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L'ACADEMICIEN JÁN BAKOŠ EST MORT

Le 24 janvier 1967 décéda le professeur Ján Bakoš, membre des Académies Slovaque et Tchécoslovaque des Sciences, quelques semaines avant son 77ème anniversaire. Qu'il nous soit permis, au nom du comité de rédaction de „Asian and African Studies“, au nom de ses élèves, collaborateurs et amis, de rendre le dernier hommage à l'éditeur savant de Barhebraeus et d'Avicenne.

Soixante-seize années d'une vie pleine de travail, voilà une tâche bien difficile pour quiconque tentera d'en esquisser le tableau des traits aussi rapides comme nous nous voyons obligés de la faire! Né le 2 mars 1890 à Modra (en Slovaquie), il fait ses études secondaires à Bratislava (l'ancien Pressbourg). Au cours des trois années passées à l'Académie de Pressbourg le jeune étudiant s'initie à l'arabe et à l'hébreu pour poursuivre ses études en étranger. En 1912 Ján Bakoš part pour Göttingen (Goettingue), un des centres sémitologiques les plus renommés de ce temps-là. C'est ici qu'il a acquis une connaissance profonde du syriaque qui va jouer un rôle si important, à côté, bien sûr, de l'arabe, dans l'œuvre savante du chercheur infatigable.

En 1920, au cours de son deuxième séjour à Göttingen, il soutint sa thèse de doctorat „La désignation des voyelles au moyen des signes consonantiques dans les langues sémitiques septentrionales“ qui lui a valu un prix d'honneur „opus pretio regio coronatum“. Entre 1921 et 1922 il poursuit ses recherches à Berlin, ensuite, pendant les années suivantes, il séjourne à Paris, puis à Rome. Au cours de ces années son intérêt l'attire vers les manuscrits syriaques et arabes. De longues années d'un travail inlassable ont rendu possible à l'étudiant doué d'acquérir une culture philologique et philosophique profonde, surtout une connaissance intime de la philosophie antique à laquelle la pensée médiévale se trouve si étroitement liée. Sa vaste érudition lui permet d'aborder un projet bien hardi: entreprendre l'édition successive d'un nombre d'ouvrages tenant de la science syriaque médiévale et de les mettre à la portée de tous ceux qui s'intéressent à l'histoire de la science médiévale, fût-ce d'un point de vue des orientalistes ou bien de celui des historiens de la science. L'intérêt scientifique du professeur Bakoš est porté d'une façon particulière vers la

période du dernier grand épanouissement de l'activité littéraire et scientifique des Syriens qui, quelques siècles auparavant, avaient largement contribué à transmettre les œuvres les plus distinguées de l'antiquité à la science arabe, grâce à laquelle un nombre considérable de ces ouvrages a réussi à ne pas être perdu pour la science européenne d'aujourd'hui. C'est tout particulièrement le treizième siècle qui attire l'intérêt du professeur Bakoš. Ce siècle, bien que marqué par les événements désastreux de l'invasion mongole, engendra plusieurs personnages distingués qui ont tenté de revivifier pour une courte période cette civilisation qui ne tardera pas à s'éteindre pour toujours. Barhebraeus, cet esprit encyclopédique, marque le point culminant de cette courte renaissance. Le professeur Bakoš aborda la vaste œuvre du savant syriaque par l'édition des deux premiers fondements (bases) de sa volumineuse encyclopédie *Le Candélabre des Sanctuaires* (1930—1933). Du reste de cette œuvre, le professeur Bakoš prépara encore l'édition du huitième base traitant de la psychologie, suivie d'une traduction française, commentaire et l'analyse des sources. Des études préparatoires de même comme l'analyse des sources attirèrent l'attention de l'éditeur vers un autre personnage remarquable, Mōšē bar Kēp(h)ā, dont il publia la zoologie de son hexaéméron.

La courte notice „Introduction d'Avicenne à sa Psychologie“ (1949) annonce une œuvre majeure qui va devenir un événement d'importance pour l'orientalisme international ainsi que pour l'histoire de la science médiévale. En 1956, quatre années après la commémoration du millénaire d'Avicenne, la grande Psychologie d'Ibn Sinā quitta l'imprimerie. L'excellente traduction française, le docte commentaire de cet avicennologue de renom de même que son esprit critique ne tardèrent pas à susciter l'attention des spécialistes. L'accueil chaleureux dont l'édition de Bakoš fut témoin n'en était qu'une modeste récompense. C'est pour la première fois, en Europe, pour ne pas tenir compte d'une traduction latine médiévale, que cette partie d'aš-Šifā' ait été éditée. Quelle accablante qu'eût été cette édition, le professeur Bakoš entreprit aussitôt une autre dont l'importance ne devait pas être moins grande: c'est toujours aš-Šifā' de cet aš-šaih ar-ra'is (le nom réservé à Avicenne par l'Orient reconnaissant et ébloui par la profondeur de sa pensée) qui le préoccupe, cette fois la Logique du grand Aristotélien. La mort impossible empêcha l'auteur d'achever ce grand projet.

Qu'il nous soit permis de rendre l'hommage à l'illustre éditeur de Barhebraeus et d'Avicenne non seulement à titre d'une érudition scientifique incomparable mais aussi à double titre d'être le fondateur d'une chaire sémitologique à la Faculté des Lettres de l'Université Comenius à Bratislava et, plus récemment, d'un autre centre d'orientalisme près de l'Académie Slovaque des Sciences à Bratislava, du Département des études orientales. En vertue de son activité scientifique le professeur Bakoš fut nommé membre de nombreuses institutions savantes dont l'Institut Oriental de Prague, la Société scientifique Slovaque, l'ancienne Société Royale Scientifique de Bohême et l'Académie Tchèque des Sciences. En 1948 le Prix National Slovaque lui

a été décerné. En 1953 il fut nommé membre de l'Académie Slovaque des Sciences, en 1965, membre de l'Académie Tchécoslovaque des Sciences.

La mort du professeur Ján Bakoš est une perte douloureuse pour la science tchécoslovaque de même comme pour l'orientalisme international.

Ladislav Drozdík

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Les œuvres de vulgarisation:

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ARTICLES

AN ALGORITHM FOR SYNTACTIC PERMUTATIONS IN INDONESIAN

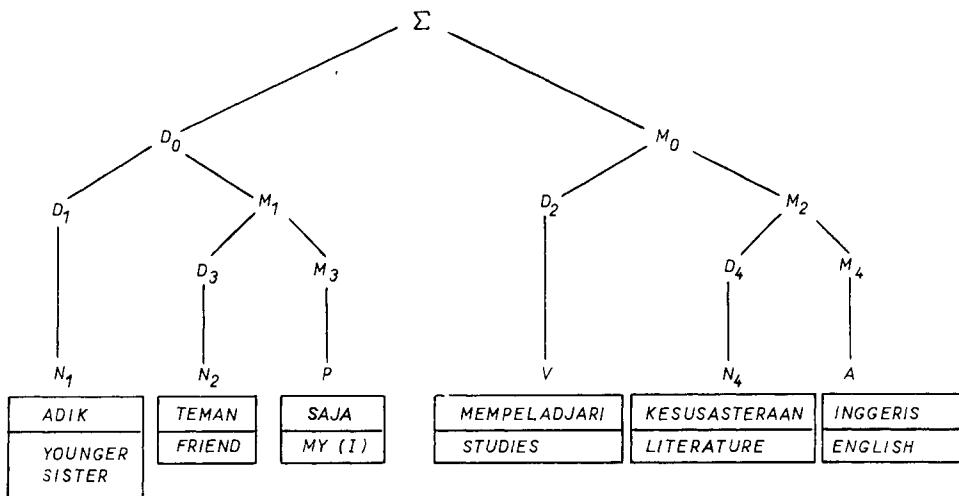
HARRY SPITZBARDT, Jena

A remarkable feature of the structure of Bahasa Indonesia is the so-called „Hukum DM“ as described by Indonesian grammarians themselves. It is a rule for the dependency arrangement of defined element („Diterangkan“) followed by defining element („Menerangkan“). Thus, theoretically, a DM-Tree may be suggested for a structural description of Indonesian, combining in itself the advantages of a stratified representation, a dependency grammar, and the binary aspect for an analysis of immediate constituents (cp. Fig. 1).

Such a DM-Tree representation goes beyond the taxonomic phrase structure level in so far as we may get, at one glance, a clear and complete survey over the internal syntactic relations. By D_0M_0 for instance, the predicative connection between theme and rheme are expressed in our example, whereas D_1M_1 or D_4M_4 designate various groups within the framework of the nominal complex, viz. in one case materialized by noun + noun (which in itself is being defined by a pronoun) and in the other case by noun + adjective. The small letters n , p , v , a , in our DM-Tree symbolize the lexical entities of a natural language on phenotype level, as it would have to be called according to Šaumjan's applicational generative model, that is to say within the range of „parole“ in the sense of Ferdinand de Saussure. In other words, the projection of the DM constituents on to the line of small letters describes the linguistic materialization of deep structure conditions on surface level.

For practical reasons and purposes of designing an algorithm for an automatic synthesis of Indonesian syntagmata, however, a modification of Otto Jespersen's theory of ranks was held to be sufficient to classify the natural language material. The fact that the syntactic elements of the Bahasa Indonesia follow the „Hukum DM“ as mentioned above, allows for designating a substantival notion as primary (symbolized by the Roman numeral I), an adjectival notion as secondary (symbolized by the Roman numeral II), a both adjectival and adverbial notion such as the word *baik* meaning either „good“ or „well“ as secondary function word of first order (characterized by the symbol II'), an adverbial, e.g. intensifying, notion as secondary function

DM-TREE OF IMMEDIATE CONSTITUENTS
(FOR MALAYO-POLYNESIAN LANGUAGES)



WHERE

Σ = SENTENCE

D = DEFINED ELEMENT (DITERANGKAN)

M = DEFINING ELEMENT (MENERANGKAN)

N = NOUN

P = PRONOUN

V = VERB

A = ADJECTIVE

DM-TRANSFORMATIONS

$$D_0 \longrightarrow D_1 M_1$$

$$M_0 \longrightarrow D_2 M_2$$

$$M_1 \longrightarrow D_3 M_3$$

ETC.

Fig.1.

word of second order (characterized by the symbol II“), and the determinative elements as tertiary (marked by Roman numeral III). We have not yet taken into consideration verbal expressions, since, so far, our algorithmization and experiments of automatic synthesis refer to the nominal complex of Indonesian only. Perhaps it should be added here, that our suggestions of DM-Tree representation together with the numeric ranking of syntactic valencies, which was furthermore tested by

substitution and dropping techniques, met with approval in the Center for Applied Linguistics of the Modern Languages Association of America in Washington, with special regard to contrastive analyses of Malayo-Polynesian languages.

Our linguistic analysis by automatic synthesis in Indonesian was to reveal how many and what kinds of stylistic-syntactical variants may result from different amounts of various elements. By adding certain function words, such as the relative particle *jang*, that are sometimes obligatory and in other cases optional only, by transformations to express syntactic modernisms caused by European influence such as *ini gadis* for *gadis ini* = „this girl“, and by the functional ambivalence of singular elements the constructions have grown to be linguistically complicated and interesting enough. As the whole material would have become too large and bulky to be handled after traditional philological methods, the processing of the data by means of the medium-type computer ZRA 1, made and installed in the ZEISS WORKS of Jena, proved to be both economic and reasonable. Input media are punched cards, one card containing 12 lines. The ZRA 1 is a serially operating one-address computing machine. Numbers and orders called „words“ are punched line-wise, not column-wise, by which arrangement a higher input speed may be gained. The input assembly scans 80 cards per minute, corresponding to 960 programme lines per minute. The computing speed is 150 to 200 operations per second. Results are yielded by means of a printer with a speed of 150 lines/min. The effective speed of the whole system will be increased owing to the fact that computing or logical operations and printing may be carried out simultaneously.

Considering L. Kukenheim's statement in his article about coding of grammatical data in „Beiträge zur Sprachkunde und Informationsverarbeitung“ No. 1, 1963, viz. that algorithmization of permutations in natural languages other than French has yet to be awaited, our experiments carried out for modern Indonesian gains in importance. Moreover, the application of computing equipment is of a great heuristic value, because its output is to be regarded as a verification of the accuracy of linguistic description. From the point of transformation grammar, Robert P. Stockwell may be quite right saying in his contribution to the excellent book „Natural Language and the Computer“, New York 1963, p. 42 that „The derived structure in permutations remains unclear, and Lees and Postal have suggested somewhat different solutions, neither of which is entirely satisfactory“. However, empirical research based on linguistic field work combined with inductive methods of analysis and automatic language data processing, can give an affirmative answer: Permutative structures may very well be described and simulated by means of cyclic algorithms and skilled programming.

An indispensable prerequisite for automatic language data processing is the setting up of clear and accurate linguistic rules. So e.g. in our experiments rule (1) says that both adjective and demonstrative element or adjective or demonstrative element follow a noun within an attributive syntactic group. Rule (2) says that

the relative particle *jang* is possible between noun and adjective in an attributive group, rule (3) transforms the determinative group *gadis ini* = „this girl“ into the syntactic modernism *ini gadis*, as it occurs in journalistic style, and rule (4) defines the position of modifying adverbs behind adjectives, excepting such cases as *sangat* and *amat*. Accordingly the attributive group „this very big house“ = *rumah besar sekali ini*, which may be used with or without the relative particle *jang*, may be expressed by class symbols in the following way:

$$(I \pm jang + II + II' + III).$$

If the word-order is changed, the word-group may acquire sentence structure: *rumah ini/besar sekali* = „this house is very big“ or *besar sekali/ rumah ini* = „very big is this house“. Provided that the relative particle *jang* is inserted into the sentence *rumah ini besar sekali*, the whole sentence structure will be turned into an attributive group again, in other words, the group *rumah ini jang besar sekali* means as much as „this very big house“. According to rule No. (5) the functional ambivalence of words like *baik* is stated, rule (6) requires *jang* between two adjectives in a determinative group, and rule (7) explains that determinative chains of primaries are permutable.

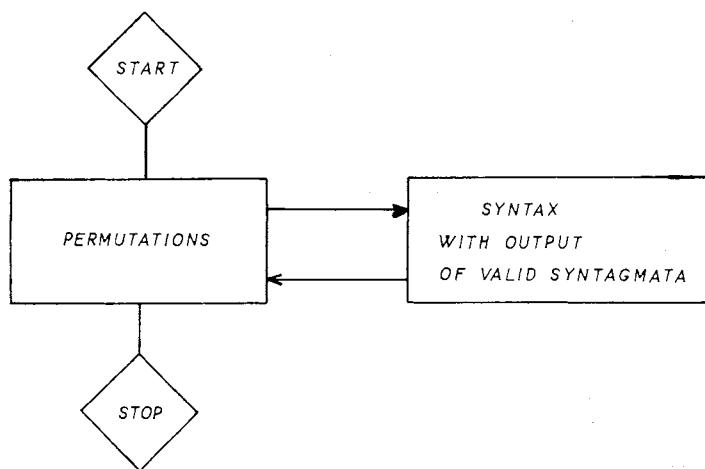


Fig. 2.

For the processing by means of an electronic computer two different routines have to be programmed, which are in close interaction with each other: a principal programme for the formation of mathematical permutations and a syntactic subroutine for the generation of Indonesian word groups and sentences. The interaction between the two routines may be seen from the following diagram (cp. Fig. 2).

The entire process of automatically generating linguistic constructions of Bahasa Indonesia from a given amount of lexical items may be demonstrated by flow charts

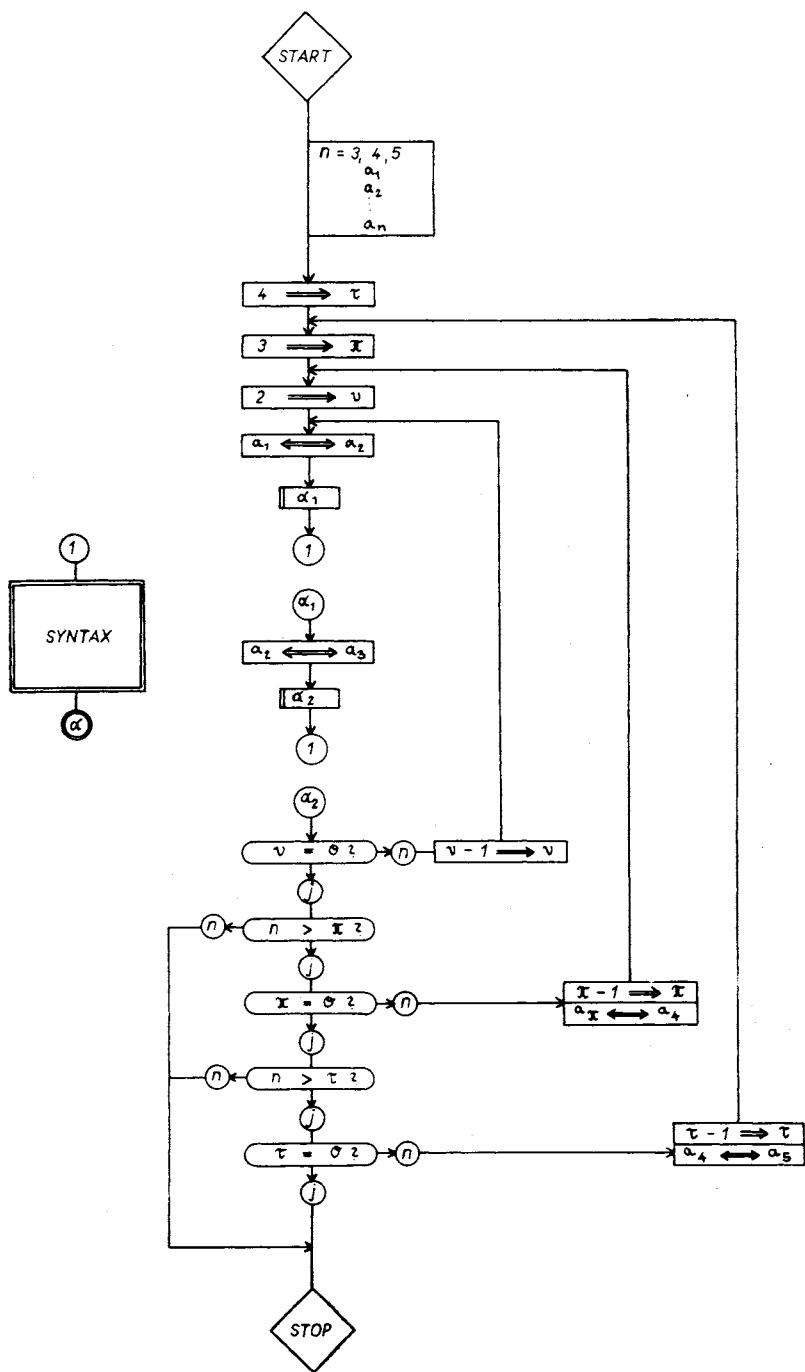


Fig. 3.

(Fig. 3: Permutation Programme — Fig. 4: Syntax Programme). These two diagrams describe the algorithm for syntactic permutations from the nominal complex in Bahasa Indonesia.

The whole functioning of the automatic procedures will be illustrated by way of the following example. Let us take as input specimens these four words:

<i>pulau</i> = „island“	(class symbol I)	$\hat{=} a_1$	}
<i>ketjil</i> = „small“	(class symbol II ₁)	$\hat{=} a_2$	
<i>indah</i> = „beautiful“	(class symbol II ₂)	$\hat{=} a_3$	
<i>ini</i> = „this“	(class symbol III)	$\hat{=} a_4$	

After feeding the machine these elements in the order just mentioned,

viz. *pulau ketjil indah ini*
 I II₁ II₂ III

the whole system begins to operate. The first three operational frames in the principal programme help to control the process of operations. After these regulations or control orders, we come to the first permutation order (cp. Fig. 3) which gives the following instruction: „Let a_1 take the place of variable a_2 and vice versa.“ As a result of this order we obtain the arrangement of words

ketjil pulau indah ini
 II₁ I II₂ III

with which we leave the permutation programme at the point $|| \alpha_1 |$ (alpha one) by virtue of a so-called unconditional transfer with return address in order to subject this group of elements to its screening by the syntactic sub-routine, which we enter at point ①. Here, again, we have to pass several regulations or „shuntings“ to control the operations. Then our group of 4 elements is led through a labyrinth of operators and conditions yielding the syntactic constructions

$$[(II_1) + (I \pm jang + II_2 + III)]$$

i.e. two linguistic variants, one with *jang* and the other without it. Our two Indonesian sentences which are printed in codified form are:

- a) *ketjil/pulau jang indah ini*
 and

b) *ketjil/pulau indah ini*.

Having printed these as an output we arrive at the variable connector $\textcircled{\alpha}$ (alpha in double circle), which tells us to jump back into the principal programme for the mathematical formation of permutations. Consequently, the machine continues its operations at the point $\textcircled{\alpha}_1$ (alpha one with a single circle), and now the places a_2 and a_3 are to be exchanged with each other, the new emerging permutation being again sent into the syntax programme (cp. Fig. 2), where the machine will have to state that this permutation is linguistically not acceptable on account of the condition

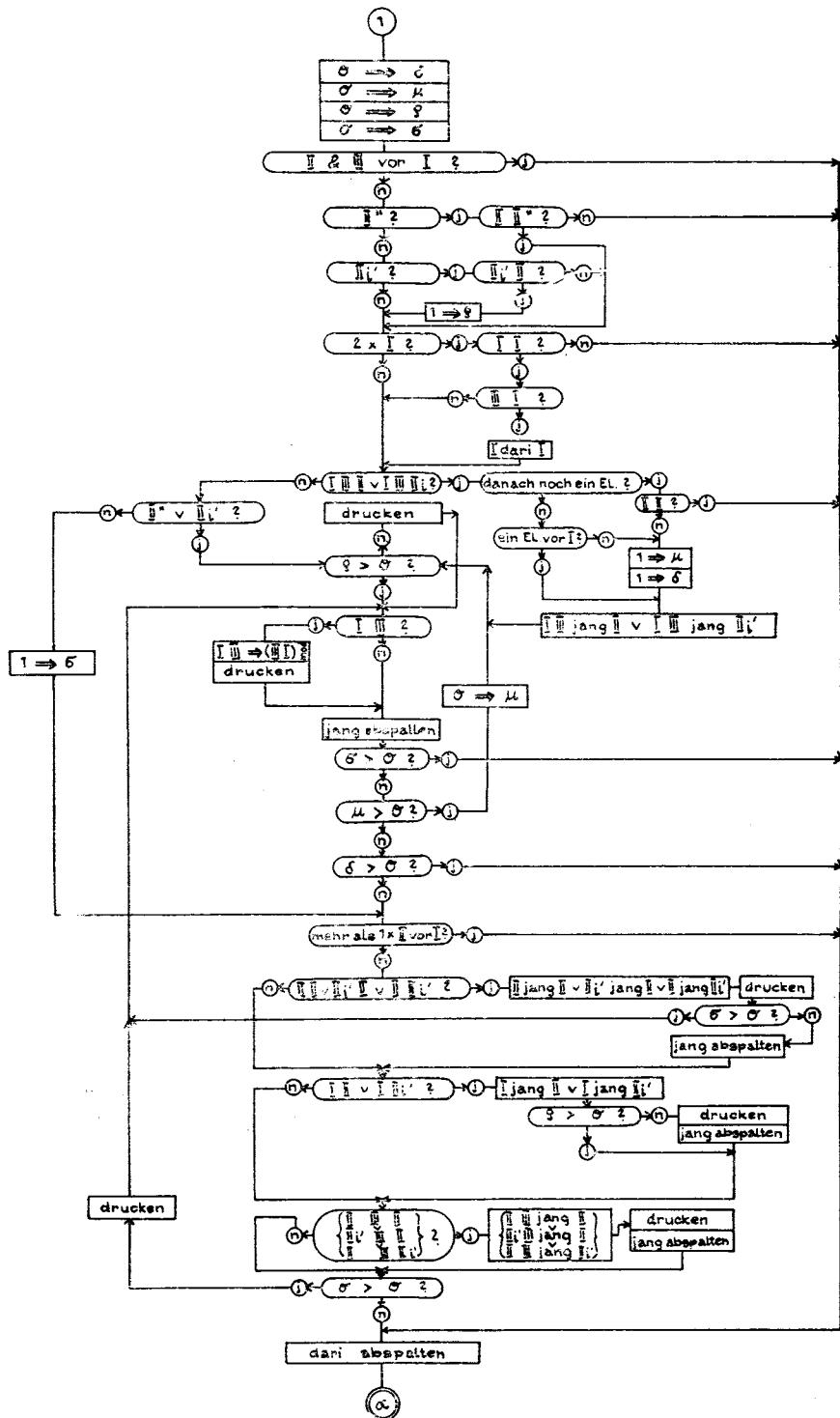


Fig. 4.

Table 1

No.	Permutation	Control Orders	No.	Linguistic Construction
1	II ₁ I II ₂ III		1 2	<i>ketjil/pulau jang indah ini</i> <i>ketjil/pulau indah ini</i>
2	II ₁ II ₂ I III	$\nu - 1 \Rightarrow 1$		—
3	II ₂ II ₁ I III			—
4	II ₂ I II ₁ III	$\nu - 1 \Rightarrow 0$	3 4	<i>indah/pulau jang ketjil ini</i> <i>indah/pulau ketjil ini</i>
5	I II ₂ II ₁ III		5	<i>pulau indah jang ketjil ini</i>
6	I II ₁ II ₂ III	$\pi - 1 \Rightarrow 2$ $\nu \Rightarrow 2$	6	<i>pulau ketjil jang indah ini</i>
7	II ₁ I III II ₂		7 8	<i>ketjil/pulau ini jang indah</i> <i>ketjil/ini pulau_{mod} jang indah</i>
8	II ₁ III I II ₂	$\nu - 1 \Rightarrow 1$		—
9	III II ₁ I II ₂			—
10	III I II ₁ II ₂	$\nu - 1 \Rightarrow 0$	9	<i>ini/pulau ketjil jang indah</i>
11	I III ₁ II ₂ II ₂			—
12	I II ₁ III II ₂	$\pi - 1 \Rightarrow 1$ $\nu \Rightarrow 2$	10 11 12	<i>pulau jang ketjil ini/indah</i> <i>pulau ketjil ini jang indah</i> <i>pulau ketjil ini/indah</i>
13	II ₂ I III II ₁		13 14	<i>indah/pulau ini jang ketjil</i> <i>indah/ini pulau_{mod} jang ketjil</i>
14	II ₂ III I II ₁	$\nu - 1 \Rightarrow 1$		—
15	III II ₂ I ₂ II ₁			—
16	III I II ₂ II ₁	$\nu - 1 \Rightarrow 0$	15	<i>ini/pulau indah jang ketjil</i>
17	I III II ₂ II ₁			—
18	I II ₂ III II ₁	$\pi - 1 \Rightarrow 0$ $\nu \Rightarrow 2$	16 17 18	<i>pulau jang indah ini/ketjil</i> <i>pulau indah ini jang ketjil</i> <i>pulau indah ini/ketjil</i>
19	II ₂ II ₁ III I			—
20	II ₂ III II ₁ I	$\nu - 1 \Rightarrow 1$		—
21	III II ₂ II ₁ I			—
22	III II ₁ II ₂ I	$\nu - 1 \Rightarrow 0$		—
23	II ₁ III II ₂ I			—
24	II ₁ II ₂ III I			—

„more than once II before I“. This statement, likewise, holds true for the next permutation sent over from the principal programme to be screened in the sub-routine. In this manner all permutations are formed cyclically, tested, and syntactically processed one after the other until, finally, the questions: „ $\pi = 0?$ “ will be answered by „yes“ and „ $n > \tau?$ “ by „no“. This, then, entails the order „Stop!“ The machine stops, it has solved its problem. The automatic synthesis of all possible variants by means of the 4 words: *pulau*, *ketjil*, *indah* and *ini* has been brought about within the restricted framework of rules (determinative *jang* and morphological factors such as intensifying suffix — *lah* have not yet been taken into consideration in these preliminary experiments). Among the total of $4! = 24$ mathematical permutations 14 had to be rejected by the syntax programme as incompatible with the structural rules of Bahasa Indonesia. From the remaining 10 permutations an output of 18 different linguistic constructions could be obtained.

The generation of all 18 constructions out of only 4 linguistic elements according to the algorithm described by the flow charts (Figs. 2, 3, 4) may be seen from Table 1, with the following input conditions at starting point:

	Linguistic Materialization
Prearrangement:	$a_1 \hat{=} I$ <i>pulau</i> (island)
	$a_2 \hat{=} II_1$ <i>ketjil</i> (small)
	$a_3 \hat{=} II_2$ <i>indah</i> (beautiful)
	$a_4 \hat{=} III$ <i>ini</i> (this)

Start: I, II_1 , II_2 , III

Control orders at starting position: $n = 4$

$$\pi \Rightarrow 3$$

$$v \Rightarrow 2$$

Of special advantage is the fact that from one mathematical permutation entering the syntax programme several variants of syntactical construction may be derived cyclically and printed out at just one passage through the sub-routine. For instance with an input of 5 elements altogether 4 different linguistic constructions may be formed out of but one permutation sent into the syntax programme, e.g. I₁ II₂ III II II' for *buku pengarang ini (jang) terkenal baik*.

When feeding 5 words to the machine, the function words *jang* and *dari* (= „of“) being constantly ready for operation as part and parcel of the syntactic programme, we arrive at a total of 120 permutations in the principal programme. From these, however, only 24 will be considered acceptable by the syntax programme, from which by certain additions, deletions, and other transformations 56 linguistically valid constructions are generated, which are of philological interest.

Here, now, the question arises: In which way would the machine react, if we feed it a number of words, from which it is impossible at the outset to form any sensible constructions owing to their different syntactic valencies? What shall

our machine do, if we are kidding it by putting in, let us say, the words *rumah* = „house“, *sekali* = „very“, and *ini* = „this“? Unlike English the Bahasa Indonesia cannot use its equivalent to „very“ as a modifier of nouns. A test carried out to this respect proved that the machine greedily swallows these incompatible words and immediately sets to forming the permutations. But unfortunately, all of them are rejected by the syntax programme as not realizable. The flickering lamp of the test flip-flop at the control desk of the ZRA 1 tells us, that the machine is busy producing all the permutations and asking itself whether they are syntactically possible, yet after a short while the flickering ceases and all of a sudden the machine answers by means of a flashing signal: „STOP“.

Similar investigations have been made by Tesnière and Perry for the French language, and by Percival for the German language. Our own experiments about an automatic synthesis of Indonesian word groups and sentences have yielded several results of linguistic importance: so e.g. the percentages of word groups and sentence structures among the output (viz. 28 : 72), the gaining of precise criteria for the recognition of sentence structures from which new grammatical rules may be derived for students and teachers, facilities of cataloguing stylistic-syntactical configurations for purposes of information retrieval and machine translation.

Further details concerning some general aspects of mathematical linguistics, particulars as to the formalization of the nominal complex, and the automatic generation of syntactic constructions in modern Indonesian may be seen from the paper „Zur Algorithmierung des Nominalkomplexes im Indonesischen“, published in Nos. 5 and 6 of the series „Beiträge zur Sprachkunde und Informationsverarbeitung“, Munich 1965.

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THE STRUCTURE OF INDONESIAN MORPHEMES

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1. The study of the phonemic structure of morphemes has recently been asking for added attention. It is because this discipline, situated between phonology and morphology, has a purely statistical character and all relationships of elements can be described and evaluated in terms of frequencies. Further, since we work here almost with the population (not with random samples)—from the systemic point of view—the results obtained represent a reliable basis for further research. It is worth-while to study whether there is any relationship between numerical facts obtained in this area and those obtained from other systemic or pragmatic counts; whether there is any relation between the phonemic structure of morphemes and the type of language, i.e. whether, say, a particular degree of analyticism corresponds to a greater or smaller percentage of morphemes of particular type; etc. If this search for interlevel relationships is to be accomplished then the results on both sides should be given in some condensed quantitative form (sums, averages, curves, indices, etc.).

2. One can distinguish here between *laws* and *tendencies*.¹ If any regularity is to be considered a law of the language then it must hold for all languages, but its realizations (manifestations) need not be the same everywhere. It is just this fact which can be exploited in classification and typology. Tendencies can have three „states“: positive, negative and zero, or in other words, there can be the given tendency, an opposite one or none. In special cases the tendency can acquire the status of a law for the respective language, if it holds without exceptions, e.g. the vocalic ending of words in Polynesian languages, but when comparing languages we speak about the size of the tendency. The laws result from the very nature of the human language, the tendencies from the factors operating in every language in some other way. They result from interactions and relationships among levels,

¹ The neutral term is usually *structural rule*, cf. E. M. Uhlenbeck, *The structure of the Javanese morpheme*. Lingua 2, 1950, 239—270.

Table 1
Distribution of types

G \ C	1	2	3	4	5	6	7
1	V 6	V1 35 1V 34	V2 7 1V1 298 2V 24	1V2 40 2V1 58 3V 1	1V3 2 2V2 13 3V1 3		
2		VV 1	VV1 11 V1V 69 1VV 24	V1V1450 V2V1 46 1VV1251 1V1V767 2VV 2	V1V2 10 V2V1 310 V3V 4 1V1V13888 1V2V 395 2VV1 2 2V1V 26	V1V3 1 V2V2 9 V3V1 16 1V1V2 19 1V2V1 1898 1V3V 8 2V1V1 47 2V2V 9	V4V1 2 1V2V2 6 1V3V1 56 1V4V 1 2V1V2 1 2V2V1 36
3				V1VV 5	VV1V1 1 V1VV1 4 V1V1V 24 V2VV 1 1VV1V 35 1V1VV 30	V1VV2 1 V1V1V1 39 V1V2V 4 V2VV1 1 V2V1V 26 1VV1V1 33 1VV2V 1 1V1VV1 71 1V1V1V 342 1V2VV 8 2V1VV 1	V1V1V2 1 V1V2V1 7 V2V1V1 35 V2V2V 3 V3V1V 1 1VV1V2 1 1VV2V1 3 1V1V1V1 654 1V1V2V 52 1V2VV1 13 1V2V1V 164 2V1VV1 4 2V1V1V 6
4						V1VV1V 1	V1V1VV1 2 V1V1V1V 3 V2V1VV 2 1VV1V1V 2 1V1VV1V 9 1V1V1VV 10
5							

in groups and classes

8	9	10	11	12
1V3V2 1V4V1 2V3V1 3V2V1	2 1 3 1			
V1V3V1 V2V1V2 V2V2V1 V2V3V V3V1V1 V3V2V 1V1V2V1 1V2V1V1	1 1 3 2 3 1 195 136	V2V3V1 1V1V3V1 1V2V2V1 1V3V1V1 2V1V1V2 2V1V2V1 2V2V1V1	1 10 2 1 1	2V2V2V1 1
V1V1V1V1 V1V2V1V V2V1VV1 V2V1V1V 1VV2V1V 1V1VV1V1 1V1VV2V 1V1V1VV1 1V1V1V1V	3 2 1 4 2 2 2 38	V1V2V2V V2V1V1V1 V2V2V1V V2V2V2V 1V1V1V1V1 1V1V1V2V 1V1V2VV1 1V1V2V1V 1V2V1V1 IV2VV1V	1 2 1 1 1 3 2 16 1 14	V2V1V3V V2V2V1V1 V2V2V2V 1V1V1V2V1 1V1V3V1V 1V2V1V1V1 1V2V1V2V 2V1V1V2V 1V2V1V1V 1V2V1V1V1
	V1V1V1VV1 V1V1V1V1V	1 1	1V1V1V1V1V 1V1V2VV1V	1 1 2 1

systems and units of the language. The task of quantitative linguistics is to derive, theoretically, the laws of the language, to describe the empirical status of tendencies and to find quantitative typological indices by means of which it will be possible to compare the languages. The quantitative study has three stages:

(1) *Descriptive* whereby we try to describe, as exactly as possible, the distribution of frequencies of linguistic phenomena, to evaluate the tendencies, and to describe the operation of particular laws in the given language. By description is meant not only an enumeration of data but also their mathematical (statistical) treatment. It is possible to discover several intra- or interlevel relationships at this stage, too. Since we are working with one language only, we remain here on this level.

(2) *Classificatory* by means of which we class the languages according to the quantity of certain properties, existence or non-existence of certain phenomena, etc. At this stage we try to ascertain the variability of linguistic phenomena, the interval within which they range.

(3) *Relational* which aims at the exact knowledge of the mechanism of the human language. It is possible to evaluate the relation of two phenomena in *one* language only if both of them acquire values in some interval. If a certain property of the language is given by an index (number), e.g. the number of phonemes, maximal length of words, etc., then we must ascertain at least a part of the interval of variability of the given property from several languages before we begin to compute a suspected dependence. The examination of relations is of basic importance for the attainment of proper knowledge of the language. Suppose a particular tendency to be defined by some polynomial. If we succeed in finding that the parameters of the polynomial are dependent in some way on a certain elementary property of the language, then the concerned tendency may be computed in other languages without tedious excursions and analyses, from the given elementary property by mere substitution. The process may, indeed, be useful in the opposite direction, too: If, in analyzing the above-mentioned elementary property, ambiguities, indeterminacies or double interpretations arise then the tendency with which it is interrelated may prove to be the last criterion for our decision.

In this study our approach will be descriptive, since we treat one language only. The possibilities of classification will be treated in another place. The relational approach will be practised here on the phonological level (phoneme-syllable) only, due to the limits of the problem we are studying.

3. The material for the investigation of the phonological structure of Indonesian morphemes was obtained by complete excursion of *An Indonesian-English Dictionary* by J. M. Echols and H. Shadily (Ithaca 1963²); this dictionary was used because, as compared to others, it does not take over those lexical units which are „hereditary“ in Indonesian lexicography, nevertheless, it is relatively comprehensive, so giving an adequate picture of *modern* Indonesian. Each entry was checked by my informant;² all phonetic doublets and items unknown to him³ were excluded from

the sample. Further, we ruled out the following lexical units: Proper names, words including the Sundanese /ĕ/, some English and Dutch words which my informant pronounced English or Dutch and their inclusion would have enlarged the phonemic inventory, e.g. *crossgirl*, *jurk*, etc. and finally, after segmentation, all (non-root) morphemes which did not include at least one vowel. The morphological segmentation of the other entries yielded 11.006 morphemes—both root and nonroot ones. The segmentation was carried out according to well-known methods⁴ which, for lack of space, cannot be summarized here. Problems arose mainly in connection with words of European origin. In undecidable cases the word was considered as one morpheme.

The phonological analysis gave the following phonemes: /i e a ē o u b p m w f d t n z s l r j c ñ š y g k η x h q/. The phonetic diphthongs were phonemically interpreted as combinations of two phonemes. This received system is, naturally, one of several that exist in present-day Indonesian.⁵

4. Here we shall try to present the empirical form of some laws and tendencies which apply in the phonological construction of BI morphemes, i.e. we shall pay attention to the phonemic and syllabic construction of morphemes. The set of phonemes will be divided into two subsets: $V = /i e a ē o u/$, i.e. all vowels or syllable nuclei, and M including all other phonemes or syllable margins. The mutual relations of individual phonemes will not be treated here. The original material which served as our point of departure is presented in Table 1. It is assorted into *classes* (C) according to the number of phonemes and into *groups* (G) according to the number of syllables; within the intersections $C_i \cap G_i$ are the individual morpheme *types* (T) defined as different sequences of V and M elements⁶ together with their absolute frequencies.⁷ We shall try to express every law and tendency by an empirical curve which we fit to the data by means of the reduction process and the method of least squares. The suitability of curve types is verified here only graphically, the best type will be sought for only after some comparative material is available. Actually, the given points can be fitted with polynomials of appropriate degrees, but this is not our objective. We try to find curves with a small number of constants, which

² I am indebted to my informant Mr. Liem Kong Hwa from Bandjermasin, now living in Bandung, for his infatigable assistance in this work. The use of several informants would have led, in the case of Indonesian, to unnecessary complications.

³ Almost exclusively Arabic words.

⁴ Cf. mainly E. A. Nida, *Morphology*. Ann Arbor 1949; Z. S. Harris, *Methods in structural linguistics*. Chicago 1951; H. A. Gleason, *An introduction to descriptive linguistics*. New York 1955; etc.

⁵ According to personal information of Mr. T. W. Kamil it is the most spread one.

⁶ The terminology (class, group, type) is taken from P. Menzerath, *Die Architektonik des deutschen Wortschatzes*. Bonn 1954. The meaning of terms was somewhat modified.

⁷ Though the absolute frequencies are not evaluated here, we present them for the sake of completeness.

Table 2
Distribution of types in groups and classes

$G \backslash C$	1	2	3	4	5	6	7	8	9	10	11	12	Σ
5									2	2	3	1	8
4						1	6	12	9	8			36
3				1	6	11	13	13	7	1			52
2		1	3	5	7	8	7	4					35
1	1	2	3	3	3								12
Σ	1	3	6	9	16	20	26	29	18	11	3	1	143

in higher phases of quantitative research will save us much work when searching for relations of these constants to other measured quantities.

5. The group-class correlation of types seems to be a law with slight differences in various languages. But this is not the case. The lengthening of morphemes in terms of syllable numbers necessarily results in their lengthening in terms of phoneme numbers, but it need not hold contrariwise, e.g. in languages which have only mono-syllabic morphemes. The languages can, therefore, be divided into two types: (1) Those displaying variability in both features (classes and groups); (2) those having one feature constant. Correlation and regression can be investigated in the first type only and we suppose it exists here in all cases. Theoretically, a third type could be considered where both features would be constant, i.e. all morphemes would have the same length both in terms of phoneme and syllable numbers.

The BI data are presented in Table 2. These values may be called „not weighted“, since they give only the number of different types in all $C \cap G$ intersections, not taking into consideration their frequencies. The coefficient of correlation computed

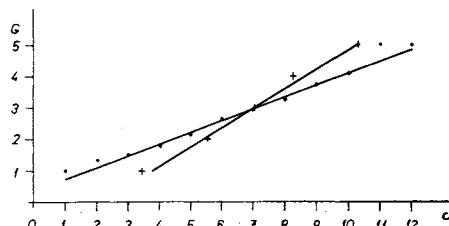


Fig. 1. Regression lines of groups and classes

from these data is $r = 0.7784$. Its significant difference from zero can be easily verified with the aid of tables or by means of the t-test. The regression lines $G = 0.3399 + 0.3764C$ and $C = 2.1860 + 1.6100G$ fitting the means of classes and groups are given in Fig. 1. The means of classes (in terms of syllable numbers) are represented as dots, the means of groups (in terms of phoneme numbers) are plotted

as small crosses. The interpretation of these results is simple. The correlation coefficient indicates the degree of relationship of our variables; the regression coefficient $b_{g,c} = 0.3764$, for the regression of G on C shows that a unit change in the variable C brings about *on the average* a change by 0.3764 units in the variable G , i.e. if the

morpheme length changes by one phoneme it is expected at the same time to change by 0.3764 syllables on the average. Conversely, it holds for the regression coefficient $b_{c,g} = 1.6100$. It is not possible to speak here about a cause-and-effect relation, since phonemes and syllables are only different phonological measures of the morpheme length. It may be noted that zero length exists, too, but it was not taken into consideration. Both the intercepts of G and C axes and the slopes of the regression equations may be useful for typological purposes.

6. As can be seen in Table 2 each class has its minimal and maximal number of syllables and, similarly, each group has its minimal and maximal number of phonemes or, in other words, each class spreads over one or more groups and each group spreads over one or more classes. Since no extreme values can be expected to occur here the *mean range* \bar{W} may be useful as a further typological characteristic. The range W is defined as the difference of the maximal and the minimal value, in our case $W_g = C_M^g - C_m^g$ and $W_c = G_M^c - G_m^c$ where M and m are the maximal and minimal values respectively. The concerned mean ranges may then be computed according to the formulae

$$\bar{W}_g = \frac{1}{n} \sum_g W_g$$

and

$$\bar{W}_c = \frac{1}{n} \sum_c W_c .$$

The BI data are presented in Table 3 and 4 from which we easily compute that $\bar{W}_g = 23/5 = 4.60$ and $\bar{W}_c = 16/12 = 1.33$. In the languages of the first type

Table 3
Computation of group ranges

Group G	Number of phonemes		Range W_p
	Maximal	Minimal	
1	5	1	4
2	8	2	6
3	10	4	6
4	10	6	4
5	12	9	3
			23

(cf. § 5) the inequality $\bar{W}_c < \bar{W}_g$ should obviously always hold, since the variability of greater components (syllables) will be certainly smaller than the variability of smaller components (phonemes).

The mean ranges do not have only the function of measures of dispersion but they also serve as measures of „clustering“. If on both sides of a vowel (syllable nucleus) may stand only one consonant, i.e. 1V1, then for G_1 the $C_M^1 = 3$; let $C_m^1 = 1$, then $W_g = 2$. If the language admits two consonants on both sides, i.e. 2V2, then $C_M^1 = 5$, $C_m^1 = 1$ and $W_g = 4$; etc. In the same way this holds for the higher groups.

Table 4
Computation of class ranges

Class <i>C</i>	Number of syllables		Range W_c
	Maximal	Minimal	
1	1	1	0
2	2	1	1
3	2	1	1
4	3	1	2
5	3	1	2
6	4	2	2
7	4	2	2
8	4	2	2
9	5	3	2
10	5	3	2
11	5	5	0
12	5	5	0
			16

Consequently, the greater the clusters admitted in the language the greater the \bar{W}_g . On the other hand, if the language admits longer chains of vowels then the G_M^c for the given C_i will be greater, too. Thereby \bar{W}_c increases. These quantities are, of course, not independent. If there is an increase in the C_M^g of some group then the G_m^c of one or more classes decreases, and vice versa. Consequently, the decrease of minima and the increase of maxima have the same effect on the size of the ranges.

7. Table 3 can be used for the verification of Menzerath's laws in Indonesian. According to his first law the relative number of phonemes decreases with increasing number of syllables.⁸ The meaning of this statement can be understood in two ways:

7.1. The first interpretation can be as follows: The maximal number of phonemes in groups (in our terminology C_M^g) does not change linearly as a multiple of the group size but much slower, e.g. the maximal number of phonemes in the trisyllabic morphemes is certainly smaller than threefold of the maximal number of phonemes

⁸ P. Menzerath, o.c.p. 100.

in monosyllabic morphemes i.e. $C_M^3 < 3C_M^1$, etc. The increase of phoneme numbers is measured here in proportion to the maximum in G_1 . If in BI we take 5, i.e. the maximum in G_1 , as the unit of phoneme increase, we obtain the values given in Table 5. Here C_M^g designates the maximum (the maximal class) in the g th group, $g = 1, 2, 3, 4, 5$. It can be seen that $C_M^5/C_M^1 (= 2.4)$ is over half as small as $G_5 (= 5)$.

Table 5
Values of the ratio M_1^g/M_1

Group G	Maxima C_M^g	C_M^g/C_M^1	$C_M^g/C_{M \text{ comp}}^1$
1	5	1.00	1.05
2	8	1.60	1.50
3	10	2.00	1.86
4	10	2.00	2.16
5	12	2.40	2.43

If in the rectangular coordinate system we plot C_M^g/C_M^1 against G , the increase of C_M^g/C_M^1 values can be suitably fitted with the curve $C_M^g/C_M^1 = 1.05G^{0.52}$ as shown in Fig. 2.

7.2. The second interpretation can be as follows: The ratio of the phoneme maximum to the size of its group decreases as the group increases. The situation is presented in Table 6 and graphed in Fig. 3. The decrease of C_M^g/G_g values can be

Table 6
Values of the ratio M^g/G

Group G	Maxima C_M^g	C_M^g/G	C_M^g/G_{comp}
1	5	5.00	5.13
2	8	4.00	3.96
3	10	3.33	3.27
4	10	2.50	2.78
5	12	2.40	2.41

sufficiently fitted with the curve $C_M^g/G = 5.1343 - 3.9029 \log G$. For our data, in the interval $\langle 1, 5 \rangle$ this computed curve yields a very good fit, but if $G \rightarrow \infty$ then $C_M^g/G_g = \rightarrow \infty$. Actually, the asymptote of the observed trend is obviously 1. Therefore, a curve of another type can be chosen, e.g. $y = ax^{-b} + 1$. In our case it would be $C_M^g/G = 4.35G^{-0.684} + 1$ but the sum of the squares of the residuals is then 0.3199, whereas the above mentioned logarithmic curve gives only $\Sigma(C_M^g/G -$

$-C_M^g/G_{\text{comp}})^2 = 0.1006$. The question of the asymptotes will be important in generalizations only.

7.3. From § 7.2. it automatically follows that if with increasing group the phoneme maximum relatively decreases then also the average length of the syllable decreases or, in other words, the more syllables there are in the morpheme the shorter they are.

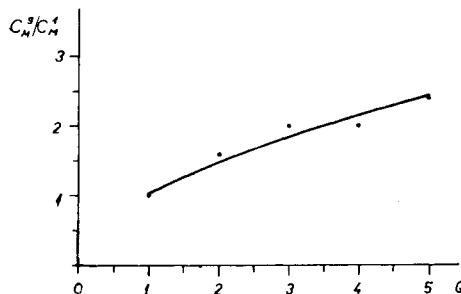


Fig. 2. C_M^g -relative trend of phoneme maxima in groups

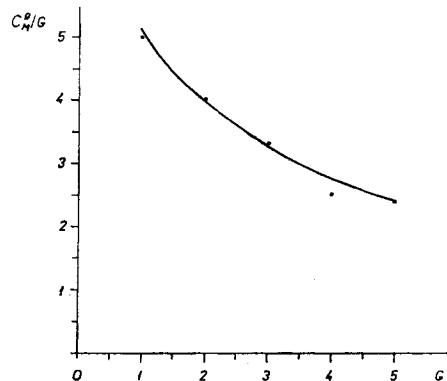


Fig. 3. G -relative trend of phoneme maxima

To verify this law in Indonesian we use the data presented in Table 2. We compute the average length of each group (in terms of phoneme numbers) and divide it by the group itself ($\bar{C}^g/G = \bar{s}$) whereby we obtain the average length of the syllable (\bar{s}) in the group in question. The values of \bar{s} are given in Table 7 and represented by points in Fig. 4. The curve which sufficiently fits these values has the formula $\bar{s} = (3.93 + 0.51G)/(0.79 + 0.49G)$. Even for $G \rightarrow \infty$, $\lim f(G) = 1.04$ which in the rough meets the theoretical expectation, since the syllable must have at least one phoneme. However, in practise we find relatively small G 's, more than ten syllabic morphemes will be very infrequent and even a long morpheme will have some biphonemic syllables. The total minimization of consonants in long morphemes cannot be expected. The computed curve shows that if in Indonesian a ten syllabic

morpheme occurred, it would have roughly 6 biphonemic and 4 monophonemic syllables.

7.4. According to Menzerath's second law the ratio of phoneme maxima to minima decreases with increasing G .⁹ The extreme values of phoneme numbers approach one another and their ratio tends towards unity. This is really to be expected: In languages the greatest group

Table 7
Average syllable lengths

Group	\bar{s}	\bar{s}_{comp}
1	3.42	3.47
2	2.79	2.80
3	2.36	2.42
4	2.12	2.17
5	2.08	2.00

⁹ Menzerath, o.c. p. 102.

has very few types (cf. Table 1) and it may happen that they all have the same number of phonemes.

The data for the verification of this law in Indonesian are given in Table 8. The values of C_M^g/C_m^g are plotted as points in Fig. 5 and fitted with the curve $C_M^g/C_m^g = 5.2168 - 5.5714 \log G$. The observed trend is, again, fitted suitably, but the curve does not have the pertinent asymptote.

Table 8
Ratios of phoneme maxima to minima in groups

Group G	Maxima C_M^g	Minima C_m^g	C_M^g/C_m^g	C_M^g/C_m^g comp
1	5	1	5.00	5.22
2	8	2	4.00	3.54
3	10	4	2.50	2.56
4	10	6	1.67	1.86
5	12	9	1.33	1.32

8. The formulae presented in the preceding paragraph expressed some dependence of the variables C_M^g/C_M^1 , C_M^g/G , \bar{s} , and C_M^g/C_m^g on the variable G (group size). They can be called the *laws of groups*. In the same way it can be examined whether any similar laws in classes exist and what they look like. The basic data for the computation are given in Table 4.

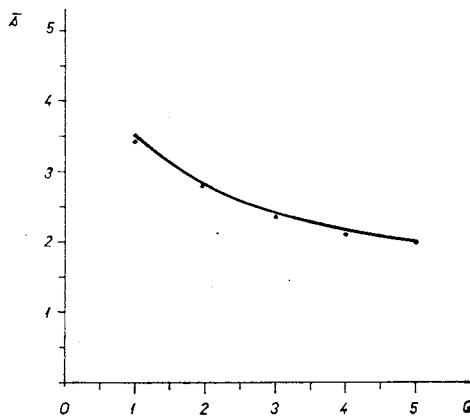


Fig. 4. Decrease of average syllable lengths

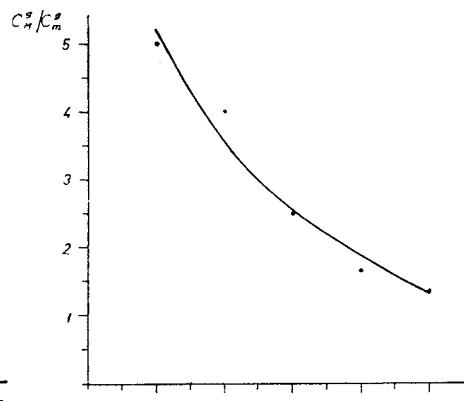


Fig. 5. The law of the ratios of group extremes

8.1. The syllable maxima in classes do not change linearly as multiples of class sizes but much slower, e.g. $G_M^5 < 5G_M^1$, etc. (Here G_M is the maximal group and the upper index designates the class c attaining the values $c = 1, 2, 3, \dots, 12$.) This

law is parallel to that of § 7.1. If the increase of class maxima is measured in proportion to the maximum in C_1 then the increase of the ratio G_M^c/G_M^1 is identical

with the increase of the class maxima themselves, since $G_M^1 = 1$ and each $G_M^c/1 = G_M^c$. The values of G_M^c represented by points in Fig. 6 can be fitted with the equation $G_M^c = G_M^1/G_M^1 = 1.246C^{0.59621}$ (or $\log G_M^c = 0.09566 + 0.59621 \log C$). Since class maxima take only integral values, they can be obtained from our equation in the following way: We introduce the quantity $\{x\}$ defined as $[x] + [2(x - [x])]$ where $[x]$ means the greatest integer not greater than x ; if we set up our equation in the form

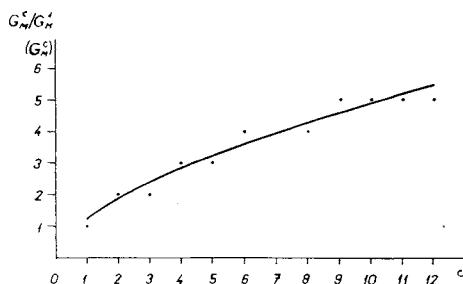


Fig. 6. G_M^c -relative trend of syllable maxima in classes

$G_M^c = \{1.246C^{0.59621}\}$ we get

$$G_M^1 = \{1.246(1)^{0.59621}\} = [1.246] + [2(1.246 - [1.246])] = 1 + [0.492] = 1 + 0 = 1;$$

$$G_M^2 = \{1.246(2)^{0.59621}\} = [1.884] + [2(1.884 - [1.884])] = 2; \text{ etc.}$$

This is a perfect fit of the data. In fitting such curves one must only take care that, for each observed value of the dependent variable y , the computed value y_c lies within the interval $\langle y - 0.5, y + 0.5 \rangle$.

8.2. Similarly as in § 7.2. the ratio G_M/C decreases with the increasing C . In practice we shall meet only such cases but in theory there is a little complication though, for the sake of simplicity, it will not be mentioned here. The observed values of G_M^c/C given in Table 9 can be sufficiently fitted with the straight line $G_M^c/C = 0.9583 - 0.0488C$. The computed values are in the third row of Table 9. This law will be very similar in other languages, too.

Table 9
Values of the ratio G_M^c/C

C	1	2	3	4	5	6	7	8	9	10	11	12
G_M^c/C	1.00	1.00	0.67	0.75	0.60	0.67	0.57	0.50	0.56	0.50	0.45	0.42
G_M^c/C_{comp}	0.91	0.86	0.81	0.76	0.71	0.67	0.62	0.57	0.52	0.47	0.42	0.37

8.3. The curve describing the trend of the ratio of the syllabic maxima and minima reaches its maximal value depending on the extent of the cluster and chain formation. The ampler the clusters admitted in the language the slower the increase of the minima. On the other hand, the ampler the chains admitted in the language

Table 10
Ratios of group maxima to minima in classes

C	1	2	3	4	5	6	7	8	9	10	11	12
$G_M^c/G_{m\text{comp}}^c$	1	2	2	3	3	2	2	2	1.67	1.67	1	1
$G_M^c/G_{m\text{comp}}^c$	1.46	1.83	2.11	2.30	2.41	2.42	2.35	2.19	1.95	1.61	1.19	0.68
$G_M^c/G_{m\text{comp}}^c$	0.69	1.69	2.60	2.98	3.01	2.80	2.46	2.07	1.69	1.35	1.05	0.81

the faster the increase of the maxima. Their ratio gradually increases and takes its greatest value in that class where the syllabic minimum had, for the last time the value 1. After this point the curve has a negative slope until reaching the value 1. The Indonesian data given in Table 10 and plotted in Fig. 7 suggest the possibility of this trend being represented by a quadratic function. The least square solution gives the curve $G_M^c/G_m^c = 1.0068 + 0.4994C - 0.0439C^2$ which is represented by a dashed line in Fig. 7. The computed values are in the third row of Table 10. A better fit could be, naturally, obtained with other curves; e.g. $G_M^c/G_m^c = \frac{C^2}{10^{-0.03033} + 0.19002C}$

(or $G_M^c/G_m^c = 10^{0.03033 - 0.19002C} \cdot C^2$) presented in Fig. 7 by a full line yields a better fit since $\sum (G_M^c/G_m^c - G_M^c G_{m\text{comp}}^c)^2 = 1.5506$ whilst in the case of the quadratic function it is 1.7262. It will be possible to choose the best curve after comparing several languages or to find it by theoretical derivation.

As indicated above the trend of the syllable maxima in classes may be useful for characterizing the formation of vocalic chains. The exponent b in the function $y = ax^b$ which we used in fitting the G_M^c (§ 8.1) may, perhaps, serve as an index of this property. After computing the trend of the syllable minima, which has not been done here, it will be possible to find an index of the cluster formation.

9. Apart from the laws introduced here there are a number of problems and hypotheses which have yet to be solved and tested. First of all the laws of group and class minima which are the counterparts of the laws studied here. Further, the tendencies of (linguistic) distributions of the vowels, the consonants, clusters and chains; the (statistical) distributions of groups and classes; the correlation and regression of the „weighted“ types, the (statistical) distribution of weighted groups and classes, etc. and, finally, the mutual relationships of all these „rules“.

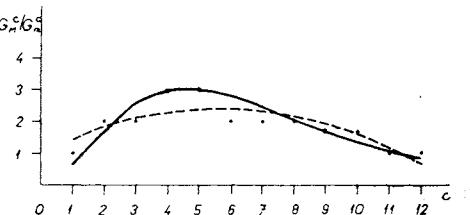


Fig. 7. The law of ratios of class extremes

The formulae presented here are, naturally, not the only possible ones. Curve fitting¹⁰ is a trial-and-error process and frequently it is not easy to find the transformation yielding the best linear relationship between the variables. Nevertheless, this work must be done before we proceed to comparison, classification and deeper relational investigations. Besides, a mathematical expression of the laws is the best means to an exact knowledge of the language.

Hereafter, we bring a survey of the results and some other quantitative data for Indonesian:

Number of phonemes in the inventory	29
Number of morpheme types	143
Maximal number of phonemes in the morpheme	12
Maximal number of syllables in the morpheme	5
Average length of types in terms of phoneme numbers	6.9371
Average length of types in terms of syllable numbers	2.9510
Total number of morphemes	11 006
Average length of morphemes in terms of phoneme numbers	5.3399
Average length of morphemes in terms of syllable numbers	2.1646
Mean group range \bar{W}_g	4.60
Mean class range \bar{W}_c	1.33
Coefficient of correlation of groups and classes (not-weighted) r	0.7784
Regression of G on C	$G = 0.3399 + 0.3764C$
Regression of C on G	$C = 2.1860 + 1.6100G$

Laws of groups

G_M^1 - relative trend of phoneme maxima:	$G_M^g/C_M^1 = 1.05G^{0.52}$
G -relative trend of phoneme maxima:	$G_M^g/G = 5.1343 - 3.9029 \log G$
Trend of average syllable lengths:	$\bar{s} = \frac{3.93 + 0.51G}{0.79 + 0.49G}$
The law of the ratios of group extremes:	$C_M^g/C_m^g = 5.2168 - 5.5714 \log G$

Laws of classes

G_M^1 -relative trend of syllable maxima:	$G_M^c/G_M^1 = \{1.246C^{0.59821}\}$
G -relative trend of syllable maxima:	$G_M^c/G = 0.9583 - 0.0488C$
The law of the ratios of class extremes:	$G_M^c/G_m^c = 10^{0.03033 - 0.19002C} C^2$

¹⁰ The methods of curve fitting can be found in any manual of „practical“ mathematics, there was no place here to explain them.

