5. Screen passages to and from

5.1. “I ought to be in pictures”. From the seat into the movie

Film has fascinated its audience from the very beginning of motion pictures, and people dreamed of being in the movies. Hence, (day)dreams of characters who envision themselves to be within a film was a device used fairly often to amalgamate the world of those watching a film-within-the-film and the world of the film-within-the-film they were watching.

Nobody can actually enter a film scene, except in a dream, like in the famous *Sherlock Jr.* (Buster Keaton, US 1924). Buster is a young man who is “employed as a moving picture operator in a small town theater”, as explained in a title, but he really wants to be a detective. He is in love with a young woman (Kathryn McGuire), but his rival (Ward Crane), a bad guy, has stolen a watch from the girl’s parents. Buster is falsely accused and forbidden to see her again. He goes back to his picture show and starts the film. Up in the booth he dozes off, his dream self leaves his body, looks back on his sleeping self, and steps out of the booth. Down in the theater he walks up the aisle, steps onto the stage, and enters the screen. First there is the door of a house, but within a second the scene quickly changes — something characteristic both for a dream state and a movie — and “the Boy” (as the character is called) is subject to a quick montage. In the film-within-the-film titled *Hearts and Pearls*, Buster can finally act out his dream persona, the renowned detective Sherlock Jr., and succeeds in solving the mystery of a stolen string of pearls. Back in reality, the case of the stolen watch is also solved, and the two lovers are reunited.

To enter a movie plot in a dream is one thing, to really step into the film on the screen, to perform a so-called “screen passage”, is quite another thing. But when bullets manage to change sides, why should not people be able to do so too...? Some of the characters do not enter the film of their own free will, but are somehow “transported” into the movie. All of a sudden they find themselves in the middle of a film, confronted with strange and foreign worlds.

In the case of the eleven-year-old Danny Madigan (Austin O’Brien), a golden magic ticket that once belonged to Harry Houdini makes the boundary between the worlds of *Last Action Hero* (John McTiernan, US 1993) pervious, and allows ignited dynamite sticks to bust through the screen into the movie theatre during the private screening of the latest Jack Slater movie. The explosion hurls Danny into the film and onto the back seat of Slater’s (Arnold Schwarzenegger) convertible racing through Los Angeles.

Also a bit on the mysterious side are the means by which Kwai Chang Caine (David Carradine) enters a martial arts home movie in the episode “Flying Fists of Fury II: Masters of Illusion” of *Kung Fu: The Legend Continues* (George Mendeluk, US-WB 1995; s3-ep18). Since Caine, as a Shaolin priest, is known to the seasoned viewer as being able to go back in space and time, or enter limbo (a twilight zone between here and the other world), why shouldn’t he be able to step into a film? The main plot of the episode centers on mysterious accidents on the set of a martial arts movie about the life of the famous fighter Li Fong, whose soul is apparently caught in an old film reel. Caine tries to save this restless soul by stepping into the film. With the help of Lo Si, The Ancient (Kim Chan), he will have the power “to meld, to be one with the film” and enter the screen. Though the film catches fire, Caine is able to leave the film/screen just in time.

In other examples the protagonists are using some strange gadgets that cause the transition, like in *Pleasantville* (Gary Ross, US 1998). David (Toby Maguire) and his sister Jennifer (Reese Witherspoon) fight for the new strange remote control, are swirled into the TV set, and have to learn to cope with life in black-and-white when they land in a TV marathon of David’s favorite 1950s sitcom.⁵ In the case of “The Tale of the Midnight Madness” (*Are You Afraid of the Dark*, s2-ep2, D.J. MacHale, CA-YTV 1993), it is a film reel (an old silent movie about a vampire, very much in *Nosferatu* style) left by a mysterious man at the Rialto, an old movie theater, in order to save it from closing. One evening *Nosferatu* (Christopher Heyerdahl) steps out of the film and bites the manager. Pete (Eddie Robinson), a student working at the cinema, manages to enter the screen — while his colleague Katie (Melanie Wiesenthal) starts the last reel — and to destroy the vampire in the traditional way through exposure to sunlight.