DISSOCIATIONS OF LIKE CONSONANTS IN MORPHEMIC FORMS

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Methodological advances in the field of linguistics and serious attempts at systematization of evidence accumulated have stimulated a lively interest in universal categories of language. The search for universal features in various languages no doubt represents one of the main tasks of general linguistics. The aim of this paper¹ is not to discuss the very concept of the linguistic universal; rather its task consists in pointing out at a hypothetical universal feature of structure of morphemic forms.

It should be stressed once again that the feature of structure of morphemic forms discussed below is regarded here just as a possible universal. It cannot be accepted as a true universal before data from a sufficient number of diverse languages turn out to corroborate its universal character.

The hypothetical universal dealt with below can be briefly formulated as a dissociative tendency of pairs of like consonants in morphemic forms. This implies, at the same time, that pairs of unlike consonants display an associative tendency. The existence of the feature mentioned above has been proved by means of some elementary statistical techniques for languages both genetically and structurally as divergent as Maori,² Arabic, and Afrikaans certainly are. The data for Maori have been extracted from Williams, H. W.: *A Dictionary of the Maori Language*, Wellington 1957; the data for Arabic verbal roots come from Greenberg, J. H.: *Patterning of Semitic Verbal Roots*, Word VI, 2, New York 1950; the data for Afrikaans have been taken over from Odendaal, F. F.: *Die struktuur van die afrikaanse wortel-morfeem*, Kaapstad — Pretoria 1962.

In all the three languages, consonants have been classified from two viewpoints; first, as to the place of articulation (locational classification) and, second, as to the manner of articulation (modal classification). Three classes of consonants have been

¹ This work was generously supported by the Wenner-Gren Foundation for Anthropological Research, New York.

² Also in other Oceanic languages investigated, i.e. in Hawaiian, Tuamotuan, Fijian, Proto-Polynesian, and Proto-Austronesian.

obtained in both instances: front — *F*, middle — *M*, and back — *B* (under locational classification), and plosives — *P*, fricatives — *F*, and sonants — *S* (under modal classification). Consonants that are members of the same class will be referred to as like consonants. The classified data are cast into contingency tables in which each cell refers to a pair of consonants. It can be noticed at a glance that the individual scores vary considerably. However, a statistically reliable decision as to whether there are any combinative tendencies or not can be arrived at by means of an objective technique only. For this purposes, the chi-square test has been used here. First, expected (or theoretical) scores have to be calculated according to the formula $E_{ij} = \frac{N_i \cdot N_j}{N}$. Significance of the deviations of the observed scores (O_{ij}) from the theoretical scores (E_{ij}) will be evaluated by means of the chi-square test, according to which $\chi^2 = \sum \frac{(O_{ij} - E_{ij})^2}{E_{ij}}$. The greater the computed chi-square, the stronger the association examined. χ^2 is significant provided that the computed value is greater than or equal to some tabulated value at the previously determined level of probability (usually 0.05 or 0.01) with $df = (c - 1) \cdot (r - 1)$, where df is the number of the degrees of freedom, c is the number of cells in columns and r is the number of cells in rows.³ A tendency is referred to as association if O_{ij} is significantly greater than E_{ij} . It is termed dissociation if O_{ij} is significantly smaller than E_{ij} .⁴

It turns out that dissociations occur in the diagonal cells, i.e. in pairs of like consonants while associations occur always outside the diagonal cells, i.e. in pairs of unlike consonants. The validity of our hypothesis that combinations of like consonants are dissociative while those of unlike consonants are associative will be checked as follows.⁵

The observed values in the diagonal cells will be summed up and, by means of the chi-square test, their deviation from the sum of the expected values will be evaluated. The same procedure will be applied to the scores in the non-diagonal cells. Then the significance of the calculated χ^2 will be determined.

Results of the testing procedure are presented in the series of the following tables. Each cell incorporates the following data: the observed value O_{ij} (top score), the expected value E_{ij} (middle score), and the component of the chi-square (bottom score).

³ Table of Critical Values of Chi-Square in S. Siegel, *Nonparametric Statistics for the Behavioral Sciences*, Mc Graw-Hill Book Co., New York—Toronto—London 1956, p. 249 was used for this purpose.

⁴ Significant associations are marked +, significant dissociations --; both are underlined.

⁵ The test was suggested by R. Štukovský and used by G. Altmann in his dissertation *Kvantitatívne štúdie z indonézistiky*, Bratislava 1964. An analogous procedure was used also by D. Chrétien in his *The Statistical Structure of the Proto-Austronesian Morph*, Indo-Pacific Linguistic Studies I, Amsterdam 1965, pp. 243—270.

Table 1
Combinations of Consonants in Maori Morphemic Forms (Under Locational Classification)

$C_1 \backslash C_2$	<i>F</i>	<i>M</i>	<i>B</i>	N_j
<i>F</i>	24	152	110	286
	54.58	123.82	107.60	
	17.13	6.41	0.05	
<i>M</i>	84	108	124	316
	60.30	136.81	118.89	
	9.31	6.07	0.22	
<i>B</i>	67	137	111	315
	60.11	136.37	118.51	
	0.79	0.00	0.48	
N_i	175	397	345	917

The chi-square characterizing consonantal combinations of Maori bivocalic morphemic forms (Table 1) is equal to 40.46, which is significant at the 0.001 level with 4 degrees of freedom. It turns out that the diagonal O_{ij} are considerably smaller than their E_{ij} while the reverse is true of the non-diagonal cells. This difference will be checked for significance by means of the diagonal test. Its results are presented in Table 2. χ^2 is equal to 21.81 here, which is significant at the 0.01 level with 1 degree of freedom, and proves the hypothesis about dissociations of like consonants and associations of unlike consonants in Maori morphemic forms.

Table 2
Dissociations and Associations of Consonants
in Maori Morphemic Forms. Diagonal Test

	<i>O</i>	<i>E</i>	χ^2
D^6	243	309.900	14.44-
\bar{D}	674	607.100	7.37+
N	917	917	21.81

Analogous results have been obtained for all the three consonantal relations found in Arabic morphemic forms.

The χ^2 characterizing $C_1 - C_2$ consonantal combinations of Arabic morphemic forms (Table 3) equals 405.46, which is significant at least at the 0.001 level with 4 degrees of freedom. Again all observed scores in the diagonal cells are greater than their expected scores while the reverse holds for the non-diagonal cells.

⁶ D = combinations of like consonants; \bar{D} = combinations of unlike consonants.

Table 3

Combinations of Consonants in Arabic Morphemic Forms ($C_1 — C_2$, under Locational Classification)

$C_1 \backslash C_2$	F	M	B	N_j
F	0	284	158	442
	84.727	230.326	126.947	
	84.73	12.51	7.60	
M	334	526	574	1434
	274.885	747.256	411.859	
	12.71	65.51	63.83	
B	252	783	146	1181
	226.387	615.418	339.195	
	2.90	45.63	110.04	
N_i	586	1593	878	3057

Table 4

Dissociations and Associations of Consonants ($C_1 — C_2$)
in Arabic Morphemic Forms. Diagonal Test

	O	E	χ^2
D	672	1171.178	212.76—
\bar{D}	2385	1885.822	132.13+
N	3057	3057	344.89

Table 5

Combinations of Consonants in Arabic Morphemic Forms ($C_1 — C_3$), under Locational Classification)

$C_1 \backslash C_3$	F	M	B	N
F	18	258	174	450
	90.488	232.541	126.971	
	58.07	2.79	17.42	
M	322	676	478	1476
	296.802	762.733	416.465	
	2.14	9.86	9.09	
B	290	685	232	1207
	242.710	623.726	340.564	
	9.21	6.02	34.61	
N_i	630	1619	884	3133

The diagonal test of the $C_1 — C_2$ relation of Arabic morphemic forms (Table 4) yields a $\chi^2 = 344.89$, which is significant at least at the 0.001 level with 1 degree of freedom. This proves that combinations of like consonants are dissociative while those of unlike consonants are associative.

The χ^2 -value of the $C_1 — C_3$ combinations in Arabic (Table 5) is equal to 149.21, which is significant at least at the 0.001 level with 4 degrees of freedom. The diagonal cells display smaller observed scores than expected scores; the contrary is true of the non-diagonal cells.

Table 6
Dissociations and Associations of Consonants ($C_1 — C_2$)
in Arabic Morphemic Forms. Diagonal Test

	<i>O</i>	<i>E</i>	χ^2
<i>D</i>	926	1193.785	60.07—
\bar{D}	2207	1939.215	36.98+
<i>N</i>	3133	3133	97.05

Table 6 indicates ($\chi^2 = 97.05$, which is significant at least at the 0.001 level with 1 degree of freedom) the existence of dissociations for pairs of like consonants as well as the existence of associations for those of unlike consonants, as far as the relation $C_1 — C_3$ (under locational classification) in Arabic morphemic forms is concerned.

Table 7
Combinations of Consonants in Arabic Morphemic Forms ($C_2 — C_3$), under Locational Classification)

$C_2 \backslash C_3$	<i>F</i>	<i>M</i>	<i>B</i>	N_j
<i>F</i>	65	313	160	538
	111.310	275.815	150.875	
	19.28	5.01	0.55	
<i>M</i>	325	673	472	1470
	304.138	753.621	412.241	
	1.43	8.63	8.66	
<i>B</i>	198	471	165	834
	172.552	427.564	233.884	
	3.75	4.41	20.29	
<i>N_i</i>	588	1457	797	2842

In the case of the second and third consonants paired in Arabic morphemic forms (Table 7), the χ^2 is equal to 72.01, which is significant at the 0.001 level with 4 degrees of freedom. The observed values prevail over the expected ones in the non-diagonal cells; the reverse is true of the diagonal cells.

Table 8
Dissociations and Associations of Consonants ($C_2 — C_3$)
in Arabic Morphemic Forms. Diagonal Test

	<i>O</i>	<i>E</i>	χ^2
<i>D</i>	903	1098.815	34.89—
\bar{D}	1939	1743.185	22.00+
<i>N</i>	2842	2842	56.89

The diagonal test (Table 8) proves the hypothesis that the diagonal combinations of the second and third consonant in Arabic morphemic forms (under locational classification of consonants) are dissociative while the non-diagonal combinations are associative. The χ^2 is equal to 56.89, which is significant at least at the 0.001 level with 1 degree of freedom.

Table 9
Combinations of Consonants in Afrikaans Morphemic Forms ($C_1 — C_2$), under Locational Classification)

$C_1 \backslash C_2$	<i>F</i>	<i>M</i>	<i>B</i>	N_j
<i>F</i>	34	224	46	304
	58.296	194.842	50.862	
	10.13	4.36	0.47	
<i>M</i>	93	201	74	368
	70.569	235.861	61.570	
	7.13	5.15	2.51	
<i>B</i>	22	73	10	105
	20.135	67.297	17.568	
	0.17	0.48	3.26	
<i>Ni</i>	149	498	130	777

The chi-square characteristic of consonantal combinations of Afrikaans morphemic forms of the type $C_1 V C_2$ (Table 9) is equal to 33.66, which is significant at the 0.001 level with 4 degrees of freedom. Again the observed values are smaller than

the expected ones in the diagonal cells while the reverse is true of the non-diagonal cells. The diagonal test (given in Table 10) proves this difference to be significant since the $\chi^2 = 23.85$, which is significant at the 0.001 level with 1 degree of freedom.

Table 10
Dissociations and Associations of Consonants
in Afrikaans Morphemic Forms. Diagonal Test

	<i>O</i>	<i>E</i>	χ^2
<i>D</i>	245	311.725	14.28—
\bar{D}	532	465.275	9.57+
<i>N</i>	777	777	23.85

A few remarks should be added concerning the structure of morphemic forms in the languages examined as viewed in terms of modal classification of consonants. In the case of Maori where there are five modal consonantal classes, the χ^2 characterizing $C_1 — C_2$ combinations under modal classification is equal to 15.82, which is not significant at the 0.05 level with 16 degrees of freedom.

In Arabic morphemic forms, dissociative tendencies of like consonants (and associative tendencies of unlike consonants) appear even under the modal classification of consonants. The associated χ^2 -values are, however, considerably smaller than those obtained under the locational classification of consonants. Thus, e.g. the χ^2 of $C_1 — C_2$ combinations (under modal classification) equals 189.21, that of $C_1 — C_3$ equals 49.55, and that of $C_2 — C_3$ equals 27.41 (all significant at the 0.001 level with 4 degrees of freedom). The diagonal test gives highly significant results in two instances, i.e. in that of $C_1 — C_2$ ($\chi^2 = 136.96$, which is significant at a higher level than 0.001 with 1 degree of freedom) and in that of $C_1 — C_3$ ($\chi^2 = 40.13$, which is significant at a higher level than 0.001 with 1 degree of freedom). It gives a significant result in the case of $C_2 — C_3$ ($\chi^2 = 4.96$, which is significant at the 0.05 level with 1 degree of freedom).

No significant tendencies have been found for consonantal relations in Afrikaans morphemic forms of the type $C_1 — C_2$ under the modal classification of consonants. The associated χ^2 equals 8.12, which is not significant at the 0.05 level with 4 degrees of freedom.

In conclusion it should be said that in all languages investigated combinations of like consonants under locational classification tend to be significantly dissociative while those of unlike consonants tend to be significantly associative. Put in another way, combinations of like consonants are under-utilized while those of unlike consonants are over-utilized within the limits of morphemic form. This seems to be

a fairly widespread phenomenon in the languages of the world. But even if this feature turns out not to be universal, it can be made use of in typological investigation.

Another interesting observation made is that combinative tendencies of consonants classified from the viewpoint of the manner of articulation (modal classification) are considerably weaker than those of consonants classified from the viewpoint of the place of articulation (locational classification). When the pertinent χ^2 -values are transformed into the values of the Tschuprow's coefficient of contingency T ,⁷ it will become apparent that T characterizing combinations of consonants under the locational classification (T_l) are in all instances greater than T characterizing combinations of consonants under the modal classification (T_m). Their ratio T_l/T_m may be regarded as a convenient index characterizing an aspect of the structure of morphemic forms, i.e. as an index characterizing the relative importance of the two criteria (locational and modal) in the phonemic structure of morphemic forms.

Superficially, it would seem that this index is not sensitive toward the absolute size of T_l and T_m . In fact it is, even if in an indirect way only. In languages where the total number of morphemes is small, significant combinative tendencies appear only under one classification of consonants and namely under the locational one (e.g. in Maori, Tuamotuan, Hawaiian). This means that T_l is much greater than T_m in such languages. On the other hand, as the number of morphemes increases, significant tendencies begin appearing under both classifications but they remain stronger under the locational classification. It is hard to say whether the two criteria are of equal importance in languages with very high numbers of morphemic forms but, e.g. in Arabic where the number of morphemes is much greater than in the Polynesian languages, the index T_l/T_m is smaller than in Maori (which represents Polynesian languages in this paper). However, further investigation along these lines is needed before any conclusive results are achieved.

Table 11
Relevance of Locational and Modal Criteria of Classification
of Consonants to the Structure of Morpheme

	T_l	T_m	T_l/T_m
Maori	0.15	0.06	2.65
Arabic ($C_1 - C_2$)	0.26	0.18	1.46
Arabic ($C_1 - C_3$)	0.15	0.09	1.73
Arabic ($C_2 - C_3$)	0.11	0.07	1.62
Afrikaans	0.15	0.07	2.04

⁷ According to the formula $T = \sqrt{\frac{\varphi^2}{(r-1)(c-1)}}$ where $\varphi^2 = \frac{\chi^2}{N}$.

IMPACT OF ENGLISH ON GRAMMATICAL CATEGORIES OF PRESENT-DAY MAORI

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Maori is a Polynesian language spoken in New Zealand. In the course of the first decades of the last century, this country has been drawn into the British Empire and English-speaking settlers began colonizing it in increasing numbers. The Maoris came into contact with European culture which was mediated to them mainly through the English language. Originally, however, knowledge of English was rather scanty and it did not begin spreading over considerable portions of the Maori population until the end of the third quarter of the century.¹ A complete change in school system (Native Schools Act in 1867) was an omen. Since that time, the Maori language has been exposed to a growing influence of English. Acculturation and increasing urbanization of the Maori people operate as accelerative factors in the long-termed process which may eventually result in complete extinction of the Maori language as a vehicle of daily communication. This process takes place in all but the most isolated (racially or geographically) areas. It is sped up by the extant educational system under which Maori is not taught at the primary school level at all.²

Nowadays, Maori passes through a period of heavy influence of English. The impact may be observed in all parts of the language—in phonetics, grammar, and vocabulary. Its intensity varies considerably: It is negligible in phonetics, possibly, because Maori is so radically different from English as far as phonetic basis is concerned. On the other hand, vocabulary of present-day Maori has become literally soaked with borrowings from English.

As far as external influence is concerned, the grammar of Maori takes up an intermediate position. Here the impact of English is more apparent than in phonetics being still much less obvious than in vocabulary.

¹ For detailed discussion see C. J. Parr, *Maori Literacy 1843—1867*. The Journal of the Polynesian Society 72, No. 3 (September 1963): 211—234.

² S.M.L. and B.M., *Place of the Maori Language*. Polynesian Studies, edited by B. Mitealfe. Wellington Teachers' Training College 1964, Wellington, pp. 8—12.

English does not influence the grammar of Maori formally. Put in another way, there are no formal morphemes functioning in the system of Maori grammar which could be recognized as borrowings from English. There are different channels through which English influence enters the system of Maori grammar. The interference affects the Maori grammar through grammatical categories, their existence and functioning. Interestingly enough, no new grammatical categories have appeared in Maori as a result of the impact of English. In the case of Maori we may talk of what Weinreich³ calls „abandonment of obligatory distinctions“.

A test has been undertaken by the present author that aimed at finding out which grammatical categories are the most amenable to external influence. The test consisted of a set of English sentences which had to be translated into Maori by native speakers of this language. It has been applied to a sample of speakers from various parts of New Zealand (Northland, Rotorua, South Taupo, Ruatoki). Besides, data on tapes from various parts of the country have been available to the author. The results of the test indicate that the impact of English on the grammar of Maori is on increase because it is stronger with younger people than with the older ones.

The following categories have been tested: 1. category of possession, 2. category of animateness, 3. category of number, 4. category of article, 5. category of voice, 6. category of aspect and tense, 7. category of negation.

A grammatical category is usually defined as some general meaning inherent to a set of elements (words) which is, in proper situations, obligatorily expressed by certain formal markers. A category consists of two or more subcategories which are expressed by different markers. Let us think of the simplest case, i.e., of a category consisting of two subcategories expressed by two formal markers. Then, as far as the extinction of the category is concerned, there can be three main stages:

1. Marker x of the subcategory X is used in the position pX and marker y of the subcategory Y is used in the position pY ;

2. Marker x is used both in pX and in pY and marker y is used both in pY and in pX ;

3. Marker x is used in both pX and pY while marker y is not used at all or vice versa. If one of the markers is zero, then this is used in both positions (in our case, at least).

A category undergoes the process of extinction when it is in the stage 2; it can be qualified as extinct when it has reached the stage 3.

Category of possession breaks up all nouns into two formally distinguished sub-classes, subordinate nouns (S) and non-subordinate nouns (\bar{S}).⁴ The subcategory \bar{S}

³ Uriel Weinreich, *Languages in Contact*. Mouton and Co, The Hague 1963 (2nd Printing), p. 42.

⁴ V. Krupa, *On the Category of Possession in Maori*. BSOAS, Vol. 27, Part 2 (1964), pp. 433 to 435.

is marked by presence of the morpheme *a* in due syntactic constructions while the subcategory \bar{S} is marked by the presence of the morpheme *o*. In a few instances, this distinction can be neutralized, e.g. *to „your“* may be used both instead of *taau „your“* (subordinate) and instead of *toou „your“* (non-subordinate). In most instances, however, no neutralization is possible and either *a* or *o* has to be chosen. Now the test has shown that all informants prefer using neutral markers where possible, e.g. *oo tuaahine „your sisters“*. Otherwise, older informants select the wrong marker in occasional instances only, e.g. *Maa wai teenei wai? „For whom is this water?“* (sixty years old informant from Rotorua) instead of correct *Moo wai teenei wai?*; incorrect use of markers of the category of possession is common with young informants. Thus, e.g., a young (23 years) informant from Kaitaia used *a* instead of *o* in the following examples: *Naa wai teeraa waka? „Whose is that canoe?“* and *Naa wai teenei matua? „Whose is this father?“*. A hesitation was observed with the same informant when trying to translate the phrase „my father“: *taaku matua* and *tooku matua*. In some idiomatic expressions the correct marker was always chosen even by young informants, e.g. in *Noo hea koe? „Where are you from?“*

Category of animateness was characteristic of all words compatible with numerals. When combined with numerals and with *hia „how many“*, *maha „many“*, *iti „few“*, etc., words belonging to the subcategory of animateness required the presence of a prefix *toko-* which was added to the numeral, e.g. *ngaa tamaariki tokorua „two children“*, *Tokohia ngaa toa i reira? „How many warriors were there?“*. There was no such marker for „unanimated“ words, e.g. *ngaa whare e rua „two houses“*, *kotahi tao „one spear“*. It turned out that the prefix *toko-* was never used by any of the informants, even by the oldest ones not. E.g., *Eehia ngaa tamaariki kei te kura? „How many children are there in the school?“* (instead of *Tokohia...“*), *Eehia ngaa wahine e moohio ana koe? „How many women do you know?“* (instead of *Tokohia...“*), *He whaa aana tamaariki „He has four children“* (instead of *Tokowhaa...“*), or even *Eehia tamaariki kei te kura? „How many children are there in the school?“* (instead of correct *Tokohia ngaa tamaariki...“*).

This indicates that the category of animateness is, in fact, extinct in present-day Maori.

Category of number is expressed in Maori a) by nominal particles *te „singular“*, *ngaa „plural“*, b) by lengthening the first vowel in a small closed subclass of nouns, e.g., *matua „father“*, *maatua „fathers“*, „parents“, *wahine „woman“*, „wife“, *waahine „women“*, „wives“, c) by suffixes *-(r)ua „dual“* and *-tou „plural“* in personal pronouns, e.g. *koorua „you two“*, *raatou „they“* (plural). In the first and third instances, category of number was found to function in full extent. Changes (loss of distinction) was detected in the second instance. E.g., *teenei maatua „this father“* (young informant from Kaitaia) instead of correct *teenei matua*; *Eehia ngaa wahine e moohio ana koe? „How many women do you know?“* (the same informant) instead of correct *Eehia ngaa waahine e moohio ana koe?; ooku taina „my younger sisters“*

(young informant from Rotorua) instead of correct *ooku taaina*, etc. These changes have not been detected in the speech of older informants.

As far as the category of article is concerned, no significant shifts in functioning have been detected. Both the common articles *te* (singular), *ngaa* (plural) and the personal article *aa* as well as the indefinite article *he* have been found to occur in proper positions.

Much the same is true of the category of voice. When compared to English, passive formations are still more frequent in Maori than in English. It must be admitted, however, that a simplification takes place as far as the set of passive markers is concerned. Williams⁵ lists 17 passive markers: *-a*, *-ia*, *-hia*, *-kia*, *-mia*, *-ngia*, *-ria*, *-tia*, *-whia*, *-na*, *-ina*, *-hina*, *-kina*, *-rina*, *-whina*, *-nga*, *-hanga*. This reflects the condition in the past century. In 1961, Biggs⁶ lists only 12 variants: *-a*, *-ia*, *-hia*, *-kia*, *-mia*, *-ngia*, *-ria*, *-tia*, *-whia*, *-na*, *-nga*, *-ina*. The variants *-a*, *-hia*, and esp. *-tia* are becoming more and more frequent while most other variants are losing ground rapidly in contemporary Maori. Even the semantic structure of the Maori passive has been preserved. Thus, e.g., the passive is used as an equivalent of English imperative even by the youngest informants, e.g., *Mahia te mahi!* „Do the work!“, *Huakina te tatau!* „Open the door!“.

No apparent changes in use have been detected as far as particles marking tense and aspect are concerned. These categories are expressed by the following prepositive particles in Maori: *ka* ~ *kaa* inceptive, *e* general, *i* past, *kia* desiderative, *kua* perfect, *kei* caveat, *me* prescriptive.⁷ It is worth mentioning that the English system of tenses is radically different from what is found in Maori. This explains the considerable impenetrability of the Maori verbal phrase to external influences.

Category of negation is rather complicated in Maori. It is marked by a set of negative words: *kore*, *kaahore* ~ *kaaore*, *kiihai*, *eehara*, *kauaka* ~ *kaua* and archaic *hore* and *tee*. The latter two are found in literary sources only; *kiihai* is a negation of the past tense (counterpart to *i*), *eehara* negates nominal sentences while *kauaka* ~ *kaua* is prohibitive: *kore* is used after *e* general, *kia* desiderative, and *kei* caveat; *kaahore* ~ *kaaore* is used in other instances.

It was found that in the speech of young informants a simplification of the pattern takes place. *Kaaore* is used as a substitute for *kiihai* and *eehara*, e.g., *Kaaore ahau i tuhituhi i teetahi pukapuka* „I did not write any book“ instead of more idiomatic *Kiihai ahau i tuhituhi i teetahi pukapuka*; *Kaaore a Tauranga he taaone* „Tauranga is no town“ instead of idiomatic *Eehara a Tauranga i te taaone*. It must be noted, however, that the suppression of *kiihai* through *kaahore* ~ *kaaore* is of older date.

⁵ Herbert W. Williams, *A Dictionary of the Maori Language*. 6th Edition, R. E. Owen, Government Printer 1957, Wellington, p. XX.

⁶ Bruce Biggs, *The Structure of New Zealand Maaori*. Anthropological Linguistics, Vol. 3, No. 3 (March 1961), p. 22.

⁷ Ibid., pp. 20—21.

On the other hand, *kauaka* ~ *kaua* is used consistently as a negation of commands in the speech of all informants, e.g., *Kaua e moe!* „Do not sleep!“, *Kaua e haere ki reira!* „Don't go there!“.

The above survey of grammatical categories of Maori indicates that the impact of English on Maori grammar is not too far-reaching. This is hard to explain but one of the reasons lies no doubt in the fact that grammatical systems of the two languages involved are very different. The same holds for Maori phonetics. The resistance of Maori towards external influences, in phonetics and grammar at least is even more remarkable when we take into account the fact that the Maori language is felt by most its speakers (almost all of them are bilingual) to be inferior to English.

It is fairly easy to explain the decline of category of possession. It has been accelerated, first, by the fact that the old culture which supplied, at least partly, criteria for classification of nouns into two subcategories *S* and *S̄* has become obsolete and, second, by the fact that there is no such category in English. The other categories examined, with the exception of the category of article and that of aspect and tense, have been affected by the simplifying influence of English. The category of animateness seems to be obsolete by now while the categories of passive voice and negation seem to reduce the numbers of their formal markers. It is worth mentioning that changes characteristic of categories operating within the nominal phrase are more substantial (category of possession, category of animateness) than those which take place within the verbal phrase (restriction of the number of passive markers).

The sphere where the vast bulk of impact of English may be observed is vocabulary. This problem, however, is outside the scope of this paper.⁸

⁸ This work was kindly supported by the Wenner-Gren Foundation for Anthropological Research, New York.

THE PHONOLOGICAL STRUCTURE OF THE TURKISH WORDS¹

LUDĚK HŘEBÍČEK, Praha

The present paper concerns the problems of the phonological structure of Turkish words, viewed generally but with the help of a characteristic involving various specific features. The problem solved here can be theoretically formulated as follows: Let us suppose that there is a language with a phonological system containing three phonemes *A*, *B*, and *C* with the probabilities of occurrence $P(A) > P(B) > P(C)$. The question then arises which words containing three phonemes can occur in the vocabulary of the language. There will evidently be the following words:

- | | |
|---------------|---------------|
| 1. <i>ABA</i> | 1. <i>ACA</i> |
| 2. <i>ABC</i> | 2. <i>ACB</i> |

Because of the fact that phonemes and words do not represent elements and their combinations, the possibility of the existence of words with the same phonemes occurring in neighbouring positions was obviously excluded from our supposition. We are intuitively convinced that in such a way we approach more closely the model of a natural language than should such words as *AAA*, *AAB*, *ABB* etc. be included into the vocabulary of our fictitious language. Thus, it can be said that if a phoneme *F* occurs in the *i*th position of a word, then the probability of the occurrence of *F* in the $(i + l)$ th position of the same word will be almost zero. The probability of the occurrence of *F* in the $(i + k)$ th position, where $k = 1, 2, \dots$, is a variable dependent on the above mentioned feature.

On the basis of the probability data of phonemes we could say that the words in the left column (see the above example) occur in the vocabulary with greater probability than those of the right column and that the first word in each column occurs in the vocabulary with greater probability than the second. The empirical knowledge concerning a sufficient number of languages enables us to say, however,

¹ I am very much indebted to Mr. G. Altmann for his useful advice and for reading the manuscript.

that in a natural language many influences constitute a set of conditions which cannot be neglected. Therefore, the probabilities of phonemes must be presented as conditional probabilities. For example, in the case $P(C|B) > P(A|B)$, i.e. that the probability of *C*, when *B* precedes, is greater than the probability of *A*, when *B* precedes; the probability of the second word in the left column will be greater than the probability of the first word. In a natural language these conditions are more complicated, the occurrence of a phoneme may be conditioned by the common occurrence not only of one phoneme, but also two, three etc. phonemes, which, of course, are also mutually conditioned. It is a very complicated set of relations, and can only be vaguely comprehended with the help of existing concepts of linguistics. This is also the case when the phonological structure is superimposed on the syllabic and morphological structures of the word.

The complicated nature of the relations referred to explains the selection of the method of investigation of their structure: This structure can be observed as a quantitative regularity only and our method will have an empirical character. The only theoretical presumption from which we can start is as follows: Let a word be given as a sequence of positions. On each position phonemes occur with an absolute frequency. The frequency is influenced by the above mentioned relations expressed in conditional probabilities and also by the probabilities of the phoneme in the *i*th and (*i* + *k*)th position (which is a special case of conditioning). The distribution of frequencies of phonemes in a position characterizes the related position. The comparison of two distributions of frequencies of phonemes will give a picture concerning the contrast of the two positions or, as we shall call it, the positional contrast. Thus, the positional contrast is a relation of two positions, being characterized by distributions of frequencies of phonemes in each of these positions.

The relation of two distributions of frequencies of phonemes will be measured by a correlation coefficient. The measure of the positional contrast is complementary to the correlation coefficient: when the correlation coefficient increases, the contrast decreases and vice versa.

The Turkish vocabulary consists of three strata: the original Turkish words, neologisms and borrowings. These three groups of words are observed separately. A word is taken as a unit, which can accept formants of inflection and derivation. This means that a word-base is presented in the vocabulary as an independent lexical unit also with its derivates. From a complex of units represented by a word-base and related derivates, one word was taken into account and from verbs the imperative forms were tested but not the form with suffixes *-mak*, *-mek*. The vocabulary *D. A. Magazanik, Turetsko-russkii slovar'*, Moskva 1945 was used. From each of 694 pages of the vocabulary no more than three words were chosen, each of them belonging to one of the three groups of words. If on a page of the vocabulary a word of one of the three groups did not occur, less than three words were chosen from the page. Our sample consists of 581 original Turkish words with 3,587

phonemes, 357 neologisms with 2,405 phonemes and 659 borrowings with 4,423 phonemes.

The results of the statistical research are presented in Tables 1, 2, 3, where the absolute frequencies of phonemes in the individual positions are shown. The inventory of phonemes is essentially the same as that of R. B. Lees² with the exception of those phonemes which are specific for the standard language and not for literary pronunciation.

The correlation of frequencies of phonemes between two positions was measured by the Spearman non-parametric correlation coefficient. It is based on the observation of ranks of related values. For example, the absolute values of the frequency of phonemes in original Turkish words in the first and second positions [see Table 1] were transferred to rank values and their square differences were ascertained as follows:

Phoneme	Position 1	Rank 1	Position 2	Rank 2	$d = r(1) - r(2)$	d^2
i	31	7	39	3	4	16
l	2	28	35	6	22	484
ü	6	22.5	21	7	15.5	240.25
u	9	18	36	5	13	169
e	21	12	104	2	10	100
a	47	4	149	1	3	9
ö	8	20	17	8	12	144
o	11	15.5	38	4	11.5	132.25
ı	0	31.5	0	32	0.5	0.25
ū	0	31.5	0	32	0.5	0.25
ē	0	31.5	0	32	0.5	0.25
m	17	14	5	21	-7	49

etc.

The Spearman correlation coefficient is computed according to the formula:

$$\rho = \frac{\frac{1}{6}(n^3 - n) - \sum d_i^2 - T - U}{\sqrt{\left[\frac{1}{6}(n^3 - n) - 2T \right] \left[\frac{1}{6}(n^3 - n) - 2U \right]}}$$

where $n = 34$ is the number of phonemes and T and U are defined as

$$T = \frac{1}{12} \sum (t^3 - t) \quad U = \frac{1}{12} \sum (u^3 - u),$$

² Robert B. Lees, *The phonology of modern standard Turkish*. Bloomington—The Hague 1961, p. 5—6.

Table 1
Distribution of the frequencies of phonemes in the single positions of original Turkish words

Position \ Phoneme	1	2	3	4	5	6	7	8	9	10	11
<i>i</i>	31	39	9	51	27	7	10	2	4	1	1
<i>ı</i>	2	35	14	42	26	16	18	8	4	1	1
<i>ü</i>	6	21	3	16	11	4	5	1	—	1	—
<i>u</i>	9	36	10	31	21	3	4	4	—	—	—
<i>e</i>	21	104	9	55	27	5	10	3	1	—	—
<i>a</i>	47	149	20	84	54	12	20	5	—	—	—
<i>ö</i>	8	17	—	—	2	—	—	1	—	—	—
<i>o</i>	11	38	—	—	1	1	1	—	—	—	—
<i>ī</i>	—	—	—	—	—	—	—	—	—	—	—
<i>ū</i>	—	—	—	—	—	—	—	—	—	—	—
<i>ɛ</i>	—	—	—	—	—	—	—	—	—	—	—
<i>ā</i>	4	3	—	—	1	—	—	—	—	—	—
<i>m</i>	17	5	24	13	13	6	2	1	—	—	—
<i>p</i>	19	3	22	4	—	2	—	—	—	—	—
<i>b</i>	38	5	18	10	1	3	—	—	—	—	—
<i>f</i>	7	1	3	—	—	—	—	—	—	—	—
<i>v</i>	5	4	18	1	2	—	—	—	—	—	—
<i>n</i>	9	14	41	13	29	17	4	7	1	—	—
<i>t</i>	51	9	28	17	14	20	3	2	1	—	—
<i>d</i>	35	6	17	12	1	6	4	1	1	—	—
<i>s</i>	49	11	26	11	7	6	2	1	—	—	—
<i>z</i>	6	5	17	1	2	2	—	—	1	—	—
<i>k</i>	79	9	44	18	48	29	11	9	5	1	—
<i>g</i>	24	—	5	23	—	3	2	—	—	—	—
<i>ç</i>	23	6	12	7	6	5	2	—	—	—	—
<i>c</i>	9	2	10	10	7	8	—	—	—	1	—
<i>ş</i>	11	7	18	10	18	10	2	2	—	—	—
<i>j</i>	—	—	—	—	—	—	—	—	—	—	—
<i>r</i>	4	13	85	19	32	24	1	3	2	—	1
<i>l</i>	5	15	62	39	30	19	15	4	1	—	—
<i>h</i>	24	1	1	2	—	—	1	1	—	—	—
<i>ğ</i>	—	8	11	—	—	1	1	1	—	1	—
<i>y</i>	27	12	32	1	2	2	—	2	—	—	—
<i>?</i>	—	1	—	—	—	—	—	—	—	—	—

Table 2
Distribution of the frequencies of phonemes in the single positions of neologisms

Position \ Phoneme	1	2	3	4	5	6	7	8	9	10	11
<i>i</i>	21	27	3	29	15	11	12	5	2	—	—
<i>ı</i>	2	18	10	34	12	17	9	2	2	1	—
<i>ü</i>	4	19	4	15	1	3	1	1	—	—	—
<i>u</i>	6	20	7	19	10	2	5	—	—	—	—
<i>e</i>	15	50	11	59	22	18	10	2	1	1	—
<i>a</i>	37	75	17	54	35	10	16	2	4	—	—
<i>ö</i>	8	19	—	1	1	1	—	—	—	—	—
<i>o</i>	10	24	—	1	1	—	—	—	—	—	—
<i>ī</i>	—	—	—	—	—	—	—	—	—	—	—
<i>ū</i>	—	—	—	—	—	—	—	—	—	—	—
<i>ɛ</i>	—	—	—	—	—	—	—	—	—	—	—
<i>ā</i>	—	2	—	—	—	—	—	—	—	—	—
<i>m</i>	2	2	8	12	22	11	8	3	2	—	—
<i>p</i>	2	—	9	2	1	—	—	—	—	—	—
<i>b</i>	31	1	4	4	1	1	—	—	—	—	—
<i>f</i>	—	1	2	1	1	1	—	—	—	—	—
<i>v</i>	3	3	9	—	3	—	—	—	—	—	—
<i>n</i>	3	10	27	12	39	9	7	5	1	1	—
<i>t</i>	21	6	22	9	15	4	1	2	1	—	—
<i>d</i>	31	3	12	10	—	—	—	—	—	—	—
<i>s</i>	38	8	20	14	4	14	—	4	—	—	—
<i>z</i>	1	5	17	2	—	—	—	—	—	—	—
<i>k</i>	52	9	31	8	18	12	12	6	2	2	1
<i>g</i>	19	—	6	14	4	1	2	—	—	—	—
<i>ç</i>	15	3	7	4	15	7	2	2	—	—	—
<i>c</i>	5	2	5	2	9	3	1	1	—	—	—
<i>ş</i>	2	6	5	2	15	—	1	1	—	—	—
<i>j</i>	—	—	—	—	—	—	—	—	—	—	—
<i>r</i>	—	14	51	16	11	14	2	2	—	1	—
<i>l</i>	1	16	35	11	30	25	8	7	1	1	—
<i>h</i>	4	—	—	—	—	—	—	—	—	—	—
<i>ğ</i>	—	—	13	1	2	—	—	—	—	—	—
<i>y</i>	24	14	20	7	13	3	2	—	—	1	—
<i>?</i>	—	—	—	—	—	—	—	—	—	—	—

Table 3

Distribution of the frequencies of phonemes in the single positions of borrowings

Position Phoneme \	1	2	3	4	5	6	7	8	9	10	11	12	13
<i>i</i>	38	44	11	69	51	17	11	10	3	—	1	—	—
<i>ı</i>	3	26	5	14	6	5	1	—	1	—	—	—	—
<i>ü</i>	4	40	1	6	5	9	2	—	—	—	—	—	—
<i>u</i>	8	42	6	24	8	3	2	—	—	—	—	—	—
<i>e</i>	20	116	13	65	78	45	23	9	6	2	—	1	—
<i>a</i>	60	164	43	103	48	39	26	3	4	—	—	—	—
<i>ö</i>	3	5	—	1	—	—	1	2	1	—	—	—	—
<i>o</i>	10	34	12	17	12	11	5	2	1	2	1	—	—
<i>î</i>	—	1	—	5	5	4	3	1	—	—	—	—	—
<i>ū</i>	—	—	—	5	3	—	—	—	—	—	—	—	—
<i>ě</i>	—	—	—	—	—	—	—	—	—	—	—	—	—
<i>ā</i>	8	18	5	15	8	6	5	—	—	—	—	—	—
<i>m</i>	56	6	32	24	27	8	7	2	1	—	—	—	—
<i>p</i>	19	3	12	15	14	7	2	—	—	1	1	—	—
<i>b</i>	37	7	19	16	10	4	2	1	—	—	—	—	—
<i>f</i>	15	13	19	11	13	6	1	4	1	—	—	—	—
<i>v</i>	10	3	18	7	5	2	—	—	—	—	—	—	—
<i>n</i>	11	14	49	11	28	27	17	10	3	1	—	1	—
<i>t</i>	60	10	62	42	23	35	35	7	2	1	2	—	1
<i>d</i>	35	19	23	21	10	4	—	1	—	—	—	—	—
<i>s</i>	50	16	40	16	32	16	4	5	1	2	—	—	—
<i>z</i>	12	6	20	5	4	3	1	—	—	1	—	—	—
<i>k</i>	77	10	40	28	14	15	10	4	2	—	—	—	—
<i>g</i>	17	2	7	5	3	—	1	1	—	—	—	—	—
<i>ç</i>	10	1	1	2	2	3	2	1	—	—	—	1	—
<i>c</i>	13	4	8	4	5	2	1	1	—	—	—	—	—
<i>ş</i>	14	4	12	5	6	2	1	—	1	—	—	—	—
<i>j</i>	1	—	1	2	4	1	1	1	—	—	—	—	—
<i>r</i>	11	20	80	28	37	26	9	13	3	—	1	—	—
<i>l</i>	8	19	48	29	25	24	7	1	1	1	—	—	—
<i>h</i>	34	6	28	6	14	5	2	1	—	—	—	—	—
<i>ğ</i>	—	1	3	—	1	—	—	—	—	—	—	—	—
<i>y</i>	15	5	34	11	13	10	4	5	1	1	—	—	—
<i>?</i>	—	—	3	—	1	—	—	—	—	—	—	—	—

where t and u are ties, i.e. the number of values with the same rank. The correlation between the distribution of frequencies of phonemes on the first and second positions of the group of original Turkish words is given by the coefficient which equals 0.327.

As a significance test the approximation with the help of Student distribution was used, where the value

$$t = \varrho \sqrt{\frac{n-2}{1-\varrho^2}}$$

has the t-distribution with $f = n - 2 = 32$ degrees of freedom, when the null hypothesis is valid. The null hypothesis implies that both analysed distributions are non-correlated. In the case of our example the observed $t = 1.957$ and is not significant at $P = 0.05$. There are no reasons for the rejection of the null hypothesis.³

Each pair of positions was subjected to the above analysis. As the statistical data on Tables 1, 2, 3 for certain positions are evidently insufficient, only the first seven positions of each group of words were taken into account. The results of the correlation analysis are presented on Tables 4, 5, 6.

Table 4
Spearman correlation coefficients of the distribution of frequencies of phonemes between two different positions of original Turkish words

↓	1	2	3	4	5	6
2	0.327 (1.957)					
3	0.485 (2.749)	0.384 (2.354)				
4	0.537 (3.602)	0.645 (4.774)	0.561 (3.834)			
5	0.372 (2.266)	0.778 (7.011)	0.641 (4.725)	0.797 (7.462)		
6	0.496 (3.231)	0.581 (4.040)	0.767 (6.759)	0.830 (8.419)	0.842 (8.829)	
7	0.383 (2.346)	0.674 (5.159)	0.473 (3.038)	0.865 (9.747)	0.768 (6.852)	0.785 (7.166)

In the brackets the results of the significance tests are presented.

With the exception of the coefficient of the positions 1 and 2 of the group of original Turkish words, all correlation coefficients are significant at $P = 0.05$ as it is evident from the t values presented on these three tables, in brackets with the related correlation coefficients.

³ Explained as in: V. Břicháček, O. Hampejsová, *Neparametrické techniky statistického hodnocení v psychologickém výzkumu*. Psychologické štúdie SAV III, Bratislava 1961, p. 234—237.

Table 5

Spearman correlation coefficients of the distribution of frequencies of phonemes between two different positions of neologisms

↓	1	2	3	4	5	6
2	0.498 (3.251)					
3	0.356 (2.155)	0.407 (2.521)				
4	0.549 (3.715)	0.705 (5.623)	0.628 (4.564)			
5	0.444 (2.803)	0.611 (4.372)	0.668 (5.077)	0.717 (5.818)		
6	0.425 (2.657)	0.636 (4.660)	0.609 (4.344)	0.816 (7.987)	0.803 (7.624)	
7	0.394 (2.425)	0.628 (4.564)	0.527 (3.508)	0.797 (7.462)	0.873 (10.122)	0.809 (7.780)

In the brackets the results of the significance tests are presented.

Table 6

Spearman correlation coefficients of the distribution of frequencies of phonemes between two different positions of borrowings

↓	1	2	3	4	5	6
2	0.429 (2.687)					
3	0.732 (6.079)	0.480 (3.094)				
4	0.667 (5.065)	0.810 (7.812)	0.684 (5.305)			
5	0.715 (5.784)	0.709 (5.689)	0.790 (7.288)	0.882 (10.589)		
6	0.589 (4.123)	0.756 (6.537)	0.732 (6.079)	0.844 (8.896)	0.914 (12.728)	
7	0.550 (3.724)	0.625 (4.530)	0.585 (4.079)	0.768 (6.785)	0.816 (7.987)	0.896 (11.419)

In the brackets the results of the significance tests are presented.

From the coefficients presented on Table 4 it follows that the first correlation coefficient in each column is the lowest one, the following three coefficients in the column increase and then decrease. With respect to borrowing (Table 6) the correlation

increases only for two of the following positions in the column. With respect to neologisms (Table 5) the course of the correlation is very irregular. The contrast between the first and second position is not so high as that of original Turkish words. The contrast between the first and second position represents the highest in the group of original Turkish words and in the group of borrowings.

Hence it follows that the measure of contrast is variable depending on its position. To obtain a general characterization of its features in each of the three groups of words the mean values were computed from the correlation coefficients of single lines of Tables 4, 5, 6 and these mean values are presented on Table 7.

Table 7

Mean values of Spearman correlation coefficients computed from the single lines of Tables 4, 5, 6

Position Group	2	3	4	5	6	7
Turkish words	0.363	0.435	0.581	0.647	0.703	0.658
Neologisms	0.498	0.382	0.627	0.610	0.658	0.671
Borrowings	0.429	0.601	0.720	0.799	0.767	0.707

A question can be asked whether, from the point of view of the distributions of the frequencies of phonemes on different positions and their correlations, the three groups of words differ significantly, i.e. whether we can speak about the same features of positional contrast of all three groups of words of the Turkish vocabulary. The values presented on Table 7 were compared by the chi-square test of homogeneity.⁴ The difference between the values of original Turkish words and neologisms on the one hand, and of borrowings and neologisms on the other, are evident. From this it follows that the group of neologisms differs from the other two groups. The difference between the distribution of values of the group of original Turkish words and that of borrowings is significant at $P = 0.05$. This result of the chi-square test enables us to say that the features of the positional contrast of the three groups of words are different.

The linguistic interpretation of our results is obvious. In advance, it must be said that such an analysis can be made for different groups of phonemes, for example for vowels and consonants etc. We have tried to demonstrate that, nevertheless, usual linguistic considerations are directed from a linguistic level to the next lower or higher level, the units of a given level realize specific structure over several levels.

⁴ See, for example, E. Weber, *Grundriss der biologischen Statistik*. Jena 1961, p. 390—393

Such a structure has not only stylistic value in a language. In the case of the phonemic level it can be metaphorically said that this is a syntax on the phonemic level.

Our investigation confirmed the well known difference of the phonological structure of the beginning of the Turkish words. We have tried to show that, from the point of view of the quantitative distribution of phonemes on different positions, the difference does not have the character of a sudden jump, but that there is a change realized in the course of the whole word. In this sense Turkish differs evidently from other languages, as was proved by the comparison with borrowings. The contrast in the beginning of the borrowed words is not so sharp, as the phonic shape of borrowings is to the certain grade influenced by Turkish phonology.

COMPOUNDING AS A SECOND-ORDER WORD-FORMATIONAL PROCEDURE IN MODERN WRITTEN ARABIC

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1. Preliminaries

1. 1. If we were to trace the occurrence of compounds in Arabic, substantially no matter whether in Written Arabic ranging from about the 9th century up till now or in the majority of the modern colloquial varieties of Arabic,¹ by using J. H. Greenberg's quantitative method,² the resulting value would hardly be higher than 1.00 (viz. below). However, as soon as replacing Greenberg's evidence for one-wordness of a given construction as being interrelated with the scientifically only consistent criterion of compounding, that is $R > W$ which underlies the procedural formula R/W (where R indicating the number of roots while W that of words), by the variety of traditional criteria used by European scholars concerned with Arabic (viz. further), the resultant values would still be extremely low but yet perceptibly diverging from each other.

The lack of compounds or the lack of well-defined criteria? The treatment of this problem is the goal of the present study.

1.2. In order to account for the above statements a two-step procedure is undertaken: (1) the compositional index in accordance with Greenberg's R/W formula is calculated for Written Arabic as delimited above, and (2) an attempt is made

¹ In all probability this view will not be shared by certain authors which locate the compounding in a rather spacious frame. Thus, for instance, G. Š. Šarbatov, speaks about compounding as a fully productive word-formational procedure in modern dialects, in contradistinction to Standard Arabic. Nevertheless, the examples quoted by Šarbatov, such as Syr. Ar. *māfi* (*mā* + *fi*); Eg., Sud. Ar. *mafīš* (*mā* + *fi* + *š*); Ir. Ar. *māku* (*mā* + *'aku*), etc. clearly testify that this statement of Šarbatov's starts from an erroneous identification of compounding with the general frame of agglutinative procedures. As for the genuine compounds such as Malt. Ar. *bniedem* or Er. Ar. *'ar-dehāl* (the transcription and a rather sophisticated hyphenization are due to Šarbatov), they are equally rare in dialectal varieties of Arabic than in the Classical itself (viz. G. S. Sharbatov, *Sovremennyi arabskii iazyk*; editor: G. P. Serdyuchenko, Moskva: Izd. vost. lit., 1961, p. 96).

² J. H. Greenberg, *A Quantitative Approach to the Morphological Typology of Language*, in: International Journal of American Linguistics, XXVI, 3 (1960), pp. 178—194.

to state the degree of divergence between Greenberg-provided criteria and the more orthodox ones of the European Semitology, on the one hand, as well as the degree of divergence between particular sets of criteria of the last category, on the other. It must be repeatedly emphasized that the last procedure aims uniquely at providing quantitative evidence for the diversity of criteria, still honored in handling compounding in Arabic, without any attempt to draw conclusions concerning the degree of the compounding itself.

In the last case, we shall take into consideration three different sets of criteria which can be, for these or other reasons, considered as representative, namely those used by C. Brockelmann,³ J. Bielawski,⁴ and V. Monteil⁵ respectively. It goes without saying, every construction will be recognized as compound one as soon as being identifiable with Brockelmann-, Bielawski- or Monteil-said compounds and, henceforth, treated as a genuine more-than-one-root one-word construction, while performing the calculus, and that even in cases when the given construction cannot be recognized as compound one from a strictly linguistic point of view (because, for instance, of the lack of the feature of one-wordness, e.g. *āla ġahannamiyya* „infernal machine“, *fā'ilīyyat al-ašī'* „radioactivity“, etc. [Bielawski, Deux périodes, 301] or *'a:jām al-ġuma'* „Fridays“ or the Eg. Ar. *bēt al-ħalā, bu:ūt al-'ahli:a*⁶ „W. C.“, etc. [Brockelmann, GvG I, 482.])

The evaluation was based on four different sources, notably (1) *al-Hwārizmī: Mafātiḥ al-'ulūm*⁷ (=M' U), 10th century, an overall terminological survey concerned with nearly all branches of medieval science in the scope of the Arab civilization; (2) *Ibn Haldūn: al-Muqaddima*⁸ (=M), 14th century, a panoramic view of the Arab civilization in its most particular aspects; (3) *Muhammad Ġamālāldīn al-Fandī al-Fadā' al-kawnī* (=FK), Cairo 1961, and (4) *Hasan 'Abdassulām, al-Adīya aš-šābiyya* (=AŠ), Cairo 1956. The last two items are recent booklets designed for the broadest audience, the first of them being concerned with space, the second with popular food in Egypt.

From ten 100-word long texts, selected at random, average values will be calculated for each of these sources as well as for each set of relevant criteria separately.

³ C. Brockelmann, *Grundriss der vergleichenden Grammatik der semitischen Sprachen*, I—II, Berlin 1908, 1913 (hereafter GvG); I. Band, 481—4 (= Wortzusammensetzung).

⁴ J. Bielawski, *Deux périodes dans la formation de la terminologie scientifique arabe*, in: Rocznik Orientalistyczny, XX, 1956, pp. 263—320 (henceforth Deux périodes).

⁵ V. Monteil, *L'arabe moderne*, Paris: Klincksieck, 1960; pp. 131—152, (henceforth AM).

⁶ Unless otherwise indicated, the original transcription of quoted examples will throughout be maintained. Nevertheless, in the latter case (as well as in some other cases), neither the transcription nor the phonemicization can be assumed adequate, e.g. *bēt al-ħalā* plur. *bu:ūt al-'ahli:a* instead of correct *bēt il-ħala* plur. *bi:ūt il-'ahli:a*, etc.

⁷ *al-Hwārizmī, Mafātiḥ al-'ulūm*, Cairo 1930 (based on van Vloeten's ed.: Leiden: E. J. Brill, 1895).

⁸ *Ibn Haldūn, al-Muqaddima*, Egyptian edition, Cairo n.d.

Table 2

Deviations from Greenberg's criteria (for values obtained by applying the latter viz. Table 1)

	Brockelmann		Bielawski		Monteil	
	(M ^c U)	(M)	(M ^c U)	(M)	(M ^c U)	(M)
1	1.00	1.00	1.04	1.00	1.00	1.00
2	1.00	1.00	5.00 ⁹	1.02	1.00	1.00
3	1.00	1.00	1.08	1.00	1.02	1.00
4	1.00	1.00	1.08	1.00	1.00	1.00
5	1.02	1.00	1.01	1.09	1.00 ¹⁰	1.01
6	1.00	1.00	1.02	1.00	1.00	1.00
7	1.00	1.00	1.01	1.00	1.00	1.00
8	1.00	1.00	1.02	1.00	1.00	1.00
9	1.00	1.00	1.07	1.00	1.01	1.00
10	1.00	1.00	1.02	1.00	1.00	1.00
Average:	1.00 (2)	1.00	1.43	1.01	1.00 (3)	1.00 (1)

	(FK)	(AŠ)	(FK)	(AŠ)	(FK)	(AŠ)
1	1.00	1.00	1.02	1.01	1.01	1.00
2	1.00	1.00	1.04	1.06	1.00	1.00
3	1.00	1.00	1.05	1.03	1.02	1.00
4	1.00	1.00	1.01	1.02	1.00	1.01
5	1.00	1.00	1.02	1.04	1.00	1.01
6	1.00	1.00	1.08	1.02	1.03	1.00
7	1.00	1.01	1.05	1.06	1.00	1.01
8	1.00	1.00	1.01	1.07	1.00	1.00
9	1.00	1.03	1.05	1.08	1.01	1.05
10	1.00	1.00	1.01	1.02	1.00	1.00
Average:	1.00	1.00 (4)	1.03	1.04	1.00 (7)	1.00 (8)

⁹ The unexpectedly high rate is to be explained by the fact that M^cU is a thematically arranged terminological glossary and that the randomly selected p. 104 is concerned with nomenclature of drugs, nearly all of quoted items being identifiable with Bielawski-defined compounds.

¹⁰ or 1.02 (*al-i-nā'ašarī ,duodenum* [2 occ.] [??]); in the latter case the average value would yield 1.00(5).

^{10a} Finally, when typing the foot-notes, another source was evaluated along the same procedure: *Gamāl 'Abdannāṣir, an-Naṣṣ ar-rasmī al-kāmil li-mīṭaq al-'amal al-waṭanī* in: *al-Ahrām*, (22. 5. 1962). The resulting values are as follows (for the sake of economy values obtained by Greenberg's criteria of compounding are incorporated with those obtained by Brock., Biel., and Monteil's criteria within one table):

Table 1
Compositional index in Arabic

	(M°U)	(M)	(FK)	(AŠ)
1	1.00	1.00	1.00	1.00
2	1.00	1.00	1.00	1.00
3	1.00	1.00	1.00	1.00
4	1.00	1.00	1.00	1.00
5	1.02	1.00	1.00	1.00
6	1.00	1.00	1.00	1.00
7	1.00	1.00	1.00	1.01
8	1.00	1.00	1.00	1.00
9	1.00	1.00	1.00	1.03
10	1.00	1.00	1.00	1.00
Average:	1.00 (2)	1.00	1.00	1.00 (4)

Besides this attempt to provide, so to speak, measurable evidence for the diversity of criteria, the latter will be submitted to a detailed notional analysis in § 3.

2. General Orientation

2.1. Compounding as a word-formational procedure can most advantageously be assumed as forming part of the morphology. The place accorded to it within the

	Greenberg	Brockelmann	Bielawski	Monteil
1	1.00	1.00	1.00	1.00
2	1.00	1.00	1.01	1.00
3	1.00	1.00	1.00	1.00
4	1.00	1.01	1.01	1.00
5	1.00	1.00	1.04	1.00
6	1.02	1.04	1.05	1.02
7	1.00	1.00	1.01	1.00
8	1.00	1.04	1.08	1.00
9	1.01	1.01	1.02	1.01
10	1.00	1.00	1.01	1.00
Aver.:	1.00(3)	1.01	1.02	1.00(3)

The surprisingly high number with Brockelmann is due to the threefold repetition of *ra'smāliyya* ,capitalism' and, at the same time, to seven subsequent occurrences of Brockelmann-recognized *ra's al-māl* ,capital' (because, for Brockelmann, of plur. *ru'ūs al-amwāl* [by analogy with '*aījām al-ğuma'*, cf. GvG I, 482]).

morphological system of a given language may, however, vary considerably in accordance with the general methodology used by the analyst and his doctrinal predilections, with the depth and involvement of his insight into the morphological structure of the language to be described, and other factors.

While, for instance, L. Bloomfield prefers to set up a border region (between morphology and syntax) for his handling of compounds,¹¹ St. Ullmann locates them in both morphological and semantic depth-sections of lexicology of his three-dimensional scheme of linguistics and, accordingly, he considers compounding within the system of word-formational procedures in general as forming part of the lexical morphology and semantics. As far as being part of lexical morphology, to which Ullmann relates the domain of word-formation as a theory parallel to that of word-stems, compounding is treated as one of word-formational procedures besides derivation, blending, popular etymology, back-formation, „suffixe zéro“, etc.¹² On the other hand, while being related to lexical semantics, the semantic side of word-formation will be taken into account (insofar as compounding is concerned, differences between the meaning of compounds and their components will be studied).¹³

Semantic aspects of compounding underlie O. Jespersen's account of English compounds quite particularly: ‚As formal criteria thus fail in English,‘ Jespersen writes, ‚we must fall back on semantics, and we may perhaps say that we have a compound if the meaning of the whole cannot be logically deduced from the meaning of the elements separately, . . .‘¹⁴

Through Nida's statement of the types of morphological structure, a further step towards defining the morphological basis of compounding has been achieved. Compounds, being defined in 4.6 of Nida's *Morphology*¹⁵ as derivational formations of

¹¹ Cf. L. Bloomfield, *Language*, London 1935, p. 184: ‚Border-line cases between morphology and syntax occur chiefly in the sphere of compound words and phrase-words (sentence-word)‘ and, further, p. 207: ‚As a border region we have phrase-words (*jack-in-the-pulpit*) and some compound words (*blackbird*), which contain no bound forms among their immediate constituents, and yet in some ways exhibit morphologic rather than syntactic types of construction.‘

¹² St. Ullmann, *The Principles of Semantics*, Glasgow 1951, pp. 49—50.

¹³ St. Ullmann, op. cit., pp. 33—34. This does not mean, however, that Ullmann's treatment of compounds would be confined exclusively to these fields of linguistics. Ullmann, in order to furnish linguistic evidence for compounding, especially when explaining the passage from synthetic groups to compounds, takes into consideration the following criteria as well: (1) phonological („*blackbird*“), (2) semantic (*not every black bird is a blackbird*), (3) morphological (lack of separability, cf. „*republic*“ as against Latin „*res publicae*“), (4) syntactic (no determining element may be added to components of compounds). Cf. ib., 50.

¹⁴ O. Jespersen, *A Modern English Grammar on Historical Principles*, Copenhagen 1942, vol. iv, Sect. 8.13; quot. in R. B. Lees, *The Grammar of English Nominalizations*, IJA L, Part II, vol. 26, 1960; xxiii-xxiv.