Contrary to all these examples, the censor (Janusz Gajos) in the Polish film *Escape From the “Liberty” Cinema* (*Ucieczka z kina “Wolność”*; Wojciech Marczewski, PL 1991) does not need any mediating object. The film is set in the last days of the old communist regime in Poland. It tells the story of a local censor and the events he has to cope with that take place at the “Liberty” cinema just across the street from his office. During an afternoon projection, the characters, or rather the actresses and actors of the screened Polish melodrama titled *Daybreak*, suddenly start to ad-lib, and refuse to continue with the plot.⁶ One character asks to speak to the censor. When he comes, Malgorzata (Teresa Marczevska), the leading actress of the film-within-the-film, confronts him with his former life before he became a censor and all the ideas long forgotten. In the end, he even manages to walk into the off-screen space of the film into a new kind of reality: a foggy roofscape where he meets actors who complain heavily about the way he has censored them and cut them out of movies over the years.

5.2. “People from a piece of film have decided to go AWOL”. Out of the movie and into the real (?) world

Screen passages can go in both directions. Many film characters leave their world of celluloid and step out of the screen. The best-known example is possibly Woody Allen’s *The Purple Rose of Cairo* (Woody Allen, US 1985). Cecilia (Mia Farrow) uses the movies to escape from her bleak everyday life in the 1930s in general, and her abusive husband in particular. Her current favorite film, *The Purple Rose of Cairo*, tells the story of a bunch of rich New Yorkers, and the adventurer and hobby-archeologist Tom Baxter (Jeff Daniels). In the middle of a scene in a luxurious

5 Other examples are *Amazon Women on the Moon* (episode *Murray in Videoland*; Robert K. Weiss, US 1987), *Stay Tuned* (Peter Hyams, US 1992), or in the “The Terror of Tiny Toon” episode of *The Simpsons* (*Treehouse of Horror IX*, s10-ep4.2, Steven Dean Moore, US-Fox 1998).

6 Actually, it quotes *The Purple Rose of Cairo* not only with regard to the story line, but also in an almost material sense. A film critic has the idea to show the US movie. During the screening the two projectors get mixed up and, accidentally, the two movies are projected one over the other. Eventually, Tom Baxter, the character from the 1930s film-within-the-film *The Purple Rose of Cairo*, ends up in the late 1980s clinic from *Daybreak*.

Manhattan penthouse, Tom suddenly turns away from the conversation with his friends, looks straight into the audience and addresses Cecilia, who is puzzled about whether he really looks at her, “My god, you must really love this picture. – Yes, you! You! – This is the fifth time you’re seeing this”. And – very much to the shock of the on-screen characters and the patrons in the audience alike – he leaves the film and steps out of the screen.

The “Demon of Illusion” (Robin Atkin Downes), so the name of the character, is the reason for the invasion of villains from old horror movies in “Chick Flick”, an episode of *Charmed* (Michael Schultz, US-WB 2000, s2-ep18). He wants to destroy the three Halliwell sisters, the most powerful good witches of all time: Prue (Shannen Doherty), Piper (Holly Marie Combs) and Phoebe (Alyssa Milano). When Billy (Chris Payne Gilbert), the good movie character, starts a fight with the demon, they accidentally fall out of their movie. The demon releases several movie killers into present day San Francisco. Finally, the sisters learn that the demon “is travelling in the print”, which means they have to go into the movie with the help of Phoebe’s potions and destroy him. They find the demon, and can leave the film in the last minute before Prue causes the filmstrip to melt in the projector.

Though not actually demons, the two characters from an old film in the episode “From Out of the Rain”, are as lethal in their actions. In this episode of the British sci-fi show *Torchwood* (s2-ep10; Jonathan Fox Bassett, GB-BBC 2008), Ianto Jones (Gareth David-Lloyd) takes his colleagues Owen Harper (Burn Gorman) and Gwen Cooper (Eve Myles) to the Electro, an old cinema from his childhood. The program of old local street scenes is suddenly interrupted by pictures of a circus and a sideshow. The projectionist is unable to turn off the projector, but eventually the film stops. Ianto is convinced that Captain Jack Harkness (John Barrowman), their boss at the Torchwood Institute, was among the attractions. When the friends leave, shadows pass behind him, and, later, others from the mysterious sideshow called the “Night Travelers” follow. According to Jack Harkness, the Night Travelers “left a trail of damage and sorrow wherever they performed”. The two sideshow characters keep on stealing people’s breath, tears and saliva, and summon all their colleagues.

6. Screen passages: plotlines & film aesthetic devices

Passing through the threshold between the two worlds is not confined to any particular genre or period of film history. As different as they are, there are some common traits. Let’s start with the characters stepping out of their film-within-the-film. Most of them are perfectly aware that they are characters from a movie they’re leaving – much to the surprise and anger of their fellow characters. Various members of the rich in-group in *Purple Rose of Cairo* argue with Tom Baxter to stay on. Without him, the story cannot continue. Tom, on the other hand, has to find out that life in the “real” world is not at all like life in the movies. Learning how to make love “without fading out” is just a minor problem compared to the fact that his movie money is not worth a dime.

Within his movie, it was difficult to convince Slater in *Last Action Hero* that he *is* just a movie character. However, as soon as he and Danny step out of the film into New York, he literally has to learn the hard way that real life is very different: smashing a car window with his bare hands does hurt, guns have to be reloaded, and getting shot outside the movie can be lethal. Danny figures that the only chance to keep him alive is to bring him back into his film. At the theater, there is still the world of Jack Slater on the screen where nothing can harm him, but no way to enter it. Help comes finally from the Grim Reaper, who has passed through the screen of Bergman’s *Det sjunde inseglet* (*The Seventh Seal*, Ingmar Bergman, SE 1957) earlier in the movie. Danny panics, but Death (Ian McKellen) has not come to take him or Jack away. Following Death’s advice, Danny finds the stub of the magic ticket and takes Slater back into the movie where his chest wound is no longer fatal.

Movie characters are used to know what to do and what to say, or, as Billy in “Chick Flick” explains to Phoebe, “I am those lines. That’s how I was written. [...] Everything I’ve ever known, understood, touched, it’s all been scripted”. With one of them gone, the script does not help anymore, they have to improvise, rewrite the film. When Billy points out that he only knows what’s been written for him, one of the sisters figures out that probably the villains can only be killed in the same way they found death on screen. Now they know how to make the movie psychos disappear.

Captain Jack Harkness and his team in the *Torchwood* episode are also confronted with difficulties fighting bad guys. Finally, he also goes back to the fundamentals of film to destroy the deadly Night Travelers. He captures them again on film and exposes the undeveloped film to light.

“Trapped” is a good word that describes the situation both before and after the screen passage. It may define the fear of those stepping into a film, because there is always the danger that they cannot get out in time before the film ends, as Lo Si has warned Kwai Chang Caine in the *Kung Fu* episode. The same problem happens to Pete in “The Tale of the Midnight Madness” and the two Halliwell sisters in “Chick Flick”. They all need assistance from outside. In all these cases the physical film strip running through the projector is crucial. For instance, Prue Halliwell rewinds the film to give her sisters time to jump out before the end.

Sometimes also the film characters feel, or are really, trapped in the film, like Li Fong in the amateur film of his training in “Flying Fists of Fury II”, or the Night Travelers in *Torchwood*’s “From Out of the Rain”. Captain Jack Harkness explains to his colleagues why the villains left the film in the first place: “If cinema killed the travelling show, maybe this is their way of fighting back, their only chance to escape before every old movie theatre and piece of film has gone. What better way to get revenge?”