The linguistic inconsistency of such an approach to compounding either in English or in any other lanluage is discussed at some length by R. B. Lees, ib.

¹⁵ Eugene A. Nida, *Morphology. The Descriptive Analysis of Words*. Ann Arbor: The University of Michigan Press, Second Edition 1949 (Fifth Print. 1957).

the nuclei, are referred to in Nida's complex or polymorphemic structures as against simple or monomorphemic ones.¹⁶

Unfortunately, this bi-partition between poly- and monomorphemic structures proves to be rather disadvantageous for the description of Arabic compounds because it leaves, in this latter case, an exceedingly restricted space for the treatment of what Nida calls simple or monomorphemic structures. Seeing that according to 4.5 of Nida's *Morphology* a simple structure always consists of a root, free (e.g. *boy*, *John*, *run*, *up*) or bound (either a stem: *-ceive*, *-tain*, etc., or a clitic), and that no root in Arabic, while constituting part of a compound, may really occur without nonroots related to it, especially without a stem¹⁷ constituting interradical vowel morphemes, only a rather negligible number of non-segmentable morpheme classes could be identified with Nida's simple structures, e.g. some types of borrowings non-controlled by the root-and-pattern system of Arabic (*ūtūbis* [-āt], *bus*[es]', *īdrūgīn* ,Hydrogen',¹⁸ etc.); the so-called bi-literal roots non-segmentable from the point of view of the synchronous system of Modern Written Arabic (or even Classical) such as *yad* ,hand', *ab* ,father', etc.¹⁹ As a matter of evidence, an identification of the Arabic tri- and quadriliteral roots with Nida's bound roots and the subsequent considering them stems in virtue of the definition 4.2.C., p. 83, would lead to implications thoroughly unacceptable for the treatment of Arabic.

Z. S. Harris, considering the fact that a compound word extends over two (or more) word-length portions (18.2, 328²⁰) — the same idea being restated in a slightly different way in Harris' account of constructional domains (viz. 18.21, 331) — describes compounds in terms of *long components* because of their determining certain restrictions as to stress occurrence and the distribution of some morpheme classes (cf. 18.21, 328, fn. 7).

However, on account of Harris' stress-contour evidence, while having to be tried in describing particular structural features of MWA (and, all the more, in Classical) a word of caution must be added since a fully recognizable statement of stress patterns is lacking in the latter (as against evidently, colloquial varieties of Arabic).

The stress patterns in MWA are generally said to follow those of Classical Arabic. All statements of this sort prove to be, unfortunately, nothing but a hypothesis. As shown by J. Cantineau,²¹

¹⁶ Cf. ib., 4.5, p. 97.

¹⁷ For the descriptive statement of stem within the root-and-pattern system of Arabic, possibly the best in the literature so far, cf. Wallace M. Erwin, *A Short Reference Grammar of Iraqi Arabic*, Georgetown University Press, 1963, pp. 47—62, (hereafter IA). Cf. also fn. 56 further.

¹⁸ Even in this case there are numerous exceptions, e.g. *fīlm* pl. *aflām* ,film', *bank* pl. *bunūk* ,bank', etc.

¹⁹ H. Fleisch regards them as constituting roots by themselves (viz. „...mots, qui sont à eux-mêmes leur racine,...“), cf. *L'arabe classique. Esquisse d'une structure linguistique*. Beyrouth: Imprimerie Catholique, 1956, p. 22 (hereafter AC). W. M. Erwin speaks about ,solid stems', cf. IA, 4.1.2, p. 54); cf. fn. 56.

²⁰ Zellig S. Harris, *Structural Linguistics*, The University of Chicago Press, Sixth Impression 1963.

²¹ J. Cantineau, *Le dialecte arabe de Palmyre*, Beyrouth 1934, I, p. 97 ff., referring to Mayer Lambert in *Journal Asiatique*, ix. sér., t.x. (1897), pp. 402—13; quot. in H. Birkeland, *Stress*

the actual stress rules are due to Kirsten and Erpenius who put them down according to the relatively modern tradition established by literate Arabs in Egypt and Syria. The most important obstacle to an overall use of the stress-contour evidence in the structural domain of MWA seems to be due to a rather strong perseverance of dialectal stress patterns in the oral use of Modern Standard in accordance with the local dialects of native speakers.²²

Nevertheless, it is worthwhile noting that Harris neither claims that the stress-contour evidence is to be based on a unique set of stress-patterns of a given language (standard might be or dialectal) nor expressly proposes it for the treatment of compounds in MWA.

2.2. Certain scholars, mostly those of a diachronic orientation, tend to identify the compounding in Semitic with particular cases of *reduplication* and with other diachronously defined procedures which yield more-than-three-consonantal roots. I. M. Diakonoff, for instance, declares word-compounding, „with the exception of some cases of reduplication and of rare quadrisyllabic and quinqueconsonantal verbs“, to be „practically absent in Semito-Hamitic“²³.

Substantially the same opinion in favor of the identifiability of compounding (Wortzusammensetzung) with repetitive procedures has already been uttered by W. Wundt in his developing A. F. Pott's ideas concerning this subject.²⁴ While the repetition of a single sound (Lautwiederholung) is, for Wundt, one of the most primitive means of word-formation through compounding, the repetition of words (Wortwiederholung) is already a genuine word-formational procedure fully identifiable with compounding.²⁵

Such a connection, however, as has just been established between repetitive procedures and compounding is far from being generally recognized by the totality of authors of a historical orientation. Thus, very lately, Father Fleisch, although showing a clear predilection for diachronic description, conceives the Arabic compounding without any attempt to relate it to repetitive features (for a more detailed exposition of Fleisch's approach to compounding in Arabic cf. § 3).

Despite the fact that Proto-Semitic examples of the type **kabkab* (= Arabic *kawqab* „star“), **la:lai*; (= Arabic *la:l* „night“)²⁶ can, basically, be put on the same

Patterns in Arabic, Avhandlinger utgitt av Det Norske Videnskaps-Akademii Oslo, II, Hist.-Filos. Kl., No 3, Oslo 1954, p. 5.

²² Haim Blanc, *Studies in North Palestinian Arabic*. Linguistic Inquiries Among the Druzes of Western Galilee and Mt. Carmel. Jerusalem 1953, p. 120: „From a few years' listening to Arab radio stations, I gather that no speaker of „correct“ Classical uses these rules as more than a rough approximation, and that stress patterns vary with locality.“

²³ Cf. I. M. Diakonoff, *Semito-Hamitic Languages* (= Languages of Asia and Africa. Editor: G. P. Serdjusenko), Moscow 1965, p. 38.

²⁴ A. F. Pott, *Doppelung*, 1862, quoted in Wundt (cf. 25 below), p. 628, fn. 1.

²⁵ W. Wundt, *Völkerpsychologie. Eine Untersuchung der Entwicklungsgesetze von Sprache, Mythos und Sitten*. Erster Band: *Die Sprache*, T. 1., Leipzig 1911, p. 628. For terms Gemination (volle Wiederholung) and Reduplikation (partielle Wiederholung) viz. ib., cf. also Fleisch's use of the terms „répétition“ and „gémimation“, AC, 59—60, etc.

²⁶ In fact, the Semitic examples are, from a strictly linguistic point of view, incommensurable

level as e.g. Malay *pohon-pohon* „forest“ as ag. *pohon* „tree“ or Dakota *runa-runā* „people“ as ag. *runa* „man“²⁷ because of their conveying the same meaning of plurality (in the case of Semitic this meaning is, naturally, of a purely etymological nature), Brockelmann does not suggest a compound-like treatment of Semitic doublings as Wundt does in the case of the above examples.

On the other hand, there are domains where a similar interrelation between repetitive features and compounding may potentially be suggested (in view of a rather largely provided space for compounding by the extant variety of criteria) even at a synchronic level. Thus, L. Brunot, while describing *muzāwaṭa* in Moroccan urban dialects, speaks about a „new lexical unit“ (une unité lexicale nouvelle).²⁸ Ch. Pellat, even if disagreeing with the latter statement in cases like *əž-žū* *w-ən-nū* (*mā-bħalak ger əž-žū w-ən-nū*: „il n'y a de comparable à toi que la famine“), because of the occurrence of the conjunction *w-*, as well as in cases such as *lā-dār lā-ždār* (*mā ʻando lā-dār lā-ždār*: „il n'a pas de crédit, de surface“), because, evidently, of the disjunctive *lā- . . . lā-*, fully agrees with it in the case of *itbā'*, e.g. *žāmī'* - *māni'* „parfait“ or *ħasan"* - *basan"* - *qasan"* „merveilleusement beau.“²⁹ Pellat goes even further in discussing the lexical autonomy of these cases of *itbā'* than Brunot by declaring them, which is particularly of interest for our purpose, to represent a kind of compounds (mot composé).³⁰

It goes without saying that an identification of *itbā'*³¹ with compounding cannot be more than a rough approximation. The *itbā'* discharges primarily a stylistic function, notably a shift towards a higher level of expressivity in comparison with the underlying *matbū'* component, rather than a pure nominative (lexical) one meanwhile genuine compounds continue to convey the newly-acquired lexical meaning substantially at the same stylistic level than that of their components. Finally, neither the very definition of *itbā'*, as proposed by Ch. Pellat (viz. fn 31 below), permits a full identification of the latter with compounding. To draw a parallel, Austronesian languages will abundantly furnish examples once again (the latter differing from the Arabic ones mainly by

with the rest of the quoted items (Malay, Dakota), unless deliberately disregarding (in order to draw a rather illustrative parallel) the fundamental discrepancy between the diachronic status of the former and the synchronic background of the latter. For the Semitic quotations cf. GvG, I, 369.

²⁷ Cf. Wundt, 635.

²⁸ Viz. L. Brunot, *La muzāwaṭa dans les dialectes citadins du Maroc*, in: *Mélanges Louis Massignon*, I, 251, quot. in Ch. Pellat, *Un fait d'expressivité en arabe: l'itbā'*, in: *Arabica*, tome iv, 1957, facs. 2, pp. 131—149 (p. 132).

²⁹ Cf. Ch. Pellat, (cf. 28 above) 132, 134 resp.

³⁰ Cf. Pellat, ib., 134.

³¹ Being defined by Pellat as follows: „c'est la répétition d'un terme qualificatif, accompagné d'un métaplasme, c'est-à-dire de l'altération volontaire d'une consonne radicale, en l'espèce R¹.“ In order to draw a clear-cut border-line between *itbā'* and *muzāwaṭa*, Pellat postulates three conditions which *itbā'* must satisfy: (1) formation du second élément par modification de R¹; (2) absence de particule entre les deux éléments, and (3) inexistence du second élément dans le lexique arabe. Cf. Pellat, ib., 134.

their much more frequent occurrence), e.g. the Indonesian *tjoréng-moréng* (as against *tjoréng*), *tjerai-berai* (as ag. *tjerai*), *bunting-bantang* (as ag. *bunting*), etc., etc.³²

The notion of compound frequently emerges in other spheres of synchronic description as well. Thus, Haim Blanc in discussing the Egyptian Arabic 3—10 cardinals, when followed by some |*t*|-featured vowel-initial plural patterns, speaks about ‚special sorts of compounds,’ e.g. | *xámastiyyá: m* |. The non-occurrence of |*it*|-featured 3—10 numerals before these patterns seems to provide evidence to support this statement of H. Blanc’s.³³

3. A Survey of Traditional Criteria

3.1. The Feature of One-Wordness

The very important preliminary problem in treating compounding is to establish a previous criterion as to what may be regarded *one word* in Arabic. The main difficulty consists, at this very primitive level of investigation, in the fact that the majority of concerned authors substantially diverge in this significant point.

According to the statement of Hans Wehr (French translation by V. Monteil, viz. 34 below): ,On peut observer, dans le language officiel, une surprenante incohérence de construction: l’emboîtement du qualificatif (ou du déterminant) avec le substantif qu’il régit—l’ensemble étant senti comme un seul mot‘, constructions of the type *qā’id ‘āmmu l-asāṭīlī l-ŷawwiyya* „commandant en chef des flottes aériennes“; *mufattiš-awwālu l-‘ulūmi l-‘arabiyya* „titre d’un fonctionnaire religieux“; *maḥkamat isti’nāfi Misr* „Cour d’appel d’Égypte“; *firqat-maṭāfi’i maġlisi baladiyyi l-Iskandariyya* „pompiers du Conseil municipal d’Alexandrie“³⁴ etc. provide a clear picture of these Wehr-said one-word-like constructional units, i.e. *qā’id ‘āmm*; *mufattiš-awwal*³⁵; *maḥkamat isti’nāf*, and *firqat-maṭāfi’*, etc. Despite the fact that all these constructions are considered as one-word units, only the last of them, *firqat-maṭāfi’*, is explicitly said to be a compound of the type of the English fire-brigade (cf. fn 34).

The one-wordness is accounted for, in these cases, (1) by the lack of separability of single constituents of these bi-componental constructional units, and, as far as

³² Cf. A. A. Fokker, *Beknopte Grammatica van de Bahasa Indonesia*, vierde druk, Groningen—Djakarta 1950; § 46.

³³ Cf. H. Blanc, rev. of T. F. Mitchell, *An Introduction to Egyptian Colloquial Arabic* London—New York—Toronto: Oxford University Press, 1957¹, in: Word, 13.535—540 (1957); p. 538.

³⁴ H. Wehr, *Entwicklung und traditionelle Pflege der arabischen Schriftsprache der Gegenwart*, in: ZDMG, 97, 1, 16—46 (1943), p. 38; quoted in V. Monteil, AM, 230.

³⁵ The hyphenization, although by no means clear (compound marker?), is here maintained in accordance with the quoted source (cf. fn. 34).

the relation of these units to the rest of determinators within the next greater constructional domain is concerned, (2) by the simultaneous non-occurrence of the relational particle *li* (viz. fn. 34).

Inconsistency of such a presentation of facts (at least as being presented in Monteil's quotations!) is obvious. Either we can speak about one-word and, at the same time (because of the simultaneous occurrence of two roots), compound constructions or of neither these nor those.

Furthermore, we find in Classical Arabic, Modern Written Arabic, as well as in some colloquial varieties of Arabic a relatively great number of construct-like construction with a twofold grammatical determination. Thus, in the Classical, we meet cases like *aš-šağaru'z-zaytūnū* „der Ölbaum“ (Reck., 68),³⁶ *aṣ-ṣanamu'* *d-dahabu* „das goldene Götzenbild“ (Brock., GvG II, 213),³⁷ etc.; in Lebanese Colloquial of *Bišmizzīn*, e.g. *haṣ-sallit il-bayḍ*, *haṣ-ṣažrit il-laymūn* (Jiha, 163)³⁸; in Damascus Arabic, e.g. *haṣ-sallat al-bēd* (Grotzf., 46),³⁹ etc.; in Cairo Arabic, e.g. *ilḥittit iddahab*, *il'ilbit idduḥḥān*, *issikkit ilḥadīd*, etc. (Willmore, 230)⁴⁰ or *ittōba-rrīš*, *ilqafāṣ ilfirāh*, *ilkīs iddahab*, etc., etc. (Brock., GvG II, 213—4; W. Spitta, 12, 4; 82, 6; 458, 5 resp.)

At least three ways of describing such constructions are available at present. (1) according to the traditional approach of German Semitology these constructions are conceived of as cases of ‚substantivische Apposition‘ (Brockelmann, GvG II, 213) or ‚substantivisches Attribut (Apposition)‘ (Reckendorf, AS, 65 ff); (2) as special cases of construct-state patterned constructions (Jiha, Bišm., 163; Grotzfeld, LFDA 46); (3) more explicitly, as a sort of constructional contamination based upon constructions of the type (a) *hittit dahab*, *sikka hadīd*, etc. and those of the type (b) *hittit (id)dahab*, *sikkit (il)hadīd*, etc., — yielding, in this way, constructions whose ‚first and second noun with its article being regarded as one word‘ (my italics!) (Willmore, 230).

However, the one-word picture (or rather what is regarded by Willmore as such) of the latter constructions can be argued for by no other means but an out-of-pattern (relatively to the construct-believed origin of these constructions) twofold grammatical determination which can hardly be considered as a fully satisfactory and linguistically consistent criterion for defining the feature of one-wordness. As for the

³⁶ H. Reckendorf, *Arabische Syntax*, Heidelberg 1921 (hereafter AS).

³⁷ In this and the following examples the largely differing transcription systems of particular quoted sources have been slightly retouched in order to present a more homogeneous picture. All changes are left here without comment since they are, it is hoped, sufficiently self-explanatory.

³⁸ M. Jiha, *Der arabische Dialekt von Bišmizzīn*. Volkstümliche Texte aus einem libanesischen Dorf mit Grundzügen der Laut- und Formenlehre. Beirut 1964 (Steiner, Wiesbaden).

³⁹ H. Grotzfeld, *Laut- und Formenlehre des Damaszenisch-Arabischen* (Abh. f. d. K. d. M., Bd. XXXV, 3), Wiesbaden: Steiner, 1964.

⁴⁰ J. S. Willmore, *The Spoken Arabic of Egypt. Grammar, Exercises, Vocabularies*. London, 1919.

interrelation between one-wordness and compoundness (of the more-than-one-root constructional units), the matter has already been discussed above.⁴¹

3.2. The Feature of Compoundness

Three main types of approaches may be distinguished so far in the treatment of compounds as to their delimitation and ways of description (1) linguistic approach, predominantly concerned with procedural questions and marked, as a rule, by a monochromatic methodology in the sense either of a historical (Brugmann⁴²) or a synchronic (descriptivist or European-type structuralist) approach; (2) specialists' (here, Semitologists') approach, missing, in most cases, this neatness of formal methodology and, moreover, possibly influenced by the orthodox methodology of Arab Grammarians, and, finally, (3) traditional approach of Arab scholars, thoroughly influenced by the medieval Arab science.

In the following we shall try to give a survey of the most important accounts of compounding in Arabic, mainly those related to the last two categories. Relevant data of general linguistic interest will be referred to only occasionally.

3.21. Non-Arab specialists' approach

(1) Brockelmann's treatment of compounding (*Wortzusammensetzung*) is probably the most realistic one and the most convenient for a synchronic description because of his meticulous excluding nearly all cases of etymological compounding out of scope. In fact, not a single case of 'compounds' of the latter category, quoted by Fleisch,⁴³ seems to fit into Brockelmann's criteria, e.g. *māl* (*mā* + *lī* = *māl* + *lī*), *sakana* (= **sakāna*, i.e. *s* + *kāna*), etc., etc.⁴⁴

The main compound-generating syntactic pattern is, for Brockelmann, that of

⁴¹ N. Tomiche's word-length statistical survey of Cairene Arabic is based upon a word delimitation the most important feature of which being the root with a simultaneous inclusion, however, of all the suffixes and prefixes other than the definite article. Cf. N. Tomiche, *Le parler arabe du Caire*, Textes et études linguistiques III, Paris-La Haye: Mouton, 1964, p. 87 ff.

As soon as a one-to-one relation between the number of roots and that of words is established in defining word limits, as done by N. Tomiche, all cases of genuine compounds will thereby be strongly excluded out of consideration, such as '*ardilāl*', '*ir-isūs*' etc. (Eg. Ar.). Rare as these examples in Arabic are, they represent, nevertheless, a linguistic reality and each word definition should provide a space for their inclusion.

⁴² Brugmann, *Über das Wesen der sogenannten Wortzusammensetzungen. Eine sprachpsychologische Studie*. Ber. ü. d. Verh. d. königl. sächs. Ges. d. Wiss. zu Leipzig, Phil.-Hist. Klasse, 52, 359—401 (1900), quot. in R.B. Lees, *The Grammar of English Nominalizations* (cf. fn. 14 above), xix.

⁴³ Fleisch, AC, 123—124.

⁴⁴ When, however, having in mind the great majority of Fleisch-provided compounds (cases such as *habqurr* (AC, 124) are rather rare exceptions), neither does the term 'historical compounding' seem to be an adequate coverage for them since they exhibit diachronically defined agglutinative intra word morph junctures rather than yielding compounds at all (cf. also 3.21[2]).

the construct-state,⁴⁵ e.g. *habqarr* „Hagel“ (cf. *habqurr* „grêle“, Fleisch, AC, 124), *rasmāl* „Kapital“, *hasābahūr* „Weihrauch“ („incense“), *'ainbaqar* (*'anbaqar*/*'a:bqar*) „dunkle Traubenart, Ochsenauge“ (GvG I, 65 and 481) *māyārd* „Rosenwasser,“ etc., etc. (GvG, I, 481).

Brockelmann's main criterion for recognizing an originally construct-state patterned construction as compound is its way of forming the respective plural forms. Two types of plural formation are considered significant: (a) plurals formed by means of a unique plural marker underlying the whole construction: (aa) covered by an introflectional pattern, e.g. *rasmāl*, pl. *rasāmīl* (quoted above), the Hispano-Arabic *'aboráç* „grossköpfig“, plur. *'aburúç* (GvG, ib.: Petr. 328, 18); (bb) identifiable with an extra-root plural ending at the last component of the construction, e.g. Eg. Ar. *benī 'ādem*⁴⁶ > *benādem* „Mensch“ (human being, mortal) yielding a plural form *benādemīn* (GvG, ib.: Landberg, Prov. 161), similarly in Maltese Arabic *bniedmin* (GvG, ib.: R Kr. 96, 15) and in Lebanese Arabic of *Bišmizzīn binādmīn* (M. Jiha, Bišm., 164); etc., etc., (b) plurals formed by means of more than one plural marker (each of them, internal or extra-root, occurring with all the particular components

⁴⁵ In this regard Brockelmann's delimitation of the sphere of Semitic compounding is not dissimilar although, procedurally, by far not identical, to that studied by Z. S. Harris for Modern Hebrew. The starting point of Harris' treatment of compounds in Modern Hebrew is a free—bound construction ,FB'FB, in which the F represents only Rp or N, and in which the ,FB part may be repeated: *bet haséfer* ,school', *roš bet haséfer* ,the head of the school'... (Structural Linguistics, 18.2, 326 f. fn. 2). The evidence for recognizing a compound construction consists, for Harris, in (1) the potential word-autonomy of single components of a ,FB'FB construction (cf. 327), this feature being, however, controlled by a characteristic stress pattern pertaining to the (compound) ,FB'FB construction (viz. ,the stress of each part is secondary |,| instead of primary '|| when it occurs in other than last position in this joint construction' [ib.]), and in (2) certain distributional restrictions of some morpheme classes within these constructions, e.g. the class represented by Harris's symbol Q (vv- „and“, še- „which“, etc.) occurs only with the first ,FB, while that symbolized as L (10 bound morphemes: pronominal suffixes) and ha- „the“ occur only with the last ,FB (cf. ib., 18.2, 327—8).

⁴⁶ That is, in a phonemic representation, /*banī 'ādam*/, /*banādam*/, /*banadīmīn*/ respectively (for Cairo Arabic). Or, non-phonemically, for the last example, at least *benādmīn* would be suggested.

However, it should be noted that, contrary to Brockelmann who seems to be disposed to recognize, from the latter series, only *benādem* as a compound word (because, evidently, of *benādemīn*), the underlying *benī 'ādem*, i.e. /*bani 'ādam*/, is to be recognized as a compound word too (because, seemingly, of /*ilbani 'ādam*/ (cf. R. S. Harrell, L. Y. Tewfik, G. D. Selim, *Lessons in Colloquial Egyptian Arabic*, Georgetown University Press 1963 [from now on *Lessons*], p. 18.2) The last statement can be argued for by the distributional background of the /*il*/-featured determination (definiteness) of the /*bani 'ādam*/ construction which should be, unless recognizing the compound nature of the latter, regarded as out-of-pattern one.

Furthermore, it is to be noted that the /*banadīmīn*/ plural form frequently appears in a shortened decomposed variant form /*admīn*/ (cf. Willmore, op. cit., 353) producing, in this way, a tripartite alternation in plural: (1) /(*il*)*bani 'ādam*/, (2) /*banadīmīn*/, and, finally, (3) /*admīn*/, (cf. also § 4).

of the construction separately), e. g. *qayūm al-ğum'a*, plur. *'aiğām al-ğuma'*; Eg. Ar. *et al-halā*,⁴⁷ pl. *buğūt al-'ahlija* (GvG, I, 482; Vollers, ZDMG 41, 385).

If, however, the latter criterion had to be considered sufficient for recognizing compound nature of a given construction, the lexicon of Arabic, commonly designed as extremely deficient in compounds, could provide a rather long list of similar, compounds'. Almost all multicomponental constructions, covered by the construct-state syntactic pattern, whose initial components are represented by words as *rabb*, *sāhib*, etc., e.g. *sāhib ad-dayn / aṣḥāb ad-duyūn* „creditor(s)“, *sāhib aš-ṣakwā / aṣḥāb aš-ṣakawā* „accuser(s)“, with a possible, in some cases, singular-plural alternation of the last component, e.g. *sāhib al-'amal / aṣḥāb al-'amal* (or: *aṣḥāb al-a'māl*) „boss(es)“ etc. would potentially be identifiable with compounds. This special type of plural markers patterning extends, besides the just enumerated cases, over a considerable number of other constructions underlain by the construct-state pattern, e.g. *haykal as-sayyāra / hayākil as-sayyārāt* „car-body (-ies)“ (HS, 38).

Some occurrences of plural forms, covered by more than one plural indicators, even seem to be motivated by semantic or terminological aspects, e.g. *ākil al-laḥm* or *ākil al-luhūm* (with a possible implication, in this latter case, of a variety of sorts of food), yielding, however, a double-featured plural in most cases *ākilāt (akalat) al-luhūm* (AHT, 18; Ac., 1, 491, 493), etc.

Besides, such plurals can frequently be found even in various types of analytical constructions, e.g. *al-hābit bi'l-mizalla / al-hābitūn bi'l-mizallāt* „parachutist(s)“, etc.

Furthermore, Brockelmann considers, in accordance with what has become a tradition among scholars of Arabic, such nominal constructions as compounds whose first component is represented by a negative particle (*lā*), e.g. *lā muta'attib* „tadellos“ (irreproachable), (GvG, I, 483). Brockelmann seems, nevertheless, to be disinclined, oppositely to Bielawski and Monteil (viz. later), for instance, to identify the negative *gayr*-expressions with compounding which seems, at the same time, to imply the same attitude towards the *'adam*-constructions which both Bielawski and Monteil assume to be compounds too.⁴⁸

What is particularly to be pointed out when commenting on Brockelmann's approach to compounding in Arabic, is an almost complete independence of Arab scholars' theories. Instead, for instance, of following the traditional way of explaining cases like *'Abdšams > Abšams*, „*Abd Šams*“, *'a[n]baqar > anbaqar*, *'a[bi]aqar* (quoted above) along with Arab authors (as H. Fleisch does,⁴⁹ cf. also [2] below) by a general effort towards maximum of economy and brevity which follows from the very definition of *naht* (cf. 3.22), Brockelmann finds scientifically much more consistent as well as structurally more valid to handle these cases in terms of syllabic structure of Arabic.⁵⁰

⁴⁷ Cf. fn. 6.

⁴⁸ Cf. J. Bielawski, *Deux périodes*, 300; V. Monteil, AM, 141.

⁴⁹ Cf. H. Fleisch, AC, 124: „...ou bien d'une manière plus libre, de constituer un adjectif de relation, en tronquant, abrégeant des mots: de *'abdu šamsin*, nom propre, le nisba *'abšamīyy-*, puis le verbe *ta'* *abšama* „suivre, être l'homme de 'Abd Šams““.

⁵⁰ Brockelmann explains these cases by the decomposition of syllables of the structure CVC+C through omitting the last of both consonants, viz. GvG, I, 65: e.g. *'Abdšams > Abšams* (or,

(2) Father Fleisch's approach to Arabic compounds can almost thoroughly be characterized by words uttered by R. B. Lees in account of Brugmann's study in Indo-European compounding „Über das Wesen der sogenannten Wortzusammensetzungen“⁵¹ as being „not so much a study of compounds as such, but rather a study of compounding through time“.⁵² Despite the fact that Fleisch's general attitude towards compounding is said by the author to be derived from Sapir's repartition of grammatical processes (procédés grammaticaux) such as word-order, composition, affixation, etc.,⁵³ a linguistically pertinent argumentation is almost entirely lacking in the subsequent treatment. In fact, nearly all Fleisch-quoted examples (an exception is made of *habqurr* „grêle“ [= *habbu qurrin* „grain de froid“ (viz. AC, 124)]) abundantly provide evidence of an overall historical approach and can hardly be recognized as compounds with regard to the synchronous system of Arabic, substantially no matter whether Classical or Modern Written Standard, notably:

- (a) *lāšā yulāšī* (< *lā šay'*); *māl* (< [*mā* + *lī* = *māl* + *ī*]); the procedure itself being described as follows: ,(Il est arrivé à l'arabe) de souder un mot vide à un mot plein.‘
- (b) *sakana* (< *sakāna*, where *s* representing an ancient causative prefix); *masmara* (< *mismār*, where *m* representing an instrumental prefix), etc.;
- (c) *sahṣalīq* (resulting from a contamination of two triliteral roots, i.e. *shl* and *slq*), etc.;
- (d) *basmala* (one root contained abbreviation of the formulaic expression *bi-smillāhi r-rahmāni r-rahīm*), etc. (AC, 123—4).

When, however, taking into consideration the first two categories of Fleisch's, one can even doubt the term ‚compounding‘ as being an adequate coverage for them at all, should it be used only in an etymological sense, since cases like *māl*, *sakana*, etc. exhibit diachronically defined agglutinative junctures rather than being identifiable with true compounds, that is more-than-one-root one-word units.

As for the last two categories, the quoted examples are thoroughly identifiable with particular cases of *naht*-type constructions within the scope of interest of Arab scholars (viz. 3.22).

(3) For Bielawski, the chief compound generating domain is represented by various types of negative constructions, either substantival (*lā-wuğūd*, *lā-kawn* [Deux périodes, 284]) or attributive (*jayr māhsūs*, *jayr māddī* [ib]), including those whose first

alternatively, through monophthongization of the underlying diphthong, e.g. *'ainbaqar* > *'anbaqar* or *'aibaqar*.

⁵¹ Viz. fn. 42.

⁵² R. B. Lees, *The Grammar of English Nominalizations*, xix.

⁵³ Cf. Ed. Sapir, *Language. An Introduction to the Study of Speech*. New York (sec. ed.) 1949. (Viz. *Le langage*. [Traduction française de S. M. Guillemin, Paris, Payot, 1953, pp. 61—62], quoted in H. Fleisch, AC, 3.)

component is expressed by *'adam* within the frame of the construct-state pattern as well (*'adam at-tadahhul* [ib. 300]).

Besides, Bielawski designs by this term a considerably large scale of other types of multicomponental (but rarely compound!) terms (interested as he is primarily in the scientific terminology) covered by various syntactic patterns, notably by the construct-state and attributive patterns, e. g. *ashāb ar-riwāk*, *ashāb al-uṣtuwān* „stoïciens“ (Stoics) (ib. 285), *fā'ilīyyat al-ašī'a* „radioactivité“ (radioactivity), *āla ġahannamīyya* „machine infernale“ (infernal machine) (ib., 301), etc. Moreover, Bielawski labels as compounds (viz. noms composés [304]) also various types of analytical constructions, e.g. *mu'ālağa bī'l-ikāhi* „vaccinothérapie“ (vaccinotherapy).

Since any consistent criterion for defining these compound-said constructions is missing, we are authorized to suppose that nearly all particular cases of multicomponental constructions of various *syntactic* patterns, while, if it is possible to say so, conveying a single idea, can be identified with Bielawski's compounds (mots composés [284, 300], noms composés [304]). The linguistic inconsistency of such an approach is obvious. If, thus, such a vast space were really allowed for compounds to be located in within the general sphere of word-formation in MWA, compounding would present quite a productive word-formational procedure in Arabic which is by no means true and which Bielawski himself resolutely denies.⁵⁴ On the other hand, it seems rather strange that such words as *rasmāl* and its derivatives are not described in terms of compounding which seems to prove that Bielawski, exception made for some types of negative (viz. *lā*) constructions, employs this term for denoting the above specified syntactic constructions only.

(4) For Monteil, compounding (*naht*) is one of three morphological procedures of Arabic word-formation besides derivation (*ištīqāq*) and lexical borrowing (*ta'rīb*).⁵⁵ Likewise Bielawski, Monteil tends to indentify a relatively great number of cases, considered by him compounds, with constructions which exhibit no significant difference between them and the rest of non-compound multicomponental ones backed by syntactic patterns. However, unlike Bielawski, Monteil imposes

⁵⁴ Cf. Deux périodes, 284: „La morphologie arabe, on le sait, ignore les mots composés. Pourtant à l'époque des traductions rapides des œuvres grecques, faute d'équivalents appropriés, elle a admis certains mots composés spécialement avec la négation *lā*, calquant les mots composés grecs.“ Or elsewhere: „On a déjà remarqué que la structure grammaticale de la langue arabe ne connaît pas les mots composés, mais exceptionnellement nous rencontrons des mots composés qui sont traductions littérales de mots étrangers (surtout français et anglais).“ (ib. 300) The last statement of Bielawski's is uttered in account of e.g. *'adam at-tadahhul*, *āla ġahannamīyya*, *fā'ilīyyat al-ašī'a* [quoted above ([ib. 300—301])].

⁵⁵ Cf. V. Monteil, AM, 106: „Tous s'accordent à reconnaître que, dans le domaine de la morphologie (la sémantique ouvre d'autres voies), l'arabe dispose seulement de trois procédés de base, pour la constitution de son vocabulaire moderne: la dérivation étymologique (*ištīqāq*), la „composition“ (qualifiée, au sens large, de *naht*) et l'emprunt de termes étrangers par arabisation (*ta'rīb*). La structure de la langue n'autorise pas d'autres procédés.“

considerable (although not yet sufficient and linguistically consistent) restrictions upon the latter, should it be done implicitly only, as (1) the occurrence of some asyntactic features (deviations from the underlying syntactic pattern), e.g. (word-order) *bilā-mā* *ḥamd* „anhydride“ (Šihābī, quot. AM, 135); (word-order: an out-of-pattern grammatical determination) *ad-diddu-naššāfa* „contre-torpilleur“ (AM, 142), etc.; (2) the occurrence of allomorphic alternants, e.g. *šib-ġirā’ī* / *šib-ġirā’ī* „colloidal“ (ib., 140, 143 resp.); (3) the lack of semantic autonomy of some of the underlying components of the compound (or compound-believed) constructions (this feature is apparently the only one which seems to meet Bielawski's implicit criteria), e.g. the compound-said constructions built up by means of *lā* (in this case it would be possible to speak about distinct asyntactic features too, viz. e.g. *lā-sāmī* „antisémité“, etc.), *gayr*, *‘adam*, *didd*, *sū*, etc.

Not all Monteil's compounds can be, however, reduced to the syntactic patterns which underlie them. Monteil speaks about 'half a dozen of compounds of a current usage' (AM, 134) such as *al-mā’garayāt* (cf. also Fleisch AC, 68), *ra’s-māl* and *rasmāl*, *‘ardu-hāl*, *yā-naṣīb* and *raddu-fīl*. Nevertheless, except for *ra’s-māl* (*rasmāl*) and *‘ardu-hāl*, it is hardly possible to recognize the compound nature of the rest of quoted examples unless recognizing, at the same time, an implicit occurrence of roots within these morphemically non-segmentable units which represent initial components of *mā’garayāt* and *yā-naṣīb* (i.e. by considering them as root-words along with Fleisch's non-segmentable bi-literal roots⁵⁶). In the last case (*raddu-fīl*),

⁵⁶ Fleisch, despite his describing roots as being constituted of consonants [cf. „La racine est composée de consonnes (et seulement de consonnes) au groupement desquelles est attachée une idée générale plus ou moins précise.“ (AC, 22)], speaks about „37 mots, qui sont à eux-mêmes leur racine, par ex.: *yad* „main““. However, *mā* and *yā* of the above quoted examples have, apparently, nothing in common with these bi-literals except their non-segmentability and, admittedly, the very state of a root-word. Seeing, that the latter feature cannot be convincingly established at the synchronic level we prefer assuming them to be particular cases of agglutinative junctures. It is worthwhile noting that both *mā* and *yā* represent clitics in various colloquial varieties of Arabic where a stress contour analysis can adequately be performed and argued for, e.g. the Eg. Ar. relative *ma*-remnants in expressions such as *badal-ma*, *zayyi-ma*, e.g. /záyyi-ma’ullak/ „just as I say you“; /ilyanasib/ „the lottery“, etc.

As far as the non-segmentability (by implication, in AC) of the Fleisch's bi-literal roots is concerned, it is not generally recognized. D. Cohen, for instance, even speaks about monoliteral roots (racine monolitère) such as, e.g. *ḥ* of the pattern (Cantineau's schème) *ḥat* „sister“ [cf. D. Cohen, *Le dialecte arabe hassāniya de Mauritanie* (parler de la Gébla), Paris: Klinsckieck, 1963; p. 174, rem. 1). The latter attitude implies, oppositely to Fleisch's, a possible segmentation not only of biliterals (i.e. into roots and patterns) but that of Cohen's monoliterals as well.

Cantineau's analysis of roots and patterns as proposed in both his studies pertaining to this subject, notably „Racines et schèmes“ (*Mélanges offerts à W. Marçais*, Paris 1950, 119–124) and „La notion de schème et son altération dans diverses langues sémitiques“ (*Semitica*, iii, 1950, pp. 73–83), allows no explicit exception to an overall segmentability of Arabic (Semitic) words into roots and patterns.

According to Wallace M. Erwin (*A Short Reference Grammar of Iraqi Arabic*, Institute of

excepting probably a rather intuitive feeling of compoundness thoroughly based on semantic grounds, there is no consistent formal criterion, the compound nature of this term could be argued for (either phonemic: both *raddu* and *fi'l* are independently stressed, or morphemic: there are no significant irregularities in the distribution of some pertinent morpheme classes as against the non-compound constructions of the same syntactic pattern, e.g. (as for the grammatical determination (definiteness *radd al-fi'l* as against **ar-raddu-fi'l*, the former being, in this respect, fully identifiable with e.g. *bayt ar-rağul*,⁵⁷ etc.)

Further, unlike Bielawski and Brockelmann, Monteil locates into the orbit of compounding all particular cases of *naḥt*-featured constructions (cf. 3.22), especially while pertaining to the recent developments of the scientific terminology, e.g. *halma'a'*⁵⁸ [*< tahlīl bi'l-mā'* (AM, 133: MML 'A, vii, 1953, 204)] „hydrolyse“, *balmaha* [*< bilā mā'* (term coined by Muḥ. Ṣalāḥiddīn al-Kawākībī in Syria, AM, 133)] „anhydriser, déshydrater“ (to dehydrate), etc.⁵⁹

Which is quite particularly to be deplored when going through Monteil's exposition of compounds in Arabic that there is an obvious preference to classify them according to criteria absolutely irrelevant from the point of view of the significant structural features of Arabic (cf. prefixes (135—138), suffixes (142—146, esp. *-able*, *-ible* (146 to 147), etc., etc.). From a strictly linguistic point of view the great majority of these compound-said constructions cannot be recognized as compounds in Arabic. One of the most frustrating inconsistencies of such an approach is the treatment of passive, *nomina agentis*, etc., etc. within the scope of compounding.

Languages and Linguistics, Arabic Series No 4, Georgetown University Press, Washington, D. C. 1963), the minimum segmentable stems have bilateral roots e.g. '*ah*', 'brother', *sana*, 'year', etc.) (cf. 4.1.1., p. 48) while, on the other hand, the non-segmentable stems, i.e. those which cannot be analyzed as containing a root and a 'pattern', are termed solid stems (cf. ib., 54). The *mā* and *yā* of the above examples are to be referred to in this last category.

Seeing the fact that a valid identification of roots as constituting part of the segmentable root-and-pattern featured stems with what Erwin very happily calls 'solid stems' can be carried out neither from a morphologic nor a semantic point of view, we shall consider the above examples as particular cases of agglutinative junctures rather than treating them in terms of compounding

⁵⁷ The way of expressing the definiteness, it must be recognized, cannot be regarded when taken separately as a fully consistent criterion to decide whether a given construction reveals compound features or not. It should be noted that contructions of the type /*ar-raddu-fi'lī*. etc., which only would justify a compound-like treatment of this term, are missing.

⁵⁸ Monteil writes *halma'a'* in order to emphasize the substantival nature of the quoted example.

⁵⁹ Coinages of this latter type are, nevertheless, far from being generally confirmed neither by the totality of specialists concerned nor by the term-codifying authorities. Thus, for instance, the Cairo Academy of Arabic Language proposes, instead of the Syrian *balmah* the term *lama'* 'to dehydrate' (< *lā mā'*) with derivatives *lā-mā'i*, 'anhydrous' and *malmū'*, 'dehydrated', etc. (cf. MML'A, vii, 1953, 204).

3.2.2 The Arab Scholars' Approach

Since there is no significant difference between the defining and the treatment of compounds as being proposed by the medieval science and that of the contemporary authors, we find it possible to handle both of them at the same level.⁶⁰

Suyūtī (*Muzhir*), for instance, starts his statement of *naḥt*⁶¹ by quoting a definition due to Ibn Fāris: 'The Arabs form one word from two others by putting them together (*tanḥat*) which is a sort of abbreviation'.⁶² This definition of *naḥt*, that is compounding in its most orthodox representation in Arab science, enjoys a great publicity among the Arab scholars and can currently be met with in recent studies concerned with this subject throughout the Arab World too.⁶³

In the traditional interpretation, *manḥūtāt*, i.e. items resulting from the *naḥt* procedure (cf. fn. 61 above), are to be identified, in the great majority of cases, with various types of etymological contamination of two or more roots within one quadri- or quinqueliteral root.⁶⁴ One of the most substantial features of this traditional conception of *naḥt*, even if being, as it seems, only very recently accounted of in the proposed definitions of the latter in an explicit way (cf. *Mazhar's T'A*, 18 and *MML'A*, vii, 1953, 201 further), is the presumed shortening of the number of the root-constituting radicals of *naḥt*-type constructions as against their primitive state. That is exactly why the coverage of a good deal of these constructions by the term

⁶⁰ Nevertheless, one exception to the above statement must be allowed, notably Ism. *Mazhar's* introducing and developing the very promising notion of *tarkib mazjī* which is, apparently, the only one which covers, partly at least, the domain of compounding as conceived by non-Arab analysts and presents the only chance to put the extremely involved and in no lesser degree sophisticated approach to compounding, as honored by Arab scholarship, on really scientific grounds.

⁶¹ As for the terminology used, the procedure itself (cf. definition of Ibn *Fāris* in the text above) is covered by the term *naḥt*, the resulting *naḥt*-type construction being termed *manḥūt* while the underlying construction, *manḥūt minhu*. For European authors, the '*naḥt*' is frequently used to denote the resultant *naḥt*-construction as well (cf. V. Monteil, *AM*, 131—152).

⁶² Cf. as-Suyūtī, *al-Muzhir fī 'ulūm al-luja wa anwā'iḥā I*, al-Qāhira 1958 (fourth ed.), p. 483 al-'*arab tanḥat min kalimatayn kalima wāhidā wahuwa ḥins mina'l-iḥtiṣār*'.

⁶³ Cf. the definition proposed by the Cairo Academy of Arabic Language: ',*Naḥt* is a sort of abbreviation producing one word of two or more others' [,*an-naḥt darb mina'l-iḥtiṣār wahuwa ahḍ kalima min kalimatayn fa'aṭtar*‘ (cf. *MML'A*, vii, 1953, 201)]. Furthermore, the Academy specifies significant features of *naḥt*-type constructions as follows: (1) *Naḥt* need not necessarily be represented by all the components of the underlying construction (*manḥūt minhu*), e.g. *ad-dam'aza* (from *adāma'llāh 'izzahū*); (2) it goes without saying that *naḥt* need not retain the first word (i.e. of the underlying construction) exactly in its original shape; (3) *naḥt* need not observe vowels and *sukūns* of the root-constituting consonants (i.e. of the underlying construction), e.g. the ġ in *maškana* (i.e. < *mā šā' allāh kān*) has a zero vowel as against its being vocalized while forming part of the underlying phrase (cf. *MML'A*, VII, 201).

⁶⁴ Some authors quote even sexi- and septiliteral roots; cf. Ramsis Ğirğis, *an-Naḥt fī'l-'arabiyya*, *MML'A*, XIII (1961), p. 63: e.g. (sexiliteral) **ḥlnblq*, (septiliteral) **blḥbyth*, etc.

contamination seems to be particularly convenient, e.g. *sahṣalīq* ,puissante exclamat-ion‘ (French equivalents are due to H. Fleisch, AC, 124), reported as being constituted by *ṣahal* ,hennir‘ (to neigh) and *ṣalaq* ,pousser un grand cri‘ (to utter a violent cry) (*Muzhir* I, 482; *Mazhar*, T'A, 14; MML'A, vii, 1953, 203; MML'A, xiii, 1961, 73; 'Abd. Amīn, *Iṣtiqāq*, 403; H. Fleisch, AC, 124, etc., etc.)

Similar examples:

ṣalhad, *ṣilahd*, *ṣilhad*, etc. ,old camel, tall and strong‘ being reported to come from *ṣald* and *ṣahd* (cf. *Mazhar*, T'A, 30—31; for *ṣalhad*, MML'A, xiii, 1961, 73; etc.)

ḡulmūd (Bélot and *Mazhar* also *ḡalmad*) ,grosse pierre, rochet‘ (rock)(Bélot) being said to result from *ḡalad* and *ḡamad* (*Mazhar*, T'A, 32—33; MML'A, xiii, 1961, 70; etc.) etc., etc.

Besides, a number of relatives (*nisba*) derived from multicomponental propre nouns, revealing similar features, are labelled as *nahts* as well, e.g. *'abšamī* (from 'Abd *Šams*, cf. *Muzhir* I, 484; MML'A, vii, 1953, 202; 'Abd. Amīn, *Iṣt.*, 394; H. Fleisch AC, 124, etc.). However, etymological explanations of some *naht* constructions, as proposed by Arab scholars, are fairly impressionistic and only very rarely are unanimously agreed with by the totality of concerned authors. As for *'abšamī*, for instance, *Muzhir* indicates the following possible conjectures: 'Abd *Šams* (Ǧawharī's *Ṣahāḥ*), *'abb* (*habb*) *šams* (conveying, reportedly, the meaning of *daw'* *aš-šams* [Ibn Zayd *Manāt* Ibn *Tamīn*]), *'ab'* *šams* ,sun-like‘ (Ibn al-İ'rābī), etc.⁶⁵

On the other hand, we meet *naht* items whose general constitution, it is true, does not substantially differ from that of the above examples but their respective *manhūt minhu* is no longer to be identified with syntagmas only (in the sense of minimum syntactical units) as rather with syntactically well-organized fully autonomous phrases (mostly formulaic expressions), e.g. *basmala* „the pronouncement of ,*bi'sni'llāhi 'r-rahmāni 'r-rahīm*“; *haylala* „the pronouncement of ,*lā ilāha illā llāh*“; *ḥawlaqa*, *ḥawqala* „the pron. of ,*lā ḥawla walā quwwata illā bi'llāh*“ (*Muzhir* I, 483), etc.

These cases, where a greater number of roots of the underlying expression are represented in a one-root-contained *naht* item, than was that of the above examples, are a sort of symbolic abbreviation rather than an etymological blend-formation. There is, however, no consistent formal criterion as to provide a clear-cut border line between the two of them. From a semantic point of view, even if taking into consideration rather dubious etymologies of *ḡalmūd-* or *ḥayta'ür*-like constructions (cf. for instance, *Mazhar*'s T'A, 14—57), *nahts* of the last category seem to be self-explanatory in a considerably lesser degree.

Mazhar's definition of the *naht*-type compounds involves a new feature of substantial importance when explicitly postulating the omission of some root-

⁶⁵ Viz. *Muzhir* I, 484—485; cf. also Amīn, *Iṣt.*, 395; etc. For a syllabic approach to explaining the loss of the final radical of the first root constituent of these and similar constructions, see C. Brockelmann, GvG I, 65.

constituting consonants from one or both of the underlying components (*lafz*) upon which the *naḥt*-fashioned compound is based.⁶⁶ This feature, being rigorously postulated by Mažhar in contradistinction to the Cairene Academy (viz. fn. 63), makes it apparently impossible to consider such cases as e.g. *barmā'ī*, *ra'smāl* (*rasmāl*) etc. as *naḥts*. In order to set a basis for the treatment of these full-length compounds (i.e. those whose single constituents exhibit substantially the same number of root-constituting consonants as those of the underlying construction within the limits of the possible allomorphic alternation (viz. § 4.22), Mažhar introduces the notion of *tarkīb mazğī* (viz. T'A, 18; cf. also our fn. 60 above).

For practical term-formational purposes, Mažhar proposes the formation through *naḥt*-procedure in all cases where other word-formational procedures, notably derivation (*iṣṭiqāq*) and lexical borrowing (*ta'rib*) have failed. This is, according to Mažhar's point of view, mostly the case when the long *tarkīb*-type constructions of Greek, Latin or Greco-Latin provenance are to be newly represented in Arabic. Nevertheless, the terms coined by Mažhar in order to illustrate the applicability and versatility of *naḥt*-procedure in the field of modern terminology have not been recognized by the Academy nor, on the side, by interested specialists, they are rather meticulously avoided in the scientific usage too: e.g. the Greek origin term *Hypsiprimnodontinae* (zool.), for instance, is re-atomized into its Greek constituents, each of which being represented by one or more root-constituting consonants of the corresponding Arabic equivalents, that is, in this case, *hypsi* „high“ 'ālī = ; *prymna* „stern“ *kaw'al* = *w*, and *odūs* (*odont-*) „tooth“ *sinn* = *s*, *n*, producing, accordingly, *al-'awsanīyyāt* (cf. T'A, 73), etc.⁶⁷

Much more successful seem to be Mazhar's *tarkīb*-fashioned compounds of the type *qubaylīhakamī* „premaxillary“, *baynīfaqārī* „intervertebral“, *fuwayqīhaykalī* „episkeletal“, etc., provided by a unique gender, number and case marker with the last constituent of the underlying construction (the latter being identifiable with a co-ordinated series of attributes) as well as by a unique occurrence of the definite

⁶⁶ „*fa-inna min uṣūl an-naḥt hadf ba'd hurūf mina'l-lafzayn al-murād naḥt lafz wāhid minhumā*“ cf. T'A, 18.

⁶⁷ Coinages of this type were criticized in the Damascene RAAD; cf. Šihābī, RAAD, xxxiv, 545—554: „La langue arabe risque de devenir une nouvelle langue nabatéenne qui remplacera la langue arabe claire (*al-lisān al-'arabī al-mubīn*).“ Šihābī's examples exhibit the same structural features as those quoted by Mažhar, e.g. *ġamġanāhiyyāt* (from *jamā* and *ġanāħ*) „Coleoptera“ (zool. entom.); *jiġjanāhiyyāt* (from *jiġā* and *ġanāħ*) „Hymenoptera“ (id.); *misġanāhiyyāt* (from *mustaqīm* and *ġanāħ*) „Orthoptera“ (id.); quoted in R. Hamzaoui, *L'Académie arabe de Damas et le problème de la modernisation de la langue arabe*, Leiden: Brill, 1965, p. 34.

The same attitude towards *naḥt* is taken up by Šihābī in his book „*al-Muṣṭalaḥāt al-'ilmīyyā fī l-luġa al-'arabiyya*“, Cairo, 1955, p. 98, when he criticizes the formation of such *naḥt* constructions as e.g. *niġġanāhiyyāt* „Hemiptera“ or *šawrasīyyāt* „Acanthocephala“, etc. instead of structurally more suitable and more comprehensible multicomponental constructions *niġfiyyāt al-aġniha* and *šā'iķāt ar-ru'ūs* respectively; cf. V. Monteil, AM, 133.

article *al-* (in the case of the grammatical determination) with the first constituent of the underlying construction (in the opposite case, the indefiniteness marker (*tanwīn*) is occurring only with the last constituent of the underlying construction), e.g. *ad-dafira al-amāniqaqāriyya* „prevertebral plexus“, etc. (cf. T'A, 77–78).

Mazhar, in opposition to Syrian scholars (cf. fn. 67), when considering the productiveness of *naht*⁶⁸ (while arguing with Ahmad al-Iskandari), supports the opinion that the Arabic language has not only been profiting from the *naht* procedure in the early lexicon-making period but has to take recourse to it at the present time as well.

4. Compounding in Arabic

4.1. Purpose

This paragraph aims at defining the scope of compounding in Modern Written Arabic as based on Greenberg's criterion $R > W$. Seeing the fact that there is no significant difference between the index of compounding as calculated for Classical Arabic, beginning from about the period of the early translations from Greek (mostly through Syriac), in the 9th century, and that stated for MWA (cf. 1.2), we shall not exclude the Classical Arabic data out of consideration even if being predominantly concerned with MWA. Further, in order to provide as much evidence for the delimitation of compounding as possible, pertinent data of various colloquial varieties of Arabic will be found of some interest too (the latter being, nevertheless, consistently marked as colloquialisms).

The quoted linguistic material pertaining to what is traditionally designed as compounding (referred to in the ‚compound-said constructions‘ sub-section of § 4) is not to be considered as an exhaustive one with regard to the excessively large frame allowed for defining compounds by the extant sets of fairly diverging (sometimes even contradictory) criteria which makes it impossible to state the degree of productiveness of the latter. On the other hand, the analysed material does represent a nearly exhaustive list of compounds in the case of *true* compounds, i.e. those

⁶⁸ Cf. „*hadd al-qiyās wu's-samā'* *fīhi...*“ (T 'A, 17). The most explicit elucidation of these terms is given in Mazha's treatment of *iqtiyās*, p. 56: (for *samā' i:*) „*fa-inna' aktar aṣ-ṣiyāj allati waradat minhā asmā' an-nabāt wa'l-hayawān siyāj samā'iyya wa ma'nā annahū mamnū' 'alayka an taqis 'alayhī wa 'an tasūj 'alā jirārihā asmā' ḡadida.“ Accordingly, the *naht* procedure is labelled, by Mazhar, as „*qiyāsi*“ or „productive“ one.*

'Abdallāh Amīn, himself a supporter of *naht*, is extremely audacious in proposing a far-reaching re-arrangement of a great number of commonly used multicomponental items along the *naht* procedure, e.g. *qalmaḥ*, *qaṭbar*, *qalhab*, *qalbar* (for *qalam hibr* „fountain pen“); *samfar*, *sifar*, *sam'ar*, *sammaf* (for *samm al-ja'r* „rat poison“), etc., etc. (Cf. *Iṣṭiqāq*, 436–437). The reader has, nevertheless, a good chance to believe (and to hope as well) that these extravagant formations, diametrically contrary to basic structural features of Arabic, will never be absorbed by the lexicon of Arabic.

satisfying the Greenberg-provided condition $R > W$. It is precisely with this last category of compounds that § 4 of our study will be concerned quite specifically. However, in some rare cases, the measure of productiveness seems, even in this latter category, to be exceedingly high as to make it possible to set up an *inventory* of described items instead of stating mere *patterns*. That will be, for instance, in the case of Mazhar's compound attributes (cf. p. 79). Nevertheless, it must be said that *Mazharian* compounds of the above specified type substantially differ from the rest of the quoted items, notably in their being met with in the text while being *proposed* for the scientific usage and not while being *used* with a purpose of communicating.

4.2. Preliminaries to the procedure

4.21. The internal structuring of Arabic words, based in most cases on the clearly definable root-and-pattern system of Arabic,⁶⁹ imposes some special restrictions upon the treatment of compounds in terms of Greenberg's approach.

In fact, there is no single compound in Arabic fully identifiable, say, with the English *millstone*, *greenhorn*, etc. as to its internal structure (unless, however, taking such constructions into consideration whose single constituents, one or, theoretically both, are represented by what W. M. Erwin calls 'solid stems' [cf. fn. 72 below]). The subsequent tabular statement has to account for this difference.

In the case of Arabic (viz p. 82), the root, as far as forming part of a word segmentable into a root and a pattern (both constituting a stem), never occurs independently of nonroots related to it. The nonroots, co-occurring with respective roots, are to be identified with the whole of structural features constituting a pattern or a pattern complex.⁷² That is, in a minimum sense, with particular sets of the interradical vowel morphemes related to roots (in the case of patterns) and, in a maximum sense, with these vowel morphemes occurring in combination with particular extra-root features, the latter being represented by one or more affixes (in the case of pattern complexes).

For both practical and theoretical purposes the notion of *stem* is of some importance for handling Arabic compounds by virtue of its representing the minimum compound-generating morphemic segment, including both its hierarchically inferior heterogeneous constituents ($R + P$), at pre-compound level. Moreover, this inclu-

⁶⁹ For possible implications of this feature, as interrelated with that of internal flexion, to Semitic in general, cf. K. Petráček, *Die innere Flexion in den semitischen Sprachen* (I—IV)⁴ *Archiv orientální*, 28. 547—606 (1960); ib. 29. 513—545 (1961); ib. 30. 361—408 (1962); ib. 31. 577—624 (1963).

⁷² The substantial part of the descriptive taxonomy of the root-and-pattern features of Arabic, as reflected in 4.2 of our study, is almost entirely identifiable with that of M. W. Erwin, op. cit. pp. 47—61, esp. 47—54; the same is to be said of the terminology used. As for the notion of „nonroot“, viz. E. Nida, *Morphology*, 82.

Table 1

	<i>English</i>	<i>Arabic</i>
Compound word:	<i>mill-stone</i> ⁷⁰	<i>ra's-māl</i> ⁷¹
Roots:	<i>mill stone</i>	* <i>r's*mwl</i>
Nonroots (in the case of Arabic identifiable, in a minimum sense, with patterns):	— —	- <i>a-</i> - <i>ā-</i>
The minimum structural unit of single constituents of the construction at pre-compound level:	<i>R R</i>	<i>S S</i>
The intermediate structural unit of single constituents of the construction at pre-compound level:	<i>S S</i>	
The maximum structural unit of single constituents of the construction at pre-compound level:	<i>W W</i>	<i>W W</i>
The minimum structural unit of the compound construction:	<i>S</i>	<i>S</i> cf. fn. 74.
The maximum structural unit of the compound construction:	<i>W</i>	<i>W</i>

(Where: *R* = root; *S* = stem (i.e. *R + P*); *P* = pattern; *W* = word.)

sion is underlain, at pre-coompound level, by a one-to-one relation between the number of roots (within the (*R + P*) —wholes) and that of stems. Seeing the fact that this level is substantially identifiable with the whole morphological domain of stem when the feature of compounding is left out of consideration (and there are some practical arguments for doing so, viz. the low degree of productiveness with some types of compounds and the lack of productiveness with some other types at all!), such a conception of stem (i.e. *S = R + P*) fully concides with Erwin's theory⁷³ so far. From this point of view, when focussing attention predominantly to the pre-compound level of a compound-generating procedure, it would be basically even possible to suggest substituting the structural domain of root by that of stem as a compound-defining factor. However, a valid substitution of this sort cannot be carried out for both pre-compound and compound levels of the procedure unless

⁷⁰ The hyphenation is not to be taken as an orthographic one.

⁷¹ Literally „the head (of the) wealth,” the enclosed items have to remind the construct-state origine of the construction.

⁷³ Viz. fn. 72 above. As for the non-segmentable stems (referred to in Erwin's „solid stems“ [cf. 4. 1. 2., p. 54]), the level of stem is the only possible structural level at all.

facing the necessity to restate the whole theory and terminology of Arabic stems in quite untraditional way, since it is not possible to establish a one-to-one relation between the number of Arabic roots (as interrelated with pattern features, i.e. within the $[R + P]$ -wholes) and that of stems at exactly the latter level of the procedure. Cf.:

Table 2

Type of construction:	Relation between the number of R (within the $[R+P]$ —wholes) and that of S:	Examples:
Non-(or pre-) compound (can be described in terms of Erwin's hierarchy):	symmetric, i.e. $(R+P) = S$	<i>ra's</i> — $(R+P) = S$ <i>māl</i> — $(R+P) = S$ <i>'irq</i> — $(R+P) = S$ <i>sūs</i> — $(R+P) = S$
Compound (cannot be described in these terms):	asymmetric, i.e. $(R+P) + (R+P) = S$	<i>ra's-māl</i> — S <i>'irq-sūs</i> — S

In order to avoid the equation $S + S = S$, obtainable deductively from the above data,⁷⁴ we shall introduce a new, rather untraditional dichotomy at the stem-level, notably the distinction between (1) the *non-compound stems* (symbolized henceforth as *S*) and (2) the *compound stems* (covered by the symbol *S'* hereafter) with the subsequent writing $S + S = S'$. The order of presenting these categories is, as evident, determined uniquely by their importance in the morphological system of Arabic.

The non-compound stems are fully statable in terms of Erwin's taxonomy of stem. As for the second category, such thematic units will be considered as compound stems which can subsequently be analyzed into two (or, theoretically, more) non-compound stems.⁷⁵ While speaking, within the limits of the present study, about a more-than-one-root one-word construction, it will to be identified, at the structural level of stem, with this latter category. Nevertheless, alternatively, when taking into account the newly introduced bi-partition between *S* and *S'*, the *R* from Greenberg's compound-defining evidence $R > W$ (where *W* corresponds to one and *R* to a natural number, the latter being, in the case of Arabic, practically identifiable with two) can satisfactorily be replaced by *S*.

⁷⁴ Incidentally, the same equation results from the previous tabular statement as well (viz tab 1.)

⁷⁵ Theoretically, it would be possible to consider compound stems as, in turn, constituting other compound stems of a higher order, too. Practically, however, similar constructions seem to be of no occurrence in Arabic.

Table 3

	Compound stem as interrelated with the general feature of compoundness can be stated:	Compound stem as interrelated with the general feature of compoundness cannot be stated:
Examples:	Distributional evidence	
<i>ra's-māl</i>	The definiteness marker <i>al-</i> possibly occurring before the initial constituent of the construction: <i>ar-ra's-māl</i> , similarly the demonstratives, e.g. <i>hādā'r-ra's-māl</i> , etc. Possessive suffixes after the final constituent only, e.g. <i>ra's-māl-i</i> , etc. Derivative affixes <i>-i⁷⁸</i> , <i>-iyya</i> only after the final constituent: (<i>ar-</i>) <i>ra's-māl-i</i> , etc.	<i>al-</i> possibly occurring before the final constituent of the construction: <i>ra's al-māl</i> (fully identifiable with the rest of construct-type syntactic constructions, viz. e.g.: <i>ra's al-māl hādā</i> .) In the case of plural, two independent plural indicators each of them being backed by particular noncompound stems: <i>ru'ūs (al-) amwāl</i> .
<i>qā'im-maqām</i>	<i>al-</i> , <i>hādā</i> , etc. before the initial constituent only, e.g. <i>al-qā'im-maqām</i> ; the inflectional <i>-ān</i> and the derivational <i>-iyya</i> , etc. only after the last one, e.g. (<i>al-</i>) <i>qā'im-maqāmiyya</i> .	The syntacticized plural construction <i>*qā'imū maqām</i> is, according to my Iraqi informants, missing

Although such constructions as *ra's-māl*, *'irq-sūs*, etc. can be, in the above sense, described as monothematic ones, the feature of one-stemness of a given compound construction cannot predictively be considered as *stable* as it might appear at the first glance from the preceding statements. A similar presentation of facts would inevitably lead to an over-simplification since, as a matter of evidence, the structural stability of a compound stem depends upon that of the very feature of compoundness of the construction under consideration which, in turn, cannot automatically be treated as stable. In fact, a number of Arabic compounds cannot be defined as such in the whole scale of their inflectional and/or derivational manifestations by using a unique compound-defining criterion. Naturally, this does not mean that an objection is raised against the general validity of Greenberg's $R > W$ (or, alternatively, in the sense of the above exposition $S > S'$). It would be better to attempt to answer the question whether a given more-than-one-root one-word

⁷⁸ If starting from recognizing e.g. *ra's-māl-i* as a complex compound stem (viz. later in the text), the inflectional *-ān* („plural, masculine, nominative, non-construct“) in *ra's-māl-i (yy)-ān* does not affect the compound nature of this compound stem in contradistinction, evidently, to *ru'ūs-amwāl* as related to *ra's-māl*.

construction can be recognized as a compound one in all its inflectional and/or derivational representations even by using a unique set of specialized evidential sub-criteria pertaining to the feature of compounding mostly through the feature of one-wordness. Or, in other words, we shall be concerned with the problem of whether the sum of all possible representations of a given compound word can predictively be considered as compound ones by virtue of the mere fact that one or more (but not all!) of these representations have been ascertained as satisfying the condition $R > W$.

In virtue of the above evidence (cf. Tabl. 3) we find it useful to distinguish between (3) *stable compound stems*, and (4) *non-stable compound stems*, the former being characterized by the structural stability of the stem throughout the full stock of its inflectional and/or derivational representations (viz. *qā'im-maqām*), the latter by the lack of such a stability (viz. *ra's-māl*). Deductively, at the word level, we shall speak about a (3.1) *stable compound word*, in the case of a word covered by a stable compound stem, while, in the opposite case, about a (4.1) *non-stable compound word*.⁷⁷

Furthermore, in accordance with the above statements and the Erwin-proposed basic stem hierarchy,⁷⁸ we believe it is possible to work out further extensions of the latter, in order to make it fully appropriate for the treatment of compounds too, by introducing the following notions (5) *simple compound stem*, that is a compound stem which, by applying Erwin's definition of simple stems to the latter „cannot be further analyzed into (in our case: compound) stem and affix“ (viz. fn. 78 below), and (6) *complex compound stem*, i.e. a compound stem which consists, when modifying Erwin's definition of complex stems, „of a (in our case: compound) stem plus one or more affixes and to which, as a whole, other affixes are or may be attached“ (viz. ib.).

In order to illustrate the newly-introduced notions, stems like *ra's-māl*, *'irq-sūs*, etc. can account for the (5), while *ra's-māl-i*, *ra's-māl-iyya*, *'irq-sūs-i* („relative to erq-soos“⁷⁹) or the Egyptian Arabic *'ir'i-sūs-i* („producer and seller of erq-soos, erqsoosee“), or the plural form of the latter: *'ir'i-sūs-iyya*, etc. (the hyphenating is, as evident, purely conventional and serves uniquely illustrative purposes) can serve as illustrative examples for the (6).

4.22. Apart from this, there is another important factor pertinent to the description of compound words—*allomorphic alternation*. Regarding the fact that this type of

⁷⁷ Naturally, the same relation can be established at the more primitive level of stem taxonomy as well, notably between (1) the non-compound, and (2) the compound stems (viz. above in the text), on the one hand, and (1. 1) the non-compound, and (2. 1) the compound words, on the other.

⁷⁸ W. M. Erwin, op. cit., 4.1, p. 47.

⁷⁹ English transliteration, with the exception of ' and k (replaced in our text by zero and q resp.) is due to E. W. Lane, *The Manners and Customs of the Modern Egyptians*, (1860), London, reprint 1954; p. 331. *Erg-soos* means licorice-root, i.e. the root of *Glycyrrhiza glabra*, used in medicine and, in some Near Eastern countries, in producing a sort of sweet drink sold in the streets.

alternation emerges at non-compound stem boundaries of a number of compound stems we shall describe it at the thematic level, considering it as a *junctural feature*. Further, since the very notion of the stem implies, in the minimum case⁸⁰ the co-occurrence of two distinct morphemic constituents, that is roots and respective patterns (viz. above), every particular case of an allomorphic alternation should necessarily be considered as a *bi-morphemic* one because of its extension over two distinct morphemic segments corresponding to two different morpheme classes.

The allomorphic alternation of the above specified type (viz. junctural) most frequently involves:⁸¹

- (A) CC/C, e.g. *mā'* + *ward* = *māward* (Siggel, 66); *qā' im-maqām* / *qā' i'maqām*, etc.
- (B) CCC/CC, (a), e.g. *ra's-māl* / *rasmāl* (where C¹C²C³ / C²C³);
 (b), e.g. *šibh-ğirā'ī* / *šib-ğirā'ī* „colloidal“ (Monteil, AM, 143, for the first, ib. 140, for the second) (where C¹C²C³ / C¹C³). When C¹C³ of a CCC cluster are represented by identical root-constituting consonants, the distinction between the (a) and (b)-featured types turns of no sense, e.g. *barr* + *mā'ī* = *bar-mā'ī* „amphibious“, *habb* + *qurr* = *hab-qurr* „hoarfrost“, etc.
- (C) CCC/CCVC (where V corresponding to a cluster-preventing vowel, possibly due to the dialectal influence and/or to the case ending relic of the underlying syntactic construction at pre-compound level), e.g. *'ard* + *ħāl* (paralleled by the still occurring syntactic construction *'ardū' ħālin*) = *'ardħāl* (Wahr mund) / *'ard-i ħāl* (Wahr mund; the writing is, here, that of quoted authors); *'arduhāl* (Wehr, Belot; the latter only in Arabic characters). The V in the Egyptian Arabic *'ardihāl* has a clear cluster-preventing function.

In some cases, there is no sufficient evidence available in literature, e.g. *'irq-sūs* (?). The author of the present study had no opportunity of testing these junctural features by means of laboratory aids with native informants.

As evident from the above listing of the involved features (which does not claim to be exhaustive) it is possible to distinguish between two types of alternation: (1) alternation which cannot be defined but with simultaneous reference to both of non-compound and compound stems (i.e. at the pre-compound and the compound levels of a compound-generating procedure) and (2) alternation definable already with reference to compound stems only (i.e. at the very compound level of the procedure).

As for the first type, marked above by the symbol of equation, it can be illustrated by the following examples: the non-compound *barr*-alternating with *bar-*, the latter and only the latter occurring exclusively while forming part of a compound stem, for instance, *bar-mā'ī* „amphibious“, while the former and only the former occurring

⁸⁰ That is to say, when disregarding the possible occurrence of affixes within what Erwin calls complex stems (for references cf. above) and when excluding the Erwin-said solid stems out of consideration too.

⁸¹ Pattern features, being here of zero value, are left out of account.

exclusively as a non-compound stem or a segment of a non-compound stem (viz. complex compound stems).

Similarly: *mā'* vs. *mā-* in *māward* „rose-water“; *habb-* vs. *hab-* in *hab-qurr*, etc.

The second type, marked above by the symbol /, makes it possible to state the alternation within compound stems, e.g. *ra's-* / *ras-*, both alternating while constituting part of a compound stem, e.g. *ra's-māl* / *rasmāl* „capital“ (for some special restrictions imposed upon the possibility of describing *rasmāl* and its derivates as a compound stem viz. later); *qā'im-* / *qā'i-* in e.g. *qā'im-maqām* / *qā'i-maqām* „title of a high official in the Iraqi administration“ (in the last case the hyphenating is rather impressionistic, an alternative segmentation would be possible as well: *qā'im-aqām* with the subsequent transferring the sphere of alternation to the final constituent of the compound stem), etc.

4.23. However, the problem of the allomorphic alternation is, in turn, further complicated by the set of structural features pertinent to what is commonly designed as *internal flexion* in Arabic (allowedly in Semitic, cf. fn. 69 above). A feature similar in some respects to that of structural stability as established relatively to compound stems and compound words (viz. [3] and [3.1] of § 4.21 resp.) is to be taken into account with reference to allomorphic alternants within a given compound stem (word) too. As it will turn obvious on the ground of the following statements, it is not always easy to say what an allomorphic alternant within the above specified constructional units is. Cf.

Table 4

<i>ra's</i> -vs. <i>ras-</i> can be described in terms of an allomorphic alternation:	(<i>ra's</i>) ⁸² vs. * <i>ras</i> ⁸³ cannot be described in these terms:
<i>ra's-māl</i> / <i>ras-māl</i>	(<i>ra's</i>) vs. <i>rasāmil</i> „plur. of <i>rasmāl</i> “
<i>ra's-māl-i</i> / <i>ras-māl-i</i>	(<i>ra's</i>) vs. <i>rasmal</i> „to capitalize“
· · · · · · · ·	(<i>ra's</i>) vs. <i>rasmala</i> „capitalization“, ⁸⁴ etc.
<i>ra's-māl-iyya</i> / <i>ras-māl-iyya</i>	

As obvious from the above parallel the limits of the allomorphic alternation within a given (here: compound) construction cannot be defined abstractedly from the very feature of compoundness of the latter. There is, however, hardly possible to

⁸² The bracketing indicates here the impossibility of setting up a direct parallel between the *ra's- and ras-featured* constructional items.

⁸³ The asterisk indicates here that the segment denoted by it does not really occur. That is to say that *ras-*, in this case, cannot be recognized as a thematic constituent (of an order S) of a greater thematic unit (of an order S'). The hyphenating does not therefore imply a possible segmentation along the S-featured thematic units.

⁸⁴ Cf. *rasmalat al-fawā'id*, „capitalisation des intérêts; anatocisme“ (Ac., 1, 12).

determine in an absolute way neither whether *rasmāl*,⁸⁵ in our case, is a compound construction nor whether *ras-* (hyphen with „*ras*“ does not necessarily imply a possible segmentation along the S-featured thematic units) is relatable to *ra's-* as an allomorphic alternant or not. With reference to *ras-māl-i*, *ras-māl-iyya*, for instance, as alternating with *ra's-māl-i*, *ra's-māl-iyya*, one can doubt neither the compound nature of the latter nor the relation between *ras-* and *ra's-* as that of allomorphic alternants (which, subsequently, implies a hyphenated writing *ras-māl*, etc. in accordance with the convention established in the present paper). On the other hand, however, as soon as related to *rasāmīl*, *rasmal*, *rasmala*, *murasmal*, etc., the answer will decidedly be negative in both cases (with a simultaneous non-hyphenated writing).

In order to account for the above situation we esteem possible to introduce (at the stem level of the description) the notion of *thematic valency* yielding a dichotomy between (1) *ambivalent*, and, say, (2) *univalent stems*,⁸⁶ the former being potentially identifiable both with compound and non-compound stems, the latter either with compound or non-compound ones. Cf.:

Ambivalent stems		Univalent stems	
e.g.	<i>ras(—)māl</i> ⁸⁷	<i>rasmāl</i> ⁸⁸ <i>rasāmīl</i> <i>rasmal</i> <i>rasmala</i> <i>murasmal</i> ⁸⁹ etc.	<i>ras-māl</i> ⁸⁸ <i>ras-māl-i</i> <i>ras-māl-iyya</i> etc. (as at the same time alternating with: <i>ra's-māl</i> <i>ra's-māl-i</i> (-iyya) etc., the latter being, in turn, fully equivalent univalent stems)
<i>rasmāl</i> ⁸⁸ (viz. univalent stems)	<i>ras-māl</i> ⁸⁸ (viz. ib.)		
Non-compound	Compound	Non-compound	Compound

⁸⁵ The hyphenating as possibly implying the segmentation of a given S' into its S-type constituents, in accordance with our convention, was here deliberately omitted without, however, considering this omission as significant, i. e. as a priori signaling the lack of compoundness of the construction under consideration (for the symbol (—) viz. fn. 87 below).

⁸⁶ A rather similar problem as to the impossibility to determine the specific function of a given morphological feature emerges with some pattern-constituting morpheme classes, viz. „*simple pattern*“ in Erwin's taxonomy (op. cit., 4.1.1.4, p. 52) or Petráček-termed „*vocalization*“ (op. cit., ArOr, 28. 547—606 (1960), esp. pp. 566—568), exhibiting, at the same time, either a word-formational or an inflectional function. Petráček describes this feature in terms of „*Kumulation der Funktionen*“ (p. 567), the latter corresponding, in a different context, to our notion of bi-valence.

⁸⁷ The feature of thematic ambivalence will be marked by the symbol (—) henceforth.

As evident from the above statements, the most important feature pertinent to defining the thematic valency⁹⁰ of a given stem are the functors \cap (= and) and \cup (= or) resp., determining the relation between both S-and S'-levelled stems. In the case of $S \cap S'$ or, in our symbols (—) (cf. fn. 87), we have an ambivalent stem while in the case of $S \cup S'$ or, in our symbols, alternatively, zero (non-hyphenating) or—(hyphenating), we have to do with what we call univalent stems.

The notion of *thematic valency*, as evident, does not fully coincide with what we cover by the term *structural* (or, at the level predominantly referred to in this study, rather *thematic*) *stability*. The former starts from considering a given stem as either $S \cap S'$ or $S \cup S'$ and is defined with reference to exactly this, and only this stem. The latter starts from recognizing a given stem as S' with reference to itself with, at the same time, scrutinizing the stability of this stem in the sense of S' with reference to the sum of its inflectional and/or derivational representations. Both notions, taken as wholes, are therefore incommensurable with each other. Nevertheless, there is at least possible to establish some minor interdependences between some of the respective sub-categories derived from them. Cf.:

ras-māl: *univalent* S' because of its being identifiable only with S' -stems (by virtue of recognizing the relation of the allomorphic alternants between *ras-* / *ra's-*), *stable* S' since it retains its status of S' through all its inflectional and/or derivational representations (it is to be noted that, in accordance with the taxonomy proposed in this paper, the intro-flexionally controlled S-featured stems of the type *rasāmīl*, *rasmala*, etc. are to be related to *rasmāl*);

ra's-māl: *univalent*, i.e. always S' with reference to itself, but *non-stable* relatively to the sum of its inflectional and/or derivational representations (viz. *ru'ūs amwāl*);

ras(-)māl: *ambivalent* because of its being potentially identifiable both with S- (viz. *rasmāl*) and S' -stems (viz. *ras-māl*), incommensurable with stems classified according to the feature of stability;

rasmāl: *univalent* S-stem, as such incommensurable with stems classified along the feature of stability (viz. stable S' vs. non-stable S'). It is worthwhile noting that it is exactly in this category that the bulk of the Arabic *naħt*-featured constructions, as delimited by Arab scholarship, is to be located.

4.24. *Synchrony* vs. *Diachrony*. *Synchrony* and *diachrony* as levels of conceiving and describing linguistic phenomena (here those pertaining to compounding) will be considered within the frame of the present study in two rather different ways. (1) The traditional distinction between both these levels (either in the sense of the

⁸⁸ The feature of thematic univalence will be hereafter indicated by hyphenating (compound) or non-hyphenating (non-compound).

⁸⁹ All these words are, as evident, constituted by a unique (quadrilateral) root $r — s — m — l$ and a unique pattern, related to each of the particular stem realizations.

⁹⁰ At other levels of description it would obviously be possible to speak about a word- or constructional valency, etc.

Prague School or in its more orthodox and, at the same time, more antagonist sense of proto-Saussurean linguistics in the orbit of the Geneva School) will be rather one-sidedly mirrored in this study in the sense of a clear predilection for the synchronic approach. Accordingly, the constructions whose compound nature cannot be stated but in terms of diachrony, conceived of in the above sense, will not be treated in terms of compounding.

(2) Apart this, we shall take recourse to a similar distinction of levels in a more conventional way, more specifically adapted to the pursued problem. At the very same synchronous level in the sense of (1) two other ones will be further distinguished, notably: (2.1) systematic level, paralleling in some of its connotations that of synchrony in the sense of (1), and (2.2) procedural level, paralleling in a certain sense that of diachrony in the sense of (1). The first of them, being derived from a conception of compounding as a predominantly static structural phenomenon exhibiting a given internal structure which determines its external relationships with other elements of the same synchronous system, will be concerned with (2.1) non-compound, and (2.12) compound structures (for possible interpretations of these structures viz. 4.21—4.23 above). The second, being derived from a conception of compounding as representing a procedure (viz. compound-generating procedure), will necessarily involve a dynamic feature. At this latter level both (2.1)- and (2.12)-featured structures will turn de-staticized, that is, they will lose their predominantly static character as much as being underlain by two dynamic sub-levels or states: (2.21) pre-compound, and (2.22) compound. Since all connotations of diachrony as conceived in the sense of (1) are deliberately excluded out of the scope of this study, the whole domain of (2), as represented so far, will be put thereby on synchronic grounds and the „pre-compound“ will be referred to in the sphere of derivational history rather than in that of etymology.

Compounding, accordingly, as stated both in (2.1) and (2.2) will be considered as a synchronic phenomenon. At the procedural level, the space provided by the relation between (2.21) and (2.22), as much as being statable in the domain of synchrony in the sense of (1), will simultaneously be regarded as maximum interval of synchrony within the limits of this paper.

4.3. Procedure: Submitting the whole of the analyzed material to the general compound-defining evidence $R > W$ (where W equals one and R a natural number, mostly two in Arabic)⁹¹ in order to define the scope of compounding in Arabic (= Compound Constructions). Paralleling the latter with what is more traditionally described in terms of compounding even if dissatisfying the condition $R > W$ (= = Compound-Said Constructions).

⁹¹ The latter being mapped, at the stem level, into that of $S > S'$ (with the above restrictions, on condition, however, that W and R of the former are replaced by S' and S resp. in the latter).

4.31. Compound Constructions

(1) Some Definitions and Pertinent Interdependences:

(1.1) Root: Each word, no matter whether segmentable according to the root-and-pattern features or not, will be considered as containing, in the minimum case, a root either explicitly, within the (R + P)-wholes, if segmentable, or implicitly, within the Erwin-defined solid stems (for ref. cf. above), in the opposite case. For the theory of Arabic (Semitic) root no sufficient evidence is available in literature so far.

(1.2) One-Wordness as Related to Compoundness: Each more-than-one-root construction will be regarded as equaling a one-word unit provided that the latter can potentially be considered as a basis for producing further derivatives. From this point of view, for instance, *ra's-māl* will be considered as a one-word unit because of possible *ra's-māl-ī*, etc. while, for instance, *ra's al-māl*, *ru'ūs (al-) amwāl*, etc. will not be recognized as constituting such units because further derivatives cannot be produced from them. Naturally, a similar evidence of one-wordness, as defined in the above terms, cannot be taken for more than a starting point. A more powerful criterion will be obtained by incorporating the latter into more general distributional evidence, the latter being based on detecting significant restrictions of the occurrence of some pertinent morpheme classes within more-than-one-root one-word constructions as against more-than-one-root more-than-one-word ones.⁹² In these terms we can not merely restate all the „derivational“ proofs as provided in the above sense, but it turns possible to account for the feature of one-wordness of such constructions which, even if being identifiable with true more-than-one-root one-word ones, cannot be further considered as derivational basis, viz. *Mazharian* compound attributes of the type *qubaylī-hakamī*,⁹³ etc.

(1.3) Compoundness: (1.31) R vs. W: Such constructions will be considered as compound ones which satisfy the condition R > W. Nevertheless, this definition can be, in the sense of 4.21 (tab. 1), regarded as consistent, with reference to Arabic, only if disregarding the impossibility of identifying the R's from the R > W with both minimal and, at the same time, maximal structurally homogeneous morphemic units pertaining to the definition of compounding. When, however, the latter feature being strongly postulated as having to be included in the very definition of compounding, the latter is to be put on the thematic level: (1.32) S vs. S': Such constructions will be regar-

⁹² For the distributional approach to defining one-wordness as related to compoundness cf. Z. S. Harris, for instance, SL, 326—7 etc.

⁹³ In order to simplify our somewhat involved way of hyphenating, affixation will not be hereafter indicated by hyphens but in cases of the most immediate illustrative necessity.

Besides the above morphological evidence of one-wordness as related to compoundness, only the phonological one will be taken into account in a rather limited degree (viz. junctival features). Otherwise, since the present study is quite particularly based upon written records, the phonological features will be referred to only exceptionally.

ded as compound ones which, at the level of stem, are identifiable with S'-featured stems, or in other words, which satisfy the condition $S > S'$.

(2) Setting Classes.

(2.1) According to the thematic structure of S' .

(2.11) Compound constructions whose compound stems are either identical with simple compound stems or reducible to them. Accordingly, this class will include both simple compound constructions (i.e. those backed by simple compound stems) and complex compound constructions (i.e. those underlain by complex compound stems).

(a) Such S' -stems will be recognized as simple which, taken as wholes, do not occur in combination with affixes, e.g. *ra's-māl* (cf. 4.21 [5]).

It should be noted that a possible coincidence of single S-constituents of a given S' -stem with what Erwin calls complex stems will be assumed irrelevant to the above definition. That is to say, constructions like *qā'im-maqām*, for instance, will be treated as simple compound ones regardless of the fact that, in this case, the final S-constituent can be identified with Erwin-defined complex stems. Further, the possible interpretation of the definite article *al-* in terms of affixes will be, in this context, considered as irrelevant too.

(b) Such S' -stems will be regarded as complex ones which, taken as wholes, occur in combination with affixes, e.g. *ra's-māl-ī*, etc. (cf. 4.21 [6]).

(2.111) Compound constructions of the above category backed, in their minimum derivational representation, by construct-state syntactic pattern, at the pre-compound level, or alternating with the latter at the very same output level.

N.B. In quoting examples the following abbreviations will be used: C-compound construction; SA-syntactic (i.e. non-compound) alternant of C; AA-allomorphic alternant of C.

E.g.:

ra's-māl (C) vs. *ra's māl* (SA).

Distributional evidence for recognizing the compound nature of (C) as against (SA): *al-*, *hādā*, etc. (provided that the latter co-occurs with *al-*) before the initial S-constituent of the respective (C); *ī*, *-iyya*, etc. after the final S-constituent; no autonomous plural pattern, etc. Meanwhile (SA): *al-* before the final S-constituent while *hādā* etc. (in the case of a simultaneous occurrence of *al-*) only after the final S-constituent; no derivational and/or inflectional affixes; (syntactivized) plural pattern *ru'ūs* (*al-*) *amwāl* (cf. 4.21 [tab. 3]);

Junctural evidence: the occurrence of *ras-māl* (AA) whose compound nature can be accounted for in terms of the above distributional evidence as well (cf. 4.22). Similarly: (distributional evidence will be reduced to minimum, junctural evidence stated in terms of back-references only):

'*irq-sūs* (C) vs. '*irq sūs* (SA); distrib.: for *al-*, *hādā*, etc. the same as for *ra's-māl*;

derivational affixes (suffixes) less numerous, for MWA -*i* only (viz. relative to erq-soos, cf. fn. 79); the Eg. Ar. *'ir'i-sūs* combines, nevertheless, with the derivational and/or inflectional -*i*, -*iyya* (plur.);

**mā'-ward* (C) (stated only in the state of definiteness within the syntactic pattern *mā' al-ward* [Siggel, 66]⁹⁴); distributional evidence of compoundness statable in terms of the juncturally defined allomorphic alternation (for *mā-ward* (AA) [Siggel, 66] cf. 4.22), e.g. derivational -*iyya*: *mā-wardiyya* „Rosenwasserflasche“ (Siggel, 100);

'ard-hāl (cf. Wahr mund: *'ardhāl*) (C) vs. *'ard hāl* (SA);⁹⁵ distrib.: *al-*, *hādā*, etc. as with *ra's-māl* (*'ard al-hāl*, however, not stated); unique external plural in -*āt*; possible (but not stated) relative suffixe -*i* (the Eg. Ar. agential -*gi* with subsequent plural in -*iyya*: *'ardihalgi* „scribe“, etc.; junctural: *'ardu-hāl* (AA), etc. (cf. 4.22);

qā'im-maqām (C) vs.* *qā'im maqām* (SA [not stated]); distributional: *al-*, *hādā*, etc. as for *ra's-māl*; the same for the derivational and/or inflectional affixes, in this case -*i*, -*iyya*, -*iyyāt*, -*ūn* (plur. incorporated in the two last ones); there is, seemingly, no other plural pattern available; etc.; junctural: *qā'i-maqām* (possibly segmentable as *qā'im-aqām*) (AA) (cf. 4.22);

**habb-qurr* (unlike, seemingly, *'irq-sūs*, non-occurring in this form; distributional evidence, accordingly, statable in terms of the allomorphic alternation, viz. *hab-qurr* [AA]) vs. *habb qurr* (SA) or, in turn,* *habb qurr* because of its being statable in this syntactic pattern only in an etymological sense (cf. Fleisch, AC, 124; for its state of an allomorphic alternant viz. 4.22); **ayn-baqar* (like the preceding, statable in terms of the allomorphic alternation only, viz. *'ay-baqar*, *'an-baqar* (GvG I, 65 and 481 [viz. also 4.22 of our paper]), etc.⁹⁶

As for the Egyptian Arabic Brockelmann-quoted *bendēm* „Mensch“, etc. as against the Classical and Modern Written Arabic construct-state patterned *banū 'ādām* (plur.), which belong to this category too, viz. fn. 46 above.⁹⁷

(2.12) Compound constructions whose compound stems are identifiable with complex compound stems only.

⁹⁴ A. Siggel, *Arabisch-deutsches Wörterbuch der Stoffe*, Berlin 1950.

⁹⁵ In the case, however, that the Wahr mund-provided *'ard-hāl* (written *'ardhāl*) could not be regarded as zero-featured alternant relatively to *'ardu-hāl*, the notation of the former by the asterisk would be indispensable in accordance with our way of writing.

⁹⁶ Cf. also examples quoted by M. Jiha, *Der arab. Dialekt von Bišmizzīn*, Beirut 1964, p. 164.

A number of the Egyptian Arabic examples quoted by Willmore will be, however, unrecognized in the sense of this study, notably borrowings from Turk. and Pers. which should be, in their minimum derivational representation, treated as constituting a unique root morpheme, cf. *sirdār* „commander in chief“, etc. Willmore, op. cit, p. 44.

⁹⁷ To this category also such Eg. Ar. constructions should be incorporated whose first S-constituents are represented by fractions *nuss*, *rub'*, etc., e.g. *nussi-ryāl* plur. *nussi-ryalāt* (cf. Harrell and coll., Lessons, 30. 3), likewise *nussi-frank* (-*āt*) (cf. Mitchell, CA, 171, etc.), *nussi-šaffāf* „semitransparent“, etc.

(2.121) Backed by the construct-state syntactic pattern at the pre-compound level or alternating with the latter.

E.g.:

šibh- ;irā'i (provided that Monteil's presentation of the latter could be recognized as reliable, viz. cluster /h j/; otherwise indicated by an asterisk as against the syntactic *šibh girā'i*. In this case, the junctural evidence would be the only consistent one, viz. (AA) *šib-girā'i* (cf. 4.22), etc.; distributionally, the occurrence of *al-*; etc.

(2. 122) Backed by other patterns.

Various co-ordinated elements (mostly attributive), occurring within the syntactically organized phrases, tend to constitute compounds. Cf.:

**barri mā'i* can presumably be considered as the underlying syntactic pattern with regard to **barr-mā'i* „amphibious“ (statable in terms of the allomorphic alternation only, viz. *bar-mā'i* [cf. 4.22]); distributionally: *al-* only before the first S-constituent (naturally, either in this case or in all the above quoted cases, the occurrence of the definiteness marker *al-* before the first S-constituent implies, at the same time, the occurrence of the indefiniteness marker (*tawīn*) after the final S-constituent only); the derivational and/or inflectional affixes: *-i*, *-iyya*, *-iyyāt* only after the last S-constituent, etc.; juncturally: viz. *bar-mā'i* above; **ğaww-mā'i* (C) vs. **ğawwī mā'i* (SA), the former statable in terms of the allomorphic alternation, viz. *ğaw-mā'i*, e.g. in: *tā'ira ğaw-mā'iyya* „hydroplane, seaplane“ or *ğaw-mā'iyya* (the same) (Mont., AM, 132); distrib.: *al-* only before the first S-constituent, in the case of the substantivized *ğaw-mā'iyya*, the same is true of *hādihī*, for instance; the derivational and/or inflectional *-iyya*, *-iyyāt* etc. only after the last S-constituent etc.; junct.: viz. *ğaw-mā'i* (AA) above, cf. also 4.22.

ab-ra'isī (C) (mapped, presumably, in the syntactic **abawī ra'isī*) „patriarchal“ (stated in Syrian sources, cf. AM, 134); distrib.: for *al-* as the preceding; *-iyya* (possibly some other suffixes) only after the last S-constituent; etc.

However, it should be noted, it is hardly possible to depict the above situation in terms of an obligatory de-syntactivizing procedure, since the presumed syntactic pattern, underlying this type of compounding, is fully productive. Cf.:

dawī kahrabi „photo-electric“, viz. *al-haliyya al-daw'iyya al-kahrabiyya* „photocell“ (MK, 375);

nawawi harārī „thermo-nuclear“, viz. e.g. *al-asliha an-nawawiyya al-harāriyya* „thermo-nuclear weapons“;

bawlī tanāsulī „uro-genital“, e.g. *al-ğihāz al-bawlī at-tanāsulī* „uro-genital system (anat.)“ (IA, 16);

iṛiqī āsyawī „Afro-Asiatic“, the latter alternating, nevertheless, with a borrowed (arabized) *afrī'āsyawī* which should be, however, treated as a monomorphematic unit.

To the above category of compounds belong, as evident, Mazharian compound attributes of the type *qubaylī-hakamī* „premaxillary.“ Besides examples, quoted at the end of 3.22, cf. also:

qaṣabī-aqibī „tibio-calcanean“ (anat.);

qaṣabī-śazzī „tibio-fibular“ (anat.) (both in T'A, 78).

The -ī after the initial S-constituent of all these coinages is to be treated as junctural feature (cluster preventing) despite the fact that, etymologically, it is derived from the derivational (relative) -ī. For the distributional evidence viz. the end of 3.22. Besides, the inflectional (here agreemental) features expressed only in combination with the final derivative (relative) -ī, after the last S-constituent.

There are, however, other means of de-syntacticizing (syntheticizing) the underlying syntactic phrase available too. Syntactic constructions like *daw'ī kahrabī*, etc. (viz. above) frequently produce ones whose initial or, sometimes, both S-constituents tend to be shortened as to the number of the root-constituting consonants. Provided that the relation between e.g. *kahra-* and *kahrab-*, etc. could be treated in terms of the allomorphic alternation, constructions like *kahra-mā'ī* „hydro-electric“, *kahra-harā'ī* „thermo-electric“, *kahra-daw'ī* „photo-electric“ (as against both syntactic *daw'ī kahrabī* and *kahrabī daw'ī*), etc. could be treated in terms of compounding as well.

Seeing, however, that some of the respective S-constituents exhibit features apparently non-statable in terms of the allomorphic alternation (in the latter case, it would be accordingly, even impossible to speak about S-constituents at all), viz. the relation between *ma inātīsī* and *-tīsī* in e.g. *kahra-tīsī* „electro-magnetic“, — cases of the last type will be handled as a result of a compound-like abbreviation.

4.32. Compound-Said (allowedly Compound-Like) Constructions

This paragraph will deal with constructions which dissatisfy compound-defining premises stated in this paper. The main difficulty to draw a clear and linguistically consistent border line between what we assume to be compound constructions (viz. 4.31) and those of 4.32 consists, so far, in the fairly insufficient theoretical evidence of what a root, in a minimum sense, in Arabic (Semitic) is, with reference both to the rest of nonroots and to the allomorphic alternation as well. For Classical Arabic as well as for MWA this problem is further complicated by a rather limited usefulness of the stress contour evidence in the sense of a phonological criterion in defining the phonological limits of word units as against the morphological ones (clitics vs. non-clitics).

The distinction between 4.31- and 4.32-featured constructions, as proposed in the present paper, has therefore a rather tentative and provisory character and does not exclude other, alternative solutions out of the scope.

4.321. Constructions statable in terms of morphology.

(1). Negative *lā*-constructions (*lā* occurring either as a root-word, non-segmentable, viz. *lā* „not, no“ or as a prefix, viz. *lā-* „non-, etc.“, e.g. *lā-'udwī* „anorganic“, *lā-' inhiyāzī* „non-aligned“, etc. Even if, etymologically, constructions like *lā-qisma* (from Greek *a-tomos*), liter. „no division“ (the early medieval Arabic term for „atome“⁹⁸ can potentially be regarded as constituting two roots within a one-word

⁹⁸ Cf. Ch. Pellat, *Langue et littérature arabes*, Paris 1952, p. 48.

unit, i.e. compounds, they can more advantageously be identified with the prefixal *lā-* and treated as derivational formations. The relatively high degree of productiveness of the latter (although by far not equal to the rest of derivational affixes) seems to admit this interpretation, cf. *lā-’ inhiyāzī (-iyya)* „non-aligned (non-alignment)“, etc., etc.

(2). The de-syntacticizing of a number of syntactically organized constructions, which can be considered as a strong evolutional trend in MWA, proceeds sometimes in the sense of a progressive increase of the number of agglutinative intra-word morph junctures. The procedure under consideration, it must be emphasized, has an evolutional character and cannot yet be treated as a part of the system.

Cf. for instance, the agglutinative juncture between *mā* (relative part.) and *ba’da* (prep.) within the following terminological units, e. g.

as-suhūr al-mā-ba’da’ n-nāriyya „meta-igneous rocks (geol.)“ (Ac., 4, 118);

as-suhūr al-mā-ba’da’ r-rusūbiyya „metasediments (geol.)“ (ib.);

as-suhūr al-mā-ba’da’l-burkāniyya „metavolcanics (geol.)“ (ib.), etc

As evident, the syntactic pattern is still prevalent in these constructions which can obviously be related to the more „correct“ ones (with reference to the set of grammatical rules considered as valid at present) like e.g. *al-ašī’ a mā warā’ a’l-banaf-saḡiyya* „ultra-violet rays“ (AF, 14), etc. which exhibit all the analytical features of the underlying syntactic pattern in their unaltered form.

True agglutinative formations of the type *al-māġarayāt* „events“ (possibly also *al-yānasīb* „lottery“) are deceptively rare in Arabic as against the formerly productive **mā + raḥab > marhab*, etc. (the resultant constructions are actually referred to in the so-called Nomina loci of the Arabic grammar, cf. Fleisch, AC, 68).

Nearly all Fleisch-provided „compounds,“ such as *māl*, **sakāna > sakana*, **harāqa > haraqa*, *masmara*, *qatrān*, etc. (cf. AC, 123—124) should be treated in terms of a diachronically statable agglutination (*lāšā*, *yulāšī*, in terms of the univalent S-featured *rasmāl*).

(3) The intro-flectionally controlled *naht*-featured items of the type *halma’ā* „hydrolysis“, *malmū’* „dehydrated“, etc. (MMLA, VII, 204), that is the great majority of compound-said constructions within the scope of Arab scholars, are to be handled in terms of the univalent S-featured *rasmāl* (cf. 4.23).

4.322. Constructions definable in terms of syntax

(1) Constructions with *gayr*, ‘*adam*, (nearly all) *šibh*, *didd*, etc. (Monteil, AM, 138—142; Bielawski, expressedly *gayr*, ‘*adam*, cf. *Deux Périodes*, 284, 300 resp., by implication all the above quoted compound-said items).

(2) The bulk of Bielawski-said compounds of the type *fā’iliyyat al-ašī’ a*, etc. (Biel., 301); cf. esp. 3.21 of this paper. Similarly, to this category belong various types of syntactically organized constructions, quoted by various authors under the heading of compounding, e.g. the Brockelmann quoted constructions with double

featured plurals, such as 'aijām al-ğuma' , (the Eg. Ar.) al-bujūt al-‘ahlija, etc. (GvG, I, 482); etc.

Abbreviations

- Ac. — Scientific and Technical Terms Approved by the Academy, Academy of Arabic Language, I—V, Cairo 1957—1963. (*Mağmū'at al-muṣṭalaḥāt al-‘ilmīyya wa’ l-fannīyya allati aqarrahāl -mağma'*, *Mağma'* al-luğa al-‘arabiyya).
- AC — H. Fleisch, L’arabe classique; viz. fn. 19.
- ‘AF — M. Taklā, ‘Ālam al-faḍā’, Cairo 1961.
- ‘AHT — S. Azmī, ‘Alā hāmiš at-tibb, Cairo 1961.
- AM — V. Monteil, L’arabe moderne; viz. fn. 5.
- AS — H. Reckendorf, Arabische Syntax; viz. fn. 36.
- AŞ — Hasan ‘Abdassalām, *al-Ağrıya aš-şa'bīyya*, Cairo 1956.
- Belot — J. B. Belot, Vocabulaire arabe-français, 16e éd., Beyrouth 1951.
- Biel. — J. Bielawski, Deux périodes...; viz. fn. 4.
- Bişm. — M. Jiha, Der arab. Dialekt von *Bişmizzīn*; viz. fn. 38.
- Brock. — C. Brockelmann, GvG; viz. fn. 3.
- CA — T. F. Mitchell, Colloquial Arabic. The Living Language of Egypt, London 1962.
- Erwin — W. M. Erwin, A Short Reference Grammar of Iraqi Arabic, Washington, D. C., 1963.
- FK — M. Ğ. al-Fandī, *al-Fadā' al-kawnī*, Cairo 1961.
- Grotzf. — H. Grotfeld, Laut- u. Formenlehre...; viz. fn. 39.
- GvG — viz. Brock.
- HS — Šarikat al-hadīd wa’s-żulb al-miṣriyya (list of terms related to metallurgy), Cairo n. d.
- IA — viz. Erwin.
- ‘IA — ‘Ilm al-ahyā’, (Ministry of Education), Cairo n. d.
- Išt., *Iştīqāq* — ‘Abdallāh Amīn, *al-Iştīqāq*, Cairo 1956.
- Jiha — viz. Bişm.
- Lessons — R. S. Harrell, Laila Y. Tewfik, G. D. Selim, Lessons in Colloquial Egyptian Arabic, Washington, D. C., 1963.
- LFDA — viz. Grotzf.
- M. — Ibn Ḥaldūn, *al-Muqaddima*; viz. fn. 8.
- MML'A — Mağallat mağma' al-luğa al-‘arabiyya, VII, XIII, Cairo 1953, 1961 resp.
- Muzhir — as-Suyūtī, al-Muzhir...; viz. fn. 62.
- M'U — al-Hwārizmī, *Maṭātiḥ al-‘ulūm*; viz. fn. 7.
- RAAD — Revue de l’Académie arabe de Damas (1921—).
- Reek. — viz. AS.
- Siggel — viz. fn. 94.
- SL — Z. S. Harris, Structural Linguistics, Chicago—London, 6th Impr., 1963.
- Spitta — W. Spitta, Grammatik des arab. Vulgärdialektes von Aegypten, Leipzig 1880.
- Suyūtī — viz. Muzhir.
- T'A — Ismā'īl Mazhar, *Tağdīd al-‘arabiyya*...; Cairo n. d.
- Wahrmund — A. Wahrmund, Handwörterbuch der neu-arabischen und deutschen Sprache, I—II, Giessen 1898.
- Wehr — H. Wehr, Arabisches Wörterbuch für die Schriftsprache der Gegenwart, I—II, Leipzig 1952.
- Willmore — viz. fn. 40.

FROM CHUANG-TZU TO LENIN:
MAO TUN'S INTELLECTUAL DEVELOPMENT

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To a student of Chinese intellectual history, the period before half a century may appear as the valley of the Yang-tzu River, for instance to a man from the North when he the first time sees the South of China, or to a man of the South who comes for the first time to the North of China. On the other side of the valley everything becomes essentially changed, and only certain characteristic features remain. This applies to philosophy, literature, the arts and sciences; the entire intellectual history had changed its face.

Before the eyes of a student of Chinese intellectual history there is a simple question mark. Of course, the answers are not so simple. In every field the conditions of the other side have their deep roots.

So for instance, a student of philosophy who had been accustomed to different forms of Confucianism, Taoism and Buddhism, in a very short time sequence, is faced in this narrow zone of history with social Darwinism, anarchism, pragmatism, Marxism, with the philosophy of Nietzsche, Bergson, Russell and of many others. Previously, he witnessed a victory of Confucianism and he saw great admiration for Taoism, now he witnesses great admiration for anarchism and he sees the victory of Marxism-Leninism.

And here again there is the great and intriguing „why“? And again, the answer cannot be so simple if it is to be convincing and truthful. We want to point here at one sole typical case which is, however, characteristic enough to serve as a picture of this transformation, so important in the history of Chinese thought.

*

We should like to start describing this case by recounting an interesting event which occurred at the end of the school term 1911—1912 at the town of Chia-hsing (1) situated on the railway line from Shanghai to the town of Hang-chou.

In the so-called Second High School of the province Chekiang which was in that town, at a certain time after the outbreak of the Revolution of 1911, emergency

vacation was ordered. After the vacation, pupils were returning to school. What they have found there, were the old methods of instruction and the rigorous, traditional order. The pupils, being convinced that the revolution was victorious and that with its victory the entire way of life was expected to change, were not inclined to reconcile themselves with the revival of the old „despotism“ in the just established Chinese Republic, and they decided to revolt. The sixteen or seventeen years old boys drank themselves into a drunken state and demolished the black-board on which their educator Ch'en Feng-chan (2) used to put the young culprits to shame by writing their names on it.¹ One of them, a slender young fellow, had not been participating in the demolition, nevertheless he sent to the hated educator a neatly prepared small red parcel containing a dead mouse and the following dedication: „An owl which had got the rotten carcass of a rat, looked up as the phoenix flew by, and screeched.“²

This dedication was chosen by the well-read young man from the chapter *Ch'iu-shui* (9) *Autumn Floods* of the book *Chuang-tzu* (10). The philosopher Hui Shih (11) was prime minister in the Liang State. The philosopher Chuang-tzu (3rd century B. C.) went to pay a visit to him. Hui Shih suspected that Chuang-tzu's reason for coming was his desire to become prime minister there. He went to look for him all over the country. Chuang-tzu, in order to save him trouble, went himself to see him and told him the story about the phoenix, flying from the South sea to the North sea, taking rests only on the *wu-t'ung* (12) tree, feeding on bamboo shoots and drinking the purest spring water. The owl, feeding on dead mice, screeches at this phoenix, thinking that the phoenix wants to snatch its prey!³

The story of Chuang-tzu needs no commentary. It shows us an important part of the political philosophy expressed in Chuang-tzu's book: the anarchist approach to the question of government, the treatment of human problems, based on requirements of full freedom for every individual.

¹ Mao Tun, *Hui-i hsin-hai* (3) *Memories of the Revolution of 1911*, see Mao Tun, *Yin-hsiang, kan-hsiang, hui-i* (4) *Impressions, Feelings and Reflections*, Shanghai 1936, p. 105; and Shen Chih-chien (5) *Huai Mao Tun* (6) *Reminiscences on Mao Tun*, see Yang Chih-hua (7) (ed.), *Wen-t'an shih-liao* (8) *Material for the History of Literature*, Shanghai 1944, p. 218.

² Chuang Tzu, *Mystic, Moralist and Social Reformer*, translated by H. A. Giles, 2nd edition, Shanghai 1926, p. 218.

³ The whole passage is as follows:

„Hui Tzu was prime minister in the Liang State. Chuang Tzu went thither to visit him.

Someone remarked, „Chuang Tzu has come. He wants to be minister in your place.“

Thereupon Hui Tzu was afraid, and searched all over the state for three days and three nights to find him.

Then Chuang Tzu went to see Hui Tzu, and said, „In the South there is a bird. It is a kind of phoenix. Do you know it? It started from the south sea to fly to the north sea. Except on the *wu-t'ung* tree, it would not alight. It would eat nothing but the fruit of bamboo, drink nothing but the purest spring water. An owl which had got the rotten carcass of a rat, looked up as the phoenix flew by, and screeched. Are you not screeching at me over your kingdom of Liang?“ (H. A. Giles, *Chuang Tzu*, Shanghai 1926, p. 217—218.)

On the other hand, the event from the school of Chia-hsing needs commentary. The young man who wanted to play the role of a phoenix living above reality at the beginning of the second decade of this century in China was Shen Te-hung (13), later the world-known author and prominent Chinese literary critic Mao Tun (born 1896). For insulting the authorities, the rebellious student was requested to leave „for good“ the Second High School of the province of Chekiang.⁴

It could be followed, from the title of the paper referred to, that young Mao Tun was a Taoist. We would not like to actually confirm this. His not quite definite *Weltanschauung* was rather eclectic; as a young boy of the period of the Revolution of 1911 he was subjected to several influences. He encountered Confucian Classics already in the primary school (he mentioned *Analects* and *Book of Rites*);⁵ at the high school the contents of the book *Yen-shih chiah-sün* (18) *Family Instructions of Mr. Yen* by the Buddho-Confucian Yen Chih-t'ui (19) (531—591 A.D.) was hammered into him.⁶ At the age of 7 or 8, the boy already liked to read old Chinese novels. When studying at the high school, he read them so intensively that they were reflected in the style of his exercises. One of his professors advised him to read the works of Chuang-tzu and of the philosopher Han Yü (20) (768—824 A.D.), in order to overcome the novelistic tinge of his style, not very much liked by his teacher as an old intellectual.⁷ It is not known whether he actually studied Han Yü, but it is a fact that he became very fond of Chuang-tzu. In a conversation with N. Fedorenko, the well-known Soviet Sinologist, Mao Tun declared that he had been under the influence of Taoist ideas nearly until his 25th year.⁸ Of course, he was under their direct influence only till he was 20, i. e. until the end of his studies. Later he devoted himself to them more as a research worker. So for instance he was the commentator of *Chuang-tzu* and *Huai-nan-tzu* (23).⁹ He himself also acknowledged the influence of Chuang-tzu and „unorthodox epoch“ of Chinese history — Wei (24) and Chin (25) (220—419 A.D.) upon his ideological development.¹⁰

Mao Tun was lured by the anarchist and nihilist elements of the philosophy of

⁴ Mao Tun, *Memories of the Revolution of 1911*, p. 105.

⁵ Mao Tun, *Wo-ti hsiao-hsüeh shih-tai* (15) *My Life at the Primary School*, Feng-yü-t'an (14) Wind and Rain, 2, May 1943, p. 6 and Mao Tun, *Wo-ti hsiao chuan* (16) *My Short Autobiography*, Wen-hsüeh yüeh-pao (17) Literary Monthly, 1, 10th June, 1932, p. 173.

⁶ Mao Tun, *Memories of the Revolution of 1911*, p. 105.

⁷ Mao Tun, *Wo ts'eng-ching ch'u'an-kuo tsen-yang-ti chin hsieh-tzu* (21) *How I Wore Close-fitting Shoes*, in Mao Tun, *Hua-hsia-tzu* (22) *Chatterbox*, Shanghai 1934, p. 187.

⁸ N. Fedorenko, *Kitaiskie zapisи (Chinese Notes)*, Moscow 1955, p. 406.

⁹ *Chuang-tzu*, Introduction and commentary by Shen Te-hung, Shanghai 1926, 108 p. *Huai-nan-tzu*, Selections from Huai Nan Tzu, with Introduction and Notes by Y. P. Shen (i.e. Shen Yen-ping — Mao Tun's courtesy name), Shanghai 1926, 203 p.

¹⁰ Mao Tun, *Liang-hao-ti k'ai-tuan* (26) *Excellent Start*, in *Ku-ch'u-chi* (27) *Encouragements*, Peking 1959, p. 82.

Chuang-tzu also owing to the disconsolate situation existing all over the entire country persistently deteriorating just in the years 1913—1916 when he was a student in the Preparatory Course of the Peking National University. In 1913 he must have been aware of the fact that the Revolution of 1911 had not been victorious; in September of the same year he witnessed the defeat of the so-called Second Revolution, suppressed by the army of the President Yüan Shih-k'ai (28) (1859—1916). In January 1914 Yüan Shih-k'ai dissolved Parliament, in May of the same year he promulgated a constitution by which he was given dictatorial power; one year later he gave his consent to the signature of the shameful Twenty-one Demands presented by Japan to the Chinese government, and on top of all this, in December 1915 he proclaimed himself an Emperor.

China needed a new revolution, political, social and cultural. The latter had the greatest chance to become successful. Just those years around 1915 are the starting point of the series of events called the May Fourth Movement which represent the greatest cultural revolution in Chinese history. If we have to characterize the most fertile and most valuable idea of this period, we should describe it as an attack on tradition, an attack on old Chinese civilization the aim of which was to create a new Chinese civilization according to the European model. The first important propagator of this idea was Ch'en Tu-hsiu (29) (1879—1942). One of his followers was also Mao Tun.

At the turn of the year 1917—1918, Mao Tun wrote two articles in which he expounded his conception of the philosophy of civilization with a certain anarcholiberal aim.¹¹ At that time Mao Tun already relinquished Chuang-tzu; however, as we can see later, some of his ideas remained implicitly included in his philosophical thought.

According to Mao Tun: „The stream of civilization is like a torrent and the nations are like pebbles. When pebbles are swept forward with the rapid stream, everything is all right. But when they stop amidst their way, the rapid stream does not always take them along. Hence the underdeveloped countries of the 20th century which are a hindrance in the way of the stream of civilization, cannot march abreast with the other nations of the world.”¹²

China is a backward country. In Germany Mao Tun sees a powerful pattern for China. He admires the German system of school education. According to him the studying youth is the most important factor, the motive force, in the process of civilization. „Students are the foundations of society, they decide its forthcoming

¹¹ Yen-ping (30) (Mao Tun's name without surname), *Hsüeh-sheng yü she-hui* (31) *Students and Society*, Hsüeh-sheng tsa-chih (32) *The Students Magazine*, 4, 12, December 1917, p. 129—136. and Yen-ping, 1918-nien-chih hsüeh-sheng, (33). *Students of the Year 1918*, ibid. 5, 1, January 1918, p. 1—5.

¹² Yen-ping, *Students of the Year 1918*, p. 1.

prosperity or decline."¹³ As a second important factor he emphasizes the force of ideas, of philosophical thinking. He does not go into details as to the different ideas, and by no means does he recommend any concrete philosophical system. He only globally points at the necessity of an „ideological reform“, i.e., at the need of renouncing the traditional Chinese trends of thought, and of adopting „new knowledge and new teachings“, i.e., European sciences and philosophical theories.¹⁴

In the process of this ideological reform, Mao Tun stresses four prerequisites (as we call them) which he considers to be relevant if the process is to be successful.

The first of them is freedom in the field of thought, a freedom which is the sole warrant of a healthy development. Freedom in the field of thought, liberty in thinking was typical of the period of the Contending States (453—221 B.C.); this period, with its wayfaring philosophers who with all their strength were endeavouring to defend or to get through with their truth, was his ideal. The period of Han dynasty, following the victory of Confucian orthodoxy, is in the view of Mao Tun already a synonym for decadence. He states that this period was the beginning of a time when differences between „slaves“ and „slave-holders“ in the realm of spiritual sphere started to rule the world of science and philosophy, when creative intensity declined and the track of development got narrower.¹⁵

The second prerequisite is intellectual independence. By an event quoted from the chapter *Feng-yü* (34) *Luck and Success* from the book *Lun-heng* (35) *Critical Essays* of Wang Ch'ung (36) (27- cca 97 A.D.) he demonstrates how important it is to preserve intellectual independence if one wants to bring about something great. Independent individuality is Mao Tun's immediate goal.¹⁶

¹³ Yen-ping, *Students and Society*, p. 129.

¹⁴ Yen-ping, *Students of the Year 1918*, p. 2.

¹⁵ Yen-ping, *Students and Society*, p. 133—134.

¹⁶ Yen-ping, *Students and Society*, p. 134. There is a difference between Mao Tun's text of the story and that of Wang Ch'ung as it is found in Liu P'an-sui's (37) edition of *Lun-heng chi-chieh* (38), Peking 1958. Mao Tun's text in our translation is as follows:

„In *Lun-heng* there is a story of a man from Ch'i who was unsuccessful all his life as state official and cried at the road-side. Somebody asked him about the reason.

He answered:

When I was young I studied Confucian philosophy. When grown up, I took the office, but the sovereign preferred to employ old men. Therefore I tried to imitate old men. After having succeeded in doing it, the sovereign died. His successor liked to employ warriors. Therefore I studied military science. But the prince who liked to employ warriors died also. The young prince ascended the throne and he liked to employ only young men. Meanwhile I have grown old. Thus I never succeeded.“

Wang Ch'ung's text in A. Forke's translation is as follows:

„Of old during the Chou time, there was a greater number of unsuccessful scholars. They were old, had white hair, and stood crying at the road-side. Others inquired what was the cause of their tears. They rejoined:

‘We scholars have had no chance. We are so sad, because we are old and have lost the right time. Hence our tears.’

The third prerequisite is a creative relation to foreign European influence. Unfortunately, as far as we know, he does not give it nearer determination. He only appears to realize the fact that new Chinese civilization will not come into being by a mere imitation of European civilization.¹⁷

The fourth prerequisite is firmness, a fighting spirit which is inconsistent with the passive social psychology of Chinese. Mao Tun wants young Chinese to comprehend that „man is able to subdue the skies and to create by his own force tens of thousands of things.“¹⁸

It is quite possible that Mao Tun read the translations and commentaries by Yen Fu (39) (1853—1921) and was influenced by him although he never mentioned it. As far as we know from reading the excellent monograph by Professor Benjamin Schwartz *In Search of Wealth and Power*,¹⁹ Yen Fu was a prominent philosopher and translator who influenced many outstanding figures of modern Chinese history — e.g. Liang Ch'i-ch'ao (40) (1873—1929), Ts'ai Yüan-p'ei (41) (1876—1940), Ch'en Tu-hsiu, Hu Shih (42) (1891—1962), Lu Hsün (43) (1881—1936) and Mao Tse-tung in their youth, and the generation of the May Fourth Movement „had drawn youthful inspirations“ from his works and translations.²⁰ Probably Mao Tun was not an exception.

For instance, Mao Tun's belief in the faculties hidden in young students is similar to Yen Fu's belief in education expressed in *Yü Wai-chiao-pao chu-jen lun chiao-yü shu* (71) *Letter to the Editor of the Wai-chiao-pao on Education*.²¹ Admiration of the German system of school education and of the results achieved in the economic and military fields, Mao Tun might had drawn from the translation by Yen Fu of Adam Smith's *The Wealth of Nations*.²² Freedom in the realm of ideas was a *conditio sine qua non* for Mao Tun as well as for Yen Fu and John Stuart Mill whose work *On Liberty* Yen Fu translated also into Chinese. All three authors were equally convinced (although in various ways) that only a „free market of ideas can ultimately lead to truth.“²³ Both Mao Tun and Yen Fu believed that stress had to be laid on the

„How it is possible“, said their interlocutors, „that you scholars never had any chance?“

„When we were young“, replied the scholars, „we studied literature, after we had completed our studies, we wished to take office, but the sovereign liked to use old men. This prince died, and his successor only wanted warriors. Then we turned to military sciences, but when we mastered all its branches, the military prince likewise died, and the young prince ascended the throne. He wished to employ young men only. Meanwhile we had become old. Thus we never had the slightest value.“ (Wang Ch'ung, *Lun-Heng*, Part II, Berlin 1911, p. 35—36).

¹⁷ Yen-ping, *Students of the Year 1918*, p.

¹⁸ Ibid.

¹⁹ Harvard University Press 1964.

²⁰ B. Schwartz, o.c. p. 3 and 217.

²¹ Cf. B. Schwartz, o.c. p. 49.

²² Cf. B. Schwartz, o.c. p. 127.

²³ Cf. B. Schwartz, o.c. p. 131—132.

role of ideas in human history.²⁴ And finally the stress on the concepts *ch'iang* (44) *power* and *jo* (45) *weakness* at the beginning of the first Mao Tun's article recollects the philosophy of Yen Fu where the concepts of *ch'iang power* and *fu* (46) *wealth* as the antipodes of *ch'iung* (47) *weakness* and *p'in* (48) *poverty* possessed the key position.

Mao Tun's concept of the philosophy of civilization served also, after 1917—1918, as a platform for his further philosophical and political development for a relatively long time. Here, it is convenient to note that he no more considered the studying youth as the most important factor of the process of civilization.

Among Europeans George Bernard Shaw was to become the „first readable philosopher's digest“²⁵ of the young Mao Tun. Had he read previously works of other European philosophers, these remained unidentified.²⁶ Mao Tun has accepted the basic economic requirement of Shaw's socialism, demanding equality of income and income for all. This means that the problem of social equality which has so apparent anarchist tinge (though Shaw was against anarchism),²⁷ was the first social problem which Mao Tun was interested in.

The social and political philosophy professed by Mao Tun can be best revealed from his extensive article entitled *Ni-ts'ai-ti hsüeh-shuo* (50) *Nietzsche's Doctrine*.²⁸ This article is interesting for two reasons: it contains certain criteria concerning the study of philosophical doctrines and sciences in general; these criteria are characteristic of Mao Tun's (and not only his) of that time and of his later attitude toward these disciplines, and simultaneously there is particular and important material contained in it taken especially from the book by Anthony M. Ludovici, *Nietzsche, His Life and Works*, London 1910.

Mao Tun is all for the preservation of a pragmatistic and utilitarian attitude towards different teachings, towards truth. In his view „every teaching is to be judged righteously, and even more, we have to comprehend that it is only a teaching, an instrument helping us to improve life, to attain truth. Hence, there must be an approach to them; of course, they cannot be considered to be sacrosanct and unchangeable; we are to be allowed to chose and utilize those which can be utilized, and to cast off those which are unutilizable...“²⁹

Further, he is for an anti-authoritative attitude towards older traditions and older doctrines. Applying this attitude to Nietzsche, he states that it is not possible

²⁴ Cf. B. Schwartz, o.c. p. 43.

²⁵ Cf. Frank Harris, *Bernard Shaw*, London 1931, p. 147 and Yen-ping, *Hsiao Po-na* (49) *George Bernard Shaw*, Hsüeh-sheng tsa-chih, 6, 2—3, February and March 1919, p. 9—19, 15—21.

²⁶ He quoted, for instance, Rousseau and Nietzsche but it is not known how far he read them. See Yen-ping, *Students and Society*, p. 132—133.