Since film is more than story arcs and dialog lines, the question, what does it actually look like when characters step out of or into a film, is central to the discussion. Both the complexity, and the extent of special effects used to show the passing through the screen, depend primarily on the budget of the production in question. As a consequence, if a film (or an episode of a television show) contains multiple passages, sometimes only a few are actually depicted in detail. The rest happens, so to speak, “off-screen”. In the case of “Chick Flick”, the events are accompanied by a whoosh sound. However, not showing the act can also have dramaturgical reasons, as at the beginning of “From Out of the Rain”, when Ianto sees only moving shadows out of the corner of his eye.

Since in many examples the film-within-the-film is in black-and-white, the character has to change in the moment of transition. When entering the movie, the characters decolorize, like Pete, Caine, David & Jennifer, or the Halliwell sisters, and Phoebe Halliwell comments her changes right away: “Check me out! I’m retro”. Those stepping out of grayscale, on the other hand, change into color, like Tom in *Purple Rose of Cairo*, or the Night Travelers in the *Torchwood* episode. The sole exception is Billy in the *Charmed* episode. Since he remains in shades of gray, Phoebe has to apply make-up to his face and hands to help him blend in. In *Pleasantville* it’s the other way round; when color hits the small town (as a metaphor for sexuality and love of life), David has to help his mother with gray make-up.

In most of the examples mentioned, the characters about to leave the film are slowly detaching from or peeling off the screen, thus becoming three-dimensional. Whereas the screen appears to have the quality of a soft plastic foil for those who are able to leave the film, for all the others it is rather a pane of glass separating the two worlds — again, the moment of being trapped. Right after Tom has decided to jump off the screen and talk to Cecilia, one of his friends from *Purple Rose of Cairo* tries to follow him, but when moving towards the screen, she feels her face pressed against the invisible barrier. The same happens to Phoebe and Piper in “Chick Flick”. The moment they try to get out of the film, they bang right into the screen.

Both actions — stepping into and stepping out of a film — are sometimes visualized in specific ways. In two examples (the “Flying Fists...” episode of *Kung Fu: The Legend Continues* and “The Tale of the Midnight Madness”), the passage through the screen is viewed from the side in an extreme acute angle⁷. Both in *Last Action Hero* and in the *Charmed* episode, a similar point of view is chosen at one moment. The “Midnight Madness” example, however, includes yet another camera movement. When Pete approaches and touches the screen, the camera moves in a quarter circle arc to the right until the two worlds — movie theater and film — are shown as parts of a split screen: the movie theater is on the left in color, the old film in shades of gray is on the right side. When Pete reaches through the screen, first his hand and then his body turn black-and-white. *Escape From the “Liberty” Cinema* even goes one step further. The camera completes a semicircle as soon as the Censor has entered the film, until it shows the film from behind the screen.

With the use of CGI, filmmakers have many more techniques at hand. In *Pleasantville*, David and Jennifer start a fight over the new strange remote control and accidentally push a button. Suddenly, they start to dissolve into patterns of the horizontal lines television images are composed of and are sucked into the television screen. The image starts to wobble until the siblings are fully integrated into the sitcom world.

A very special special effect accompanies all screen passages in the film *Last Action Hero*. Whenever something or someone changes sides, no matter which way, the movement is introduced by a blueish glow, haloing the characters with a kind of Kirlian effect. Oscillating between a magical and a physical perspective, this visualization is definitely appropriate. Movies are made of light and energy after all...

7. A short and very personal coda

The closest moment to a screen passage I have ever experienced was the poetic use of 3D at the very end of Tim Burton’s *Alice in Wonderland* (US 2010).

Throughout the film, Absolem, the Blue Caterpillar (voiced by Alan Rickman), was one of the central characters, who popped up several times and interacted with Alice (Mia Wasikowska). The last time she met him he turned into a chrysalis. At the end, when Alice is onboard the trading ship, a blue butterfly lands on the shoulder of her blue coat. She looks at the butterfly, greets him with “Hello, Absolem”. He flutters away, right towards the screen, out of the screen, and into the audience, dancing over our heads, while the screen slowly fades to black before the end credits appear.

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