²⁷ G. B. Shaw is an author of the paper entitled *The Impossibilities of Anarchism* delivered to the Fabian Society on 16th October 1891. Mao Tun mentions this work in *Bernard Shaw*, p. 19.

²⁸ See Hsüeh-sheng tsa-chih, 7, 1—4, January—April 1920, p. 1—12, 13—24, 25—34, 35—48.

²⁹ P. 47—48.

to make the old an idol, and to consider their words as „unalterable principles“; he emphasizes the need of doubt and criticism (this to be particularly noted!); he suggests that it is worth while to read the works of our predecessors, all of them are to be studied.³⁰

He also pleads for something what we could call a viewpoint of development of truth which flows from his anti-authoritative standpoint. In the course of generations there was a steady accumulation of knowledge of man, and in the long process of research there was a constant complementation of this knowledge. The blame for the errors committed by the old is not to be put on the old; it is to be put on us if we do not do our best to eliminate these errors, and if we do not further develop what was attained by the old.³¹

Eventually, Mao Tun pleads for Nietzsche's basic philosophical postulate of transvaluation of all values (*Umwertung aller Werte*). Of course, this by no means signifies that Mao Tun was Nietzsche's follower in 1919 and early in 1920 when he wrote his article on Nietzsche's philosophy.³²

Besides the problem of social inequality which did not stop to intrigue him even at the time of writing this article, he was devoting more attention to political thought.

His political creed in 1919 and also in the years after, was democracy and socialism. True, he admits that one can criticize both; in any case, he refutes Nietzsche's attacks on them.³³

In his article he does not mention the form of democracy he prefers. It appears, however, that in 1919 and early in 1920 nearest to him was anarchist socialism in the form professed by the world-famous Russian anarchist Peter Kropotkin.

In his study on Nietzsche, Mao Tun subjects to parallel analysis certain basic principles, key premises of social Darwinists' „struggle for life,“ Spencer's „dynamic element in life“ and Nietzsche's „will to power“ (*Wille zur Macht*). Most of his attention is devoted to social Darwinists and Nietzsche. Finally, the relevant part is summarized as follows: „However it may be, my view is that Nietzsche is completely wrong and those who look at people from the viewpoint of struggle for life, are not fully right. If people would do nothing but struggle only for life, contemporary civilization could not be a reality; applying merely brutal force, people would eat up one another.“³⁴ In Mao Tun's view Kropotkin is right, and his doctrine is the culmination of the theory of evolution.³⁵ He was captivated by the fascinatingly written book — Kropotkin's *Mutual Assistance* — this handbook of Chinese anarchists. Kropotkin

³⁰ P. 3.

³¹ Ibid.

³² P. 2.

³³ P. 46—47.

³⁴ P. 30.

³⁵ Ibid.

started from biological observations (just the same as Darwin and many others did so in the past century); however, at variance with most of them, he stressed not mutual competition but mutual aid, sentiments of fellowship and solidarity which he saw not only in the life of animals but to an even greater extent in the world of man at different stages of his development.

There is one more feature characteristic of the political creed of Mao Tun in 1919 and early in 1920: his hatred against the State, an institution which (of course, again in the view of the anarchists) is a quintessence of slavery. He does not attack the State but avails himself of a weapon far more powerful than he had at his disposal: aphorisms of Nietzsche's book *So Spake Zarathustra* (*Also sprach Zarathustra*) where the State is shown as a new idol, a deceiver by all its words be they good or bad, biting with stolen teeth, and giving everything to those who bow and scrape before it. It is an institution for people who are superfluous, people who want power and money, people who are go-getters, avid monkeys climbing one above the other and pushing each other into the mud. Where the State stops to exist, there is the beginning of men who are not redundant, the beginning of men with great souls.³⁶

Some time at the end of 1919, Mao Tun became acquainted with a work of Bertrand Russell, entitled *Proposed Roads to Freedom: Socialism, Anarchism and Syndicalism*. This work exerted on Mao Tun a deep, though merely temporary influence.³⁷

This book written by Russell in an unpretentious and logical way, produced changes in many of Mao Tun's views concerning anarchism. In his social and political philosophy, Russell started from Bakunin and even more from Kropotkin whereas he took a negative standpoint to socialism as exposed by Marx. True, he quotes him in a great number of places without, however, using him as an argument; most often Kropotkin is the means of his argumentation with whom he stands in a more cordial relation. Of course, Russell was no anarchist, he was a guild socialist. Russell was criticizing anarchism in two important fields. At first, in the field of work and wages since he did not believe that a society in which there was no obligation to work and no reward for work, but only an equal distribution, could be prosperous.³⁸ Secondly, in the field of government and law, since he stated that the State, appearing to be an institution unavoidable for certain purposes could not be neglected for

³⁶ See *Hsin ou-hsiang* (51) *New Idol* in Chieh-fang yü kai-tsao (52) The Emancipation and Reconstruction Semimonthly, 1, 6, 15th November 1919, p. 61—64. This is a translation of the 11th chapter of *So Spake Zarathustra*.

³⁷ There are two translations by Yen-ping in Tung-fang tsa-chih (53) The Eastern Miscellany and Chieh-fang yü kai-tsao. In Tung-fang tsa-chih there is a translation of the 2nd chapter of Russell's book: *Pa-k'u-ning ho wu-ch'iang-ch'üan-chu-i* (54) *Bakunin and Anarchism*, 17, 1—2, 10th and 25th January 1920, p. 57—64, 60—67. In Chieh-fang yü kai-tsao there is translated the 7th chapter of Russell's book: *She-hui-chu-i hsia-ti k'o hsüeh yü i-shu* (55) *Science and Art Under Socialism*, 1, 8, 15th December 1919, p. 39—50.

³⁸ See B. Russell, o.c. p. 115.

some time.³⁹ In his view the anarchist ideal of society negates itself if it consists among others in asserting that acts of any kind cannot be forbidden by law.⁴⁰ Russell even states that anarchism has deficiencies which „make it probable that within any reasonable period of time, it could not last long even if it were established.“⁴¹

Marx's conception of socialism is in Russel's book put into a light which was not apt to provoke enthusiasm in Mao Tun. On the other hand, guild socialism, preferred by Russell, was not suitable for Chinese conditions according to Mao Tun. This was his opinion at the end of the year 1919.

His opinion changed in the first half of 1920. At that time he was under the influence of the philosopher Chang Tung-sun (56) (born in 1886) who proposed to change Chinese professional guilds into political organizations.⁴²

Probably under the influence of Chang Tung-sun, Mao Tun started to search for an instrument of action which was to bring about a better way of life in another field. He was prompted to study the American syndicalist organization Industrial Workers of the World (I.W.W.), which—like all syndicalist organizations—was giving preference to economic struggle, it was very resolute and radical, its aim being „complete surrender of all control of industry to the organized workers.“⁴³ The book by Paul Frederick Brissenden, *The I.W.W. — A Study of American Syndicalism*, was lent to him by Chang Tung-sun.⁴⁴

Besides the resoluteness of I.W.W. in action and radicalism in its ways of struggle, Mao Tun probably liked in this organization its aversion towards politics and its conviction that political struggle is inefficient.

Hovewer, just this aversion was not long-lasting. In the first half of the year 1920, Mao Tun intensively studied the problem of the I.W.W. In May 1920, the first Communist group was organized by Ch'en Tu-hsiu in Shanghai, and Mao Tun, eagerly searching for an instrument of action probably became its member.⁴⁵ It seems

³⁹ See B. Russell, o.c. p.

⁴⁰ See B. Russell, o.c. p. 137.

⁴¹ See B. Russell, o.c. p. 121.

⁴² Chow Tse-tsung, *May Fourth Movement*, Harvard University Press 1960, p. 229.

⁴³ See B. Russell, o. c. p. 75—79. Quotation is from the page 77.

⁴⁴ The book was issued by the Faculty of Political Science of Columbia University in the series: Studies in History, Economics and Public Law, vol. LXXXIII, 438 p. (2nd edition in 1920). In Chieh-fang yü kai-tsao, 2, 7—9, 1st April—1st May 1920, p. 18—44, 19—38, 25—43 in the column Tu-shu-lu (57) Records of the Read Books there are Mao Tun's remarks made after the reading of Brissenden's book.

⁴⁵ Cf. N. Fedorenko, *Kitaïskaia literatura (Chinese literature)*, Moscow 1956, p. 560. Fedorenko does not mention exactly the date of Mao Tun's joining the Marxist circle in Shanghai. V. Sorokin in the monograph entitled *Tvorcheskii put' Mao Dun'a (Mao Tun's Creative Road)*, Moscow 1962, p. 13 states that it was in 1919. According to Ho Kan-chih's *A History of the Modern Chinese Revolution*, Peking 1959, p. 33 there existed already in Shanghai in 1918 Marxist study society founded by Chinese Communists but because of the views of Mao Tun in the years 1918—1919 it is improbable that he was a member of this society at such an early date. On the basis of the

that at that time he started to study Marxism in Bolshevik interpretation which he apparently did not know until then.

Instead of Chang Tung-sun his new friends became Marxist philosopher Li Ta (58) and literary critic Ch'en Wang-tao (59) both of them well-known Chinese Communists.⁴⁶

On November 7, 1920 the first number of the illegal journal *Kung-ch'an-tang* (60) *The Communist*, organ of the Shanghai founding organization of the Communist Party of China had been published in Shanghai. In No. 2 and 3 there were some translations and an article signed by the pseudonym P. sheng⁴⁷ (68). Under this pseudonym Mao Tun is to be seen though up to the present there is no mention of this. From the article, published under the title *Tzu-chih yüan-tung yü she-hui ko-ming* (69) *Movement for the Local Autonomy and Social Revolution* it can be clearly seen that at the latest in the first quarter of 1921, Mao Tun had accepted something which could be qualified as Leninism to some extent. What is it China of 1921 needs, in the view of Mao Tun?

„It is proletarian revolution!“ he writes with an exclamation mark. „Proletarian revolution is to be carried out immediately. Proletarian revolution signifies that all

facts expressed in the text of the article we suppose that he became member of the Communist group in the year 1920.

⁴⁶ They were also the members of the Shanghai Communist group according to Chow Tse-tsung, o.e. p. 248.

⁴⁷ All contributions in *Kung-ch'an-tang* are published under pseudonyms. We are indeed of the opinion that *P. sheng* is Mao Tun's pseudonym because of the following reasons:

1. Mao Tun used the pseudonym Ping Sheng (61) which is the name of the year in which he was born, i.e. 1896, according to the lunar calendar. Cf. M. Gálík, *The Names and Pseudonyms Used by Mao Tun*, Archiv orientální, 31, 1963, p. 87. *P. sheng* is an abbreviation of Ping Sheng. The use of the character *sheng*, i.e. born, after the name of the year according to the old calendar, place, season etc. as pseudonym was not uncommon in the years after 1919. In *Kung-ch'an-tang* one of the contributors used *K. sheng* (62) which probably means Keng Sheng (63) i.e. born in 1900.

2. Among the translations published under pseudonym *P. sheng* in *Kung-ch'an-tang* 2, 7th December 1920, p. 15—27 there is a letter of the Third Communist International addressed to the American organization I. W. W. Mao Tun's great interest in I. W. W. is apparent from the text. Except of it under pseudonym *P. sheng* we can find another translations in *Kung-ch'an-tang* concerned with Communist Party of the United States: 1. *Kung-ch'an-chu-i shih shen-mo i-ssu* (64) *What is Communism*, 2, p. 9—11 which is *A Declaration of the Central Executive Bureau of the Communist Party of the United States*. 2. *Mei-kuo kung-ch'an-tang tang-kang* (65) *Statute of the Communist Party of the United States*, ibid. p. 11—15. 3. *Mei-kuo kung-ch'an-tang hsüan-yen* (66) *A Manifesto of the Communist Party of the United States*, ibid. p. 30—46. 4. Hodgson, *Kung-ch'an-tang-ti ch'u-fa-tien* (67) *The Starting Point of the Communist Party*, 3, 7th April 1921, p. 17—20.

As there is a connection between I.W.W. and the Communist Party of the United States, at least both of them are American organizations, and anyone who studies problems of the Communist Party of the United States in 1920 was obliged to study to some extent I.W.W. also in order to obtain a satisfactory picture which was necessary to understand the state of affairs. On the ground of these assertions we hold that *P. sheng* and Mao Tun is one and the same person.

means of production are to be returned to the producing workers, all rights are to be handed back to the workers, the system of exploitation must be completely abolished in order to prevent the renewal of capitalism for ever. This system has already been carried out in Russia of today; they have gained three years experience, many difficulties have been surpassed, many adversaries have been defeated... There is no doubt about the last victory of the workers, and that this victory will be achieved in the nearest future. What matters, is to prepare ourselves in an effective way!“⁴⁸

There are many commonplaces here, but it is certain that by the end of 1920 or early in 1921, Mao Tun became convinced of the „impossibilities of anarchism“ after having studied revolutionary practices of Soviet Russia and Leninism. He began to translate Lenin's work *State and Revolution*.⁴⁹

It could be followed, from the title of the paper referred to, that young Mao Tun became a Leninist in 1921. We would not like to actually confirm this. But we believe that the interest in Lenin in this year replaced the interest in Kropotkin, Russell and guild socialism.

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Indeed, to a student of Chinese intellectual history the period of about half a century earlier may appear as the valley of the Yang-tzu to a traveller, crossing China from the North to the South, or from the South to the North. On the other side everything undergoes substantial changes, only certain characteristic features remain. The homeland of Chuang-tzu gave birth to Bolsheviks. The confessors of absolute freedom have joined of the Communist Party.

The ideological development of these people who were young fifty years ago, who at present are the political and ideological leaders of China, is not equal but there is a certain conformity in it. At the beginning of their way of development there is always domestic philosophy, then usually comes social Darwinism (not always!) and some European trends of philosophy, and then their transformation results in Marxism in its Leninistic interpretation. Anarchism, professed by a great number of them served usually as a bridge over which they passed from the positions of evolution to the positions of Marxism-Leninism.⁵⁰

The case of Mao Tun is a significant example of this history.

⁴⁸ Kung-ch'an-tang, 3, p. 10.

⁴⁹ P. sheng tr., *Kuo-chia yü ko-ming* (70) *State and Revolution*, Kung-ch'an-tang, 4, 7th May 1921, p. 30—35.

⁵⁰ R. A. Scalapino, George, T. Yu, *The Chinese Anarchist Movement*, University of California, Berkeley 1961, p. 1.

1)嘉興 2)陳鳳章 3)茅盾，回憶辛亥 4)印象，
感想，回憶 5)沈志堅 6)懷舊 7)楊文華
8)文壇史料 9)秋水 10)莊子 11)惠施 12)
梧桐 13)沈德鴻 14)風雨談 15)我的小學時
代 16)我的十傳 17)文學月報 18)顏氏家訓
19)顏元推 20)韓愈 21)我曾經有過怎樣的
堅韌 22)李固 23)淮南子 24)魏晉 25)晉
26)良好的开端 27)鼓吹集 28)袁世凱 29)
陳獨秀 30)胡錦濤 31)學生與社會 32)學生雜
誌 33)一九一八年之學生 34)逢遇 35)論衡
36)王充 37)劉伯溫 38)言論集解 39)嚴復
40)梁啟超 41)蔡元培 42)胡適 43)魯迅 44)張
45)孫 46)富 47)窮 48)貧 49)蕭何術 50)尼采的
超驗 51)新偶像 52)解放與改造 53)東方聖徒
德 54)巴芬寧和無強權主義 55)社會主義下的
科學與藝術 56)張東蓀 57)讀書錄 58)李達
59)陳望道 60)共產黨 61)而生 62)K. 生 63)庚
生 64)共產主義是什么意思 65)美國共產黨黨綱
66)美國共產黨宣言 67)共產黨的出發點
68)P. 生 69)自治運動與社會革命 70)國家
與革命

STUDIES IN MODERN CHINESE LITERARY CRITICISM:
I. MAO TUN IN 1919—1920

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The years around the May Fourth Movement are the years in which modern Chinese literature and literary thought were born. What we have in mind when speaking of modern Chinese literature and modern Chinese literary thought is literature, literary criticism and theory which to a greater or lesser extent, in different periods, with different writers and critics, place themselves into opposition to old literary traditions and simultaneously try to link up with traditions of world literature and world literary thought.

Modern Chinese literary thought—and this is what we want to deal with in the first place—started to develop very markedly in the articles of Hu Shih (1) (1891—1962) and Ch'en Tu-hsiu (2) (1879—1942) written after 1916;¹ however, modern Chinese literary thought has its roots in a far earlier period i.e., at least in the years at the turn of this and the past century in the articles of Liang Ch'i-ch'ao (5) (1873—1929) and his followers,² Wang Kuo-wei (6) (1877—1927)³ and somewhat later of young Lu Hsün (7) (1881—1936).⁴

The main point of this contribution is the study of the literary thought of

¹ Literary opinions of Hu Shih and Ch'en Tu-hsiu are analysed in Li Ho-lin's (3) *Chin erh-shih nien wen-i ssu-ch'ao lun* (4) *Currents in Chinese Literary Thought of the Past Twenty Years*, Ta-lien 1948, p. 26—44. Otherwise they are also analysed in all books devoted to the general history of modern Chinese literature.

² On Liang Ch'i-ch'ao and his followers see V. Semanov, *Teoriia prozy v Kitaie na rubezhe XIX i XX v.* (*Theory of Fiction in China At the Turn of the 19th. and 20th. Century*), in the collection *Problemy teorii literatury i estetiki v stranakh Vostoka* (*The Questions of Theory of Literature and Aesthetics in Oriental Countries*), Moscow 1964, p. 161—206.

³ On Wang Kuo-wei and Liang Ch'i-ch'ao, too, cf. M. Gálik, *On the Influence of Foreign Ideas on Chinese Literary Criticism (1898—1904)*, Asian and African Studies, II, 1966, p. 38-48.

⁴ On young Lu Hsün and Wang Kuo-wei, too, K. Golygina, *Iz istoriyi esteticheskikh ucheniy v Kitaye v nachale XX v.* (*From the History of Aesthetic Teachings in China at the Beginning of the 20th. Century*) in the collection *Kratkie soobshcheniya Instituta narodov Azii* (*Short Reports of the Institute of Peoples of Asia*), 84, 1965, p. 83—108.

young Mao Tun (8) who was to become later, in the years 1921—1925, one of the most important representatives of the Chinese literary theory.

1

The question of the character of literature and influence on Mao Tun's literary thought

Mao Tun's first critical article was published early in 1919. It was devoted to one of his literary „loves“, G. B. Shaw.⁵ A second article, linked with the first one, was published in the second quarter of the same year and was devoted to another literary favourite of Mao Tun's, L. N. Tolstoy.⁶ It were actually answers, merely philosophical in character, to questions which Mao Tun was looking for in Shaw's plays and prefaces; further, answers of a rather philosophical than literary character which he had been looking for in the works of Tolstoy.

We want to make a stop at the article titled *T'o-erh-ssu-t'ai yü chin-jih-chih O-lo-ssu* (12) *Tolstoy and Present-day Russia*, because this article, in spite of its predominantly philosophical character, contains material concerning problems which we want to answer in this study.

As was demonstrated in our lecture held at the XVIIth Congress of Chinese Studies in Leeds (1965),⁷ Mao Tun in the first half of 1919 stood under the influence of his concept of the philosophy of civilization. His view of Tolstoy has developed probably under the influence of Yen Fu. He looks at Tolstoy in a similar manner as Yen Fu does at Adam Smith. Yen Fu regards Adam Smith as an „intellectual source“ of the industrial stage of the development of human civilization; Mao Tun regards Tolstoy as a source of progressive thought at the end of the 19th and the beginning of the 20th century, and as the first ideological motive power of the modern world.⁸

„The 19th century“ writes Mao Tun „is a period of an unexpected ideological fertility of the Russian people and it is also their great age. It will undoubtedly influence also several decades of the 20th century and these decades will be governed by this great age. Modern Russian Bolshevism has conquered the East of Europe and it will flood Western Europe, too. The world ideological stream rushes forward, and no one knows where it will end. And Tolstoy is its very initiator.“⁹

⁵ Cf. Yen-ping (9) (Mao Tun's courtesy name), *Hsiao Po-na* (10) *George Bernard Shaw*, Hsüeh-sheng tsa-chih (11) *The Students' Magazine*, 6, 2—3, Febr. and March 1919, p. 9—19, 15—21.

⁶ Cf. Hsüeh-sheng tsa-chih, 6, 4—6, April-June 1919, p. 23—32, 33—41, 43—52.

⁷ See this annual p. 101—104.

⁸ Cf. Benjamin Schwartz, *In Search of Wealth and Power*, Harvard University Press 1964, p. 113—114 and Yen Ping, *Tolstoy and Present-day Russia*, p. 25—26.

⁹ Yen-ping, *Tolstoy...* p. 25—26.

In both cases, i.e. both in the case of Adam Smith and of Leo Tolstoy, Mao Tun's assertion is a hyperbolical overstatement. As a matter of fact, the birth of the industrial stage of the development of human civilization stood under the influence of several intellectual sources as was Smith, and it is questionable whether just Tolstoy is to be considered as the initiative force of the ideological fermentation of Russia in the second half of the past and at the beginning of this century.

In both cases, i.e. both in the case of Yen Fu and of Mao Tun, we can see a certain distortion of the actual and objective importance of two remarkable figures of world economic science and culture. Yen Fu's eyes see Adam Smith as a sage (in the Confucian sense of the word) who knows the process of development and its tendencies, he is able to control it, to cooperate with it and to bring it to an end. Leo Tolstoy is seen by Mao Tun in a similar light because of his being the best in the world in philosophy, in literature and in the theory of fine arts (he mentions these disciplines in his article). Even more, Mao Tun considers Tolstoy to be the greatest figure of world history at the turn of the century.¹⁰

Let us have a closer look at the theory of fine arts which is the nearest to our subject. There is no doubt that Tolstoy is a prominent figure in the history of the theory and criticism of art; however, to make him „the most important man of modern times“ is—as far as this field is concerned—somewhat exaggerated. And it is remarkable that nothing like that flows from all that Mao Tun writes about Tolstoy. He only points at an alleged statement by Tolstoy, according to which art is good when its author is good and it is bad when its author is bad, further, that Shakespeare cannot be considered an artist since he sympathized with the aristocracy; neither is professional art—according to the alleged statement of Tolstoy—an art; art springs from feeling and is not governed (*yin-tao*) (13) by anything else.¹¹

Conclusively, Mao Tun sums up Tolstoy's view on art as follows:

„When Tolstoy speaks about art, he admits that popular (*t'ung-su*) (14) art is the main field of arts... Literature in every country endeavours to be clear, understandable to the people and thus useful (*yung*) (15). Tolstoy believes that if art becomes alienated from the common members of human society, it is of no use and has no creative power. The strength of Tolstoy's popular works enabled his ideas to penetrate the whole of Russia. Hence, the world acknowledges his views on art and there is no doubt that they show the way to future development.“¹²

This summary leads us to an idea.

There is no doubt about the fact that in the period that gave its name to the May Fourth Movement Mao Tun was unusually fascinated by Tolstoy. It is quite possible that Tolstoy's critical work *What is Art?* was the first work of this kind to

¹⁰ Cf. B. Schwartz, o.c. p. 114 and 44, and Yen-ping, *Tolstoy...* p. 47—52.

¹¹ Yen-ping, *Tolstoy...* p. 47.

¹² Ibid. p. 52.

a rouse Mao Tun's extreme interest. Of course, at that time Mao Tun was not the only admirer of Tolstoy in China.¹³

It is relatively easy to explain the reason why Mao Tun's thinking followed this path.

In the paper read in Leeds, when speaking about Mao Tun's relation to Nietzsche and mentioning G. B. Shaw, a word could be included on Mao Tun's great interest in problems of ethics. There is no need to add that this was the subconscious influence of old Chinese philosophy which constituted a system of teaching predominantly ethical, and which was unceasingly inculcated upon Mao Tun at school just the same as at the period around the May Fourth Movement when there was a lot of writing about problems of ethics.

Besides, it was just a moral objection against art, or at least against a great part of it, that Tolstoy expressed at the end of the past century.¹⁴ He did it so vehemently and with such emphasis, as only Plato had done before him. Mao Tun, and probably also other Chinese literary critics of that period, included Tolstoy's moral objection, his moral condemnation, into the context of their own art, old and new, and of course also into the context of their own literature.

In Tolstoy's view the greatest art is one which is accessible and comprehensible to everyone. The history of the biblical Joseph or of the Indian Shakyamuni is apt to impress every man or woman in the world, without distinction as to race and language. On the other hand, the new art is accessible to and understandable by a small group of people, mostly the well-to-do and cultured; its allusions, symbolism and exclusiveness cannot be understood by everybody.¹⁵ The literature coming into being in China at that period and almost the entire literature of at least two thousand years before, i.e. literature recognized by orthodox literary criticism, could be understood only by a small number of learned people. This small group consisted of members of the gentry, and just for them was it destined. Being written in *wen-yen*, i.e. in old literary language, it was nothing but an ivory tower. Further, it could

¹³ *What Is Art?* was translated into Chinese in 1921 by Keng Chi-chih (16), one of the members of Wen-hsüeh yen-chiu-hui (17) The Literary Association under the Chinese title *I-shu-lun* (18). Keng Chi-chih was probably the most distinguished propagator of Tolstoy's works in China at the beginning of the twenties. Except of this book he translated Tolstoy's *Resurrection* and *The Power of Darkness*. Together with Ch'ü Ch'iu-pai (19) he translated Tolstoy's short stories under the title *T'o-erh-ssu-t'ai tuan-p'ien hsiao-shuo-chi* (20). Ch'ü Ch'iu-pai analysed Tolstoy's works in *Shih-yüeh ko-ming ch'ien-ti O-lo-ssu wen-hsüeh* (21) *Russian Literature Before the October Revolution* written in the years 1921—1922. Cf. M. Shneider, *Tvorcheskii put Ciui Ciu-bo* (*Creative Road of Ch'ü Ch'iu-pai*), Moscow 1964, p. 40—41. Chang Wen-tien (22), a member of the Literary Association, wrote a study *T'o-erh-ssu-t'ai i-shu-kuan* (23) *Tolstoy's Views on Art*, *Hsiao-shuo yüeh-pao* (24) *The Short Story Magazine*, a special number devoted to Russian literature, 1921, p. 1—23.

¹⁴ Cf. Vernon Hall, Jr., *A Short History of Literary Criticism*, New York 1963, p. 133.

¹⁵ Aylmer Maude tr., *What Is Art?*, London 1899, p. 75—105 especially 102—103.

not be understood by a wider layer of readers because it was formed by the connexion of many different kinds of allusions, of a highly refined formalistic cliché, it contained a great amount of innuendos and the like¹⁶. Even if it was the so-called popular literature which came into being in the second decade of our century, it was accessible to only a narrow circle of city-dwellers, particularly to inhabitants of Shanghai, since it was concerned with the intellectual and sentimental life of this social class, with its interests and moods. In any case, the humbler classes were absolutely excluded from the circle of consumers of the overwhelming part of Chinese art and literature.

Tolstoy stated that the world is ruled by bad art. It is full of different borrowings, imitations, striking effects and different interesting things. Falsifications of art have been created which have nothing in common with the real, great art.¹⁷

What Tolstoy had in mind by borrowings, is the imitation of older or famous authors. It is known that imitations, takings-over from other authors (plagiaries) were not considered in China to be infringements upon ethics in literature or art; indeed, the entire history of Chinese literature is marked by them. The period before the May Fourth Movement also considered imitation to be one of the creative literary methods. And it was just this method that was attacked from the very beginning of the literary revolution, i.e. since 1917.¹⁸

In Tolstoy's view, imitating is a soulless, detailed, photographically thorough description of objects, particularly of their external aspects with all their fortuities.¹⁹ This was also one of the marked flaws of Chinese literature of that time, and it was just Mao Tun who pointed at it later. Novel-writers and storytellers carried out their work like accountants making their entries into ledgers; there was no life in it, putting aside any artistic choice.²⁰

Striking effects, in Tolstoy's view, become manifest mostly in contrasts; the author puts into opposition things cruel and tender, beautiful and ugly, noisy and silent; there are descriptions and representations of details acting on sexual instinct, details of suffering and death.²¹ These elements were manifested partially also the Chinese literature of that time, particularly in works written by authors of the Hei-mu (29) Black Screen group.²²

¹⁶ Cf. J. Průšek, Introduction, *Studies in Modern Chinese Literature*. Berlin 1964 pp. 11-12.

¹⁷ L. N. Tolstoy, *What Is Art?* p. 106.

¹⁸ Cf. Hu Shih, *Wen-hsüeh kai-liang ch'u-i* (25) *A Preliminary Discussion of Literary Reform* Hsin ch'ing-nien (26) *La Jeunesse*, 2, 5, January 1917, p. 2-4.

¹⁹ Tolstoy, *What Is Art?*, p. 108-109.

²⁰ Shen Yen-ping (27) (Mao Tun's name), *Tzu-jan-chu-i yü Chung-kuo hsien-tai hsiao-shuo* (28) *Naturalism and Contemporary Chinese Fiction*, *Hsiao-shuo yüeh-pao*, 13, 7, 10th July, 1922, p. 2-3.

²¹ Tolstoy, *What Is Art?*, p. 109-110.

²² Cf. Chih Hsi (30) *Chin-jih Chung-kuo hsiao-shuo chieh* (31) *(Contemporary Chinese World of Fiction*, in Chao Chia-pi (32) ed., *Chung-kuo hsin wen-hsüeh ta-hsi* (33) *Great Anthology of Modern Chinese Literature*, 2nd vol., Shanghai 1935, p. 349-350. Chih Hsi is pseudonym of Lo Chia-lun.

The fourth shortcoming of bad art, again according to Tolstoy, lies in its exaggerated effort to arouse interest, be it in the form of a complicated plot or by the documentary, extremely detailed description of some historical period or of some particular branch of contemporary life.²³ In Chinese literature of the period discussed, efforts to arouse interest are conspicuously manifested particularly in the literature of the group known under the name Yüan-yang hu-tieh-p'ai (36) The Mandarin Ducks and Butterflies; the main aesthetical principle of it was *ch'ü-wei ti-i* (37) „being interesting, this is the main criterion“.²⁴ It is to be noted that the literature of this group constituted quantitatively the most extended trend in Chinese literature between the Revolution of 1911 and the May Fourth Movement.

Professor W. J. Bate considers Tolstoy's work *What is Art?* as „the most distinguished statement in modern criticism of the view that the value of art lies in its obvious social usefulness“, and he explains Tolstoy's concept of the function of art as „to spread and instill specific social ideal in human minds“.²⁵ Tolstoy's social ideals are really specific. They were determined by „religious perception“ which Tolstoy in his time saw in „consciousness that our well-being, both material and spiritual, individual and collective, temporal and eternal, lies in growth of brotherhood among all men—in their loving harmony with one another“.²⁶ Mao Tun probably never was a protagonist of „religious perception“; the fact remains, however, that he was aware of the apparent social usefulness to constitute one of the values of art. It was not in vain that he, in his above mentioned summary, attracted attention just to the social mission of art, and, for that matter, to the uselessness and lack of creative force of art being inaccessible and incomprehensible to the common people.

Tolstoy's conception of „religious perception“ is also the point of issue of his view about art being good and bad. Art in our time must be catholic, this applies to the entire world, and mankind must be united in that way. Only two types of art are apt to bring about this unification: religious art, expressing the relation of man to God and to other people, and universal art, interpreting simple, ordinary feelings which are common to everybody living in this world. Tolstoy put himself into opposition against church art, patriotic art and against art expressing specific sentiments such as those of aristocratic honour, the feeling of satiety, pessimism, spleen, over-refined and exaggerated sentiments, sentiments flowing from sexual love, incomprehensible to the majority of mankind.²⁷ According to Tolstoy „art

(34). For this cf. *Chung-kuo hsin wen-hsüeh ta-hsi*, 10th vol.; *Chung-kuo jen-ming so-yin* (35) *Index of Chinese Names*, p. 21.

²³ Tolstoy, *What Is Art?*, p. 110.

²⁴ *Chung-kuo hsiao-shuo shih-kao* (38) *A History of Chinese Fiction*, Peking 1960, p. 579.

²⁵ W. J. Bate, *Prefaces to Criticism*, New York 1959, p. 196—197.

²⁶ Tolstoy, *What Is Art?*, p. 159.

²⁷ Ibid. p. 165—166 and 172.

aims at infecting people with feeling experienced by the artist".²⁸ This sentence is also one of the premises of Tolstoy's credo about art. Hereby, nothing of what modern art is full, i.e. borrowings, imitatations, striking effects and interesing things is apt to replace the main attribute, which is „feeling experienced by the artist“.²⁹ A view of this kind was grist to the mill of all antagonists of old Chinese literature.

In the first half of 1919 Mao Tun was actually convinced that Tolstoy's influence would spread all over the world, finally resulting in „the great reform“. This reform was to embrace, of course, also art. Art comprehensible to everybody would become victorious.³⁰

Later, however, Mao Tun did not agree with many of Tolstoy's views. For instance, in his immediately subsequent critical article written half a year later, he took a stand for national literature which was apparently contradictory to Tolstoy's concept of universal art. Nevertheless, a certain amount of moral protest, a moral disapproval of useless art (i.e. useless in his opinion), a belief in art being socially creative and useful, all this abided in him.³¹

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In the first days of January 1920, seventeen articles or parts of them, translations and reviews were published in the periodicals Tung-fang tsa-chih (39) The Eastern Miscellany, Fu-nü tsa-chih (40) The Ladies'Journal, Hsüeh-sheng tsa-chih, Hsiao-shuo yüeh-pao, Chieh-fang yü'-kai-tsao (41) The Emancipation and Reconstruction Semi-monthly, and in the supplement of the paper Shih-shih hsin-pao (42) The China Times, called Hsüeh-teng (43) The Lantern of Study. Some of them were signed by the pseudonym *P'ei Wei* (44).³²

P'ei Wei is the poetic *pars pro toto* of Hsi-men Pao (47), allegedly born in the state of Wei (48), living in the period of the Contending States (453—221 B.C.). He served as a civil servant in the principality Yeh (49) on the territory of modern northern Honan. The people of Yeh were believers in a sorcerer who came every year to collect money with which he bought girls and threw them into the river Chang (50). This was described as „the spirit is taking women“. People considered this to be grievous and cruel. Finally, the sorcerer was thrown into the river by Hsi-men Pao, and thus the life of the people was changed.³³

²⁸ Ibid. p. 113.

²⁹ Ibid. p. 114.

³⁰ Yen-ping Tolstoy... p. 50.

³¹ See the article mentioned in the text related to the note 34 of this study, p. 95.

³² Cf. for instance *Mao Tun p'ing-lun mu-lu* (45) *A Bibliography of Mao Tun's Critical Works*, in *Mao Tun p'ing-lun-chi* (46) *A Collection of Mao Tun's Critical Works*, Tokyo Metropolitan University 1957, p. 1. But there are mentioned only five of them.

³³ Cf. *Tz'u-hai* (51), 2nd ed., Shanghai 1948, p. 1224 and *Tz'u-yüan* (52), Shanghai 1947, p. 1358.

P'ei-wei means „leather girdle“. Hsi-men Pao girdled himself with a leather belt in order to restrain his explosive temper. It appears, however, that the young man now using this pseudonym—this again was Mao Tun—was not very much inclined to be tamed. The above mentioned seventeen publications, concerning philosophy, sociology and literature, published within a very short period of a few days, are proofs of it.

The pseudonym *P'ei Wei* was used by Mao Tun, for instance, in the article *Hsien-tsai wen-hsüeh-chia-ti tzu-jen shih shen-mo ni?* (53) *What is the Duty of Contemporary Literary Workers?*³⁴ The article was printed in *petit*, the editor did not pay much attention to it, *P'ei Wei* being an entirely unknown man, and except its allusive content, this name did not convey any information. However, the article had its fixed place in the development of the man who was to become a literary revolutionary.

The article is characterized by slogans, it raises issues without solving them. Anyway, it is an interesting, though up to now a neglected document of Chinese literary thought in the period of the May Fourth Movement.

„Always when a new type of philosophical thinking comes into being“ writes Mao Tun at the beginning of his article, „writers constitute its vanguard by means of literary expressive instruments and critical methods, awakening the broad masses by intelligible words“.³⁵

In our paper read in Leeds it was shown that by the end of 1919 Mao Tun became very interested in philosophical problems. It can easily be understood that the first question to come into his mind when writing this article was the problem of the relationship between literature and thought.

According to Mao Tun, the 18th century individualism for instance has its roots in Rousseau's *Nouvelle Héloïse* and *Émile*, Nietzsche's philosophy is succinctly contained in his work *So Spake Zarathustra* which Mao Tun considers to be a hsiao-shuo (60), i.e. a novel, further, that Tolstoy is the father of humanism and proletarianism, G. B. Shaw and G. Hauptmann are propagating socialism in their works. Conclusively Mao Tun makes the following statement: „New thinking in China shows a sharp upward trend. Chinese literary workers are bound to embark upon the propagation of new trends of thinking, they must know the way how to express correct *Weltanschauung* in their works“.³⁶

The second question Mao Tun was concerned with in this article, was that of the character of literature.

„Literature is created in order to express life“.³⁷ This sentence is very similar to the relatively well known definition of the English literary critic E. G. Woodberry:

³⁴ See *Tung-fang tsa-chih*, 17, 1, 10th January, 1920, p. 94—96.

³⁵ Ibid. p. 94.

³⁶ Ibid.

³⁷ Ibid. p. 95.

„Literature is an expression of life“³⁸ and it can be found in several variations in the works of English and American literary critics at the end of the last and beginning of this century.³⁹ It is one of the premises of Mao Tun's literary theory and it is varied in different ways in the course of time. It is something like a barometer of his literary development.⁴⁰

Mao Tun thinks that life, if it is to be expressed by a writer, is not the life of one man or of one family, but the life of society and the nation. True, the writer describes the life of one or two persons, or the life of one or two families; however, before undertaking this description, he is bound to study the life of the entire society, of the entire nation, and he must become acquainted with the deficiencies of the said society or nation. Only literature of this kind is „literature expressing human life“.⁴¹ What the Czech Sinologist O. Král in one of his articles on Mao Tun described as the „complexity of seeing the world“⁴² we can find from the very beginning in Mao Tun's requirements of an artistic work.

The third question Mao Tun was interested in, was the problem of the differences existing between old and new literature. In his view, old literature was an expression of sublime sentiments, and in describing the impressions of one man old literature started out of momentary feelings of the author. New literature is just the opposite. It starts out from social reality and it belongs to the whole society, to the whole national collective. The old writer was a subjective type of author, he belonged only to himself, to one sole class. The new writer is just the opposite; he belongs to everybody, to every class. For the old writer it was sufficient to study literary questions and he could start to write straight away. The new literary worker, in Mao Tun's view, is bound to study ethics, psychology (social psychology) and sociology.

The fourth question in this article on which Mao Tun's interest was focused, was the question of the relation of new literary workers to old literary traditions. He deals with this question similarly as he does with the question of relation

³⁸ George E. Woodberry, *The Appreciation of Literature*, New York 1909, p. 1.

³⁹ According to W. H. Hudson, *An Introduction to the Study of Literature*, London 1910, p. 11 literature is „an expression of life through the medium of language“. According to C. T. Winchester, *Some Principles of Literary Criticism*, New York 1899, p. 48 literature is „criticism of life,‘ or perhaps better, an expression and interpretation of life‘“.

⁴⁰ For instance in *Wen-hsüeh yü jen-sheng* (54) *Literature and Life* Mao Tun writes that „literature is a reflexion of life“. See *Chung-kuo hsin wen-hsüeh ta-hsi*, 2nd vol., p. 150. In *Wen-hsüeh-cho-ti hsin shih-ming* (55) *The New Mission of Writers*, *Wen-hsüeh chou-pao* (56) *Literary Weekly*, 192, 13th September, 1925, p. 150 he writes that literature is a „compass“. In *Hsi-yang wen-hsüeh t'ung-lun* (57) *Brief Outline of Western Literature*, Shanghai 1930, p. 322: „Literature is not a mirror, but a chisel. It cannot limit itself to reflection only, it must also create.“ This book was written under the pseudonym *Fang Pi* (58). For Mao Tun's pseudonyms cf. M. Gálik, *The Names and Pseudonyms Used by Mao Tun*, Archiv orientální, 31, 1963, p. 81—108.

⁴¹ P'ei Wei, *What Is the Duty of Contemporary Literary Workers*, p. 95.

⁴² *Mao Tunův zápas o vědecký realismus (Mao Tun's Quest For Scientific Realism)*, Acta Universitatis Carolinae, Philologica—Supplementum, Praha 1960, p. 102.

to old philosophical teachings. He puts the questions: „Are the poems of Huang Shan-ku (59) (1045—1105) of the Chiang-hsi school perhaps bad? But what did finally happen to the poems of this school? Why scholars could not devote a certain amount of their time to the study of old xylographs? Of course, if anyone is going to become foolish over the Sung and Yüan publications, it is very bad, indeed! Why should textual criticism not become the most real knowledge? Of course, if it is too binding, it becomes an idol! With literature it is just the same. It is not bad to study literature from its very beginning; mostly, however, one should be afraid of such a study in which old things are lacking foundation and the new ones are worthless.“⁴³

The last question is formulated by the title of the article itself. Mao Tun puts two tasks to new literary workers. The first is „to make accessible Western works without change; before doing so, to study the history of Western thought, their literary history, also to study sociology, philosophy of life (*jen-sheng che-hsüeh*) (61) and besides that, to become acquainted with the life and ideological profile of each great writer.“⁴⁴ The second task is „to imbue the literary world with the spirit of democracy, to make literature social, to tear down the mask from the face of aristocratic literature and to give freedom of spirit to popular literature.“⁴⁵

And just there, at this most important point of the article where the programme for literature is set up, a programme which he, in his later years, vehemently advocated, he quite clearly links up with a tradition which had been started by Ch'en Tu-hsiu in modern Chinese literature in the period of the literary revolution.

At the time, when this article was being written by Mao Tun, he was standing nearer to the pro-Russell orientated group of people, rallied at that time around Chang Tung-sun (62) (born in 1886)—as already mentioned in our Leeds paper—rather than to Ch'en Tu-hsiu and his group. He was interested in the views he was able to read about in the tribune of literary revolution, the periodical *Hsin Ch'ing-nien* (63) New Youth.

Ch'en Tu-hsiu was neither a literary theoretician nor a critic; however, his merits in forming modern Chinese literary criticism were greater than was generally assumed.

Ch'en Tu-hsiu was concerned with literature and art, first of all with literature which he considered an important part of a great cultural complex. So, for instance, realism and naturalism were in his view a transformation of the spirit of modern Europe and the world (the cultural world) in the literary field.⁴⁶ We shall deal with this in the second part of our study.

⁴³ P'ei Wei, *What Is the Duty...* p. 95—96.

⁴⁴ Ibid. p. 96.

⁴⁵ Ibid.

⁴⁶ In *Chin-jih-chih chiao-yü fang-chen* (63) *The Tendency of Contemporary Education*, *Hsin ch'ing-nien*, 1, 2, 15th October, 1915, p. 3—4 Ch'en Tu-hsiu wrote: „In the real world there are merits and besides the real world there is no hope. Only if people respect reality can policy be

For the moment let us succinctly deal with two more characteristics of Ch'en Tu-hsiu's literary theory.

Besides his view, quoted above, according to which literature is part of a great cultural complex, Ch'en Tu-hsiu thinks that literature is also a social phenomenon of paramount importance.

In his article *Wen-hsüeh ko-ming lun* (64) *On Literary Revolution*, Ch'en Tu-hsiu insists on the creation of a „clear and popular social literature“⁴⁷ and after having offered his arguments for this, he writes that Chinese „literature of the woods is heavy and unintelligible, it wants to be dignified reading, actually, however, it is of no use to the masses.“⁴⁸

The idea of utilitarianism induced Ch'en Tu-hsiu to formulate one more principle of his literary theory. He says that it is necessary to create a „simple and expressive popular literature“.⁴⁹ Presenting his reasons he writes that Chinese „aristocratic literature is bejewelled and dependent on old authors, it has lost the spirit of independence and self-honour“.⁵⁰

Ch'en Tu-hsiu was the first among Chinese cultural workers of the May Fourth Movement to see literature as a powerful weapon of the political revolution. New literary workers are bound, in his view, to keep step with world social literature and with the spirit of the times! Without realistic or naturalistic literature (this literature is the very transformation of this spirit!), without social and popular literature (these are the tendencies of contemporary world literature!) it is not possible to overcome Meng Pen (65), that big strong man of legendary times who was not afraid of the water-dragon in water, nor the tiger and rhinoceros on land, i.e. to overcome old China with all that is reactionary in it, that governs it and hinders its progress.⁵¹

In the first period of the literary revolution Ch'en Tu-hsiu played the role of a strategist. Tactical questions such as the elaboration of different concrete tasks, questions on the character of literature, methodology, relationship of literature and philosophy, literature and politics, language, life, moral, questions of literary trends, genres, were left by him to be dealt with by the literary workers themselves. Some of these questions were dealt with also by Mao Tun. One of them was in particular the problem of the social function of literature and of everything connected with

prosperous and superstition cease. This is the spirit of modern Europe. This spirit is all-embracing, there is no place which it cannot reach. Moralists who are discussing human relations call it the spirit of hedonism and profitism, politicians call it empiricism and materialism, people who study religions call it atheism, men of art and letters call it realism and naturalism.“

⁴⁷ This article was published in *Hsin ch'ing-nien*, 2, 6, 1st February, 1917, p. 1—4. Cf. also *Chung-kuo hsin wen-hsüeh ta-hsi*, 2nd vol., p. 44.

⁴⁸ *Chung-kuo hsin wen-hsüeh ta-hsi*, 2nd vol., p. 46.

⁴⁹ Ibid. p. 44.

⁵⁰ Ibid. p. 46.

⁵¹ Ibid.

it, further the dilemma regarding the way to be taken by Chinese literature of the modern era. The second part of this study will try to deal at least partially with the solution of this last problem.

In this part we mostly point out at parallels. The year 1919 and the preceding years were years of study and thus also years of influence. In those years Mao Tun had no critical face of his own as yet; the portrait we are trying to outline bears marked features of the personalities by whom Mao Tun was influenced.

Influence does not mean everything. It is only an impulse. Important are the new dimensions, new values by which the subject under influence can be enriched.

In Mao Tun's case the influence of those we spoke about, fell upon well prepared soil. Mao Tun has critically assessed and creatively valued also other valuable and useful cognitions which he comprehended in modern world thought.

2

The question of literary -isms, and the dilemma of the way to be taken by modern Chinese literature

We have said above that according to Ch'en Tu-hsiu realism and naturalism are the transformation of the spirit of modern Europe and cultural world in the literary field. This is the fundamental premise of his literary theory.

Realism and naturalism are current coins. Literature which in the second decade of our century can be characterized otherwise than realistic and naturalistic, has been arrested in growth. Ch'en Tu-hsiu does not take into account postrealistic literature. About Chinese literature he wrote at the end of 1915 as follows: „Chinese literature finds itself still in the period of classicism and idealism; from now on it will proceed to realism“.⁵² What he had in mind by the concept of idealism, was romanticism.

Ch'en Tu-hsiu was several times dealing with the question of realism and naturalism. For instance, in his article *The Tendency of Contemporary Education* written in October 1915,⁵³ further in his answer to a letter written by a reader of *Hsin ch'ing-nien* in February 1916.⁵⁴ He writes only about realism in his most representative article in the field of literary theory—*On Literary Revolution*—, while only naturalism is mentioned in his answer to a letter of the reader Tseng I (66) in April 1917.⁵⁵ In Ch'en Tu-hsiu's view realism and naturalism are two consecutive degrees of literary evolution.

The evolutionary concept of literary development was much in vogue in the literary criticism at the end of the past and at the beginning of the present

⁵² *Hsin ch'ing-nien*, 1, 4, 15th December, 1915, p. 2.

⁵³ See note 46 of this study.

⁵⁴ *Hsin ch'ing-nien*, 1, 6, 15th February, 1916, p. 1—2.

⁵⁵ *Ibid.* 3, 2, April 1917, p. 10.

century. In the European cultural sphere it was already known to Aristotle, and Greek and Roman literary criticism.⁵⁶ Chinese literary criticism has known a specific theory of evolutionary literary development from at least as early as the times of Wang Ch'ung (67) (27—cca 97 A.D.) and Ko Hung (68) (4th cent. A.D.). Wang Ch'ung, as first among Chinese literary critics was to arrive—by means of his anti-traditional historic sense—at the conviction that „Classics and commentaries, the speeches of sages and worthies are different in their wording in the epochs ancient and modern, and also according to the place of their origin.“⁵⁷ Ko Hung went on to develop further the basis of Wang Ch'ung's literary theory. In his work *Pao-p'u-tzu* (71) he states very courageously that *Shu-ching* (72) *The Book of Documents*, „as to clarity, richness, variety and beauty does not attain the level of the beautifully written declarations (*chao*) (73), infeudation grants (*tz'u*) (74), military letters (*chiün shu*) (75) and propositions (*tsou-i*) (76).“ In this same work he further states that *Shih ching* (77) *The Book of Songs*, „as to length and depth, wide range and richness, does not attain the level of the poems *Shang-lin* (78) *The Park Shang-lin*, *Yü-lieh* (79) *Hunting with the Yü-lin Guard*, *Erh-ching* (8) *Two Capital Cities*, and *San-tu* (81) *Three Capital Cities*.“⁵⁸ Ko Hung lived in the period Wei and Chin, known by its antagonism against Confucian orthodoxy, paying homage to Neo-taoist philosophy and the spirit of hedonism. His views were no doubt very progressive though he was prepossessed against older literature. He tried to demonstrate that the ancient writers were not endowed with genius, their thoughts were not deep, their style puzzling because their writing was not easily comprehensible, and that, on the other hand, present-time authors are not without talent and not lacking creative force, their style being clear and easily understandable. Of course, the style of the ancient writers was in the past understandable, too. Changes in the language, dialectical divergences, long-lasting fate, different interpolations, omitted words, sentences or paragraphs constituted the element provoking ponderousness in style.⁵⁹ Yüan Hung-tao (88) (1568—1610), one of the representatives of the group Kung-an (89) from the Ming period expressed his belief in the evolutionary development of literature by the following words: „Literature must develop from old to new. This is caused by time... Earlier there were old times, now we have new times; to imitate the successes of the literature of ancient times and to suggest

⁵⁶ A very interesting article on this subject was written by R. Wellek, *The Concept of Evolution in Literary History*, in *Concepts of Criticism*, Yale University Press 1963, p. 37—53.

⁵⁷ Liu P'an-sui (69) ed., *Lun-heng chi-chieh* (70), Peking 1958, p. 585. On Wang Ch'ung's literary criticism see Lionello Lanciotti, *Considerazioni sull'estetica letteraria nella Cina antica: Wang Ch'ung ed il sorgere dell'autonomia delle lettere*, Roma 1965, 33 p.

⁵⁸ *Pao-p'u-tzu nei-wai p'ien* (82) in Wan-yu wen-k u (83) Collection, p. 629—630. The mentioned poems were written by following writers: Ssu-ma Hsiang-ju (84) (179—117 B.C.), Yang Hsiung (85) (53 B.C. — 18 A.D.), Chang Heng (86) (78—139 A.D.) and Tso Ssu (87) (265—305 A.D.).

⁵⁹ Ibid.

that old works have been produced can be compared with one having summer clothes in the worst winter time“.⁶⁰

Since only a small amount of literary material is available, it is difficult to say whom Ch'en Tu-hsiu was following in his studies of questions of literary evolution. Certainly it was not the Chinese concept, according to which evolution is usually a series of subsequent changes of literary genres in different periods. It is most probable that he was going along the line which in literary critical practice had been commenced and developed by Hegel and Taine; later we shall deal with this aspect.

According to Ch'en Tu-hsiu, naturalism goes a step farther than realism, particularly in its consequent revealing of the actual image of life though, on the other hand, it is too vulgar and does not dodge anything. Naturalism stands nearer to reality than realism, it is a step forward as compared to realism, at least as far as an outright, truthful description of life's phenomena is concerned. „European naturalistic authors“ writes Ch'en Tu-hsiu „were concentrating their attention on a real description of natural phenomena, they had no intention of extolling the beautiful, good and right on the one hand, and to damn the wrong and faulty on the other. They were describing natural phenomena, Tao, i.e. the essence, since apart from natural phenomena there is no Tao and no essence.“⁶¹

According to Ch'en Tu-hsiu, idealists (i.e. romanticists) are surnaturalists since they are above the natural phenomena, they are absolutely subjective because they describe solely ideas and sentiments of their own. He characterizes classicists only as describers and imitators of old works.⁶²

Mao Tun quite obviously links up with the ideas of Ch'en Tu-hsiu.

At the time when, under the pseudonym *P'ei Wei*, he published the article discussed previously, he wrote another article entitled *Hsiao-shuo hsin-ch'ao-lan hsüan-yen* (91) *Manifesto of the Column of the New Tide of Prose*. This was on the occasion of the first and partial reform of Hsiao-shuo yüeh-pao in January 1920.⁶³

At the very beginning of this article we can read the following words:

„At present, new thought makes a distance of one thousand li (92) in one day. New thought wants new literature to be its propagator and instigator... Western fiction has already passed from romanticism to realism, symbolism and neo-romanticism. China has made a stop before realism. This is nothing else but treading in the steps of others. Hence, it is urgent to make accessible the fiction of other trends.“⁶⁴

⁶⁰ *Yüan Chung-lan ch'üan-chi* (90) *Complete Works of Yuan Hung-tao*, Shanghai 1935, p. 6.

⁶¹ *Chung-kuo hsin wen-hsüeh ta-hsi*, 2nd vol., p. 8.

⁶² Ibid.

⁶³ *Manifesto of the column of the New Tide of Prose*, p. 1—5.

⁶⁴ Ibid. p. 1.

These words obviously recall affirmations of Ch'en Tu-hsiu. But other words from the same article of Mao Tun even more recall them:

„It can be said that our contemporazy Chinese literature gropes between classicism and romanticism. Though works of the type *Ju-lin wai-shih* (93) *The Scholars*, and *Kuan-ch'ang hsien-hsing-chi* (94) *Exposure of the Official World* describe social desintegration; yet, they cannot be considered as Chinese realistic novels (novels of Black Screen are not even discussible)“.⁶⁵

In his considerations about realism and naturalism being the most adequate movements for new Chinese literature (realism, naturalism and the like are in Mao Tun's view literary movements), he starts out from two particular issues. The first of them supposes that „literature belongs to the field of thought“ but that its „construction (*kou-ch'eng*) (95) is fully dependent on art.“⁶⁶ Each object which after its literary treatment becomes artistically valuable, can be formed by different methods. It can be made a naturalistic work by a naturalist, a symbolistic work by a symbolist, a mystical work by a mysticist.⁶⁷ We can see from this quotation that Mao Tun is convinced of an extremely quick adaptability of systems of thought in relation to the human receptor; on the other hand he is aware of the fact that to appreciate the artistic aspect of a work or at least to understand it and to perceive it adequately from the aesthetic point of view requires a process of longer duration; accordingly, adaptability of artistic systems as related to man—both to the author and the consumer—is far slower. In studying the artistic aspect of a work one must „reach the essence and make full use of the sources,“⁶⁸ i.e. to become thouroughly acquainted with its author, with the time in which it was created, with the ideological sub-text, with its artistic elaboration and critical evaluation.

The second of Mao Tun's considerations proceeds from the concept of literary evolution. Mao Tun, like the predominant part of Chinese literary workers in China of the early 'twenties, was convinced of the existence of a uniform process of development in the literary field, applying to the entire world. Otherwise, he would not have stated that China had stopped before realism or that the accession of China to Western culture must get started towards realistic and naturalistic works. This process of development was conceived by Mao Tun in the sense of Hegelian dialectics.

As has been said above, the evolutionary concept of literary development had already been known to Aristotle. The idea of evolution was reassessed by Hegel by means of his own dialectical method. In his view it is erroneous to speak about the principle of continuity—*natura non facit saltum*—a principle ruling Western literary historiography for a period of two thousand years. Indeed, sudden

⁶⁵ Ibid. p. 3.

⁶⁶ Ibid. p. 1.

⁶⁷ Ibid.

⁶⁸ Ibid.

revolutionary changes, reversals into opposites, annulments and preservations constitute the dynamics of history and, for that matter, also literary history. Literature is understood as a self-developing phenomenon, being in a process of unceasing reciprocal exchange between society and history.⁶⁹ Then Taine links up with Hegel; according to him literature is „a part of a historical process to be understood as an organized unity.“⁷⁰

It is questionable from which source Mao Tun was drawing in this respect; the fact remains, however, that he points to the known triad method of Hegel characterizing dialectical development when he speaks about the renaissance of romanticism in world literature at the beginning of our century. According to him, old romanticism is the first moment of the triad, i.e. a thesis, while realism is the second one, i.e. antithesis, and finally neoromanticism is its resulting moment, i.e. synthesis.⁷¹ He explicitly emphasizes that this is not a circular development but a development according to principles of evolution.

Since literary evolution is one side of the general evolution, literary workers co-acting in its realization are bound to be aware of its principles and of its rigorous time sequence. They should not translate only what is newest, nor create only in the spirit of the neoromantic or symbolistic method. In doing so they act incorrectly even if they rightly realize that „literature is a medicine for contemporazy society and the most advanced vanguard of new thought“ since by this procedure „they do not take into account the track of literary evolution“.⁷²

Mao Tun points at the parallel between the development of philosophy and the present-day state of philosophical cognition (China is meant) as an analogy to the corresponding situation in literature:

„Anyone who is working with philosophy without having previously studied the history of philosophy, without having read the works of older and newer philosophers, and who is not able to say anything about the ontology of the different authors of the past, cannot know anything about the present-day state of research, he cannot know what is meant by the theory of value or epistemology; if he studies only the recent teachings, he will only attain common knowledge but it will not be research.“⁷³

New literary workers must proceed similarly. Ordinary people do not understand mysticism (when speaking of mysticism Mao Tun has in mind works of Irish authors from the late 19th century), neither do they understand symbolism and l'art pour l'art-ism without having previously met realism and naturalism. According to

⁶⁹ René Wellek, o.c. p. 40—41.

⁷⁰ Ibid. p. 43.

⁷¹ Yen-ping, *Wen-hsüeh shang-ti ku-tien-chu-i, lan-man-chui ho hsieh-shih-chu-i* (96) *Classicism, Romanticism and Realism in Literature*, Hsüeh-sheng tsa-chih, 7, 9, September 1920, p. 19.

⁷² *Manifesto...* p. 2.

⁷³ Ibid.

Mao Tun and before him according to Ch'en Tu-hsiu, classicism and romanticism they met in domestic literature.

Hence it appears that realistic and naturalistic works need to be propagated and to be made accessible!

Mao Tun established a plan of this propagation and introduction. He divided it into two parts. In both of them there are included naturalistic and realistic works; the first part is the more important one and is more extensive; it contains 30 works by 12 authors including Russian, French, Polish and Nordic literature. Into this group belong works such as Turgenev's *Fathers and Sons*, Dostoevsky's *The Idiot*, Chekhov's *The Cherry Orchard*, Gogol's *Dead Souls*, Gorki's *The Lower Depths*, Zola's *La Debâcle*, Maupassant's *Peter and John*, Ibsen's *The League of Youth*, and others. The second group contains 13 works by 8 authors from Russian, English, French and German literature. In the first group Mao Tun was concerned mainly with the assessment of the artistic standard of the respective work while for the second group plays and novels with „problems“ were chosen which, by the way, had become favourite genres in the Chinese literature of the 'twenties; it means that regarding this group Mao Tun was concerned rather with the ideological value of the respective work. Into this group he put Tolstoy's *War and Peace*, Dostoevsky's *Crime and Punishment*, Hauptmann's play *The Weavers* and *Three Plays for Puritans* by G. B. Shaw.

However, it is questionable whether this division is correct, whether it is possible to separate the artistic aspect of a work from its ideological aspect, and whether planning in literature is possible in the way as it is done in national economy. Anyhow, Mao Tun's words by which he gives an explanation of his procedure are worthy of note:

„In my view, an author must have a good grasp of artistic means; only then can he write a problem novel which will impress the reader.“⁷⁴

Mao Tun emphasizes that in creating modern Chinese literature „the ideological aspect is important but the artistic aspect cannot be omitted.“⁷⁵

There is one more argument by which Mao Tun demonstrated the necessity of propagation and introduction of realism and naturalism; knowing this argument we shall be able to better comprehend his idea of literary evolution. He states that what is the newest, is not necessarily the most beautiful and the best. In elucidating the meaning of „new“ or „old“ the time factor is not to be taken into account since the difference between old and new lies in the character of things and not in their form.⁷⁶

⁷⁴ Ibid. p. 5.

⁷⁵ Ibid. p. 1.

⁷⁶ Cf. ibid. p. 2 and Ping (97) (also one of Mao Tun's pseudonyms), *Hein chiu wen-hsüeh p'ing-i-chih p'ing-i* (98) *The Critique of Compromise Between Old and New Literature*, Hsiao-shuo yüeh-pao, 11, 1, 10th January, 1920, p. 3—4.

The same sharp development, as mentioned in our paper delivered in Leeds concerning Mao Tun's philosophical views can also be observed when we examine his literary theory. This applies just to the years under discussion in this study.

In September 1920 Mao Tun published an important treatise under the title *Classicism, Romanticism and Realism in Literature*, in the periodical Hsüeh-sheng tsa-chih,⁷⁷ and a polemic with a study of about 10.000 characters by Hu Hsien-shu (99) *O-mei hsin wen-hsüeh tsui-chin-chih ch'ü-shih* (100) *Newest Tendencies in European and American Literature* under the title „*O-mei hsin wen-hsüeh tsui-chin-chih ch'ü-shih*“ shu-hou (101) *After Reading the „Newest Tendencies in European and American Literature“* in the periodical Tung-fang tsa-chih.⁷⁸

Both works bear great importance on the further development of Mao Tun as a literary critic, however, both are almost unknown. Only some very concise information concerning the first mentioned study was presented by Yeh Tzu-ming (102) in the book *Lun Mao Tun ssu-shih nien-ti wen-hsüeh tao lu* (103) *On Mao Tun's 40 Years Literary Road*;⁷⁹ as to the second, it appears that it has escaped observation both of researchers and of readers.

In writing *Classicism, Romanticism and Realism in Literature*, Mao Tun has put to himself three tasks, three aims:

1. To examine the sense and the actual value of these three -isms.
2. Looking and writing from the bird's eye view, and thus to explain the great road of literary evolution.
3. To quit scores with the problem of classicism and romanticism, and to demonstrate that realism is not worthy of the fame that is given to it.

We can see that his opinion concerning „means“, which he accepted solely in the study of philosophical and political questions (cf. our paper delivered in Leeds) he equally applied to questions of literature. The sense and the actual value of literary -isms were in his view factors of primary importance and he was mostly concerned with them. He was not concerned with one concrete -ism, whatever its name.

Into the concept of classicism Mao Tun ranges the so-called proper classicism, neoclassicism and pseudoclassicism. Two marginal points of time constitute its limits: Renaissance and the advent of romanticism. He does not offer more detailed characteristics of the different subtypes of classicism; he characterizes classicism in general. In his view Racine and Boileau are the most prominent representatives of classicism, their „literature is metrically well-refined, stylistically concentrated, its words and sentences are majestic and contain much that is satirical; their literature is something like in China 'rate and satirical but not rebellious', a voice decent and proper.“⁸⁰

⁷⁷ Cf. note 71 of this study p. 1—19.

⁷⁸ See 17, 18, 25th September, 1920, p. 76—78.

⁷⁹ Shanghai 1959, p. 20.

⁸⁰ Yen-ping, *Classicism...* p. 4.

The *raison d'être* of classicism is seen by Mao Tun in reason, in its emphasis, in rationalism: rationalism becomes manifest in proportionality, harmony, accomplishment and perfectness—in final and absolute beauty.

Like every good artistic work of a certain literary movement, also the works of classical literature have their values; however, pseudoclassical imitations are worthless. The prose of Han Yü (104) (768—824 A.D.), Liu Tsung-yüan (105) (773—819 A.D.), Ou-yang Hsiu (106) (1007—1072 A.D.) and of Su Tung-p'o (107) (1037—1101 A.D.), further the poems of Li Po (108) (701—762 A.D.), Tu Fu (109) (712—770 A.D.) and Huang T'ing-chien (110) (1045—1105 A.D.)—if ranged along classical works—are valuable works. Their value is seen by Mao Tun in the creative spirit they own. Pseudoclassicism starts with imitation. Mao Tun is only against pseudoclassicism.

Creative romanticism begins where classicism ends. According to Mao Tun the word liberty conceals in itself the most marked characteristics of romanticism. Since the Great French Revolution did not claim anything but liberty (sic!), romanticism, i.e. modern French revolutionary movement in literature equally does not request anything but liberty.

In characterizing classicism, Mao Tun did not take into account the relationship of literature and philosophy of the classical period, though he was fully aware of a relationship of this kind. This time, however, he deals with the relationship of philosophy and literature relatively thoroughly, probably because several aspects of the philosophical thought of the romanticists were not strange to him in the second half of 1920. This applies particularly to the ideas of ideological freedom, individualism, characteristic of Rousseau's work who was considered by Mao Tun to be the founder of romanticism. After the period of flourishing of this philosophy and literature, idealistic philosophy (not determined by Mao Tun) started to prosper, leading to overemphasizing the subjective component; imaginative force not controlled by reason created works too much illusory. In the period after the industrial revolution science started to develop by leaps and bounds; human hearts started to be ruled by the idea of the omnipotence of science, science started to wind its way into all fields of human life. In the literary field, romanticism too started to lose its positions since it was not able to stand the test of scientific criticism.

Mao Tun thinks that romantic literature—in spite of its being a child of the Great French Revolution cannot be considered as a „consequent revolutionary literature.”⁸¹ This is because of its being not a literature for people. French revolutionaries did not care for the large masses; they were concerned with great, heroic personalities. Romantic literature is exclusive, aristocratic, destined for the aristocracy. This view of his is apparently resounding the ideas of Tolstoy and Ch'en Tu-hsiu. With the decline of the power of the aristocracy also romantic literature came to its end.

⁸¹ Ibid. p. 10.

Mao Tun sees two reasons for the rise of realism in literature. In the first place it is the scientific spirit of the second half of the past century, when scientific methods started to permeate all fields of life. In the second place stands time: the period of the flourishing of democracy and of the origin of workers' movements. The masses began realizing the disastrous social conditions, they clearly saw that ideal literature does not stand in accord with life, they acknowledged the truth of democracy.

Mao Tun demonstrates that the attack of the realists against the romanticists is not led in the sphere of arts. It cannot be stated that romantic works have no artistic value; however, one can say that they are not „correct“ (ho-li) (111) art.⁸² In the view of the realists this means that romantic works do not create an art based on the objective observation.

This is the first time that the expression „objective observation“ (ko-kuan kuan-ch'a) (112) appears in Mao Tun's work. Later it can be found in other articles and treatises. Objective observation, or as also called by him „thorough observation“ (shih-ti kuan-ch'a) (113) becomes later on one of the most important postulates of his literary theory and critical practice.

Mao Tun also demonstrates that realists were attacking romanticists in the ideological field. According to the realists „all literature requires democratisation, it cannot be the property and product of the pastime of a small number of people of one class.“⁸³ Since romantic literature was not written for the people, it was doomed to disappear from the literary scene of the democratic world.

There are also other things of interest.

In Mao Tun's view, typical representatives (*chung-chen*) (114) of realism were Zola and Maupassant. Flaubert is their predecessor. Balzac is still a romanticist, in Flaubert's era realism is a mere tendency, in Zola's period realism finds its feet, in Maupassant's period it flourishes.

After having made this statement, he continues:

„In that period (i.e. realism in Maupassant's period, M.G.) realism was given the name naturalism in order to discern it from the humanistic and realistic literature of Ibsen, Björnsen, Strindberg, Brieux and Galsworthy.“⁸⁴

Relatively much place is devoted by Mao Tun to the analysis of Russian realism.

Among the five great representatives of Russian realism he mentions Tolstoy, Dostoevsky, Turgenev, Chekhov and Gorky. Their period is the paramount time of Russian realism. In his view, Dostoevsky represents psychological realism, Turgenev is a representative of poetic realism, Tolstoy of philosophical realism, while Gorky and Chekhov represent „pure realism and orthodox naturalism.“⁸⁵

⁸² Ibid. p. 11.

⁸³ Ibid.

⁸⁴ Ibid. p. 12.

⁸⁵ Ibid. p. 14.

About Gorky he writes that his literature is strongly revolutionary, that he achieves to impress the reader and that since the times of Tolstoy there has been no author so much read by the Russian youth. About Chekhov he writes: „As to Chekhov, he is a solitary individual (*ku-chung*) (115) of naturalism (i.e. of Maupassant's purely scientific literature)...“⁸⁶

Already from the few things said here about Mao Tun's theory of naturalism it appears that to Mao Tun the concept of realism is entwined with the concept of naturalism. In this study naturalism is understood by him only as realism of the periods of Flaubert, Zola and Maupassant, perhaps also of their successors as seen in his characterizing of Chekhov whom he mentions in one place as a realist, and a few lines later as a naturalist.

In the same month that the study we are speaking of was published, but ten days later, an article written by Mao Tun entitled *Wei hsin wen-hsüeh yen-chiu-cho chin i chieh* (116) *One More Explanation for Researchers in New Literature*⁸⁷ was published. This was actually a continuation of the study discussed above. However, in this article not realism but naturalism is understood as one of the moments of triad in the evolutionary development in the origin of neoromanticism. In the article the word realism figures only once, and even this only on the margin, not solving even the problem raised in the article. In the study the period between the 'eighties of the last century and the early years of the 'twenties of this century is mentioned as the period of the culmination of realism in Russia, while in the article he shows that the period of the culminating development of naturalism was lasting during the two last decades of the past century (this, of course, does not mean that the naturalistic movement did not go on in Russia!); in the study realistic art is characterized as an art of „objective observation“ while in the article something like that is written about naturalism by stating that „naturalistic literature prefers only observation;“⁸⁸ finally, Gorky, L. Andreev and M. Artsybashev are described as realists in the study while in the article they are said to be naturalists.

In the study Mao Tun characterizes realism in four points. In each of them he helps himself by means of a romantic parallel:

1. Romanticism emphasizes imagination, realism emphasizes observation; romantic literature is subjective, the realistic one is objective.

2. Romanticism admits the existence of relative beauty, it does not consider the beauty of works of old masters to be paramount beauty; since beauty is relative, it allows the artist to create; realism does not admit the existence of beauty, in its view beauty is an illusion, in real life there is nothing but ugliness.

3. Romantic literature describes the life of higher strata of society, realist literature is concerned with the life of lower strata.

⁸⁶ Ibid.

⁸⁷ See Chieh-fang yü kai-tsao, 3, 1, 15th September 1920, p. 99, 102.

⁸⁸ Ibid. p. 99.

4. Romantic literature in general puts an emphasis on art, realistic literature rather on life.

Concerning the first two paragraphs Mao Tun says that in both of them realism and romanticism go their own way and it is difficult to say what is better and what is worse; as to the other two paragraphs. Mao Tun's view is that in them romantic literature does not peer with the realistic one.

It is not in our intention to guess here what is correct and what is incorrect in these characteristics. This would not lead to any goal and would not comply with the aim of our study. Let us consider only Mao Tun's characteristics in the system of his literary-theoretical opinions of these times, opinions that very soon occupied their fixed place in the Chinese literary thought.

Mao Tun thinks that romanticism and realism are artistic movements of equal value in certain important respects: in the spheres of time and space, in the field of the method of how to deal artistically with reality, the philosophical aspect of this method and in the field of aesthetical values. However, when relation to life is concerned, i.e. a field of ideological values rather than values of art, particularly the relation to the different social strata, Mao Tun prefers realism, of course a realism conceived in his particular way. As stated above, artistic values, though appreciated by Mao Tun, occupy in his view only a secondary place behind values of thought.

In the years 1919—1920 there were no fixed values for Mao Tun, there were no teachings and no -isms which could be considered as „unalterable principles.“ This applied to every field that he studied and with which he interfered. When it happened that he became enthusiastic over something—and this happened only very rarely—for instance for Kropotkin-type anarchism or for Leo Tolstoy, his standpoint to it became cooler and more objective after the elapse of a shorter or longer time. When realism or naturalism as literary movements (or more correctly movement) were to show the way to modern Chinese literature early in 1920, already in September of the same year he had a different view. This we shall demonstrate later.

Mao Tun starts to criticize realism. He sees the deficiencies of realism in the following points:

1. in an excessive emphasis put on objective description.
2. in an excessive emphasis of criticism mostly of a destructive character, lacking any subjective, constructive elements related to the reality described.

„Art“ writes Mao Tun „must not lay stress on anything only what is objective, and it must not emphasize only what is subjective. If it emphasizes only what is subjective, its deficiency lies in non-reality; if it emphasizes only what is objective, its deficiency lies in insipidness, there is no life and easiness in its expression. Critical spirit is an advantage of realism, but it is also its imperfection. Realism analyzes thoroughly all social problems, it endeavours with all its forces to lay open their dark aspects. This kind of awakening the masses by means of intelligible words is not

bad, but only to criticize and not to tell one's opinion means to hurt by melancholy and deep sorrow, and this can lead to despondency. For instance, it happens to a man that he misses his way. If there is somebody to tell him many words about his going astray, these words may be clever and clear, the erring man can believe them; however, if he is not shown the right way, he will go on erring in uncertainty; the words will be of no avail to him, he will acknowledge them but there will be no hope for him in the perspective.⁸⁹

The polemic *After Reading the „Newest Tendencies in European and American Literature“* is first of all a defence of realism. About the study by Hu Hsien-su Mao Tun writes that it is „concise and thorough, intelligible and penetrating,“⁹⁰ however, with three reservations. Two of them refer to problems of realism, one of them to realism as an artistic phenomenon in general, a second one to the problem of the so-called aesthetization of ugliness the latter being near to realism.

Let us consider only the second of these reservations. Concerning the first one, Mao Tun argues in the same way as in the study analyzed in our work.

At one place of his article Hu Hsien-su states⁹¹ that if the naturalistic school (Hu, in the same way, makes no sufficient differentiation between naturalism and realism) describes only crimes and deficiencies of people of the lower strata, the works of this school do not achieve in arousing aesthetical feelings in the reader.

Mao Tun reacts to this statement as follows:

„My humble view does not agree with this opinion. Aesthetization of ugliness does not belong to the great discoveries of modern philosophy of art. But it is possible to degrade it to the rank of a pathological state and not to acknowledge its being an evolution in art. Classical literature, appreciating „perfect and refined“ beauty, can only arouse contradictory feelings in modern man who is a protagonist of radical ideas. Literature is the expression of human life. Or is its task only to express the pompous life of aristocracy and to remain unconcerned with the miserable life of common people?“⁹²

When Mao Tun was preparing to write his study *Classicism, Romanticism and Realism in Literature*, he probably had no intention to write about neoromanticism. Yet, when he wanted „to explain the great road of literary evolution“ on the basis of literary reality, he could not help but consider also neoromanticism which from among all modern literary movements was the best suitable to his conception of literary evolution.

As to neoromanticism, his study is very laconic. There are not more than three or four lines devoted to it. There is more about it in the polemics with Hu Hsien-su,

⁸⁹ Yen-ping, *Classicism...* p. 17.

⁹⁰ *After Reading the „Newest Tendencies in European and American Literature,“* p. 76.

⁹¹ Chieh-fang yü kai-tsao, 2, 15, 1st August, 1920, p. 20.

⁹² *After Reading...* p. 77.

while the entire article *One More Explanation for Researchers in New Literature* is actually conceived as an apotheosis of neoromanticism.

In the study there is almost nothing about neoromanticism, nevertheless we find in it some interesting words:

„During the last year our people sent romantic literature to the devil and they extolled realistic literature to the skies. This is the way of people who do not understand the principle of literary evolution. In the foundations of romantic literature there is liberty of thought, a forceful creative spirit which after ten thousand generations conserves its value and thus will remain for ever an element of literary evolution. I decidedly identify myself with these words. The critical and popular spirit particular to realistic literature will for ever imbue literary works with a new spirit, this I dare say, too. Though, realistic literature does not deserve to be honoured to the utmost limit, on the other hand, however, romantic literature suffers injustice if held in undue contempt. Finally, there are a few words to be said: neither does neoromanticism contain all contemporary and future tendencies...“⁹³

Early in 1920 Mao Tun became acquainted with Irish literature of the end of the past century, mainly with its three representatives: W. B. Yeats, Lady A. Gregory and J. M. Synge. His article on the literary work of these three people was given the title *Chin-tai wen-hsiueh-ti fan-liu—Ai-erh-lan-ti hsin wen hsiueh* (117) *Counterflow of Modern Literature — Modern Irish Literature*.⁹⁴ The great advantages of this literature are seen by Mao Tun in the emphasis put by their author on the liberation of their nation from English yoke, and in the fact by which he was astounded at that time: Irish literature was looking for other means of expression and for other contents than realistic literature of the past century.⁹⁵

Somewhat later Mao Tun was interested also in the impressionistic critiques of Anatole France contained in the four volumes of his work *La vie littéraire*. For instance, he quotes from France's preface to the third volume of this work. The preface is an answer to Brunetière's attack directed against France's conception of subjective criticism. In this preface, similarly as in the preface to the first volume, Anatole France states that there is no objective criticism, neither is there any objective art. The truth is that man cannot escape his ego, for him it is impossible to look at the world with the mosaic-like eyes of a fly or to comprehend nature with the boorish and primitive brain of an orang-utan. We are shut up in our personality like prisoners in a cell, and if we cannot keep silent, we are talking about ourselves. France does not believe that some scientific methods could be applied to studying

⁹³ Yen-ping, *Classicism...* p. 19.

⁹⁴ Tung-fang tsa-chih, 17, 7—8, 25th March and 10th April, 1920, p. 72—80, 56—66. It is in fact a detailed „content“ of two chapters of *Aspects of Modern Drama*, New York 1916, written by Professor F. W. Chandler, p. 233—276. The titles of the chapters are as follows: *Irish Plays of Mysticism and Folk History*, and *Irish Plays of the Peasantry*.

⁹⁵ Ibid. p. 66.

literature. What mostly impresses us, what ravishes us by its beauty, refers usually to things which remain for us unelucidated and partially secret for ever. Beauty, virtue and genius will keep their secrets to ourselves eternally. Cleopatra's charm, the austerity of Francis of Assisi or Racine's poetry can never be expressed by formulas. And if these things are to become subjects of science, so this will be an intuitive science, unsatisfied and never ending.⁹⁶

At the same time he focused his attention also on the work of Edward Carpenter, an English author, admirer of Walt Whitman and Havelock Ellis. Among his works we find a book of essays under the title *Civilization: Its Cause and Cure*, published in 1899. Among the essays contained in this book it was probably the essay *Modern Science, A Criticism* in which Mao Tun was interested; the preface to its Russian translation was written by Leo Tolstoy himself.⁹⁷

Carpenter is a sceptic. In the essay he shows that after fifty-years during which the famous *esprit scientifique* science had flourished finds itself „in every aspect in an extreme and hopeless doubt and uncertainty“. According to him the scientific method is virtually a „method of restriction or a method of present-day non-science, ignorance“.⁹⁸ Knowledge is in our present time only a tangent of actual facts. For instance take the different laws (such as Newton's or Boyle's) which on the philosophical and scientific level represent a certain relationship between things, phenomena or processes flowing from their internal nature or essence, knowledge touches barely only one point of real phenomena. Because just „as a tangent represents the course of a curve over a small arc“ likewise also different theories „represent the state of certain facts in a very small range of observation.“⁹⁹

In 1920 Mao Tun hesitated and for a while he stopped to believe in the force of science. The sceptical standpoint of these people showed him clearly that science is not omnipotent, that the spirit of criticism and of a healthy dubitation is no doubt necessary. It cannot be stated that he fully identified himself with all this. When speaking about France's attacks on science, he explicitly states that there is a great amount of injustice in these antinaturalistic attacks, but he is quite positive in approving neoromanticism as a movement, as a new tendency in literary development.¹⁰⁰

At that time Mao Tun was fascinated by two writers: in the order of succession of his favourite writers by Romain Rolland as his third great literary love and

⁹⁶ Cf. Anatole France *Oeuvres complètes*, *La vie littéraire*, 7th vol., Paris 1926, p. 8 and 13, and Yen-ping, *One More Explanation For Researchers in New Literature*, p. 100—101.

⁹⁷ Yen-ping, *Pa-pi-sai-ti hsiao-shuo „Ming-chü-ti shih-tzuchia“* (118) Barbusse's *Short Story „Legion d'honneur“*, Chieh-fang yü kai-tsao, 2, 13, 1st July, 1920, p. 62—63.

⁹⁸ Carpenter's book is known to us only from the Czech translation: *Civilisace, její následky, léčení jich a jiné studie*, Praha 1910, see p. 22.

⁹⁹ Ibid. p. 28.

¹⁰⁰ Yen-ping, *One More Explanation... p. 101.*

Henri Barbusse as the fourth one in that order. Rolland's work *Jean-Christophe* remained for a long time his favourite reading. Of course, his highest sympathy belonged to the main hero of this novel „whose thought and life are like a river: in their course they passed through all opinions of life.“¹⁰¹ The novel *Jean-Christophe* was known to Mao Tun apparently from its English translation by Gilbert Cannan whose idea about Jean-Christophe seen as a bridge connecting the thought of 19th century with the tendencies of thinking of the 20th century, he quotes in his article.¹⁰²

Though at that time Mao Tun, at least partially, approved of the sceptics of his time, in the picture of Jean-Christophe he highly appreciates truth which is his *epitheton constans*: „The hero is very fond of truth. He does not care for the milieu, neither does he care for himself or for his own life; he knows only truth.“¹⁰³

It is most probable that Mao Tun was the first to acquaint China with the work of Barbusse. Besides a remark in the translation by Chang Sun-nien (119) work titled *Ching-shen tu-li hsüan-yen* (120) *Déclaration d'independence de l'esprit* where Barbusse's philosophical profile is mentioned in a concise foot-note, nothing was known about Barbusse in China at the beginning of the second half of 1920.¹⁰⁴ Mao Tun called attention to Barbusse's representative works *The Fire*, *The Hell* and to his short stories. Mao Tun expounds Barbusse's views on ruinous war, on social equality (a problem he was occupied with for a very long time!), on mutual love, freedom, science. Barbusse is dissatisfied with the results of modern science since progress only deepens suffering and augments the tribulations of mankind.¹⁰⁵

Rolland and Barbusse are for Mao Tun in 1920 the most important representative of neoromanticism.

How does Mao Tun characterize neoromanticism?

He sees it as „a movement aimed against naturalism“. In the polemic *After Reading the „Newest Tendencies in European and American Literature“* he writes that neoromanticism eliminates the defects of realism which is „rich in its body but poor in its spirit“ (*feng jou jo lin*) (121), it clears away deficiencies in the field of exaggerated criticism and waylessness, it rectifies the errors of realism which does not see the good in the bad.¹⁰⁶

¹⁰¹ Ibid.

¹⁰² Ibid.

¹⁰³ Ibid.

¹⁰⁴ Barbusse's *Short Story*... p. 60. The declaration referred to was published and signed by numerous intellectual leaders for instance R. Rolland, H. Barbusse, B. Russell, H. Mann, B. Croce, S. Lagerlöf etc. According to Chow Tse-tsung, *May Fourth Movement*, Harvard University Press, 1960, p. 175—176 „they denounced the intellectuals of the world for giving up their thought and spirit and surrendering to force and joining the war for political, partisan, national, or class interests. They advocated democracy for all people and brotherhood among nations.“ Chinese translation is to be found in *Hsin ch'ing-nien*, 7, 1, 1st December, 1919, p. 30—48.

¹⁰⁵ Yen-ping, *Barbusse's Short Story*... p. 63.

¹⁰⁶ Yen-ping, *After the Reading*... p. 76.

According to Mao Tun, romanticism (but not pseudoromanticism) possesses a „revolutionary, liberating and creative spirit“.¹⁰¹ This spirit was the creator of European literature of the 19th century. And just this spirit is needed in China which „never had a real romantic literature and was lagging in classicism, hence was badly in need of the romantic spirit“.¹⁰⁸ There we can clearly see that this is something quite different from what Mao Tun stated early in 1920. He sees in „self-consciousness“ (*tzu-chüeh*) (122) the great principle of romanticism.¹⁰⁹ The father of romanticism, Jean Jacques Rousseau has created his *Les Confessions* just on the basis of this principle. Literature of modern times is marked with the spirit of this self-consciousness. Only the naturalistic movement, influenced by a „temporary abnormality“ (*pien-t'ai*) (123) of the omnipotence of science“ (sic!) was an exception.¹¹⁰ When it appeared that science is not capable of resolving social problems, the fire of enthusiasm was out. Preconditions for the renewal of new romanticism were created. If we realize this fact we cannot acknowledge „naturalistic literature to be something really so great.“¹¹¹

Mao Tun, who at the beginning of 1920 in his *Manifesto of the Column of the New Tide of Prose* appeared to be a protagonist of the introduction of realistic and naturalistic works, but was not very anxious to remain faithful to his own propositions: the works of Barbusse, Yeats, Lady Gregory and Lord Dunsany translated by him into Chinese the same year, were not considered by him to be realistic.¹¹²

As has been shown in the text of our study, neither did Mao Tun abide by his opinions which he had proclaimed at the beginning of that year.

Mao Tun finally arrived at the conclusion that new Chinese literature must be neoromantic and not naturalistic (this leaves us to say not even realistic!). To the question „why“ he answers very tersely, probably also under the influence of the great work of Romain Rolland: neoromantic literature leads us to the correct *Weltanschauung*, it helps us to acquire the spirit of self-consciousness, and this spirit is nothing else but stating that „I am I, I am one of the people in the world, I do not belong to any -ism, to any faith.“¹¹³

¹⁰⁷ Yen-ping, *One More Explanation...* p. 102.

¹⁰⁸ Ibid.

¹⁰⁹ Ibid.

¹¹⁰ Ibid.

¹¹¹ Ibid.

¹¹² Mao Tun in this year translated into Chinese two other short stories by Barbusse: *Fu-ch'ou* (124) *The Revenge* in Chieh-fang yü kai-tsao, 2, 14, 15th July, 1920, p. 60—66 and *Wei mu-ti* (125) (?), Tung-fang tsa-chih, 17, 2, 25th June, 1920, p. 108—112. He translated the one act play by Yeats titled *Shu-lou* (126) *The Hour Glass*, ibid. 17, 6, 25th March, 1920, p. 109—118, *I-mao* (127) *The Lost Silk Hat* by Lord Dunsany, ibid. 17, 16, 25th August, 1920, p. 111—118, *Shih-hu* (128) *Spreading the News* by Lady Gregory, ibid. 17, 17, 10th September, 1920, p. 93—105. Apart from this he also translated *The Man Who Was Dead* and small pieces by S. Lagerlöf, J. M. Beck and E. A. Poe.

¹¹³ Yen-ping, *One More Explanation...* p. 102.

The end of 1920 also closes the first stage of Mao Tun's development in literary criticism, a period of his assiduous preparations and searches. In the previous part of our study we have seen how he started with Tolstoy's *What is Art?* how he linked up with some thoughts of Ch'en Tu-hsiu, how he adopted Hegel's conception of evolution (at least in its most general outlines), how he became a protagonist of all-human art, social and national. In the second part we have seen how strongly he emphasized the necessity of propagation and introduction of realism and naturalism, how he in Irish literature, in the impressionistic critiques of Anatole France, in the essays of Carpenter, in the prose works of Romain Rolland and Barbusse was searching for answers to his own unresolved questions and to the question of a further, in spirit more modern world and modern thinking and modern art pertinent to the development of new Chinese literature.

It is to be stressed that in the second half of the year 1920 Mao Tun saw the future of Chinese literature in postrealistic literature. Only later (in 1921—1922) did he come to believe that realism or naturalism are only short stages in the history of evolutionary literary development.¹¹⁴ Subjectively, he solaced himself with the hope that the history of Chinese naturalism or realism would come to end very soon and that Chinese literature would join the stream of modern world literature of that time.

Early in 1921 a new stage began in Mao Tun's development. However, its treatment falls beyond the scope of our study.

¹¹⁴ See *Tsui-hou-ti i-yeh* (129) *The Last Page*, Hsiao-shup yüeh-pao, 12, 8, 10th August, 1921, p. 8; Mao Tun's letter to Chou Tsan-hsiang (130), Hsiao-shuo yüeh-pao, 13, 2, 10th February, 1922, p. 4.

1) 胡適 2) 陳獨秀 3) 李何林 4) 近二十年文藝思潮
論 5) 梁啟超 6) 王國維 7) 魏源 8) 茅盾 9) 雷鳴
10) 蕭伯訥 11) 學生雜誌 12) 托爾斯泰與今日之
俄羅斯 13) 引導 14) 通緝 15) 用 16) 取消文學
文學研究會 18) 藝術論 19) 醒秋 20) 託爾斯
泰短篇小說集 21) 十月革命前的俄羅斯文學
22) 張聞天 23) 託爾斯泰藝術觀 24) 小說月報
25) 文學改良宣言 26) 新青年 27) 沈雁冰 28)
自然主義與中國現代小說 29) 黑幕 30) 志希 31)
今日之中國小說界 32) 趙家璧 33) 中國新文學
大系 34) 羅家倫 35) 中國人名索引 36) 鴛鴦蝴蝶
小說派 37) 趣味第一 38) 中國小說史稿 39) 東方
雜誌 40) 婦女雜誌 41) 解放與改造 42)
時事新報 43) 舉燈 44) 佩韋 45) 茅盾評論集
錄 46) 茅盾評論集 47) 西門豹 48) 魏 49) 蔣
50) 漳 51) 蔣清海 52) 蔣厚 53) 現在文學家的
責任是什么呢？ 54) 文學與人生 55) 文學者的
新使命 56) 文學週報 57) 西漢文學通論 58)
方璧 59) 薑山行 60) 小說 61) 人生哲學 62) 張東
蓀 63) 今日之教育方針 64) 文學革命論 65) 盧畫
66) 曹叡 67) 王充 68) 萬葉 69) 畫小助綱 70) 論
衡集解 71) 抱朴子 72) 書經 73) 詔 74) 策 75)
軍事 76) 秦議 77) 鮑生平 78) 上林 79) 羽獵
80) 二京 81) 三都 82) 抱朴子內外篇 83) 萬有文庫
84) 司馬相如 85) 楊雄 86) 張衡 87) 左思 88) 袁
宏道 89) 公安 90) 袁中郎全集 91) 小說新潮流

宣言 92, 里 93, 儒林外史 94, 官場現形記 95,
構成 96, 文學上的占星主義、浪漫主義和寫實主義
97, 池 98, 新舊文學平議之評議 99, 胡先馬解
100, 歐美新文學最近之趨勢 101, 歐美新文學
最近之趨勢 102, 叶子銘 103, 論茅盾四十年
的文學道路 104, 韓愈 105, 柳宗元 106, 歐陽修
107, 蘇東坡 108, 杜甫 109, 黃庭堅 111, 合理
112, 寓觀觀察 113, 實地觀察 114, 重鎉 115, 三鳳
種 116, 為文學研究者進一解 117, 近代文學的反流
變面開的新文學 118, 巴比塞的小說名譽的十字
架 119, 張崧年 120, 精神獨立宣言 121, 半肉弱
靈 122, 向量 123, 狙擊熊 124, 復仇 125, 為母的 126,
妙論 127, 遺帽 128, 布虎 129, 最後的一頁 130, 周贊
襄

DIE ANEKDOTE IM WERKE IBN HALLIKĀNS

JÁN PAULINY, Bratislava

Sicherlich wird sich beim Lesen dieses Titels jeder Kenner der arabischen Literatur des Mittelalters die Frage stellen: Warum soll von der Anekdote gerade im Zusammenhang mit *Ibn Hallikān* die Rede sein?¹ Tatsächlich könnte man der anekdotischen Erzählung in den Werken einer ganzen Reihe von Biographen, Historikern, Geographen u. a., sowie Anekdoten, welche von *al-Ğāhiz* und ihm nahestehenden Literaten übermittelt werden, Beachtung schenken. Und Anekdoten sind nicht nur in der soeben genannten Sphäre der literarischen Produktion zu finden; auch Bücher juridischen, theologischen und philosophischen Charakters beinhalten Anekdoten. Bildlich gesprochen: Das mittelalterliche, arabische Schrifttum ist genau so von der Anekdote gekennzeichnet bzw. die Anekdote ist für dieses ebenso typisch wie die Olivenhaine für die sonnendurchflutete griechische Küste.

Wenn ich daher in dieser Abhandlung die Anekdote in den Werken *Ibn Hallikāns* analysiere, betrachte ich dieses Material als Ausgangspunkt, als einzigartiges Faktum, welches die Grundlage zu einigen allgemeinen Schlussfolgerungen über die Anekdote in der arabischen, biographischen Literatur des Mittelalters bildet. Ich komme mir vor wie ein Schriftsteller, der von den holländischen Tulpen erzählen will. Er wandelt um unzählige Tulpengärten herum und bleibt schliesslich vor dem Garten des

¹ *Ibn Hallikān* wurde im September 1211 in Arbela (Syrien) geboren. Er studierte in Haleb und Damaskus und im Jahre 1261 wurde er zum Obersten Richter in Damaskus ernannt. Mit der Niederschrift seines Buches *Wafajāt al-‘aŷān wa’abnā’ az-zamān* (Nekrologe berühmter Männer und Berichte über die Söhne der Zeit) begann er in Kairo um das Jahr 1256 und beendete sie im Jahre 1274. Das Buch enthält 865 Lebensgeschichten der berühmtesten Muselmänner. Es wurde mehrmals veröffentlicht. In Europa wurde es das erste Mal von Ferdinand Wüstenfeld: *Ibn Challican, Vitae illustrium viorum*. E codd. nunc primum arabice edidit... Ferd. Wüstenfeld. Goettingae 1835—1850 herausgegeben. Seither erschienen mehrere Ausgaben in Ägypten: 2 Bde. Búlká 1275; andere Ausgabe 1299.

In dieser Studie hielten wir uns an eine verhältnismässig neue ägyptische Ausgabe: VI Bände. Maktabat *an-nahda al-miṣrija*, *al-Kīhira* 1948—1949 und entnahmen ihr die Beispiele. (Weiterhin zitieren wir: *Ibn Hallikān*.)

Herrn A stehen. Auf den ersten Blick ist ersichtlich, dass sich die Tulpen des Herrn A in nichts von jenen in den Nachbargärten der Herren X und Y unterscheiden. Vielleicht sind sie nur dichter und vorwiegend von gelber Farbe. Da jedoch Herr A mit dem Schriftsteller befreundet ist, betritt dieser eben seinen Garten, nimmt das Notizbuch hervor und fängt zu forschen an.

Noch bevor wir von der Anekdote sprechen, müssen wir einen kurzen Halt machen und einige charakteristische Züge *Ibn Hallikāns*, „*Kitāb wafajāt al-’ājān*“ erörtern. Seit seiner Entstehung gehört dieses Buch mit den Biographien berühmter Männer des islamischen Mittelalters zu den grundlegenden Werken des arabischen Schrifttums und hat eine vielfache Bedeutung. Es dient als Informationsquelle für die verschiedensten Aspekte des mittelalterlichen Lebens im islamischen Orient, vor allem für die zivile und literarische Geschichte der islamischen Völker. Von seiner grossen Popularität zeugen zahlreiche orientalische Ausgaben — arabische und persische —, Ausgaben in anderen orientalischen, sowie in europäischen Sprachen und die bedeutende englische Übersetzung von de Slane.²

Der Autor selbst sagt in der Einführung zu seinem Werke von dessen Inhalt und Zielen, die ihn zur Niederschrift veranlassten:

Der Grund, welcher mich zur Verfassung dieses Werkes führte, ist der: Schon seit langer Zeit widme ich mich mit grosser Liebe dem Studium von Berichten über berühmte Männer vergangener Zeiten und prüfe die Daten ihrer Geburts- und Todesstage. Diese Arbeit spornte mich ständig dazu an, meine Feststellungen und Forschungen immer mehr auszudehnen. Ich nahm das Studium von Büchern, welche sich mit diesem Gegenstand befassen, auf und im Gespräch mit gelehrten Männern erfuhr ich, was ich in den Büchern nicht gefunden hatte. In dieser Arbeit fuhr ich fort, bis sich eine grosse Menge schriftlichen Materials, das sich auf verschiedene Zeitschnitte bezog, angesammelt hatte.³

Einige Zeilen später spricht der Autor direkt vom Inhalt seines Buches und informiert den Leser darüber, wie dieses geschrieben wurde:

In diesem Werke habe ich weder die Lebensgeschichte der Jünger (*Ashāb*) des Propheten, Gott habe Wohlgefallen an ihnen, noch den Lebensweg der Tabier — mit Ausnahme jener, deren Geschick viele Leute kennenlernen möchten — angeführt. Ich nannte auch keinen der Kalifen, da es eine genügende Anzahl von Werken, welche diesem Gegenstand gewidmet sind, gibt. Hingegen beschreibe ich den Lebenslauf bedeutender Persönlichkeiten der Epoche, in der ich lebe. den Lebenslauf von Personen, mit denen ich persönlich zusammentraf und die mir Informationen für die Niederschrift dieses Buches gaben, und auch das Leben anderer Männer, die ich nie gesehen habe. Ich möchte nämlich, dass jene, die nach mir kommen, mit ihrem Schicksal bekannt werden. In diesem Buche beschränkte ich mich nicht auf die Lebensgeschichte einer bestimmten gesellschaftlichen Gruppe — auf Gelehrte, Könige, Fürsten, Wesire oder Dichter —, sondern führte den Lebenslauf eines jeden, der im Volke bekannt war und nach dem die Leute häufig fragen, an. Die Tatsachen, welche ich feststellte, gebe ich in kurzer Form wieder, damit das Buch

² *Ibn Khallican's biographical dictionary*, translated from the Arabic by Baron Mac Guckin de Slane. 4 vol. Paris—London 1843—1871.

³ *Ibn Hallikān*, I. Band, S. 2.

nicht allzu umfangreich werde. Sofern ich konnte, bestimmte ich das genaue Datum des Todes und der Geburt und desgleichen den Stammbaum der angeführten Persönlichkeiten. Ich gab die Schreibart der Ausdrücke, welche man unrichtig lesen könnte, an. Ich verzeichnete jene vorzüglichen Eigenschaften jeder Persönlichkeit, die sie charakterisieren (z. B. edle Taten, Begebenheiten, Gedichte oder Briefe), damit sich der Leser mit ihnen freue und in meinem Werke nicht etwa etwas finde, was nur durch eine einzige Arbeitsmethode hervorgebracht wäre, da solche Bücher sehr bald langweilig wirken. Und das Ding, das ein Buch am besten repräsentiert, ist seine stilistische Vielfalt.⁴

Am Ende seiner kurzen Einleitung gibt *Ibn Hallikān* noch den vollen Titel seines Buches an; dieser wird — wie er hofft — den Leser am besten über seinen Charakter belehren.

Die einführenden Anmerkungen *Ibn Hallikāns* zu seinem Buche sind so treffend, dass es dem Leser scheint, es sei zum Buche nichts mehr zu sagen. Und doch, wenn wir das Buch (wahrscheinlich mit Fehlern gedruckt) aufschlagen, kommen uns nach dem Lesen von einer oder von zwei Lebensgeschichten viele interessante Gedanken und wir möchten mehrere Fragen literarhistorischen, historiographischen und ähnlichen Charakters, welche dieses Werk dem Leser stellt, beantworten.

Das Buch *Ibn Hallikāns* ist ein biographisches Wörterbuch. Biographien oder biographische Wörterbücher haben in der arabischen Literatur eine alte Tradition. Sie hängen mit der Entstehung der arabischen historischen Literatur zusammen und sind neben der Analystik ein wichtiger Bestandteil dieser; das wird von Hamilton Gibb in seinem Werke *Tarikh*⁵ erörtert; hier wird auch eine kurze Charakteristik der arabischen biographischen Literatur gegeben:

The whole of this biographical literature, as well as all later Islamic biography shows certain common characteristics. The discipline of the isnad is usually carefully observed. The chronological data, especially the death date, are fixed with the greatest precision, and the main events of the subject's life are briefly related. The shorter notices are limited to these, together with lists of works in the case of writers and fragments of verse in the case of poets. In the more extended biographies, however, the greater part of matter consists of anecdotes, in which no sort of arrangement, whether of chronology or of subject, seems to be observed.⁶

Wie es schon aus der Einleitung *Ibn Hallikāns* ersichtlich ist, verfolgte der Autor mit der Niederschrift dieses Buches zwei grundlegende Ziele — er wollte belehren und unterhalten. Belehrung — das fachliche Ziel — bedeutet die wahrheitsgetreue Information des Lesers über die Geschicke einer bestimmten Person. *Ibn Hallikān* ist folglich Historiker. Diese Feststellung steht im Einklang mit der Auffassung, die man vom Werke *Ibn Hallikāns* im islamischen Mittelalter hatte. Unterhaltung — das gesellschaftliche Ziel, wie wir es nennen können — bedeutet vor allem, in die Lebensgeschichte einer bestimmten Person etwas, was diese interessant resp. für

⁴ *Ibn Hallikān*, I. Band, S. 3.

⁵ *Tarikh*: Sir Hamilton A. R. Gibb, *Studies on the Civilization of Islam*. Routledge and Kegan Paul Limited, London 1962. S. 108—137.

⁶ Hamilton A. R. Gibb, op. cit., S. 123.

den mittelalterlichen Leser oder Zuhörer anziehend gestalten könnte, einzuflechten.

Diese zwei Ziele realisiert *Ibn Hallikān* durch den Vortrag von Material, das zwei signifikativ-sachliche Komponenten der einzelnen Lebensgeschichten darstellt. Da *Ibn Hallikān* sein Buch (so wie jeder andere mittelalterliche Autor) laut bestimmten Normen und Gepflogenheiten zusammengestellt hat, entspricht beiden Komponenten jeder Lebensgeschichte auch ihr formales Schema resp. das Schema, laut welchem sie aufgebaut ist. Dieses Schema ist das Ergebnis eines bestimmten Usus, einer Konvention, welche lange vor dem Eintritt *Ibn Hallikāns* in die arabische Literatur kodifiziert wurde.

Auf die Stärke der Konvention im arabischen literarischen Mittelalter machte von Grunebaum⁷ in seinen hervorragenden Studien aufmerksam. Die Beibehaltung der Konvention resp. Konvenienz ist für diese Epoche charakteristisch; sie ist das Produkt des islamischen, feudalen Milieus. Sehr allgemein könnte man sie als eine bestimmte normgestaltende Kraft, welche den Werken der mittelalterlichen Literatur nicht nur den charakteristischen islamischen Rahmen aufzwingt, sondern auch ein viel grösseres Ausmass einnimmt, definieren. Vor allem bestimmt sie die formale und sachliche Gestalt der mittelalterlichen arabischen Literatur. Dadurch begrenzt sie die Position des Autors und setzt sein Verhältnis zu seinem Werk und zum Publikum fest. Die Existenz der Konvention und einer ganzen Reihe anderer Faktoren, welche den Charakter der mittelalterlichen arabischen Literatur bestimmten, zwingt uns, diese Literatur aus ganz anderen Gesichtspunkten zu analysieren, wie wir dies z. B. im Falle der europäischen Literatur der Renaissance oder der Romantik zu tun pflegen. Es scheint heute ganz klar, dass eine Anpassung der für die Einschätzung der modernen Literaturwissenschaft gebräuchlichen Vorgänge an das arabische Mittelalter nahezu dasselbe ist, wie eine hypermoderne mit Renaissancemöbeln eingerichtete Weekendvilla.⁸ Als Beispiel führe ich an: Wenn das Werk *Ibn Hallikāns* vom heutigen Gesichtspunkt beurteilt wird, hat es den Charakter

⁷ In diesem Zusammenhang siehe vor allem: Gustave E. von Grunebaum, *Kritik und Dichtkunst* (Studien zur arabischen Literaturgeschichte). Otto Harrassowitz. Wiesbaden 1955.

In seinen Studien beschränkt sich von Grunebaum nicht nur auf Fragen der Konvention in der arabischen Literatur. Er präsentiert eine neue — man könnte sagen für die Geschichte der Arabistik untraditionelle — Einschätzung der mittelalterlichen arabischen Belletristik. Zu den Fragen der Analyse des arabischen, literarischen Mittelalters schläge nach in: *Der Islam im Mittelalter*, Artemis-Verlag, Zürich 1963 (vor allem in den Kapiteln: *Das Menschenideal* — S. 284—328; *Selbstdarstellung: Literatur und Geschichte* — S. 329—375; *Schöpferische Entlehnung: Griechenland in Tausend und einer Nacht* — S. 376—405) vom gleichen Autor. Dieses Werk zitieren wir weiterhin als: von Grunebaum, Islam.

⁸ Vergleiche auch die einführende Studie von Roman Jakobson zur kritischen Ausgabe von zwei altschechischen Dichtungen in Versen: *Spor duše s tělem* (Streit der Seele und des Körpers) und *O nebezpečném času smrti* (Von der gefährlichen Zeit des Todes), Ladislav Kuncíř, Praha 1927. Roman Jakobson betont dort (S. 7 usw.) sehr treffend die Notwendigkeit, die mittelalterliche Literatur vom Gesichtspunkt ihrer Epoche — der Gesellschaft, in welcher sie entstanden war und welcher sie diente, — zu werten.

einer Kompilation. Es ist laut eines bestimmten, allgemein angenommenen Schemas aufgebaut und enthält ein Material, das vom Autor grösstenteils auf Grund der verschiedensten, biographischen — lange vor ihm bekannten — Quellen zusammengestellt wurde. Über diesen Arbeitsvorgang spricht der Autor selbst in der Einleitung zu seinem Werk. Fragen wir uns jedoch, ob dieses Buch im islamischen Mittelalter als Kompilation betrachtet wurde resp. ob man damals der Bezeichnung „Kompilation“ denselben Inhalt zuerkannte wie heute. Wir können ganz eindeutig mit einem „Nein“ antworten. Ein mittelalterlicher — europäischer oder arabischer — Autor (ich zitiere die Ansicht von Ján Vilíkovský) verfasste sein Werk in einem Milieu wo metaphysische und ethische Gesetze der objektiven Wirklichkeit mit einer vom subjektiven Standpunkt der Einzelperson unabhängigen Gültigkeit herrschten.⁹ Auf dem Gebiet der Literatur machte sich dieses allgemein gültige Charakteristikum des mittelalterlichen Milieus darin bemerkbar, dass die Arbeit des Autors von der Gültigkeit bestimmter, objektiver Normen, einer bestimmten Auffassung der Literatur im Rahmen der mittelalterlichen Gesellschaft (in unserem Falle z. B. im Rahmen der muselmännischen Gemeinde) begrenzt ist. Der Autor trachtet nicht, in seinem Werke den eigenen Standpunkt auszudrücken — da die Gültigkeit der Dinge nicht vom Subjekt bedingt wurde — sondern baut sein Werk laut den Forderungen der Gesellschaft, für welche das Werk bestimmt ist, auf. Daraus ersieht man, dass die Beziehung des Milieus und des Autors eine ganz andere war als heute. Die Gegenwart fordert die persönliche Stellungnahme des Autors zur Welt oder zum Menschen. Heute wird verlangt, der Autor, Historiker oder Literat solle in sein Werk ein Stück seines Ich legen.¹⁰ Hingegen erwartete der Leser von einem mittelalterlichen Autor des Typus *Ibn Hallikāns* vor allem die Garantie, dass das Erzählte eine wirkliche und wahrhaftige Begebenheit und nicht die Frucht seiner Phantasie war. Der Leser wünschte von Autoritäten beglaubigte, also universell gutgeheissene und gesellschaftlich anerkannte Berichte zu lesen. Dabei taucht die Frage auf: Konnte

⁹ Jan Vilíkovský, *Próza z doby Karla IV.* (Prosa der Zeit Karls IV.), Evropský literární klub, Praha 1938, S. 243. (Weiterhin zitieren wir: Jan Vilíkovský.)

In den Vor- und Nachkriegsjahren ist in unserem Lande die Wertung der mittelalterlichen Literatur und die Auffassung vom literarischen Mittelalter vor allem mit dem Namen Jan Vilíkovský verbunden. Er machte in der Einschätzung der tschechischen mittelalterlichen Literatur nicht nur neue Gesichtspunkte geltend, sondern erweiterte und entfaltete in seinen grundlegenden Werken die Auffassung vom literarischen Mittelalter im europäischen Kontext. Da ich von einer bestimmten geistigen, weltanschaulichen und sozialen Verwandtschaft des europäischen und islamischen Mittelalters ausgehe, stütze ich mich — sofern ich dies für das Spezifikum der islamischen Länder für relevant erachte — auf die Konzeption und Auffassung von der literarischen Arbeit im Mittelalter wie sie von Jan Vilíkovský geprägt wurde. Natürlich handelt es sich um keine blosse Applikation der Theorie der europäischen Mediävalisten auf das islamische Mittelalter. Auf Grund einer Analyse der arabischen Literatur des Mittelalters werte ich diese Theorie um und setze sie in andere gesellschaftliche, literarische u. a. Zusammenhänge. Vom Standpunkt des Arabisten dienen mir vor allem die erwähnten Studien von Grunebaums als Leitfaden.

¹⁰ Vergleiche: Jan Vilíkovský, S. 242—243.

ein mittelalterlicher Autor überhaupt in etwas originell sein? Vom Standpunkt seiner Zeit bestimmt. Laut der Kriterien der damaligen Einschätzung, lag die Originalität z. B. eines Historikers oder Biographen in der Art, auf welche er im Rahmen der gegebenen Möglichkeiten verlässliches historisches Material, das ihm zur Verfügung stand, auswählte und zusammenstellte.

Wir erwähnten, dass *Ibn Hallikān* mit der Zusammenstellung seines Buches nicht nur ein fachliches, sondern auch ein gesellschaftliches — vielleicht sollte man sagen: ein kulturellgesellschaftliches — Ziel verfolgte. Dieses Ziel liegt darin, dass der Autor in seinem Werke anekdotische Begebenheiten, Verse von Dichtern, Aussprüche einzelner Persönlichkeiten u. a. reproduziert. Dabei stellen wir uns die Frage: In welchem Verhältnis stehen in *Ibn Hallikāns* Buch die historischen Tatsachen (Angaben, Berichte u. a.) zu den literarischen resp. folkloristischen Fakten, welche ebenfalls einen funktionellen Teil der Biographien repräsentieren; sie sind formell nicht abgegrenzt, sondern sind ein strukturelles Element des Ganzen, d. h. wenn sich z. B. der Leser über etwas unterhält, erweitern sich seine literarischen, historischen, juridischen oder anderen Kenntnisse.

Diese Frage könnte man auch anders formulieren: Wie wurden die literarischen und folkloristischen Fakten in die Geschichte eingegliedert?

Ich werde versuchen, dieses Problem zu klären, indem ich die Stellung der Anekdote bei *Ibn Hallikān* analysiere.

Die Anekdote ist im Grunde eine folkloristische Erscheinung.¹¹ Karel Čapek sagt von ihr: „Die Anekdote hat keinen Autor, sondern nur einen Erzähler. Sie wird nicht erdacht, sondern geht von Mund zu Mund. Der Name keines einzigen Urhebers einer Anekdote ist bekannt, noch historisch beglaubigt.“¹²

Man muss kein Kenner der folkloristischen Sammlung Tausendundeine Nacht sein, um festzustellen, dass eine grosse Anzahl der hier angeführten Anekdoten dem anekdotischen Material, das *Ibn Hallikān* in sein Werk einflocht, sehr ähnelt

¹¹ In ihrem Artikel *Zum Problem der Trennlinie zwischen Folklore und Literaturwissenschaft* (veröffentlicht im Buche „Auswahl aus der Formalen Methode“, zusammengestellt und aus dem Russischen übersetzt von Dr. Mikuláš Bakoš, Trnava 1941) charakterisieren Peter Bogatyrev und Roman Jakobson die Entstehung und Existenz eines folkloristischen Werkes folgendermassen: „Ein Werk wird zur Folklore vom Augenblick seiner Annahme durch das Kollektiv... Ein folkloristisches Faktum ist nur das, was von einem bestimmten Kollektiv sanktioniert und angenommen wurde. Eine vorhergehende Zensur des Kollektivs ist die Voraussetzung für die Existenz eines folkloristischen Werkes.“ (Op. cit., S. 104.)

Die genannten Wissenschaftler vertreten die Meinung, dass zur Entstehung eines literarischen Werkes seine Fixierung durch den Autor erforderlich ist. Wir zitieren: „Der Inhalt der Begriffe ‚Entstehung eines literarischen Werkes‘ und ‚Entstehung eines folkloristischen Werkes‘ ist verschieden. Die Fixierung des Werkes durch den Autor ist der Moment der Entstehung eines literarischen Werkes.“ (Op. cit., S. 104.)

¹² Karel Čapek, *Marsyas čili na okraj literatury* (Marsyas oder Randbemerkung zur Literatur) 1919—1931, Aventinum, Praha 1931. Zitat aus dem Artikel *K přirodopisu anekdoty* (Zur Naturwissenschaft der Anekdote) — S. 60—61. Im weiteren Text: Karel Čapek.

resp. mit diesem gleichartig ist. Natürlich beziehen sich die Anekdoten *Ibn Hallikāns* nur auf gesellschaftlich wichtige Personen des islamischen Mittelalters: Man findet Anekdoten über Richter, Theologen, Wesire, Hofleute u. a. vor. Hingegen nehmen die in die Märchensammlung Tausendundeine Nacht aufgenommenen Anekdoten eine viel grössere Sphäre ein. Sie beziehen sich auch auf Handwerker, Fischer, Händler, Diebe, d. h. auf alle Leute, die im Mittelalter die städtischen Schichten charakterisierten.¹³ Čapek hat Recht, wenn er sagt, dass die Anekdoten ein städtisches Gebilde ist.

Vergleichen wir nun einige Anekdoten aus der Märchensammlung Tausendundeine Nacht mit einigen Anekdoten aus dem Werke *Ibn Hallikāns*.

In der Kalkuttaer Ausgabe von Tausendundeine Nacht¹⁴ lesen wir die Geschichte des Dichters *al-Asma'ī* mit den drei Schwestern. Das ist eine typische Anekdoten, die einen gesellschaftlichen Unterton hat und die man einem beliebigen islamischen Dichter zuschreiben könnte.

In dieser Anekdoten wird erzählt, dass der Dichter *al-Asma'ī* einst im Schatten auf einer Bank sass und ruhte. Da hörte er zufällig Verse, welche drei Schwestern in seiner Nähe rezitierten. Die Älteste sagte folgende Verse auf:

Wie schön wär's, wenn er im Schlaf mein Lager besuchte!
Doch schöner noch wär' sein Besuch, wenn ich wachte.

Die mittlere Schwester deklamierte diese Verse:

Sein Traumbild allein besucht mich im Schlaf.
Doch sprech' ich: Willkommen von Herzen, willkommen sei mir!

Und die Jüngste rezitierte die Verse:

Meine Sippe und Seele für ihn, der Nacht für Nacht
Süssduftend von Moschus mein Bettgenoss ist!¹⁵

Als *al-Asma'ī* dies gehört hatte, stand er von der Bank auf und wollte sich entfernen. Die drei Schwestern hielten ihn jedoch zurück und ersuchten ihn, zu entscheiden, welche Verse die besten gewesen wären. Der Dichter entschied sich für die Jüngste.

¹³ Diesen Umstand beachtete auch Felix Tauer in der umfangreichen Studie zu seiner tschechischen Übersetzung von Tausendundeine Nacht. (Lauft der Kalkuttaer Ausgabe von Maenaghten aus den Jahren 1839—1842 mit Berücksichtigung des Buláker Druckes aus dem Jahre 1279 H. aus dem Arabischen übersetzt und mit einer abschliessenden Studie von Felix Tauer. VIII Bände. Verlag der Tschechoslowakischen Akademie der Wissenschaften. Praha 1958—1963.) Vergleiche Band VIII, Kapitel: *Entstehung und Entwicklung*, S. 138 usw.

¹⁴ The *Alf Laila or Book of the Thousand Nights and One Night*. Edited by W. H. Macnaghten, Esq., IV Bände, Kalkutta 1839—1842. Unsere Anekdoten ist im Band III, S. 382—385, dieser Ausgabe enthalten. (Wir reproduzieren die Angabe Felix Tauers, op. cit., Band VIII, S. 224 resp. 260.)

¹⁵ Den deutschen Wortlaut dieser Verse übernahmen wir aus: *Tausend und eine Nacht*, aus dem Arabischen übertragen von Max Henning, XXIV Bände, Leipzig 1875—1897. Die Erzählung *Die Geschichte al-Asmais und der Verse dreier Mädchen* ist im Band XII, S. 25—28, dieser Übersetzung enthalten.

Da diese Anekdoten in den Rahmen der Geschichten vom Kalifen *Hārūn al-Rašīd*, der an Schlaflosigkeit litt und sich deshalb verschiedene Histörchen vortragen liess, eingepasst ist, erzählt der Dichter *al-Asma'ī* selbst die Begebenheit und die Pointe der Anekdoten tritt erst im abschliessenden Dialog *al-Asma'īs* mit dem Kalifen zutage:

Da sagte der Fürst der Gläubigen: „Warum entschiedst du für die Jüngste?“ *Al-Asma'ī* antwortete: „Oh, Fürst der Gläubigen, Gott verlängere deine Tage! Siehe, die Älteste sprach: Wie schön, wenn er im Schlaf mein Lager besucht! Nun ist dies eine Einschränkung, die von einer Bedingung abhängt, welche eintreten oder nicht eintreten mag. Die Mittlere sah ein Traumbild im Schlaf und begrüßte es; die Jüngste aber sprach in ihrem Vers aus, dass sie liebhaftig an seiner Seite geruht und seinen Odem süsser duftend als Moschus gerochen hatte; und sie gelobte ihr Leben und ihre Sippe für sein Leben, welches erstere sie nicht gethan hätte, wenn er ihr nicht teurer als ihr Leben gewesen wäre.“ Da versetzte der Chalife: „So war's recht, *Asma'ī*“¹⁶

Diese Anekdoten illustriert vor allem auf vortreffliche Art das, was für diese folkloristische Gebilde typisch ist: Die bemerkenswerte Beschreibung einer bestimmten Tatsache, in unserem Falle der leidenschaftlichen Sehnsucht des Mädchens nach dem Jüngling.

Karel Čapek sagt: „Witz, Anekdoten und Wortspiel sind kein Spiel mit Dingen, sondern ein Spiel mit Worten; ein stetes Staunen über den Sinn und Unsinn der Worte...“¹⁷

Der Dichter als Arbitr dieser Streitfrage schätzte am höchsten den Ausspruch des dritten Mädchens, welcher nicht nur durch seine Aufrichtigkeit, sondern auch bestimmt durch die ungewöhnliche Ausdrucksweise des Gedankens exzellirte. Er hob besonders das hervor, worauf die mittelalterliche Gesellschaft in der Poesie Wert legte.

Da diese Anekdoten selbst Eigentum eines bestimmten Kollektivs, das sie wiederholt reproduzierte, — und de facto eine Anekdoten über einen Dichter war —, ist es klar, dass ihr Inhalt einer bestimmten Vorstellung der Gesellschaft entsprach. Diese Anekdoten erläutert also die dichterischen Aufgaben, welche die mittelalterliche Gesellschaft dem Poeten stellte.

In der Sammlung Tausendundeine Nacht finden wir eine Unzahl ähnlicher Anekdoten. So z. B. enthält der zweite Band der erwähnten Kalkulttaer Ausgabe (S. 391)¹⁸ die Geschichte *Abū al-Aswād* und der Sklavin mit den schielenden Augen. Mit Rücksicht auf ihre Kürze reproduzieren wir sie in Gänze:

Und mich ereilte die Nachricht, dass *Abū al-Aswād* eine schielende Sklavin, einen Mischling, gekauft hatte. Er fand später Gefallen an ihr.

Aber seine Leute schmähten sie vor ihm. Er wunderte sich darüber und drehte die Handflächen um, indem er diese Verse sprach:

¹⁶ Laut Max Henning, op. cit., Band XII, S. 28.

¹⁷ Karel Čapek, S. 69.

¹⁸ Angegeben laut: Felix Tauer, op. cit., Band VIII, S. 224 resp. 255.

Man tadeln sie vor mir, obwohl kein Tadel an ihr ist,
nur ihre Augen haben einen kleinen Fehler.
Sie hat ein fehlerhaftes Auge, trotz allem ist sie
oben so schlank und so schwer in den Hüften.¹⁹

Die Anekdoten handelt allem Anschein nach von *Abū al-Aswad ad-Duwālī*, dem legendären Vater der arabischen Grammatik. *Abū al-Aswad* verteidigte — als Kenner der Geheimnisse der Sprache — mit einem geistreichen Ausspruch nicht nur sich selbst, sondern auch die von ihm gekaufte Sklavin mit den schiegenden Augen. In seinem Ausspruch macht er einen Hinweis auf jene physische Disposition der Frauen (seine Sklavin hat diese), welche die alten Araber am höchsten einschätzten. Er stellt sie „irgendeinem kleinen Fehler“, welcher an seiner Sklavin ausgesetzt wurde, gegenüber.

Ähnlichen Charakter hat folgende Anekdoten: Die Geschichte *Ǧāfar Barmakīs* mit dem Beduinen.²⁰ In dieser beleidigt *Ǧāfar*, von *Hārūn al-Rashīd* herausgefordert,

¹⁹ Da Max Henning in seiner Übersetzung diese Anekdoten nicht reproduziert — und die arabischen Originale, die sie enthalten, mir unzugänglich sind — führe ich die deutsche Übersetzung laut dem tschechischen Wortlaut an: Felix Tauer, op. cit., Band IV, S. 184.

²⁰ Diese Anekdoten ist in mehreren Ausgaben von Tausendundeine Nacht zu finden. Siehe: Felix Tauer, op. cit., Band VIII, S. 256. Des Interesses halber reproduziere ich ihren deutschen Wortlaut: laut Max Henning, op. cit., Band VIII, S. 58—59.

Ferner erzählt man, dass der Fürst der Gläubigen Hárún al-Raschid eines Tages mit Abú Ishák dem Tafelgenossen, Dschaafar dem Barmekiden und Abú Nowás in die Wüste zog, wo sie einen Scheich auf seinem Esel reitend erblickten. Da sagte Hárún al-Raschid zu Dschaafar: „Frag“ diesen Scheich, woher er kommt,“ und so fragte Dschaafar ihn: „Woher kommst du?“, worauf der Scheich erwiederte: „Aus Basra.“ (Dreiundhundertfünfundneunzigste Nacht). Hierauf fragte Dschaafar: „Und wohin führt dich dein Weg?“ Er versetzte: „Nach Bagdad.“ Da fragte Dschaafar: „Und was willst du dort thun?“ Er antwortete: „Ich will dort eine Medizin für mein Auge suchen.“ Da sagte Hárún al-Raschid: „Dschaafar, halt“ ihn zum Narren.“ Dschaafar entgegnete: „Wenn ich ihn zum Narren halte, so bekomme ich etwas Widerwärtiges zu hören.“ Der Chalife erwiederte jedoch: „Bei meinem Leben, halt“ ihn zum Narren.“ Da sagte Dschaafar zum Scheich: „Wenn ich dir eine Medizin verschreibe, die dir hilft, was willst du mir dafür geben?“ Der Scheich erwiederte: „Gott, der Erhabene, wird dir an meiner Statt mit etwas Besserem lohnen als ich dir geben kann.“ Nun sagte Dschaafar: „So leide mir dein Ohr, dass ich dir dies Rezept gebe, das ich keinem andern geben würde.“ Der Scheich fragte: „Was ist's?“ und Dschaafar erwiederte: „Nimm drei Pfund vom wehenden Wind, drei Pfund Sonnenstrahlen, drei Pfund Mondschein und drei Pfund Lampenlicht. Misch“ alles zusammen und stell“ es drei Monate in den Wind; alsdann bring“ es in einen Mörser ohne Boden und stampf“ es drei Monate lang zu seinem Staub. Hast du es zerstossen, so schütt“ es in eine zerbrochene Schüssel und stell“ die Schüssel von neuem drei Monate lang in den Wind. Als dann nimm jeden Tag drei Drachmen beim Schlafengehen von der Medizin ein und setze dies drei Monate fort und so Gott, der Erhabene, es will, wirst du dann wohl und gesund sein.“ Als der Scheich diese Worte von Dschaafar vernahm, streckte er sich der Länge nach auf seinem Esel aus und sagte, indem er einen abscheulichen Ton fahren liess: „Nimm dies als Lohn für das Heilmittel, das du mir verschriebst. Wenn ich es werde eingemommen haben, und Gott, der Erhabene, mich wieder gesund macht, so will ich dir eine Sklavin schenken, die dir in deinem Leben solche Dienste leisten soll, dass Gott dadurch deinen Termin verkürzt

einen Beduinen, dem er in Gesellschaft des Kalifen auf dem Wege nach Bagdad begegnet. Der gereizte Beduine antwortet schlagfertig auf die Beleidigung; sehr witzig, ebenso verachtend, wie er angesprochen wurde. Es besteht jedoch zwischen der Beleidigung *Ǧa'fars* und der Antwort des Beduinen ein wichtiger Unterschied. Während *Ǧa'far* den Beduinen mit Ruhe und dem sichtlichen Bewusstsein der intellektuellen Überlegenheit des Aristokraten verletzt, antwortet der Beduine auf gereizte und grobe Art. Bei uns würde man sagen auf bäurische Art. Die Pointe dieser Anekdote liegt eben in diesem Kontrast, welcher im Dialog sprachlich meisterhaft ausgedrückt wird.

Der Aufgabe der Sprache in der Anekdote und dem komischen Effekt, welchen die Möglichkeit der kontrastierenden Ausdrucksweise im Dialog hervorruft, schenkte auch Karel Čapek Beachtung. In seiner Studie über die Anekdote bemerkt er: Fast alle Anekdoten sind im Grunde Verbalanekdoten; die Lösung erfolgt nicht durch Taten, sondern durch Worte; Sie ist ein miniaturer Dialog oder eine, in einer Reaktion „in direkter Sprache“ gipfelnde Situation. In dieser Hinsicht ist die Anekdote nicht zur epischen, sondern zur dramatischen Literatur zu zählen; sie ist eine auf wenige Sekunden reduzierte Komödie.²¹

Die Sprache selbst ist jedoch nicht nur ein Mittel, mit welchem ein komischer Effekt erzielt wird. Die Sprache — resp. die sprachliche Ausdrucksweise — bestimmt im Dialog die Angehörigkeit beider Partner zu einer konkreten sozialen Schichte. Die Sprache charakterisiert den einen als Aristokraten, den anderen als Beduinen. Es ist teils ein Zufall und teils kein Zufall, dass *Ǧa'far* der Aristokraten ist. Diese Tatsache ist insofern ein Zufall, dass anstelle *Ǧa'fars* ein beliebiger islamischer Wesir figurieren könnte; hingegen ist es kein Zufall, dass diese Anekdote wahrscheinlich zur Gruppe jener gehört, welche im Mittelalter in einem bestimmten islamischen Kollektiv überliefert wurden und sich mit der Person *Ǧa'far Barmakīs* und seiner Gefährten befassten.²²

und wenn du gestorben bist, und deine Seele in's Höllenfeuer jagt, so soll sie aus Trauer über dich dein Gesicht mit Dreck beschmieren und sich in ihr Gesicht schlagen und jammern und wehklagen: „Ó, Dummbart, wie dumm warst du!“ Da fiel Hárún al-Raschíd von Lachen auf den Rücken und wies dem Mann dreitausend Dirhem als Geschenk an.

²¹ Karel Čapek, S. 69.

²² Vergleiche: Felix Tauer, op. cit., Band VIII. Kapitel: *Entstehung und Entwicklung*, S. 136 usw.

Im Zusammenhang mit dieser Frage und der Problematik der literarischen Analyse von Tausendundeine Nacht schlage nach in der verhältnismässig neuen Publikation: Mia I. Gerhardt, *The Art of Story-Telling*, Leiden, E. J. Brill 1963.

Auf den ersten Blick ist ersichtlich, dass sich die Methode, welche ich in meiner Analyse der Anekdote als folkloristischen bzw. literarischen Fakturns anwende, von der Konzeption und Arbeitsweise, die Mia I. Gerhardt in ihrer Analyse nicht nur der Anekdote, sondern des gesamten „Story-Materials“ geltend macht, unterscheidet. (Vergleiche auch mit meiner Rezension des erwähnten Buches, die in der Zeitschrift Archiv orientální erscheinen wird.)

Historische resp. soziale Anekdoten ähnlicher Art, welche Menschen einer bestimmten Kategorie, sei es vom Gesichtspunkt ihrer sozialen Stellung oder ihrer Beschäftigung, charakterisieren, sind auch im Werke *Ibn Hallikāns* zu finden.

Die Lebensgeschichte des berühmten arabischen Astronomen *Abū Ma'sar* enthält z. B. folgende Anekdote:

Abū Ma'sar stand einst im Dienste eines Königs. Dieser beschloss, einen Mann, einen hohen Beamten, der etwas verschuldet hatte, zu bestrafen. Der Beamte verbarg sich vor dem König; er wusste jedoch, dass ihn *Abū Ma'sar* mit den gleichen Mitteln, die er zur Erschliessung von Schätzen und verborgenen Dingen gebrauchte, ausfindig machen könne. Deshalb entschloss er sich, den Astrologen irrezuführen, damit er unrichtige Feststellungen machen solle. Er nahm einen Messingkessel und goss Blut hinein. In das Blut stellte er einen goldenen Mörser und setzte sich auf diesen. So sass er einige Tage. Der König liess seinen Beamten Tag und Nacht suchen. Als er sah, dass alles vergebens war, liess er *Abū Ma'sar* rufen und sprach zu ihm die Worte: „Mit den gebräuchlichen Methoden lies aus den Sternen, wo dieser Mann ist.“

Abū Ma'sar machte eine Figur, welche ihm half, verborgene Dinge zu entdecken. Er prüfte sie und hielt betroffen inne. Der König fragte ihn: „Warum schwiegst du, warum bist du so überrascht?“

„Ich sehe eine ungewöhnliche Sache“, erwiederte der Astrologe.

„Was?“

„Ich sehe den Mann, den wir suchen. Er sitzt auf einem goldenen Berg und dieser Berg steht in einem Blutmeer. In der ganzen Welt kenne ich keinen Ort, der so aussieht.“

„Versuche es nochmals, vertausche die Figur und beobachte auf diese Weise die Lage der Sterne“, sprach zu ihm der König.

Der Astrologe tat es, sagte jedoch dem König: „Ich sehe nur das, wovon ich zu dir sprach. Das ist ein Fall, der sich mir bisher noch nie ereignete.“

Da zweifelte der König, dass er seinen Beamten auf diese Weise finden könnte. Deshalb verkündete er im ganzen Land und gab seinem Volke kund, dass er den Angeklagten und auch die Person, die ihn verborgen hielt, begnadige. Und gab auch sein Versprechen, dass er es aufrichtig meine. Der Mann, als er sich beruhigt hatte, verliess sein Versteck und trat vor den König. Da fragte ihn dieser, wie er sich verborgen hätte. Der Beamte erzählte es ihm. Dem König gefiel diese List, ebenso wie das meisterhafte Können, mit welchem der Astrologe diese aufgedeckt hatte.²³

Aus dem Inhalt der Anekdote ist evident, dass sie von einem beliebigen, berühmten Astronomen des Mittelalters (ähnlich wie die Anekdote über *al-Asma'i* von einem beliebigen Dichter) erzählt werden könnte. Sie illustriert vortrefflich, wie sich die mittelalterliche Gesellschaft die Arbeit eines Astronomen vorstellte und worin sie die Vorzüge und die Bedeutung seiner Beschäftigung sah. Die Anziehungskraft dieser Anekdote liegt nicht in ihrer Sprache, sondern in der Beschreibung der Schlauheit des Beamten, welche mit der Tüchtigkeit des Astronomen kontrastiert.

Ähnlichen Charakter hat auch die Anekdote über *Ǧa'far Barmakī*, den Kalifen *Hārūn al-Rašīd* und den Astrologen. Wir reproduzieren diese aus der Lebensgeschichte *Ǧa'far Barmakīs*:

²³ *Ibn Hallikān*: Band I, S. 310—311.

„Ga'far erfuhr, dass *al-Rašid* sehr niedergeschlagen sei, weil ein Astrologe, ein Kenner der Sterne, ihm prophezeit habe, dass er im Laufe des Jahres sterben werde. *Ga'far* machte sich sogleich zum Kalifen auf und traf diesen in grosse Trauer versunken an. Der Astrologe wurde angehalten und *Ga'far* fragte ihn: „Dusagst, dass der Fürst der Gläubigen im Laufe eines Jahres sterben werde?“

„Ja“, antwortete der Astrologe.

„Und wie lange wirst du leben?“, fragte ihn *Ga'far*.

„So und soviel Jahre“, rechnete der Astrologe aus.

Darauf sagte *Ga'far* zum Kalifen: „Lass ihn töten; so wirst du sehen, dass er gelogen hat, als er die Länge deines Lebens ausrechnete und gleichfalls als er sein eigenes berechnete.“

Und der Kalif liess ihn töten und die Trauer verliess ihn ganz. Er dankte seinem Wesir und befahl, man solle den Astrologen auf dem Galgen zeigen.²⁴

Diese Anekdoten zeugt von der Klugheit des Wesirs *Ga'far Barmakī*. Sie überliefert den bemerkenswerten Ausspruch, mit welchem er die dumme Behauptung des Astrologen widerlegte. Ihr anekdotischer Charakter ist unleugbar. Ähnliches Gepräge haben auch die übrigen Anekdoten der Lebensgeschichte *Ga'far Barmakīs*, welche die Würde, Grosszügigkeit und andere Vorzeile des berühmten Wesirs preisen.²⁵

Auch im Zusammenhang mit dem Sturz der Familie der Barmakiden (der *Kalif al-Rašid* liess ihre Angehörigen ermorden) findet man in dieser Lebensbeschreibung eine grosse Anzahl von Anekdoten über *Ga'far Barmakī*. Als Beispiel führen wir die nachstehende Anekdoten an:

Man erzählt, dass *Ga'far* in den letzten Tagen seines Lebens das Haus *al-Rašids* aufsuchen wollte. Er verlangte deshalb nach einem Astrolabium, um dazu eine glückliche Minute zu wählen. Er befand sich damals in seinem Heim am Ufer des Tigris. Da kam es, dass eben ein Mann, der ihn nicht kannte und auch nicht wusste, was dieser tat, in einem Kahn gefahren kam. Er sprach diese Verse:

Er zieht die Sterne zu Rate und weiss nicht,
dass der Herr der Welten tut, was er will.

Als *Ga'far* dies hörte, warf er das Astrolabium zu Boden und ging fort.²⁶

In dieser Anekdoten weist der geistreiche Ausspruch des unbekannten Bagdader Bürgers auf die vergebene Mühe *Ga'far Barmakīs* hin, einen günstigen Moment für eine Unterredung mit *al-Rašid* zu finden. Auch in den Sternen suchte *Ga'far* vergebens nach einem Ausweg; nichts half ihm, die schreckliche Hand des Schicksals von ihm und seiner Familie abzuwenden.

Eine Anzahl anderer Berichte bzw. Begebenheiten aus dem Leben verschiedener Persönlichkeiten, die *Ibn Hallikān* in sein Werk einflocht, hat verwandte, anekdotische Züge.

²⁴ *Ibn Hallikān*, Band I, S. 292—293.

²⁵ Vergleiche auch: Felix Tauer, op. cit., Band VIII. Kapitel: Inhalt, S. 211 usw. Der Autor reproduziert hier Begebenheiten aus *Tausendundeine Nacht*, welche die Grossmut und Grosszügigkeit der Barmakiden und anderer prominenten islamischen Staatsmänner besingen und rühmen.

²⁶ *Ibn Hallikān*, Band I, S. 303.

Dieser Umstand beweist eine interessante Tatsache: Die arabischen Biographen und Historiker (und nicht nur sie) verwendeten in ihren Werken reichlich folkloristisches Material anekdotischen Gepräges. Dieser anekdotische Stoff wurde ursprünglich mündlich überliefert und auch die Verbreitung neugestalteter Anekdoten (die Entstehung von Anekdoten als folkloristische Erscheinung datiert vom Zeitpunkt ihrer Annahme durch das Kollektiv) erfolgte auf ähnliche Weise.

Die Niederschrift resp. Erhaltung anekdotischen Materials in Werken der arabischen Literatur ist sehr alten Datums. Schon die ältesten literarischen Werke des islamischen Mittelalters (in unserem Falle ist von historischem Schrifttum die Rede) enthalten eine grosse Anzahl „unbeglaublicher Berichte“, d. h. verschiedener Histörchen über Taten, Aussprüche und Handlungen islamischer Persönlichkeiten im allgemeinen. Unter diesen unbeglaubigten Berichten gibt es eine grössere Anzahl richtiger Anekdoten. Wie schon bewiesen, sind sie ähnlichen oder identischen Charakters wie die in der folkloristischen Sammlung *Tausendundeine Nacht* aufgezeichneten Anekdoten. Falls man jedoch die Position, welche die arabische biographische Literatur im islamischen Mittelalter einnahm, berücksichtigt, — im Unterschied zur Folklore war es eine Literatur par excellence — ersieht man, dass das dort eingeflochtene anekdotische Material eine grundverschiedene Funktion erfüllt wie ähnlicher, in einer beliebigen folkloristischen Sammlung enthaltener Stoff.²⁷ Dazu muss man noch einige Worte hinzufügen:

Im gegebenen Fall nahm eine folkloristische Erscheinung — eine Anekdote —, die schriftlich verzeichnet und in einen historischen Kontext eingereiht war, vor allem eine historische Funktion an.

Wie ich es schon in meiner Studie über die Kompilation²⁸ erwähnte, hat die arabische historische (und auch biographische) Literatur dokumentarischen Charakter, Arabische Historiker bauten ihre Werke derart auf, dass diese Berichte in chronologischer Folge nur übermitteln bzw. aneinander reihen. Es wird in ihnen nichts

²⁷ Über das Geschick richtiger, folkloristischer Sammlungen — in unserem Falle von *Tausendundeine Nacht* — und der Stellungnahme mittelalterlicher, arabischer Literaten und Literaturhistoriker informiert uns treffend Felix Tauer, op. cit. Band VIII, Kapitel: *Entstehung und Entwicklung*, S. 131—139.

Die Feststellung, dass sich die Historiker in ihren Werken auf anekdotisches — mit dem Stoff von *Tausendundeiner Nacht* verwandtes — Material stützten, steht nicht in Widerspruch zur verbreiteten Anschauung, dass das anekdotische Material in die Sammlung *Tausendundeine Nacht* nicht unmittelbar aus der Folklore, sondern auf dem Wege der sogenannten „eruditte works“ übernommen wurde. (Siehe auch: Mia I. Gerhardt, op. cit., S. 27—36 u. a.); es wurde also durch Bücher, welche den Lebensgeschichten von *Ibn Hallikān* gleichen, vermittelt.

Wie der Leser schon konstatieren konnte, habe ich mir in dieser Studie nicht die Aufgabe gestellt, die Geschichte einzelner Anekdoten vom literarhistorischen Aspekt zu prüfen, sondern vor allem ihre Funktion — als primäre folkloristische Erscheinung — in der historischen bzw. biographischen Literatur zu bestimmen.

²⁸ Zur Frage des sogenannten „Kompilationscharakters“ der arabischen historischen Literatur des Mittelalters. *Sborník FFUK XVII, Historica*. Bratislava 1966, S. 118-124.

erörtert noch kommentiert. Diesem Gepräge der historischen Literatur entspricht auch die Art der Wiedergabe der einzelnen Berichte in den Büchern. Jeder Bericht muss (durch Angabe der Autoritäten, die ihn überliefern) beglaubigt und gesellschaftlich angenommen sein. Die Kraft der von der muselmännischen Gemeinde anerkannten Autoritäten war im Mittelalter bedeutend; die Autoritäten verliehen den Werken ihre Punze.

Deshalb haben auch die in Biographien und historischen Schriften angeführten Anekdoten häufig schon durch die blosse Tatsache, dass sie von arabischen Historikern formal als solche angegeben werden, den Charakter historischer Berichte

Als Beispiel reproduziere ich den einleitenden Abschnitt der Lebensgeschichte *al-Ahnafs ibn Kajs* mit der Anekdoten, die gleich auf die Angabe des Stammbaumes und einer kurzen Charakteristik dieser Persönlichkeit folgt:

Abū Bahr ad-Dīkhāk ... (es folgt der ganze Stammbaum), al-Ahnaf genannt, der angeblich auch den Namen *Sāhr* trug, war ein Mann, dessen Weitblick sprichwörtlich wurde. Er war einer der bedeutendsten *Tābis* — Gott habe Wohlgefallen an ihnen —, erlebte die Zeit des Propheten — Gott segne ihn und gebe ihm Heil —, gehörte jedoch nicht zu seinen Jüngern (*Ashāb*). *Al-Hāfiẓ Abū Nu’ajm* erwähnt ihn in der Geschichte der Stadt *Iṣbahān* und im Buche der Kenntnisse von *Ibn Kutajba* steht über ihn geschrieben: Und es kam einst der Bote Gottes — Gott segne ihn und gebe ihm Heil — zu den Angehörigen des Stammes *Tamīn* und forderte sie auf, den Islam anzunehmen. Damals war auch *al-Ahnaf* unter ihnen. Kein einziger vom Stämme wollte dem Propheten folgen. Da sprach *al-Ahnaf* zu ihnen: „Dieser Mann fordert euch auf, vorzügliche Eigenschaften euch anzueignen und das zu verwerfen, was schlecht ist. Deshalb werdet Muselmänner!“ Und *al-Ahnaf* nahm den Islam an. Aber er hatte mit dem Propheten keinen Umgang. Als die Zeit des Kalifens Umar anbrach ...²⁹

Aus diesem Beispiel ist ersichtlich, dass die Anekdoten in der Weise, welche für historische Berichte üblich war, angeführt wird. In den epischen Charakter der Lebensgeschichte wurde sie als Beweismaterial eingeflochten. Sie berichtet darüber, wie *al-Ahnaf* (Häuptling des Stammes *Tamīn* und eine aus der Frühgeschichte des Islams sehr bekannte Persönlichkeit) vor seinen Stammesbrüdern die Sache des Propheten vertrat und diese zur Annahme des Islams zu bewegen suchte. Der Nachdruck auf *al-Ahnafs* Toleranz dem Islam gegenüber war aus politischem Gesichtspunkt in der Epoche des frühen Islams sicherlich von Bedeutung;³⁰ dieser Umstand wurde später zur historischen Tatsache. Die Anekdoten hat demnach zweifellos historisch-dokumentarischen Charakter.³¹ Daraus folgt, dass der Leser

²⁹ *Ibn Hallikān*, Band 2, S. 186.

³⁰ Über die Bedeutung *al-Ahnafs* für den frühen Islam schlägt in der erwähnten Biographie *al-Ahnafs* nach: *Ibn Hallikān*, Band II, S. 186—219. Sie dokumentiert sehr treffend die in den arabischen Ländern zur Zeit der Machtübernahme durch die Omayaden herrschende komplizierte historische Situation.

³¹ Von der gesellschaftlichen Funktion der Anekdoten resp. anderer literarischen Elemente der Biographien (Verse, Aussprüche, etc.) war schon zu Beginn dieser Studie die Rede; ich werde sie daher im Rahmen dieser Erwägung nicht eingehender besprechen. Wir würden nämlich

eine derart wiedergegebene Anekdoten — und in historischen Werken reproduzierte Anekdoten im allgemeinen — anders auffassen musste wie eine auf der Strasse gehörte oder in der folkloristischen Sammlung Tausendundeine Nacht enthaltene Anekdoten.

Aus der Lebensbeschreibung *al-Ahnafs ibn Kajs* übersetzen wir noch eine Anekdoten:

Und ‘Abd ar-Rahmān ibn ‘Umāra ibn ‘Ukba ibn Abī Mu’ājt erzählt: Ich nahm in Kufa am Begräbnis *al-Ahnafs* teil und war unter denen, die in die Gruft hinabstiegen. Als ich den Körper des Toten auf seinen Platz gelegt hatte, sah ich plötzlich, dass sich der mich umgebende Raum der Gruft nach allen Seiten breit und weit ausdehnte. Und ich schaute, ohne ein Ende zu erblicken. Ich sagte dies den anderen, sie hatten jedoch nicht die Vision, die ich hatte. — Diesen Bericht überlieferte uns Ibn *Jānūs* in seinem Lebensgeschichten berühmter Muselmänner, die sich in Ägypten aufhielten ...³²

Diese Anekdoten betont erneut die historische Bedeutung der Persönlichkeit *al-Ahnafs* als berühmten Muselmans und Arabers. Wie bekannt, betrachtete man bei den alten Arabern eine derartige Vision als besondere, dem Toten erwiesene Gunst Gottes.

Die Konsequenz, mit welcher die arabischen Historiker in ihren Werken die Art der Wiedergabe von Berichten (des ganzen verschiedenartigen Materials, die Anekdoten inbegriffen) beibehielten, verursachte, dass man heute in einem beliebigen historischen Werke die Anekdoten nur schwerlich von einem halbwahren Histörchen oder einem wahren Bericht unterscheiden kann.

Auch aus anderen Gründen ist das Vorkommen von Anekdoten in den Werken arabischer Biographen kein Zufall. In den Augen eines mittelalterlichen Autors (und auch seines Lesers) wird die Wirklichkeit nicht von äusseren, individuellen, zufälligen Elementen, sondern von grundlegenden, allgemeinen und typischen Elementen gebildet. Wenn ein mittelalterlicher Autor z. B. das Leben einer Persönlichkeit beschreibt, behält er das allgemein gültige Schema ihrer Eigenschaften bzw. Tugenden, die von einer solchen Persönlichkeit gefordert wurden, bei. Er trachtet nicht, die Züge, welche die Originalität der einzelnen Persönlichkeiten ausmachten, zu erfassen. Nur selten lesen wir eine psychologische Motivierung der Taten der handelnden Personen. Daraus resultiert die typisierende, für die mittelalterliche Literatur charakteristische Beschreibung.³³

Auch bei *Ibn Hallikān* sind die Gestalten idealisiert resp. typisiert. Die vorzüglichen

in eine andere Sphäre, in welcher das Werk *Ibn Hallikāns* als literarisches Faktum eingeschätzt wird, übergehen.

³² *Ibn Hallikān*, Band II, S. 191.

³³ Die Charakteristik der mittelalterlichen Einstellung zur Wirklichkeit übernehme ich von Jan Vilíkovský, op. cit., S. 243. In diesem Zusammenhang siehe auch: von Grunebaum, *Islam*, S. 329—375 und vor allem S. 334 usw., wo der Autor den epischen und dokumentarischen Charakter der arabischen biographischen Literatur analysiert.

Eigenschaften, welche *Ibn Hallikān* bei *Gāfar*, dem Wesir *Hārūn al-Rasīds* feststellte, würde man in der Lebensgeschichte eines jeden Wesirs des islamischen Zeitalters vorfinden.³⁴

In diesem Zusammenhang ist nicht anzuzweifeln, dass gerade die Anekdote als folkloristische und anonyme Erscheinung, welche Personen einer bestimmten Kategorie sei es vom Gesichtspunkt ihrer sozialen Stellung oder ihrer Beschäftigung charakterisiert, das enthält, was dem mittelalterlichen Leser am nächsten stand, was ihn in seinem Verhältnis zum Menschen am meisten interessierte.

³⁴ Siehe von Grunbaum, *Islam*, S. 356—357. Von Grunbaum weist auf die Art der Charakterisierung *Gāfars* durch *Ibn Hallikān* hin.

EINIGE ERKENNTNISSE ÜBER DIE WIRTSCHAFTSSTEUERUNG ÄGYPTENS IM ALTERTUM

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Im vorliegenden Artikel versuchen wir die Form der Wirtschaftssteuerung Ägyptens im Altertum anzudeuten, wobei wir aus einer in unserem Forschungsinstitut ausgearbeiteten Studie ausgehen, deren Zweck es war, die Entwicklung der einzelnen Steuerungsmittel und das Funktionieren der grundlegenden Wirtschaftssysteme Ägyptens im Altertum in ihren Grundzügen zu beleuchten. Wir haben versucht zwei Modelle des Systems der Wirtschaftssteuerung aufzustellen, die jedoch Übergangscharakter haben und die wir in einer weiteren Studie vervollkommen werden¹. Es sei bemerkt, dass der vorliegende Artikel die Wirtschaftsverhältnisse einer sehr langen Periode — etwa 2500 Jahre — verfolgt. In dieser langen Epoche entwickelte sich das alte Ägypten in steter Folge und es änderten sich auch seine Wirtschaftsverhältnisse, in dieser Entwicklungsperiode sind jedoch bestimmte Merkmale zu unterscheiden, die die einzelnen Epochen charakterisieren.

Vor dem Entstehen eines geeinten Staates bestand Ägypten aus einigen Regionen mit einem Vorsteher an der Spitze. Die Bevölkerung ernährte sich vom Ertrag des Bodens, auf welchem nach der Überschwemmungsperiode des Nils fruchtbare Schwarzerde (Humus) zurückblieb. Die Erträge dieser natürlich überschwemmten Bodenfläche genügten jedoch bald nicht mehr für die Ernährung der ständig anwachsenden Bevölkerungszahl. Mehr Produkte konnten nur durch Vermehrung der anbaufähigen Bodenfläche erzielt werden. Durch den Ausbau eines einheitlichen und komplizierten Bewässerungssystems war es möglich auch auf höher gelegenen Stellen Anbauflächen zu gewinnen, wodurch sich die Abhängigkeit von der durch den Nil alljährlich, jedoch ungeregelt bewässerten Anbaufläche bedeutend verringerte. Die Notwendigkeit gemeinsamer Arbeit am Bewässerungssystem erforderte eine einheitliche Regelung auf dem Gebiet ganz Ägyptens und führte so zur Entstehung

¹ In meiner Arbeit unterstützte mich Dozent Anton Klas, Direktor des Forschungsinstitutes der Hochschule für Ökonomie mit anregenden Ratschlägen.

eines geeinten Staates, der die ältesten kleinen Staatsgebilde verschlang. Die Aufsicht über das Bewässerungssystem und die Arbeiten an deren Erweiterung wurden zu einer der grundlegenden Funktionen des ältesten Staates. Einen anschaulichen Beweis dessen finden wir auf einem aufgefundenen Stock des altägyptischen Herrschers „Skorpion“. Auf diesem Stock ist der Herrscher als guter Verwalter abgebildet, der auf den Ausbau des Bewässerungssystems bedacht ist. Er hält eine Hacke in der Hand und eröffnet mit feierlichem Spatenstich den Bau eines Kanals. Hieraus ist ersichtlich, dass eine der Hauptpflichten des Herrschers die Sorge um die Entwicklung der landwirtschaftlichen Erzeugung seines Landes war.² Eine objektive Voraussetzung der Erweiterung der Anbaufläche durch den Ausbau der Kanäle war die Entdeckung des Kupfers und der daraus hergestellten kupfernen Geräte, ohne welche diese grossartigen Arbeiten undenkbar wären.

Die Geschichte Ägyptens können wir in mehrere Epochen teilen, welche wir infolge ungenügender Daten nicht nach den einzelnen Jahrhunderten, sondern nach den Herrscherdynastien bezeichnen. Im Zeitabschnitt der Unabhängigkeit Ägyptens können wir drei Epochen der höchsten politischen, wirtschaftlichen und kulturellen Macht beobachten, die der geschichtlichen Aufteilung Ägyptens im Altertum durch die moderne Wissenschaft auf das alte, das mittlere und das neue Reich entsprechen. Diese Epochen wurden stets durch Übergangsperioden unterbrochen, welche durch einen politischen und wirtschaftlichen Verfall Ägyptens charakterisiert waren.

Das alte Reich umfasst die Epoche der Herrscher der I. bis VI. Dynastie. Die Vereinigung Ägyptens gegen Ende der II. Dynastie brachte dem Lande einen grossen wirtschaftlichen Aufschwung. Es entstand ein starker, zentralisierter Staat, in welchem die gesamte Staatsverwaltung in den Händen der königlichen Beamten, hauptsächlich Mitglieder der königlichen Familie, lag. Die Epoche der IV. und V. Dynastie bedeutete den Höhepunkt der ersten grossen Blütezeit der altägyptischen Wirtschaft. Die Tätigkeit der ägyptischen Regierung richtete sich hauptsächlich auf die Eroberung der Nachbarländer und auf die innere Festigung des Staates. Der innere Frieden und die Entwicklung, deren sich Ägypten in dieser Epoche erfreute, beginnt unter der VI. Dynastie zu verfallen. Diese Dynastie brachte schon den Keim einer Schmälerung der königlichen Macht mit sich, was den Anfang grosser wirtschaftlicher Änderungen bedeutete. Die Beamten aus königlicher Familie bildeten nur mehr eine unscheinbare Minderheit, die patriarchalische despotische Monarchie wurde zur despotischen Monarchie der Beamten. Das Ende des alten Reichs stand im Zeichen des steten Verfalls der königlichen Macht, was sich hauptsächlich in der Abschwächung des königlichen Einflusses auf die Verwaltung der Kreise offenbarte, und zur Dezentralisation der Landesverwaltung führte. Der

² M. Verner—J. Málek, *Herrscher „Skorpion“ der Vereiniger Ägyptens*. Nový Orient, Nr. 2, 1965.

ägyptische Staat zerfiel allmählich auf halbunabhängige Gebiete, auf jene alten Kreise, aus deren Vereinigung er seinerzeit entstand. Der wirtschaftliche Verfall, welcher durch Zerfall auf einzelne kleinere Gebiete entstand, verschärfe die Klassen-gegensätze und führte zu Volksaufständen. In der Epoche der Dezentralisation wurden die Bewässerungsarbeiten nur in beschränktem Umfang durchgeführt, infolgedessen diese zu verfallen und der Zerstörung anheimzufallen begannen. Die Verschlechterung der Wirtschaftslage erforderte eine neuerliche Vereinigung des Landes. Die mächtigsten Kreise (Gae)³ Ägyptens begannen deshalb den Kampf zur Erneuerung der staatlichen Einheit.

Das mittlere Reich. Während der Herrscherepoche der XI. und XII. Dynastie im mittleren Reich entstand in Ägypten erneut ein zentralisierter Staat. Zur Festigung der königlichen Macht trugen die siegreichen Kriege mit den Nachbar-völkern bei, die im Süden zu Eroberungskriegen wurden. Die Blütezeit des mittleren Reichs fällt in die Epoche der XII. Dynastie. Es entstanden grosse Sklavengüter, die alle Voraussetzungen zu einer grossen Entfaltung der Landwirtschaft und der Viehzucht schufen. Die Entfaltung der Landwirtschaft war auch mit der Entwicklung der handwerklichen Erzeugung verbunden. Von der damaligen allgemeinen wirtschaftlichen Blüte zeugt auch die Entwicklung des Transports zu Lande und zu Wasser, das Wachsen der Städte und die Ausweitung des ausländischen und in-ländischen Handels. Es werden grosse Handelsexpeditionen organisiert. Man baut und befestigt die Handelsstrassen, die für die Entwicklung der ägyptischen Wirtschaft von grosser Bedeutung sind.

Die Unfähigkeit der letzten Könige der XII. Dynastie wurde von den Verwaltern der einzelnen Kreise dazu ausgenutzt, um die Einheit des Staates zu zerschlagen, wenn auch ein solcher Zerfall des Landes, welcher auf das alte Reich folgte, sich nicht mehr wiederholte. In der Zeit der XIII. und XIV. Dynastie entstand ein erneuter Zerfall der geregelten Beamtentätigkeit, die Korruption, die Erpressung, die Vernachlässigung der Amtspflichten und die Defraudation nahmen überhand. Die asiatischen Stämme, welche die innere Schwäche Ägyptens ausnützen, begannen in das Delta vorzudringen und beherrschten allmählich den nördlichen und mittleren Teil Ägyptens und herrschten daselbst über 100 Jahre.

Das neue Reich (XVII.—XX. Dynastie). Zu neuen Zentralisierungsbestrebungen kommt es erst an der Wende der XVII. und XVIII. Dynastie. Vor allem war es notwendig die Einheit des Reiches zu festigen und die Staatsverwaltung zu regeln. Die Einheit des Reiches wurde von den erblichen Verwaltern der Kreise gefährdet, weshalb die Verwaltung wieder in den Händen der königlichen Beamten vereinigt wird. Auch die Städte und Befestigungen wurden von eigenen Vorstehern verwaltet, die vom König ernannt wurden. Es entstand ein komplizierter Apparat der Staats-

³ H. Ranke benützt in seinem Werk: *Aegypten und aegyptisches Leben* das Wort *Gau*. Ich ziehe die Bezeichnung *Kreis* vor. (Anm. d. Autors.)

verwaltung, das Land wurde in zwei grosse administrative Gebiete aufgeteilt — in Süd- und Nordägypten. Ein wesentliches Merkmal des ägyptischen Staates zu jener Zeit war sein scharf ausgeprägter militärischer Charakter. Es wurde ein erfahrener, neu ausgerüsteter Heer aufgestellt, mit dessen Hilfe die Aegypter im Altertum vor den Römern das grösste Imperium geschaffen haben. Der Grund für eine Erneuerung der Eroberungspolitik bestand in hohem Masse im Anwachsen der Produktionskräfte des Landes. Die Wege, auf denen sich die Kriege verbreiteten, waren durch jene Wege bedingt, auf welchen sich die wirtschaftliche Expansion der Ägypter vollzog. Die Entfaltung der Landwirtschaft und des Gewerbes, der ständige Bedarf an Rohmaterialien, an Sklaven, und die Notwendigkeit einer weiteren Entwicklung des umfangreichen Aussenhandels waren die Hauptgründe der räuberischen Eroberungskriege. Ägypten erreicht im neuen Reich den Höhepunkt seiner politischen und wirtschaftlichen Macht. Der gute Stand der Staatskasse (des königlichen Schatzhauses), die reichen Staatseinnahmen ermöglichten eine wesentliche Erhöhung des Lebensniveaus der gesamten Bevölkerung.

Gegen Ende des neuen Reiches begann ein langsamer aber steter Verfall Ägyptens. Die Zahl jener Kreisverwalter, die ihre eigenen Interessen den Interessen des Königs unterordneten, wurde immer geringer, wohingegen die Zahl jener, die den König überhaupt nicht anerkannten, weil diesem die finanziellen Mittel, später auch die zum Regieren notwendigen persönlichen Eigenschaften fehlten, ständig zunahm. Die Situation des Staates und der Bevölkerung verschlechterte sich zusehends. Das Heer war schlecht besoldet und seine Zahl wurde verringert. Die logische Folge dessen war, dass Ägypten den grössten Teil seiner Provinzen in Asien verlor, welche vordem seine Haupteinnahmsquelle bildeten. In dieser Epoche des politischen Verfalls Ägyptens vollzog sich ein ständiger Wechsel der zentralisierten Steuerung und der Bildung von Kleinstaaten.

Einer jeden historischen Epoche entspricht ein bestimmter Modelltyp des Systems der Wirtschaftssteuerung, u. zw. das zentralisierte und dezentralisierte Modell der Steuerung. Bevor wir jedoch an die Beschreibung der einzelnen Modelltypen gehen, machen wir uns kurz mit der altägyptischen Staatsverwaltung, mit dem administrativen Apparat, mit der Finanzverwaltung und mit den einzelnen sozialen Gruppen vertraut, um später bei der Beschreibung der einzelnen Modelle nicht hierauf zurückkommen zu müssen.

Die Staatsverwaltung

Im historischen Zeitabschnitt bestand Ägypten aus zwei Territorien, welche durch ihre Bodenbeschaffenheit voneinander sehr verschieden waren — aus Ober- und Unterägypten. Diese zwei Territorien waren in Kreise, griechisch in sogenannte Nomen geteilt; das obere Ägypten hatte 22 Kreise, das untere 20. Diese existierten

während der ganzen historischen Epoche Ägyptens im Altertum. Ein jeder Kreis hatte seine eigene Verwaltung, die der zentralen Verwaltung unterstand, welche sich stets in jener Stadt befand, in welcher der König seinen Sitz hatte. Die Kreisverwaltung bestand aus der Verwaltung der Kreisstadt und der Verwaltung der Provinz. Der letzteren unterstanden die Selbstverwaltungen sämtlicher Siedlungen des Kreises. Der Kreis wurde vom Kreisverwalter — dem Nomarchen verwaltet, dessen Machtbefugnis nur durch die Machtbefugnis des Wesirs begrenzt war. Die Staatsverwaltung, deren Basis die Verwaltung der ehemaligen Gemeinschaften — des Älterenrates war — lag ganz in der Hand der Kreisverwalter. Zur Ausübung ihrer Macht hatten die Kreisverwalter die Polizei zur Verfügung. Sie waren für die Leitung der Wirtschaftsverwaltung der einzelnen Kreise verantwortlich und leiteten auf Veranlassung des Königs die Bewässerungsarbeiten in ihrem Kreis, beaufsichtigten die staatliche Viehzucht, nahmen für den König die Steuern ein, deren Höhe vom königlichen Apparat bestimmt wurde, und führten sie an das königliche Schatzhaus ab.

Der König. Uneingeschränktes Oberhaupt des ägyptischen Staates im Altertum war der König — der Pharao, dessen königliche Macht sich aus der Macht des vorgeschichtlichen Stammesfürsten entwickelte. Der König war gleichzeitig Gott und damit auch allmächtiger Herr und Eigentümer ganz Ägyptens, sämtlichen immobilen und mobilen Eigentums seiner Untertanen. Von seinem Willen hing deren Freiheit und Leben ab. Die materielle Grundlage der königlichen Autokratie bildeten die unendlichen Ackerflächen und die Menschenmassen, über welche der König verfügen konnte. Die despotische Macht des Königs wurde durch seine direkte Teilnahme an der Staatsführung gewährleistet. Der König empfing täglich seinen ersten Minister-Wesir, welcher ihm genaue Informationen gab, und entschied über alle wichtigen Fragen der Innen- und Außenpolitik. Alles im Staat unterstand in letzter Instanz den Befehlen der königlichen Macht; die Vorkehrungen für die Bewässerungsarbeiten, die Gerichtsbarkeit und die Strafaufwerfung, Ernennungen und Güterzuteilungen (Geschenke), Bestimmung der Pflichten und deren Erlassung, Kriegszüge, Reisen ins Ausland, Verfügungen bezüglich der Schiffahrt, der staatliche Aufbau und der Bergbau.

Die Macht des Herrschers war jedoch in der Praxis durch die Gewalt einiger Gruppen der herrschenden Klasse begrenzt. Einmal war es der Adel, ein anderesmal Repräsentanten der Armee, am häufigsten jedoch die Priesterschaft.

Der Wesir. Zu Beginn der IV. Dynastie führte der König die Funktion des ersten Ministers — Wesirs ein, der nach dem König die höchste Persönlichkeit im Staat war, und besetzte sie mit Mitgliedern seiner eigenen Familie, was zweifellos sehr zur Verstärkung der altägyptischen Despotie beitrug. Die Funktion des Wesirs erforderte jedoch so mannigfaltige Kenntnisse, dass sie mit der V. Dynastie beginnend an hohe Beamte vergeben wurde, die zwar nicht von königlichem Geblüt waren, jedoch über reiche Erfahrungen verfügten. In den Händen des Wesirs lag die Ver-

waltung des ganzen Landes, für welches er dem König verantwortlich war. Er übte an Stelle des Königs die Funktion des höchsten Richters aus und stand als solcher dem höchsten Gericht vor. Als Vertreter des Königs war er das Oberhaupt der Amtsverwaltung; ihm unterstand auch die höchste Finanzverwaltung. Der Wesir war auch mit der Verwaltung des Bauwesens betraut, er war eine Art Minister für öffentliche Arbeiten. Seine Hauptfunktion bestand jedoch in der Steuerung der staatlichen Landwirtschaft und der Viehzucht.

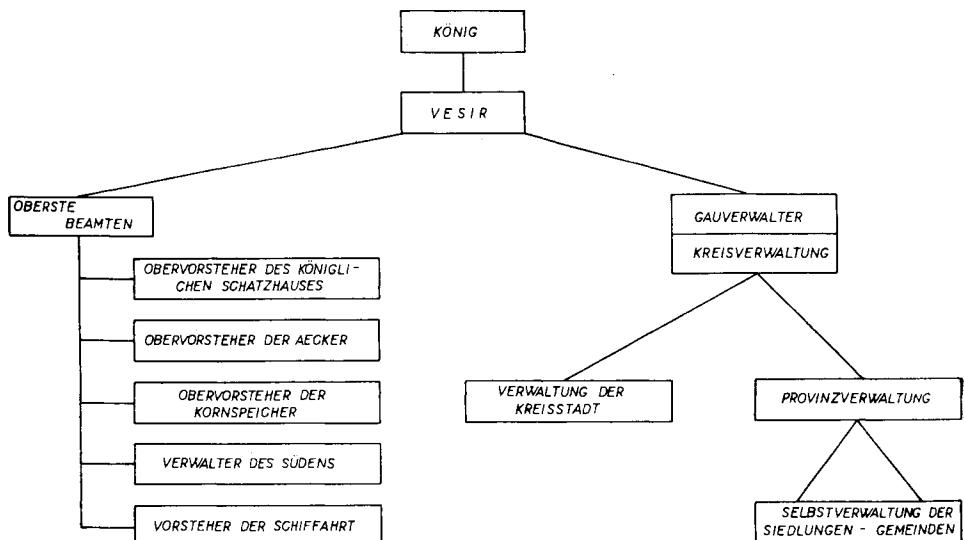


Abb. 1.

Die Beamten. Die Ämter, an deren Spitze der Wesir stand, wurden von einer grossen Anzahl von fachmännischen Verwaltungs- und Exekutivbeamten und Schreibern verwaltet. Die höchsten Würdenträger waren der Obervorsteher des königlichen Schatzhauses, welcher auch den Aussenhandel leitete und die Bergwerke und Steinbrüche verwaltete, der oberste Verwalter des Ackerbodens, der Obervorsteher beider Speicher, der Verwalter des Südens und in jüngerer Zeit der Vorsteher der Schiffahrt. Der oberste Verwalter des Ackerbodens verzeichnete in den Grundbüchern alle Veränderungen, die durch Verkauf, Schenkung, Erbschaft entstanden sind, er leitete die Streitfälle in Bodenfragen, über welche jedoch der Wesir oder der König selbst entschied. In die Kompetenz des Vorstehers der beiden Speicher fielen auch die Einnahmen und Ausgaben dieser Speicher. Seine Aufgabe war unter anderem, das Getreide gleichmässig zwischen Ober- und Unterägypten zu verteilen, wie auch in jenen Gebieten, welche zum aegyptischen Reich gehörten. Er bereitete den Voranschlag der Staatsausgaben vor, vor allem der Gehälter der Staatsangestellten, der Arbeiter, die für den Staat arbeiteten, und auch anderer Arbeiter.

Schliesslich hatte er zu bestimmen, welcher Vorrat an Getreide in den Speichern belassen werden soll, um bei einer Fehlernte im folgenden Jahr genügenden Vorrat zu haben. An Hand königlicher Entscheidung wurden im alten Ägypten die Beamten je nach Bedarf aus einem Fach in das andere und aus einem Kreis in den anderen versetzt. Bedingung zur Einstellung als Beamter war im alten Ägypten die Beherrschung des Schreibens unumgänglich notwendig, weil das Amtieren schon von der ältesten Zeit her schriftlich geschah. Die einzige Einkunft eines Beamten war ursprünglich sein Gehalt in Naturalien aus dem königlichen Schatzhaus. Für besondere Dienstleistungen entschädigte sie der König mit individuellen Geschenken. (Siehe Abb. 1.)

Die Finanzverwaltung

Die Konzentration des Bodenfonds in den Händen des Staates und die Notwendigkeit, das ganze System der künstlichen Bewässerung zu organisieren, führten allmählich zur Schaffung der ältesten finanzwirtschaftlichen Verwaltung, deren Mittelpunkt das staatliche (königliche) Schatzhaus in jener Stadt war, in welcher der König seinen Sitz hatte. Da alle Einnahmen und Ausgaben in Naturalien bezahlt wurden, bestand das königliche Schatzhaus aus Speichern, Stallungen, Lagerhäusern und hatte in allen Kreisstädten ihre Zweigstellen. Die Verwaltung des königlichen Schatzhauses wurde dem Oberschatzmeister übertragen. Es war dies der höchste Beamte nach dem Wesir und unterstand seiner Aufsicht. Beim obersten königlichen Schatzhaus war auch die zentrale Buchführung mit ihrem Archiv, in welchem das Verzeichnis sämtlicher Staatseinnahmen und -ausgaben aufbewahrt wurden.

Die wichtigsten Staatseinnahmen waren die Steuern. Steuern einführen, senken, erhöhen oder erlassen konnte nur der König mit seinem Dekret. Die Staatseinnahmen können wir ihren Quellen nach wie folgt aufteilen:

1. Die Steuer aus dem Bodenertrag, aus den Gärten, die Viehsteuer, die Steuer aus den Hausarbeiten, die Goldsteuer, d. h. aus den künstlerischen und gewerblichen Erzeugnissen, die Steuer aus Verträgen, aus dem Einkommen der Beamten, Abgaben für Amtshandlungen, Strafen, Lösegelder, Konfiskation des Eigentums, Besteuerung der Tempel, Einfuhrzölle, Handel, Mautgelder.

2. „Horusdienst“. Dieser bestand darin, dass der Kreis verpflichtet war den König und sein Gefolge bei dessen Besuch des Kreises zu erhalten und auch für die Verköstigung der Beamten, Miliz- und Militärabordnungen, welche in den Kreis entsandt wurden, zu sorgen.

3. Die königlichen Monopole, wie die Förderung in den Bergwerken und Steinbrüchen, der Handel mit dem Ausland, das königliche Leinen, die Papyrusse.

4. Das Verdingen der Sklaven, die Erträge aus dem königlichen Eigentum, Handelsgewinne aus dem Verkauf eigener Waren.

5. Abgaben der unterworfenen Fremdvölker, Kriegsbeute, Geschenke fremder Könige.

Die Staatsausgaben zahlte der Wesir gemeinsam mit dem Oberschatzmeister aus dem königlichen Schatzhaus.

Die Staatsausgaben kann man in zwei Gruppen teilen:

1. In jährliche, regelmässig sich wiederholende Ausgaben, welche vom Wesir genehmigt wurden, wie: Gehälter der Beamten, der Künstler, der Handwerker und Arbeiter, die Kosten der Bewässerungsarbeiten, die Erhaltungskosten des Militärs, die Aufrechterhaltung des Transports, die Verwaltungskosten der Ämter, die Erhaltungskosten des königlichen Hofes.

2. Aussergewöhnliche Ausgaben, zu deren Gutheissung ein königliches Dekret notwendig war. Hierzu gehörte der Tempelbau, der Bau von Befestigungen und Palästen, die Gründung von Opferfonds für die Götter und die Geister der Verstorbenen, Geschenke für die unfreien Beamten, Soldaten und Priester, Geschenke an die Tempel, an fremde Könige, eventuell Abgaben an fremde Eroberer, zum Ankauf von Getreide im Ausland in schlechten Erntejahren.⁴

Die Priesterschaft

Einiger tatsächlicher Priester und Oberhaupt aller Religionskulte im Ägypten des Altertums war der König. Es gab jedoch viele Götter und Tempel, deshalb liess sich der König in den übrigen Städten durch die höchsten Priester der einzelnen Götter vertreten. Ständige Priester waren ursprünglich nur die Kreisverwalter, in der Zeit des patriarchalischen Absolutismus vor allem die Söhne des Königs und entferntere Verwandte. Erst später, als die Zahl dieser nicht mehr ausreichte, wurden auch andere Personen zu Priestern gewählt. In jener Epoche, in welcher die Ämter der Kreisverwalter erblich wurden, wurde auch das höchste Priesteramt erblich, welches damit verbunden war. Die Erblichkeit des Priesteramtes dehnte sich allmählich auf alle priesterlichen Funktionen aus.

Die ägyptischen Könige betrachteten es als ihre Pflicht ihren Göttern neue Tempel zu bauen oder zumindest jene Tempel, welche von ihren Vorgängern erbaut wurden, zu restaurieren und zu vergrössern, je nach ihren finanziellen Möglichkeiten. Sie gewährten den Tempeln einen Teil der Staatseinkünfte und gaben ihnen die umliegenden Güter mitsamt den Sklaven zur Benützung, welch letztere die Pacht für die Bodennutzung von nun an an die Tempel und nicht mehr dem Schatzhaus abführten. Ebenso entrichteten jene Städte, welche den Tempeln gehörten, ihre Steuer an das Schatzhaus der Tempel. Die Verwaltung der grossen ägyptischen Tempel war sehr kompliziert. An der Spitze dieser autonomen Körperschaft stand

⁴ Lexa, F., *Veřejný život v starověkém Egyptě*, I. Praha 1955.

der erste Diener Gottes, der alle Gewalt in seinen Händen konzentrierte, die dem bedeutenden Eigentum des Tempels entsprang. Den Grossteil der Beamtenenschaft bildeten die Tempelpriester, welche in zwei Gruppen geteilt waren. In die erste Gruppe gehörten z. B. die Beamten der Finanzverwaltung, deren Pflichten ein ununterbrochenes Amtieren erforderte. In die zweite Gruppe gehörten jene Beamten, die abgelöst werden konnten, oder deren Ablösung wünschenswert war, z. B. Priester, die den Gottesdienst zu versehen hatten, oder Aufseher mobilen Vermögens (Eigentums). Die erste Gruppe empfing Lohn für jeden Monat, die zweite Gruppe nur für jene Monate, während welcher sie arbeitete.

In Ägypten waren die Priester Träger der Bildung. Sie waren hervorragende Wissenschaftler, welche namentlich in der Astronomie, Mathematik und in der Heilkunde bedeutende Erfolge erzielten. Auch die Schulen waren in der Mehrzahl der Fälle den Tempeln zugeordnet.

Die Ackerbauer

Der Ackerboden war mit Bauern besiedelt, die die grundlegende Produktionskraft des Landes bildeten. Es waren dies die freien Angehörigen der alten nachbarlichen Gemeinschaften, von denen ein jeder das ihm zugewiesene Stück Ackerland bearbeitete. Aus dem Ertrag des bearbeiteten Bodens führten die Ackerbauer dem König unter dem Titel des Bodeneigentümers Steuer auf verschiedene Weise ab. Es ist uns nicht bekannt, den wievielen Teil seines Ertrages der Ackerbauer abgeben musste, es waren dies allem Anschein nach 20 % wie in den jüngeren Epochen.⁵ Die jährliche Abgabe an das königliche Schatzhaus war jedoch nicht die einzige Ausgabe, die der Bauer zu leisten hatte. Zu dieser Abgabe kamen noch weitere hinzu, von welchen der später erwähnte „Horusdienst“ die Bauern am meisten belastete. Diese waren ausserdem verpflichtet an den Arbeiten des Bewässerungsnetzes teilzunehmen, neue Bewässerungsgräben auszuheben und die alten instandzuhalten, sich am Bau von Palästen, Tempeln und Pyramiden für die Pharaonen zu beteiligen. Nebst den Anverwandten des Königs und der Hofleute waren nur die Beamten und die höheren Priester der körperlichen Arbeit enthoben. Dieses Grundgesetz blieb bis zum Ende der ägyptischen Selbständigkeit erhalten.

Die Bauern teilten meist das Geschick des Bodens, den sie bearbeiteten. Wurde dieser vom König irgendeinem hervorragenden Würdenträger als Geschenk übertragen, ging der Boden mitsamt den dort ansässigen Bauern in das Eigentum des neuen Besitzers über. Bezüglich der Steuern war das Verhältnis der Bauern zum neuen Eigentümer dasselbe wie vorher zum König. Trotz dieser Abhängigkeit kann man jedoch diese Bauern nicht als Sklaven bezeichnen.

⁵ Daselbst.

Die Handwerker

Im Ägypten des Altertums bestanden keine günstigen Verhältnisse für das Entstehen und die Entfaltung eines freien Handwerkerstandes. Da der König ausschliesslicher Besitzer aller Steinbrüche und Bergwerke war, wie auch aller Waren, welche aus dem Ausland eingeführt wurden, verarbeiteten die Handwerker überwiegend fremdes Material, konnten über ihre Erzeugnisse nicht frei verfügen und bekamen für die geleistete Arbeit bestimmten Lohn. Auch die altägyptischen schaffenden Künstler wurden ihrem Stande nach in die Kategorie der Arbeiter eingereiht. Die Handwerker vereinigten sich je nach Beschäftigungsart und waren sehr spezialisiert. Sie arbeiteten überwiegend in grossen Werkstätten, welche grösstenteils dem königlichen Hof und den Tempeln gehörten.

Die Sklaven

Das Sklaventum Ägyptens im Altertum ist noch nicht ganz erforscht. Guterhaltene Angaben zeugen jedoch davon, dass es schon im alten Reich Sklaven gab, obzwar sie eine verschwindende Minderheit der physisch Arbeitenden bildeten. Ihre Stellung war jedoch nicht so bedauernswert wie in anderen Despotien, was auch daraus ersichtlich ist, dass die Ägypter für ihre Sklaven keine eigene Bezeichnung hatten. Die Sklaven waren ursprünglich ausschliessliches Eigentum des Königs; sie arbeiteten auf den königlichen Gütern, in den Handwerker-Werkstätten, in den Bergwerken, auf den Bauten und auf allen Abschnitten des weitverzweigten Bewässerungssystems. Der König schenkte sie später den Tempeln, hohen Beamten und militärischen Würdenträgern.

Wenn sich auch das Sklaventum im neuen Reich als Folge der erfolgreichen Kriegszüge bedeutend vermehrte, war es bei den Ägyptern nicht so verbreitet, um in der Volkswirtschaft eine bedeutende Rolle zu spielen. Man betrachtete die Sklaven als zusätzliche Arbeitskraft, welche häufig mit der ortsansässigen, formell freien Einwohnerschaft verschmolz.

Die hauptsächlichen Wirtschaftstypen Ägyptens im Altertum

Wir können, hinsichtlich ihrer Organisation, im Ägypten des Altertums drei Wirtschaftstypen unterscheiden, und zwar:

1. *Die königliche Wirtschaft*, welche unmittelbar durch den königlichen Apparat geleitet und kontrolliert wurde. Hierher gehörten einsteils jene Wirtschaften, welche persönliches Eigentum des Königs waren, da der Pharaos infolge seiner Abstammung selbst Nomarch war, der bestimmte Äcker sein eigen nannte (welcher sich zum

Herrsscher über das ganze Niltal erhob), andernteils Wirtschaften, welche königliches Monopol waren. Hierher gehörte die Förderung in Bergwerken und Steinbrüchen, der Handel mit dem Ausland, die Herstellung des königlichen Leinens und des Papyrus'. Der königlichen Wirtschaft gehörten auch grosse Werkstätte der verschiedenen Handwerke an, in welchen sowohl Sklaven wie auch freie Einwohner arbeiteten.

2. *Die Wirtschaften der Kreise* — wurden vom Kreisverwalter geleitet, der für seine Tätigkeit dem König verantwortlich war. Diese Unterordnung und Abhängigkeit des Kreisverwalters vom König und dessen Apparat, und seine Gewalt innerhalb des Kreises, die in den verschiedenen Epochen verschieden war, ist auch eine der entscheidenden Kriterien zur Unterscheidung zwischen der zentralisierten und dezentralisierten Wirtschaftssteuerung. Der Verwalter war nämlich daran interessiert innerhalb seines Kreises die grösstmögliche Macht zu erreichen, wohingegen es im Interesse des Pharao lag, diese Macht möglichst zu beschränken. Beinahe die ganze Epoche der Selbständigkeit Ägyptens im Altertum war mit dem Kampf dieser beiden, einander widersprechenden Kräfte ausgefüllt. Deshalb ist auch in der ganzen Entwicklung der ägyptischen Wirtschaft ein ständiger Wechsel in der Wirtschaftssteuerung zwischen Zentralisations- und Dezentralisationstendenzen zu beobachten wobei die Kardinalfrage darin bestand, wer die Abgabepflichten der einzelnen Erzeuger festsetzt und wer über die Mittel entscheidet.

3. *Die Tempelwirtschaften*. Die Grösse, Gewalt und Bedeutung der Tempel im Ägypten des Altertums entwickelte sich schrittweise und ungleichmässig. Die einzelnen Tempel spielten deshalb in den verschiedenen Epochen in der Wirtschaft Ägyptens keine gleichmässig wichtige Rolle. Aus den Anteilen an den Kriegsbeuten und durch gelegentliche Geschenke des Königs und privater Personen wuchs das Tempelgut der grossen Tempel allmählich stark an; diese Tempel wurden zu selbständigen Verwaltungseinheiten mit eigenem Vermögen, eigenen Bauern, Arbeitern, Künstlern, Beamten, die alle zur Verwaltung des Tempelgutes unumgänglich notwendig waren. Der Wirtschaft der Tempel gehörten auch grosse Werkstätte der Handwerker an, in denen sowohl freie Einwohner wie auch Sklaven arbeiteten. Den Überschuss ihrer Wirtschaftserträge verkauften sie. Es blieb z. B. ein Handelsbuch erhalten, aus welchem ersichtlich ist, dass eine bestimmte Tempelwirtschaft ihre Produkte an Fleisch, Wein, Gebäck und Brot täglich an die Händler verkaufte. Die Händler waren häufig auch Vertreter der Tempel.

Ihre grösste wirtschaftliche Bedeutung erreichten die Tempel in der Epoche des neuen Reichs, und das hauptsächlich die Tempel des Gottes Amón, welcher zu dieser Zeit zur gesamtstaatlichen Gottheit erklärt wurde. Dem Schatzhaus seines Tempels flossen die Anteile aus der Kriegsbeute und aus den Abgaben der unterworfenen Provinzen zu, mit welchen der König den Göttern seinen Dank für die Erlangung der Weltmacht und für die Eroberung reicher Länder darbrachte. Amóns Hohepriester, der an der Spitze einer grossen Anzahl von Priestern und Tempel-

beamten ein riesiges Vermögen verwaltete, wurde schliesslich zum mächtigsten Mann im Lande.

Diese einzelnen Wirtschaftstypen können wir natürlich nicht isoliert betrachten. Die aus dem dritten Jahrtausend vor unserer Zeitrechnung erhalten gebliebenen Dokumente zeigen eine enge Verknüpfung der weltlichen und kirchlichen Funktionen im System der königlichen Administrative. Schon die Wesire des alten Reiches waren gewöhnlich auch Priester der einzelnen Kulte, was für die gesamte Zeit des Bestehens des selbständigen ägyptischen Staates charakteristisch war. Man muss jedoch nicht glauben, dass das Entstehen von Wirtschaften, deren Zentren die einzelnen Tempel waren, für den königlichen Hof einen Verlust bedeutete. In Wirklichkeit handelte es sich nur um eine administrative Reorganisation im Rahmen der Staatswirtschaft. So wie die Staatswirtschaft, standen dem Pharaos und seinem königlich-priesterlichen bürokratischen Apparat zur Zeit der zentralisierten Wirtschaft auch die Einkünfte der Tempel zur Verfügung.

Viele Autoren verweisen in ihren Werken darauf, dass die Priesterschaft im neuen Reich zu einer Macht wird, die für das wirtschaftliche Gleichgewicht des Staates eine Gefahr bedeutet. Zwar ist es wahr, dass man die entscheidende Rolle der Tempel in der Wirtschaft Ägyptens in Betracht ziehen muss, der Reichtum dieser Tempel war jedoch zur Zeit des neuen Reiches so gross und mannigfältig, dass — wollten wir antagonistische wirtschaftliche Interessen des Pharaos und der Priesterschaft zulassen — die Existenz der königlichen Gewalt in dieser Epoche unerklärlich erschiene. Wollten wir voraussetzen, dass alle Einkünfte der Tempel aus ihrem Vermögen den Priestern gehören sollten, wäre es schwer zu verstehen — mit Rücksicht auf die Überzahl der Tempelwirtschaften — auf welche Wirtschaftsbasis sich die königliche Macht gestützt hat. Es ist deshalb wahrscheinlich, dass das Tempel-eigentum Teil der königlichen Wirtschaft war; dies kann man auch an der Neige des neuen Reiches voraussetzen.⁶

Treten wir jetzt an die eigentliche Beschreibung der Modelle der Wirtschaftssteuerung Ägyptens im Altertum heran.

Die zentralisierte Steuerung der altägyptischen Wirtschaft (siehe Abb. 2) umfasst die Epoche des alten, mittleren und neuen Reichs. Hierbei können wir noch Unterschiede zwischen der zentralisierten Steuerung des alten und neuen Reichs und der zentralisierten Steuerung im mittleren Reich beobachten. Der Unterschied bestand hauptsächlich darin, dass die Kreisverwalter im alten und neuen Reich königliche Beamte waren, die vom König eingesetzt und jederzeit abberufen werden konnten. Diese Kreisverwalter waren an den zentralen Bewässerungsarbeiten nicht genügend interessiert, da sie entweder keinen eigenen Boden besassen, oder nur auf Lebenszeit. Deshalb wurde der König zur treibenden Kraft dieses Unternehmens. Der Verwalter des Kreises war höchstens an seiner eigenen Stellung interessiert,

⁶ Stučevskij, J. A., *Chramovaja forma carskogo chozjastva drevnego Egipta*, Moskva 1962.

MODELL DER ZENTRALISIERTEN WIRTSCHAFTSSTEUERUNG AEGYPTENS IM ALTERTUM.

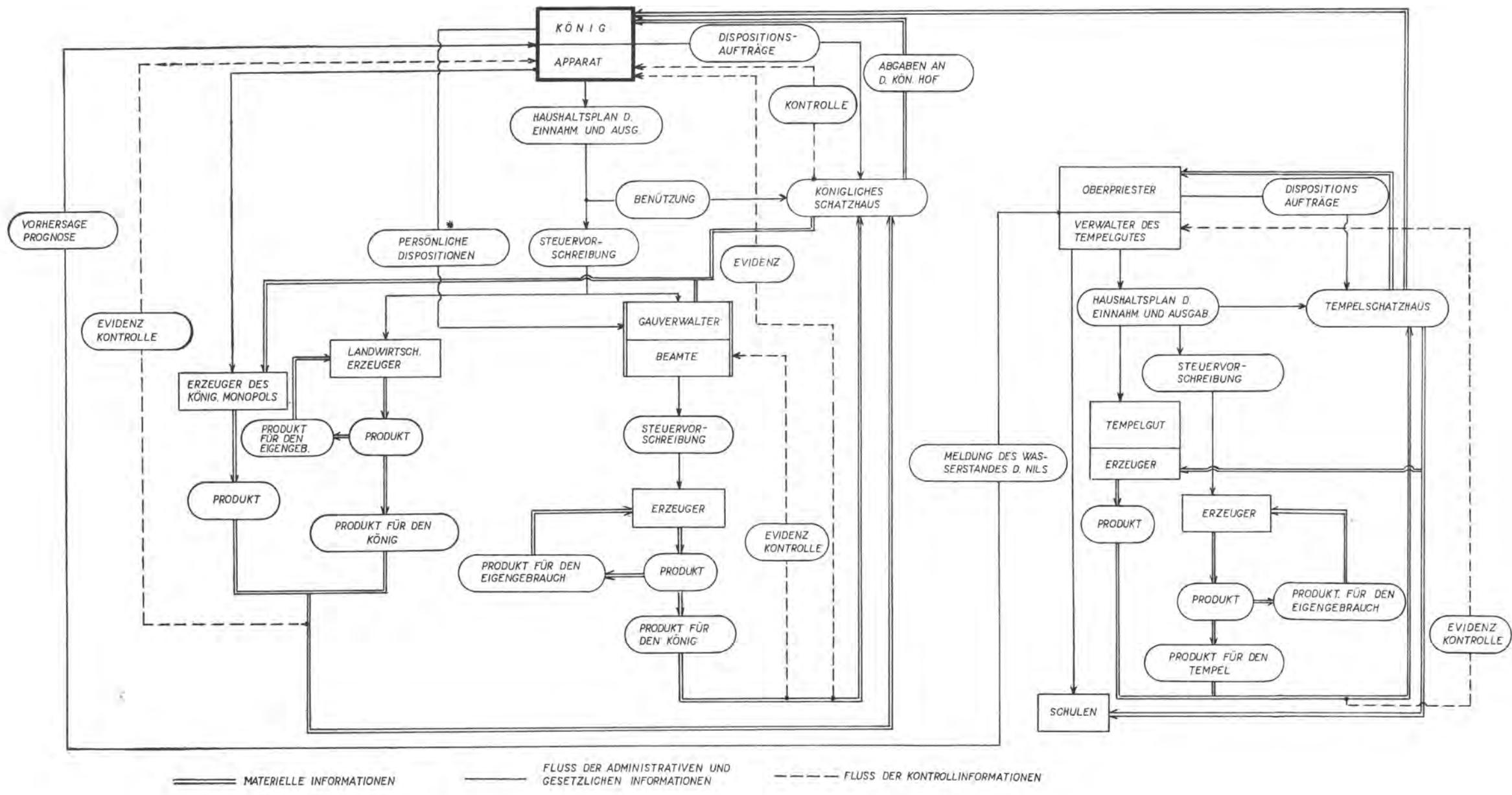


Abb. 2.

MODELL DER DEZENTRALISIERTEN WIRTSCHAFTSSTEUERUNG AEGYPTENS IM ALTERTUM

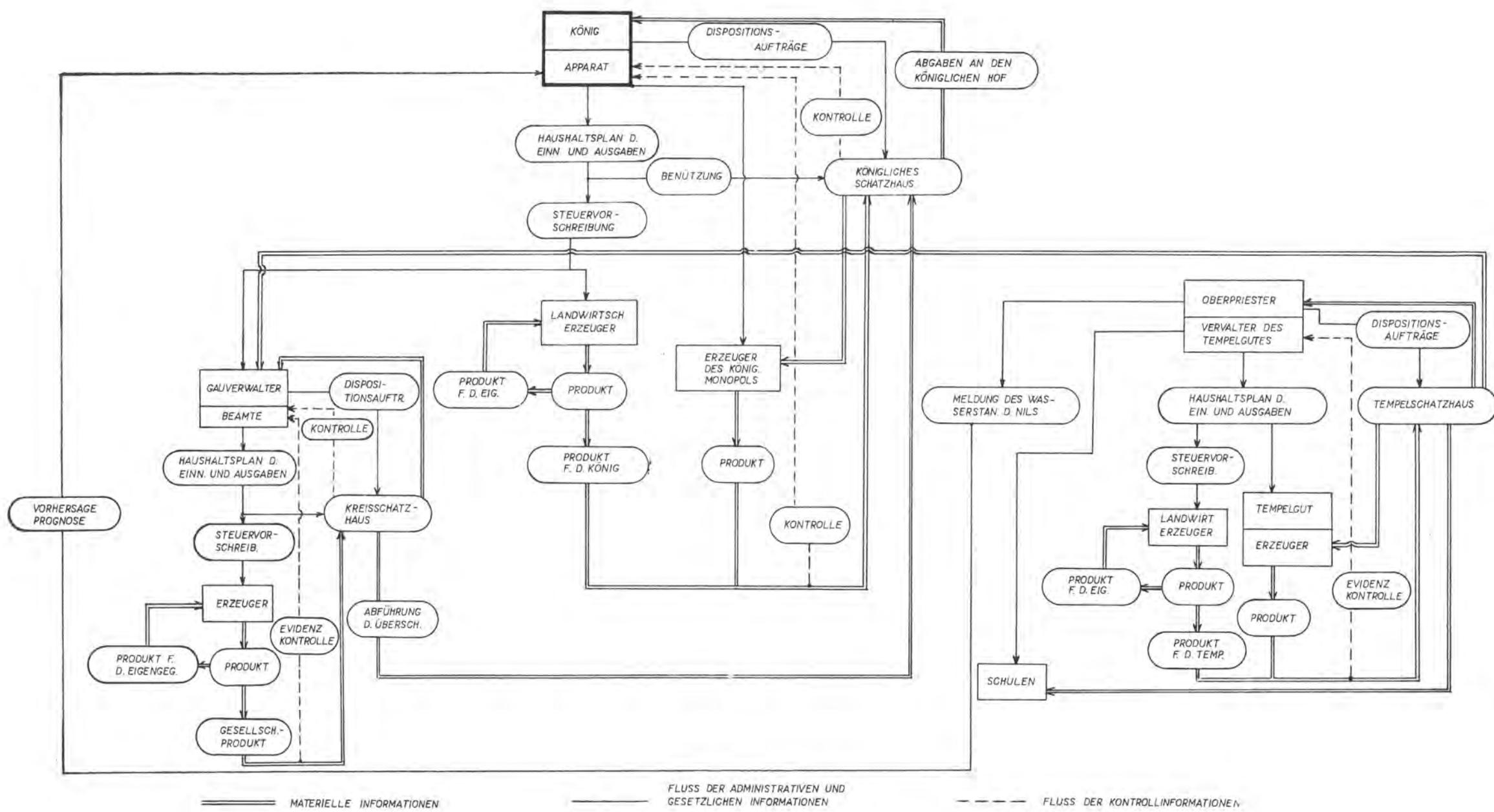


Abb. 3.

welche ihm eine bedeutende gesellschaftliche Position und einen aus dieser Position fliessenden materiellen Wohlstand sicherte. Diese Stellung ermöglichte es ihm wahrscheinlich auch einen Teil der Steuern, welche dem König gehörten und die er abzuführen gehabt hätte, für sich zu behalten. Diese Epoche könnten wir auch die Epoche des administrativen Zentralismus nennen.

Im Gegensatz hierzu war die Funktion der Kreisverwalter im mittleren Reich — bis auf eine kurze Epoche — überwiegend erblich. Der König konnte keine Verwalter ernennen oder abberufen, er konnte ihnen nur ihre Pflichten vorschreiben. Er beschränkte seine Kompetenz mehr auf die Kontrolle der Kreise, auf die Kontrolle der Tätigkeit ihrer Verwalter, die unter der Aufsicht eines eigenen königlichen Beamten standen, und verlangte von ihnen im Interesse des königlichen Hofes die Erfüllung verschiedener wirtschaftlich-administrativer Pflichten. Zum Unterschied vom administrativen Zentralismus, wo die Kreisverwalter königliche Beamten waren, setzt der Zentralismus in dieser Epoche keine zentrale Einsetzung von Personen voraus, nur eine zentrale Vorschreibung und Abführung der Entrichtungen an das königliche Schatzhaus. Wir können dies die Epoche des ökonomischen Zentralismus nennen.

In der Epoche der zentralisierten Wirtschaftssteuerung vereinigte der König und sein Apparat alle Gewalt in seinen Händen. Der König war Herr und Besitzer von ganz Ägypten, sein Befehl war Gesetz. Der königliche Apparat bestand aus dem ersten Minister, in dessen Händen die Verwaltung des ganzen Landes lag, und aus den höchsten Beamten. Unmittelbar dem Wesir unterstanden auch die Verwalter der Kreise.

Der Staat wurde mit Hilfe des Staatshaushaltsplanes gesteuert, welchen die königlichen Beamten auf Grund der Prognosen und der Staatsbedürfnisse erstellt hatten. Das Haupteinkommen des königlichen Schatzhauses war die Steuer aus dem Bodenertrag. Da über den Jahresertrag eines ägyptischen Bauern die Höhe der Überschwemmung des Nils entschied, verzeichneten die Priester schon von frühester Zeit an die alljährliche Überschwemmungshöhe und teilten sie dem königlichen Apparat mit. Die Verwaltung der Ackerwirtschaft konzentrierte sich in den Händen des Wesirs. In seinem Amtssitz befanden sich die Grundbücher, welche laut den einzelnen Kreisen und der Steuerlisten zusammengestellt waren. Da die Äcker präzise vermessen und in die Kataster eingeführt waren, war die zentrale Verwaltung schon kurz nach dem Eintreffen der Meldungen über die Überschwemmungshöhe in den einzelnen Kreisen in der Lage die zuständigen Abgaben aus dem Ernteertrag zu berechnen, welche dann streng eingetrieben wurden. Die Aufgabe bestand vor allem in der Festsetzung der Höhe der Steuer; zu diesem Zweck wurden die Äcker in vier Ertragskategorien eingeteilt. Die Einteilung der Äcker in diese Gruppen erfolgte einseitig je nach ihrer Lage, anderseits danach, was gesät wurde. Für Äcker, welche nicht bearbeitet werden konnten, mussten keine Steuer entrichtet werden. Die Höhe der Steuer war veränderlich und war von der Höhe der Überschwemmung des Nils im jeweiligen Jahr abhängig.

Der Staatskostenvoranschlag wurde auf die einzelnen Kreisverwalter aufgeteilt, die für die Einhebung, Evidenz und Kontrolle der zuständigen Abgaben sorgten. Die Steuern wurden noch extra von den Beamten des königlichen Apparates kontrolliert. Sie wurden an das königliche Schatzhaus abgeliefert. Dem königlichen Schatzhaus flossen ausser den Steuern auch durch die Erzeuger des königlichen Monopols hergestellte Werte, die Erträge aus dem Verleih von Sklaven und die Erträge aus den königlichen Ländereien zu, welche das persönliche Eigentum des Königs bildeten. Weiters Dotationen aus den Schatzhäusern der Tempel, weil die Tempeleinkünfte in der Epoche der Zentralisation faktisch zur Verfügung des Pharao und seines bürokratischen Apparates standen. Der König verfügte uneingeschränkt über das königliche Schatzhaus. Er bestimmte an Hand des Staatskostenvoranschlags, wieviel den Bauern vom Gesellschaftsprodukt bleibt, wieviel die Beamten erhalten, wieviel die Mitglieder des königlichen Hofes usw. Die staatlichen Ausgaben bezahlte der Wesir gemeinsam mit dem Obervorsteher des königlichen Schatzhauses auf Grund des Staatskostenvoranschlags aus dem königlichen Schatzhaus.

Die Epochen der zentralisierten Steuerung der Wirtschaft waren Zeitabschnitte der maximalen wirtschaftlichen und politischen Prosperität Ägyptens im Altertum. Es war dies auch eine Folge der bereits erwähnten Naturbedingungen Ägyptens.

Die dezentralisierte Steuerung (siehe Abb. 3) entspricht der Wirtschaftssteuerung in den sogenannten Übergangszeiten, in welchen sich die Dezentralisation hauptsächlich in der Schwächung des Einflusses des Königs auf die Verwaltung der Kreise manifestierte.

Zur Zeit des alten Reiches und auch in späteren Epochen schenkte der König aus verschiedenen Gründen und Beweggründen seinen Beamten, den Mitgliedern des königlichen Gefolges und den Tempeln Äcker. Es ist wahrscheinlich, dass Geschenke eine notwendige Form der Erhaltung der Zentralgewalt waren. Vorerst schenkte der König diese Äcker auf Lebenszeit. Die Besitzer der Äcker erwirkten sich jedoch später einsteils mit Hilfe verwandtschaftlicher Beziehungen, einsteils auf Grund verschiedener Dienstleistungen das Erbeigentum dieser Äcker. Durch diese Geschenke wurden die Vorbedingungen des Verfalls des königlichen Bodeneigentums geschaffen. Beim System der Steuerfreiheit der geschenkten Ländereien bedeutete dies notwendigerweise eine Verringerung der Steuerabgaben an das königliche Schatzhaus, was wieder die Investitionstätigkeit des Königs erschwerte. Durch Verringerung der Mittel für die Bewässerungsarbeiten verringerte sich der wirtschaftliche Einfluss des königlichen Hofes in den einzelnen Kreisen und diese Tatsache hatte notwendigerweise auch die Verringerung seines machtpolitischen Einflusses zur Folge.

Mit dem Übergang von der Verschenkung der Ländereien auf Lebenszeit zu deren Erbeigentum wird die Basis zur Vererbung der Ämter der Kreisverwalter geschaffen. Die Verwalter erwirkten sich zuerst nur die ständige Verwaltung des Kreises, später

begegnen wir schon Kreisverwaltern, welche dieses Amt durch Vererbung erhalten. Sie hatten die Verwaltung des ganzen Kreises und sämtliche örtlichen Finanzen in Händen. Ausser dem zentralen Staatskostenvoranschlag stellten sie auch einen eigenen Kostenvoranschlag auf, in welchem sie je nach Bedarf die von den Erzeugern eingehobenen Steuern erhöhten, wodurch sie darüber mitzuentscheiden begannen, wieviel dem Erzeuger vom erzeugten Produkt in den einzelnen Kreisen belassen werden soll. In ökonomischer Hinsicht bedeutet dies den Übergang zur dezentralisierten Steuerungsform. Der König war, obzwar nur theoretisch, auch weiterhin Oberhaupt und Herrscher von ganz Ägypten, seine tatsächliche wirtschaftliche Macht war jedoch die eines einflussreichen Kreisverwalters. Der königliche Apparat schrieb den Kreisverwaltern auch weiterhin die Abgabepflichten vor, die Kreisverwalter führten jedoch die Abgaben an das königliche Schatzhaus unregelmässig und je nach dem ab, wie stark sie sich in ihren Kreisen fühlten, da sie innerhalb der dezentralisierten Steuerung vor allem an der Entwicklung ihrer eigenen Kreise und weniger an zentralen Unternehmungen interessiert waren. Jene Kreise, welche in der Nähe der königlichen Residenzstadt waren und unter dem Einfluss des Königs standen, kamen ihrer Abgabepflicht mehr oder weniger regelmässig nach. Jene Kreise jedoch, welche entfernt lagen betrachteten sich als unabhängig und führten entweder gar keine Abgaben ab, oder nur geringfügige Posten. Der königliche Apparat konnte deshalb in diesen Epochen bei Aufstellung des zentralen Staatskostenvoranschlags mit den Einkünften aus den Kreisen nicht als mit fixen Posten rechnen und so stützte sich der Voranschlag meist auf die Einnahmen aus jenen Wirtschaftserträgen, auf die der König das Monopol besass, wie die Steuer von den Erzeugern aus den königlichen Gütern, auf den Gewinn vom Verkauf eigener Waren und auf Dotierungen einiger Tempel, mit denen der König besonders enge Verbindungen pflegte.

Die Kreisverwalter waren nicht nur das weltliche Oberhaupt ihres Kreises, sondern auch Priester, wobei sie die tatsächlichen Vorsteher der Tempel und der Tempelgüter waren und nicht nur schlichte Träger priesterlicher Titel. Ein jeder Nomarch vereinigte auf diese Weise in seinen Händen die weltliche und priesterliche Gewalt in den Kreisen und leitete und kontrollierte unmittelbar die ganze Wirtschaft des Kreises. Die Tempelgüter, welche in der Periode der zentralisierten Steuerung der königlichen Administrativen unterstellt waren, gelangten in diesen Epochen, als Folge des allgemeinen Dezentralisationsprozesses allmählich unter die Kontrolle der Nomenrepräsentanten als ein Teil ihrer Nomenwirtschaft.

Die Geschichte zeigt, dass in Perioden dezentralisierter Wirtschaftssteuerung, d. h. in Perioden einer Abschwächung des Einflusses des Königs und seines Apparates auf die Verwaltung der Kreise, die Verwalter unfähig waren die Entwicklung ihres Kreises sicherzustellen. Die dezentralisierte Wirtschaftssteuerung erschwerte die Durchführung der zentral gesteuerten Bewässerungsarbeiten, welche mit Rücksicht auf die speziellen Naturbedingungen Ägyptens ein bestimmender Faktor für den

Lebensstandard der Bewohner waren. Die Dezentralisation des Landes führte notwendigerweise stets zu einer Stagnation der produktiven Kräfte, später zum wirtschaftlichen Verfall und endete in der ersten Übergangsperiode — nach Ansicht vieler Ägyptologen — mit einer sozialen Revolution, deren Folge der Zerfall des Königreiches Ober- und Unterägypten auf einige kleinere Staaten war. In der zweiten Übergangsperiode — zwischen dem mittleren und dem neuen Reich — nützten wieder asiatische Stämme die innere Schwäche Ägyptens aus und beherrschten allmählich den nördlichen und mittleren Teil Ägyptens. Die Dezentralisation führte auch in dieser Epoche zum Zerfall des Reiches, und zwar auf Unterägypten, wo fremde Herrscher herrschten, und auf Oberägypten, das selbständig blieb und nur bestimmte Abgaben an die fremden Herrscher leistete.

**REPORTS,
BOOK REVIEWS
AND
NOTICES**

IN MEMORIAM OF RICHARD S. HARRELL

The scientific career of Professor Richard S. Harrell as that of one of the most competent American scholars in the field of Arabic linguistics, reveals some dramatic, almost incredible facts. It is as late as in 1954 that Harrell meets Arabic for the first time and, despite this, *The Phonology of Colloquial Egyptian Arabic*, published three years later, has become a standard and highly appreciated reference book, unique of its kind.

Graduate course work of the young Harrell as well as his comprehensive examinations at Harvard had little bearing on his later professional activities. The first year of his graduate study (1950—51) was mostly in French. Two subsequent years of lecturing (1951—53) were almost entirely in historical linguistics, especially comparative Indo-European, Sanskrit, and Germanic philology.

In the summer of 1952 Harrell received an American Council of Learned Societies fellowship to attend the Linguistic Institute at the University of Indiana where he received his first introduction to modern structural linguistics and found his true field of interest.

For 1954—55 Harrell received a Fulbright grant as one of three junior members of a team of five American linguists who were invited to work with the English section of the Egyptian educational system. During the academic year 1954—55 in Egypt which has proved to be the single most formative year of his scientific activities Harrell became deeply interested in Arabic, and he has worked continuously in that field up to his premature and unexpected death in November 1964.

After having returned to Harvard for 1955—56, Harrell writes his Ph.D. thesis, which was subsequently published by the American Council of Learned Societies under the title of 'The Phonology of Colloquial Egyptian Arabic'. Harrell's Phonology, being entirely concerned with synchronic phonemics, is the first explicit statement of the Egyptian Arabic phonology. The description of emphasis is one of the most

valuable features of the book and, also, the one most highly appreciated by the reviewers.¹

Harrell defines the minimum range of emphasis as V(:)C or CV(:) and, accordingly, following views of Z. S. Harris and Ch. A. Ferguson (Professor Ferguson being Harrell's thesis director), describes this feature in terms of long components. Apart from this, Harrell analyses emphasis in (Egyptian) Arabic as a gradient feature with, subsequently, considering its stylistic and prosodic bearings (viz. *Phon.*, 8.7 and 8.8).

During 1956—57 Harrell remained at Harvard's Center for Middle Eastern Studies as a post-doctoral research fellow. In this period Harrell became interested in the whole of peculiarities specific to particular oral variants of Classical Arabic as against the written ones. The choice of the Spoken Classical as used by the Egyptian Broadcasting Service (Harrell's ERA) was deliberate and happy. The methodological procedure adopted for this description was based on stating discrepancies between descriptions of grammarians and the actual usage. The problem, as formulated and approached by Harrell, was almost entirely untouched hitherto. The research he did during that period was later published as a monograph under the title 'A Linguistic Analysis of Egyptian Radio Arabic' (viz. below.)

Since 1957 Harrell was head of the Arabic division of the Institute of Languages and Linguistics, Georgetown University, Washington, D.C. He joined the faculty as an Assistant Professor in 1957 and was promoted to Associate Professor with permanent tenure in 1960. From June of 1960 Professor Harrell's energies have been mainly taken up with Georgetown's Arabic Research Program. This program is a contract between Georgetown University and the Office of Education under terms of the National Defense Education Act. It calls for the production of eleven books (three reference grammars, six dictionaries, and two basic courses) in three Arabic dialects, Moroccan, Syrian, and Iraqi (for some of these items, specifically connected with Harrell's work, see the last six titles of Books and Monographs below).

Despite his duties at the University, Professor Harrell has always been able to maintain general scholarly activities. In 1958 he traveled to Khartoum as a consultant to the Sudanese Ministry of Education on the problem of teaching Arabic as a second language. In 1959 he was a chairman of the annual Round Table Meeting on Linguistics and Language Studies at Georgetown. In 1960 he participated in and read a paper at the Conference on Lexicography held at Indiana University. In the spring of 1961 Harrell was one of three foreign observers invited by the Moroccan government to attend the Pan-Arab Arabization conference held in Rabat, Morocco. In September of 1961 he attended and read a paper at the International Congress of Phonetic Sciences held in Helsinki, Finland. He was a member of the governing committee for NUPOSA (National Undergraduate Program for the Overseas Study

¹ Haim Blanc, *The Phonology of Colloquial Egyptian Arabic* by R. S. Harrell (New York: American Council of Learned Societies, 1957), reviewed in: *Word*, 15.539—543 (1959).

of Arabic, a Carnegie program administrated through Princeton University and the Inter-University Summer Program for Near Eastern Languages). Harrell was also Co-ordinator of the Inter-University Program for the summer of 1963, when it was being held at Georgetown University.

The premature death in November 1964 met Harrell at the top of his creative powers and put an end to his splendid career. The one decade of his activities in the field of Arabic studies is, in many respects, an epoch-marking period in the history of American oriental studies.

L. Drozdík

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Teach Yourself Colloquial Arabic by T. F. Mitchell (The Teach Yourself Books, The English Universities Press, London, 1962), rev. in The Middle East Journal, 16.552 (1962).

A New Arabic Grammar of the Written Language by J. A. Haywood and H. M. Nahmad (Lund, Humphries, London, 1962), rev. in African Studies, 23.171—5 (1964).

Rere, T., *Conversational Maori. Rarotongan language*. Rarotonga, The Cook Islands Government Printer, 1961. 71 pp.

The aim of this publication is „to help English-speaking people who prefer to use the ‘Sentence Pattern’ method in learning the Maori language“ (p. 1). Taira Rere, the author of the publication, is a Lecturer at the Nikao Teachers’ Training College and has been interested actively in Rarotongan which is his mother-language.

Taira Rere’s book consists of three main sections. The first section (pp. 1—13) is of an introductory nature and contains remarks on Rarotongan phonetics, writing as well as lists of important expressions, common questions and answers. The author does not strictly distinguish letters from sounds. He indicates the glottal stop (hamsah, in his terminology) in word lists and notes but not in texts. The same is true of the macron (marker of vocalic quantity). The Chapter *Some Important Words and Expressions* (pp. 6—9) incorporates greetings, pronouns, verbal and nominal particles which are listed again in the third section of the publication. It should be noted that the choice of possessive particles depends not only on the nature of the thing owned but also on the relation of the owner to it.

The bulk of the publication consists of conversations on various topics, e.g., greetings, relations, food, time, school, animals; altogether twenty-one short chapters. Each chapter contains some twenty sentences supplied with their English translation and also a short list of new words. The choice of topics and sentences is most suitable to the needs of everyday life. Unfortunately, too little space has been devoted to various aspects of Rarotongan culture.

The third section titled *Grammar* (pp. 56—71) contains some chapters which do not bear a clear relation to grammatical problems, e.g., Telling the Time, Money, Sex. The author has not given any definition of word classes. He uses terms as the verb and the negative word but not such as the noun or the participle. Basic types

of sentences have been reduced to a bare minimum. Thus, e.g., intransitive active sentences have not been included at all. The meanings of verbal particles are not always explained in a satisfactory manner. Thus, *kua* is no simple past marker. In fact, it is a marker of the perfective aspect which has no relation to the category of the tense. Similarly, most other verbal particles express the category of aspect too, e.g. *ka ~ kaa, tee, e.*

As far as the passive voice is concerned, the author asserts that there is no known clue to the use of the individual variants of the passive suffix, e.g. *-a, -ia, -'ia, -kia, -mia, -na, -nga* (p. 60). As a matter of fact, some of them are unproductive while others are conditioned by the phonemic shape of verbal roots.

The handbook by Taira Rere will no doubt be helpful to persons coming to live in the Cook Islands; it is not a suitable textbook to anybody, mainly because the grammatical information is so scanty and unsystematic.

Viktor Krupa

Aileen E. Brougham — A. W. Reed, *Maori proverbs*. A. H. and A. W. Reed, Wellington—Auckland, 1963. 135 pp.

A. W. Reed, *An illustrated encyclopedia of Maori life*. A. H. and A. W. Reed, Wellington—Auckland, 1963. 208 pp.

The New Zealand Maori in colour. Photographs by Kenneth and Jean Bigwood; Text by Harry Dansey. A. H. and A. W. Reed, Wellington—Auckland, 1963. 115 pp.

Production of numerous attractive books on various aspects of New Zealand life has established a good reputation to the Reeds publishing house both at home and abroad. A considerable part of this production has been devoted to the Maori culture of New Zealand.

The small collection of Maori proverbs by A. E. Brougham and A. W. Reed is a useful contribution to Maori lexicography. Proverbs are presented in Maori and are provided with English translations and explanations of the background. Entries consist of brief characteristics of the subjects of the proverbs involved and are arranged alphabetically. It should be noted here, however, that only a small part of the material included are proverbs in our sense of word. Such are, e.g., *He ai atu ta te tangata, he huna mai ta Hine-nui-te-po*, „Man begets but the goddess of death destroys“ (p. 23), *Ki te koma te aniwaniwa, ka mate te tangata*, „A rainbow pale in colour, a man will die“ (p. 94). Most proverbs are simply brief colourful descriptions of mythical or historical characters and events that often consist of a noun plus a constant epithet, e.g., *Nga uaua o Papa-tu-a-nuku*, „The sinews of the Mother earth“ (p. 20), *He kiore puku rua*, „A rat with two stomachs“ (p. 51). *Te manu a Tane*, „The bird of Tane“ (p. 123), etc.

Although collections of proverbs are usually arranged thematically, the arrangement adopted in this publication probably serves better for practical purposes.

The Encyclopedia has been intended as a reference book for laymen. However, teachers, students, and scholars will find it useful too. It deals with the pre-European Maori, with his culture as manifested in customs, religion, mythology, way of life, and material culture. The number of entries given is as high as 675. To a certain extent, this volume is a sort of an explanatory dictionary of Maori; numerous entries can be regarded as explanations of concepts that are not easily and satisfactorily translatable into a culturally distant language as English certainly is (e.g., entries as *pa*, *kotiate*, *tapu*, *korari*). Many explanations are supported by illustrations and supplied with cross-references. Also, several maps are included. As the entries are arranged alphabetically, perhaps a thematic index should have been included. Its lack is, compensated however, by the system of cross-references.

The third volume under review concentrates on the visual impression; and yet the text by H. Dansey is not less attractive than the numerous excellent photos. The authors of the book present the story of the New Zealand Maori from his prehistoric arrival in New Zealand up to the present day. Splendid coloured photos by Kenneth and Jean Bigwood show the Maori in a variety of situations and activities. Reproductions of 19-century paintings and photos of Maori material culture are also worth mentioning.

The text consists of twelve chapters ordered chronologically. The author brightens up the sequence of scientific facts by means of picturesque folk traditions and legends.

As the authors confess, the aim of their book is to show that the Maori are a cheerful, gifted, and lovable people who suffered a lot in the past century.

The respectable number of books published by A. H. and A. W. Reed is a witness to the serious interest paid to the Maori people in present-day New Zealand.

V. Krupa

A. Capell, *Linguistic survey of Australia*. Sydney, Australian Institute of Aboriginal Studies, 1963. XII + 184 pp.

The book under review is both encouraging and depressing. The encouragement consists of the fact that there exists an institution which asked Mr. Capell for the elaboration of this book. It was the Australian Institute of Aboriginal Studies founded in 1960 which aims at investigating and describing Australian aboriginal cultures, or rather, their remnants. Nowadays, the investigation is, in any case, being pursued on a much larger scale than before the foundation of the Institute, nevertheless, it is far from being satisfactory. In the linguistic domain a great part of the work is being done by members of the Summer Institute of Linguistics who have many advantages in using a uniform, simple, practical and exact method of description originating mostly from K. L. Pike.

The depression arises from two facts: (1) The general survey of Australian languages (given on p. II) shows that the situation is more than tragical. Out of 633 Australian

languages only 23 are described to such an extent that „mainly depth study is called for“; the situation in the remaining languages is as follows:

53 „Both basic information and depth study needed, if possible“,

78 „basic information needed fairly soon if knowledge of the language is to be preserved“

375 (!), basic information needed immediately, because of rapid disappearance of the language. This may include some languages which examination will prove to be already extinct“

104 unclassified or extinct.

Since 1963 these numbers have and still do change due to the work of a small number of linguists, but a substantial improvement has not taken place as yet. (2) The Australian linguists cannot carry out such an enormous research on their own, but it is regrettable that an extensive international cooperation has not yet been formed which would be financed by UNESCO, the Australian Government and other Governments concerned. It would not be the first project of this sort, but the initiative must come from the Australian party. The present book can serve as an excellent guide for those who aim at organizing an individual or a wide-scale work of salvage in Australian anthropology (not only linguistics).

The book contains a general statistical survey of aboriginal languages divided into 11 areas. Within these areas the languages are listed alphabetically and the present state of their knowledge is given (relationship, records, bibliography, if any) as well as their location. At the end of the book an index of languages is added with back references.

G. Altmann

McKaughan, H. and J. Foster, *Ilocano: An intensive language course*. Grand Forks, N. D., Summer Institute of Linguistics, 1963. 170 pp.

This handbook of Ilocano was written as a joint thesis, by the authors in 1952. The authors assert that a Philippine student from the province La Unión, a fluent speaker of this language served as their informant.

The handbook contains an introduction by R. S. Pittman, 50 lessons divided into ten groups, an index of Ilocano forms, a glossary of linguistic terms, bibliography and a topical index.

Each lesson consists of several parts with exact time determination. The structure of most of the lessons is as follows:

I. Basic sentences (on average 20—30 minutes).

II. Drill (10—15 minutes).

a) Unison single imitation.

b) Individual imitation.

III. Recitation (10 minutes).

IV. Review of the basic sentences (10 minutes).

V. Assignment (Without any time determination).

a) Assimilation.

b) Structure.

c) Preparation.

The structure of each lesson is more or less invariable and very logical, which facilitates the process of learning. Methodically, the present handbook ranks among the best, edited in the last years. Despite this some critical remarks can be made concerning its contents.

The scientific value of the book is a little impaired by the total absence of the stress indication. The authors assert that „since the analysis of the stress is not complete in the work it has not been indicated. The student should observe and imitate the instructor carefully“ (Lesson 1/3). Such a solution is too simple. However, it is not always easy to find a competent instructor. The authors themselves had difficulties in finding an informant for much more current languages, such as Tagalog or Bisayan (see Preface). Moreover, in the Philippine languages the position of the stress is of great importance for distinguishing word meanings, e.g. *dáya* = „east“, but *dayá* = „gay party“ etc. In this case the omission of the stress is an equivalent defect as neglecting a difference between the voiced and voiceless consonants, e.g., *da* = „they“, but *ta* = „we two“.

Also the rule for writing *k/c* has not been completely given. The authors write that „both *k* and *c* represent the voiceless velar stop with *k* before *i* and *e*, and *c* elsewhere“ (1/3). But it is necessary to include the rule that *c* before *i* and *e* in Spanish loans, especially in names, is pronounced as „s“, e.g. Alicia, Cebú etc.

As the bibliography shows, works on Ilocano are still very scarce. The present book is the result of a field work, based on a native speaker's information. Despite all the above mentioned drawbacks it is without doubt an important contribution to the research of the Philippine languages.

R. Raczyński

V. A. Tjurin (Ed.), *Očerki iz istorii Jugo-vostočnoj Azii*. Moskva, Izdatel'stvo „Nauka“, 1965. 208 pp.

L'ouvrage ci-présent est un récueil de 10 articles consacrés à l'histoire médiévale et moderne de l'Asie du Sud-Est. Un article concerne de l'histoire de Tahiti. Le contenu du livre est assez divers pour en donner une caractéristique générale, c'est pourquoi nous ne cherchons qu'à indiquer ici une revue des problèmes les plus importants, qu'y sont examinés.

Quant à l'histoire médiévale, il y a trois articles sur la société et la culture birmanaise:

1. I. V. Možejko, *Quelques aspects du féodalisme birmanais* (du XI^e au XIII^e siècle).

2. S. M. Makarova, *Les métiers dans la Birmanie féodale*.

3. I. V. Vsevolodov, *L'évolution de la culture birmanaise à l'époque féodale*.

L'article suivant:

4. N. P. Ravva, *Les missionnaires et l'expansion coloniale à Tahiti* (de la fin du XVIII^e siècle jusqu'à l'année 1830) analyse le rôle des missionnaires anglais et français dans la déstruction de la culture tahitienne primitive et dans l'asservissement du pays par les colonialistes.

Quatre articles concernent le monde malais:

5. N. F. Žulev, *Les métiers et les problèmes de la formation du marché de travail aux Philippines* (XVI^e — XX^e siècle).

6. Ju. F. Khrenov, *La colonisation de Bornéo du Nord par l'Angleterre*.

7. G. A. Andrejev, *L'évolution de l'autonomie locale à la République de l'Indonésie*.

9. V. I. Iskoľskij, *Le mouvement national dans les provinces malaises du Thailand après la seconde guerre mondiale*.

La valeur scientifique de ces articles est très grande, car ils exposent les problèmes souvent omis dans la littérature sur cette région.

La huitième étude *Quelques particularités de la formation de la bourgeoisie vietnamienne* (1860—1920) par M. A. Češkov est une analyse des conditions sociales et du rôle de la compétition économique franco-chinoise aux relations économiques dans la société vietnamienne. Enfin, l'article 10^o, *Notes sur les relations khméro-thaïlandaises* (1953—1964) par E. S. Komarova concerne les causes et les résultats de l'antagonisme politique de ces deux pays.

R. Raczyński

Victor Purcell, *The Chinese in Southeast Asia*. London, Kuala Lumpur, Hong-Kong, Oxford University Press, 1965. XVI + 624 pp. 2 maps.

Now, with the growing augmentation of interest in Southeast Asia, there has appeared a second edition, completed and revised, of Purcell's famous work concerning an important economic, political and social problem of this area—the Overseas Chinese and their symbiosis with native populations. This publication is a most detailed and basic handbook of the study of „Nanyang Chinese“. Nobody interested either in Southeast Asian or Chinese history, should avoid studying the rich historical and economic material presented in this book.

The work is divided into eight parts, according to the regional criteria. Each part (excepting Part I) is introduced by a chapter on the demography dealing with the specific character of the local Chinese community development. Further division into chapters coincides with the periodization of history of each Southeast Asian state, from the beginning of the Chinese immigration till the present time. Part I

The Area as a Whole“ (1—39), is a general introduction to the subject. It comprises of the most important data on the distribution of the Chinese in Southeast Asia, on South Chinese dialects, on early contacts of Southeast Asia with China, on routes of Chinese immigrants to this area and the transformations within Chinese society abroad.

The Parts „The Chinese in Burma“ (41—79), „The Chinese in Siam“ (81—165), „The Chinese in Vietnam (North and South) Cambodia and Laos“ (167—221), „The Chinese in Malaya and Singapore“ (223—356), „The Chinese in British Borneo (337—381), „The Chinese in Indonesia“ (383—481) and „The Chinese in the Philippines“ (493—564) deal with special problems of the Chinese communities in particular countries. Each part is furnished with very important statistical data, such as „Racial composition“, „Sex ratio“, „Number of Chinese born in the country“, „The Chinese of a specific community (the dialect speakers)“, „Migrational statistics“, „Sino-native trade“ etc. In the case of former British colonies, the statistics are given for each particular district.

The reader will appreciate in the first place the author's objective, critical and serious scientific approach to the interpretation of the historical facts, difficult to accomplish in the world divided by ideological barriers. It touches even the most modern history; the author participated personally in the Malayan Civil Service and UNO. However, in the opinion of the reviewer, an attempt should have been made to show the economic and social base of the Chinese-inspired anti-governemental movements in Southeast Asia. Such a confrontation would have been very important because a simplified common thesis on the „National Liberation Movements“, or in western terminology „Communist Revolts“, cannot in all cases carry conviction to serious scholars without a an additional explanation.

The first cause of any anti-governemental movement is poverty and inequality of particular members (or groups) within a society. There are four essential types of inequality:

1. Economic, i.e. the members of the same society have not the same (approximately) living standards in consequence of a group exploiting another without the exploited having occasion to meliorate its position by legal media.

2. Social, i.e. particular groups claim influence and respect, which does not correspond with their economic role in the society. Others, economically stronger, have no possibility of overcoming the social barriers by legal media.

3. National or racial, i.e. the discrimination of a group for its origin, found mostly in dependent and occupied countries.

4. Political, i.e. the persecution of some group because its religious or political Weltanschauung differs from the official one.

These four „ideal“ types are never isolated, they are present in different ratios, often all together, causing anti-governmental activities of the discriminated groups.

Thus, they evoke movements, appointed in the first place against the dominant type (or types) of discrimination.

Most of the Overseas Chinese suffer from all four types of discrimination. Therefore, it is no wonder, that the anti-governmental movements in this area find many followers among the Chinese, or are directly inspired by them.

In the „Conclusion“ (565—568) the author remarks that all the important problems of Southeast Asia remain open, but the most of them are artificially resuscitated by the West:

„In the Western World, and to a more limited extent inside Southeast Asia itself, the current concept of China is of a giant that within the foreseeable future will be compelled, by the pressure of its rapidly growing population, to overflow its frontiers. The ‚Yellow Peril‘, is, of course, no recent scare, but it has assumed a new significance as a feature of the Cold War between two rival world blocks. In the maintenance of present Western policy it is a politically desirable that the other nations of Asia shall be constantly reminded of the danger in which they stand from an imminent Chinese expansion. And to the extent that the reality of this threat is accepted, the attitude of the indigenous peoples of South-east Asia towards the Chinese minorities in their midst largely depends. Economic rivalry and social friction further influence this attitude. An assumed fact lies at the root of this policy.“ (p. 565).

The book comprises of two appendices, „The Southern Dialects of Chinese“ by R. A. D. Forrest (569—571) and „Recent Archaeological Research“ by Alastair Lamb (571—573). A large bibliography (574—610) and Index (611—623) complete this excellent work.

The Chinese in Southeast Asia present really a great political and social problem for many countries, which the actual political situation does not allow to be solved. It is to the author’s merit that he has shown by this detailed historical and economic analysis that understanding must be on both sides, that any intervention into the internal relations of a society can have disastrous consequences. This publication is, without any doubt, a splendid zenith of the author’s life work.

R. Raczyński

M. A. Rauf, *A brief history of Islam with special reference to Malaya*. Kuala Lumpur, Oxford University Press, 1964. 117 pp.

The purpose of M. A. Rauf’s work is „to help those students who are reading Islamic Religious Knowledge in secondary schools in Malaya (Preface), but the book may serve also as an introduction to the Islamic Studies for university students in non-Islamic countries.

In six chapters, the author deals with the Prophet’s teachings, the Caliphate history and the history of Islam in the Malayan world.

The Prophet and His Teachings (1—18) comprises a short biography of Muhammad and a brief analysis of the teaching of Islam, i.e. the Creed, Ethics, Sharía, Qur'an and Hadith.

The Orthodox Caliphate (19—31), *The Age of the Umayyad Caliphate* (32—40), *The Age of the 'Abbasid Caliphate* (41—67) and *The Age of the Shadawy 'Abbasid Caliphate* (68—77) deal with the political and religious development in the Arab Empire from the time of the Prophet's death up to the conquest of the Middle East by the Ottoman Turks in 1517. The author's periodisation of the early Islamic history is nearly identical with that of Beliaev (*Araby, Islam i Arabskii Khalifat v Ranneje Srednieviekovie*. Moskva 1965) or Massé (*L'Islam*. Paris 1952). His interpretation of the Islamic history is traditional, but objective. The matter is explained in a brief and concentrated form accessible to everyone who is interested in Islam and the ancient Arab world. European or American readers might wish that more attention had been paid to the economic, national and social background of the non-orthodox movements in Islam.

An objective reader might be critical of the chapter *Islam in Malaya* (77—102). E.g. on page 80, many scholars will disapprove of the author's sentence „Thus, within a short span of time, the lives of millions inhabiting the thousands of islands in the Malay Archipelago were radically changed. Civilisation replaced barbarism, ignorance gave way to knowledge and literacy, organisation and order superseded anarchy, and heathenism was replaced by belief in God“.

1. No essential change in the life of the South-east Asian peoples took place a consequence of their conversion to Islam. Most of today's social and political institutions in the Malayan world ('Alam Melayu) originated in the pre-Islamic period. Their ancient Sanskrit names were sometimes changed into Arab or Iranian, but their function changed only very slightly. Even Shari'a is not recognized everywhere, being in conflict with the local Adat perpateh or Adat temenggong (e.g in Minangkabau, Negri Sembilan etc.).

2. Hindu civilization is at least as high as the Islamic one in every respect. Most of the Southeast Asian nations knew how to read and write one thousand years before their conversion to Islam. The majority of them used ancient alphabets, in fact, modifications of the South Indian script are met even now (Champa, Javanese, Rejang etc.). In no case can it be said that the conversion to Islam substantially reduced the high rate of illiterates in Southeast Asia.

3. No better order of the political organization of the Malayan world was introduced by Islam. On the contrary, the small Islamic States destroyed the greatest political power in Southeast Asia, the Empire of Majapahit, and did not replace it by any new super-national organisation which might have been able to resist the European colonial expansion that followed.

4. The terms „heathenism“ or „pagan“ are not considered appropriate in scientific work. Does the author assert that the followers of Hinduism do not believe in God?

On page 91 we must correct the year of the proclamation of independence of Indonesia: 1945 de facto and 1949 de jure.

The book comprises a *Glossary and Index* (103—105) of Arabic and Malay terms and six maps of which Maps 1—4 are reproduced according to P. K. Hitti's *History of Arabs* and Map 5 is based on B. Lewis' *The Arabs in History*.

More attention should have been paid to the reproduction of the maps. On Map 2, the Northeastern boundary of the Iberian Peninsula in mid twelfth century is placed at its present-day position. Thence Roussillon belonged to the Principality of Barcelona. Also on Map 4, the northern boundary of the Ottoman Empire, at its height ca. 1550, is not correctly shown in the Crimea and Georgian areas. The Ottoman territory extended much farther northwards. Map 6 (Spread of Islam in the Malay Archipelago) does not convey anything. The reader cannot distinguish between Moslem and non-Moslem states and some states are not correctly localized on the map. E.g. Champa is placed in the delta of the Mekong instead in Trung-bô etc.

If the above mentioned shortcomings are removed, Rauf's work would will become an excellent textbook of Islamic studies, and not only for secondary schools.

R. Raczyński

Bruce Grant, Indonesia. Melbourne, Melbourne University Press 1964. 190 pp. + 11 photos.

This important and successful book by Grant on the history of Indonesia since 1945, appeared twice in one year. This is not only because Indonesia is of great political interest, having Australia as her nearest neighbour. Without doubt interesting contents and an attractive style has also contributed to the popularity of this book. The work contains all that is necessary for commencing to study modern Indonesia: *The Beginnings* (1—15), *The Nation* (16—33), *The Leaders* (34—53), *The Communists* (54—67), *The Military* (68—80), *The Economy* (81—92), *The Culture* (93—105), *The Land* (106—116), *The People* (117—131), *The World* (132—151), *The Region* (152—168) and *The Future* (169—176) are the chief problems, analyzed in the book. This publication is the result of the author's intensive studies of a great amount of bibliographical material (see *Bibliography* 179—182) and of some field work in Indonesia. This last fact is very important. It shows the way to historians of the post-war period. The research on public opinion seems to be a solid source of explication of many events in contemporaneous history.

The activity of the Movement of the 30-th September in 1965 and the development of the Malayo-Indonesian relations has endorsed that the author's estimation of Indonesia's future was correct in many respects (see *The Future*). As a final word, the reviewer would like to communicate his felicitations to the author for this excellent piece of pioneer work in the history of modern Indonesia.

R. Raczyński

C. F. Voegelin und F. M. Voegelin, *Languages of the world: Sino-Tibetan*. Fascicle One. Bloomington, Archives of the Languages of the World, Anthropology Department, Indiana University, 1964. 109 pp.

Obwohl wir bisher durchaus nicht alles von den Sprachen wissen, ist doch eine Sammlung unserer wichtigsten Kenntnisse über alle Sprachen der Erde wünschenswert. Die Linguisten der Universität Indiana publizieren jetzt in der Zeitschrift *Anthropological Linguistics* eine Reihe von Beschreibungen der Sprachen der Welt. Das erste Heft einer kleineren Reihe, das die sinotibetischen Sprachen behandelt, spricht vom Sinotibetischen im allgemeinen und vom Chinesischen im besonderen.

Über die Frage der sino-tibetischen Verwandschaft zu informieren, ist natürlich eine schwierige Aufgabe. Die Autoren stellen wohl einen wertvollen Katalog zusammen, aber die Fragen der Verwandtschaftsverhältnisse bleiben dem Leser unklar. Wer hat recht, W. Schmidt, Maspéro oder Grierson? Das alles zu erklären wird weiteren Heften überlassen.

Die Seiten, die der chinesischen Sprache gewidmet sind, geben uns über die verwickelte Situation dieser Sprache Auskunft. Ganz zuverlässige Nachrichten über die Zahl der Sprechenden, auch über die Zahl der Dialekte fehlen. Die Existenz der geschriebenen und der gesprochenen Sprache, der Dialekte ersten und zweiten Ranges (d.h. die Mandarinensprache im Munde der Sprecher anderer Dialekte), all das macht die Situation noch verwickelter. Das geht aus den Ausführungen deutlich hervor.

Im weiteren geben die Autoren eine Skizze der chinesischen Satzkonstruktion. Sie führen Sätze wie *I am writing this letter carelessly* an und versuchen sie zu interpretieren. Sie wollen nichts von „Wörtern“ hören — das ist selbstverständlich. Aber sie lehnen auch die chinesischen Termini ab. So bleibt ihnen ein wichtiges Instrument, und zwar runde Klammern (parantheses) für enge Zusammengehörigkeit und eckige Klammern (brackets) für ein Satzglied übrig. Als weiteres Hilfsmittel dient den Autoren der für das Chinesische typische Austausch der Semanteme (major morphemes) und der grammatischen Morpheme (minor morphemes). Mit diesen Mitteln kann vieles aus der chinesischen Grammatik dargestellt werden.

Zum Schluss führen die Autoren noch dialektische Materialien aus dem Gebiete der Syntax an. Die ganze Arbeit kann natürlich nicht alles über die chinesische Sprache sagen, sie sagt aber viel Neues.

V. Skalička

D. W. Fokkema, *Literary doctrine in China and Soviet influence 1956—1960*. The Hague, Mouton & Co., 1965. 296 pp.

The book under review is the result of the research work conducted for several years by D. W. Fokkema, a young Dutch scholar and simultaneously his débüt introducing him to the European and world sinological public.

The subject of D. W. Fokkema's study is the period of the „Hundred Flowers“ and the period immediately subsequent, i.e. Chinese literary present. Since Fokkema is well acquainted with Russian language and Russian literature, his study is also concerned with the influence of Soviet literary thought and literature on contemporary Chinese literature, hence a really unusual subject for a Western Sinologist.

The work itself consists of seven relatively extensive chapters.

In the first chapter, under the title *Historical Introduction*, Fokkema writes about Mao Tse-tung's Talks at Yenan Forum on Literature and Art (1942), about Mao Tse-tung's concept of literature, his views on the relationship of literature and politics, his opinion about political and artistic criteria in the evaluation of artistic creation, about their importance in determining the value of art and literature. At the same place he deals with the first ideological controversies between partisans of the Mao Tse-tung's line and its antagonists, represented particularly by Ting Ling, Ai Ch'ing and Hsiao Chün; here he mentions Hu Feng whose literary career began before World War II, and who was in 1955 denounced by the official literary line, further he mentions Feng Hsüeh-feng, an enthusiastic propagator of proletarian literature already in the 'twenties and who took an end similar to that of Hu Feng; there is Professor Yü P'ing-po, one of the initiators of the literary revolution, criticized in the first half of the 'fifties for his interpretation of Hung-lou-meng, further Professor Hu Shih, another initiator of the literary revolution, criticized in the first half of the 'fifties for his philosophical views and political conviction.

The second chapter is actually the commencement of the study. Its title is: *A New Policy towards the Intellectuals*. In it the author deals with the period between January and April 1956, a very short but highly important stage in the development of contemporary China. The years 1949—1955 were virtually only a preparatory period of all what would follow after 1956. In 1955 the Chinese representatives took the decision to win over the highest possible number of the intelligentsia for their economic and cultural policy. In January 1956 Chou En-lai confirmed that only about 45 % of the higher intelligentsia favours the policy of the Communist Party of China, hence it is necessary to gain the support of the other 55 % if the requirements of scientific and technical development are to be complied with. The party line in the policy against the intelligentsia was forced mainly by Chou Yang on the Second Session of the Council of the Chinese Writers' Union. The programme set by him to Chinese writers insisted first of all on „national self-assertion“, on the consciousness of the national legacy of China. Chou Yang declared war on individualism, sectarian cliques; his aim was to form men with one heart.

In the third chapter, dealing with the period between April 1956 and February 1957 the author discusses mainly the policy of „Hundred Flowers“. On May 2, 1956, that is 14 years after the inauguration of the Yenan Forum,

Mao Tse-tung declared the slogan „Let the hundred flowers bloom, let the hundred of schools contend“ which was to represent a new policy to be followed towards the intelligentsia. At variance with Talks at the Yenan Forum on Literature and Art, Mao Tse-tung's address was never published in print; its main ideas are known to us only from later declarations, articles and the like. One of the most important of them is the speech of Lu Ting-i, at that time director of the Propaganda Department of the CPC Central Committee and later Minister of Education instead of Mao Tun. Lu Ting-i believes that China can become rich and strong, which—according to him—cannot be achieved without great literature and art. Literature has a class character and socialist realism is the best creative method, though not the only one. The policy of the „Hundred Flowers“ does not at all mean that the door will be opened to „bourgeois literature“ or to literature with counter-revolutionary tendencies. Kuo Mo-jo, for instance, compared the „Hundred Flowers“ policy to a symphonic orchestra with instruments of great variety the play of which, however, is determined by one sole key. At that period it was possible to observe a certain liberal attitude toward Western culture in China. Works of H. Böll, A. Moravia, W. Saroyan, E. Hemingway and of other Western authors were translated. Khrushchev's attack on Stalin, the events in Hungary were the reasons for which the Chinese started to look more critically at Soviet literature and literary theory, formerly quite readily accepted in China. Ehrenburg's Thaw, and, for that matter the liberalization of literary and cultural life, was considered by the Chinese as unnecessary.

In the fourth chapter the period between February and June of the year 1957 is dealt with, particularly Mao Tse-tung's speech about contradictions „Problems of the Correct Handling of Contradictions among the People“, about the „rectification movement“ and „antirightist campaign“. This speech of Mao Tse-tung is generally known. What he is concerned with, are the contradictions between people and their leaders, between people and members of the party (mostly of high standing) and between the administrative apparatus. The rectification campaign that was intended to patch up these deficiencies was planned as „a breeze or a mild rain“. Actually, however, it took quite a different course. The highest possible degree of liberalization became a reality. Very frequently there were attacks against the Communist Party of China and its position in the State even in newspapers such as Jen-min-jih-pao. Though, it happened that people criticizing the party in May 1957, were in June denounced as „rightist elements“ and their attacks encountered even more vehement counter-attacks.

The fifth chapter is devoted to the fight against „rightist elements“. It involves the period between June 1957 and February 1958. In that period of literature attacks were started against the woman author Lin Hsi-ling and against the writer Liu Shao-t'ang, both young representatives of new Chinese literature; but, just the same, veteran writers well known in the world by their creative works were attacked in

the same way, namely Ting Ling and Ai Ch'ing and the literary critics Ch'en Ch'i-hsia and Feng Hsüeh-feng.

The sixth chapter bears the title *Big Leap Forward* and it embraces the period from March 1958 till December 1959. This is an interesting period in the development of the People's Republic of China. In that period the expression „big leap forward“ started to be mentioned; the meaning of it was that China, supported by scientific and technical accomplishments and by the enthusiasm of the people of China under the leadership of the CPC would be able to achieve in one sole day what in the past had been achieved in 10 or 20 years. The well known communes were intended to be the accelerators on the way to communism; in the literary field, popular creation (poems, very short stories) were to be given higher importance than works of professional authors and poets.

The seventh chapter is concerned with the Third National Congress of Writers and Artists and with its prelude. This is the period between January and August 1960. The principal statement made at this congress was that of Chou Yang. He undertook to demonstrate that the policy of the „Hundred Flowers“ proved to be successful, further that the theory concerning the connexion of revolutionary realism and revolutionary romanticism—started in China in the previous period—was a valuable contribution to Marxian literary theory, and that collective writing became a very important means of literary activity. But he recommended to read first of all works written by individual writers such as Liang Pin's *Keep the Red Flag Flying*, Yang Mo's *Song of Youth* and some others.

At this congress official *placet* was given to artistic and ideological tendencies of previous periods, approved and improved by the policy of the CPC; revisionism was declared to be the most important hindrance in the way forward; further, the congress denounced the literary and philosophical thinking of all those who since the Yenan period, or even earlier were standing in opposition to Mao Tse-tung's opinions in the field of literature, culture and politics.

Fokkema's book can be considered a highly valuable contribution to our knowledge on recent Chinese literary criticism and literature. What we have said in this review is only a fragment of the rich and varied material of the book. Fokkema endeavours to be objective, but in our view, he is not always successful in his efforts. Fokkema is no doubt a very good expert in the manifold problems of present-day China; in our view, however, in several instances he did not achieve to be deeply sensitive for Chinese reality either from the historical perspective or from the point of historical necessities which had so sharply influenced modern Chinese literature and literary thought. Facts do not always reveal reality in its true light though generally they are pitiless. Sometimes sufficient insight is needed if reality is to be correctly and righteously evaluated.

Marián Gálik

Jaroslav Průšek (Ed.), *Studies in modern Chinese literature*. Berlin, Akademie Verlag, 1964. 179 pp.

With this volume five disciples of Professor Jaroslav Průšek and a young German Sinologist appear for the first time together before the sinological public: Milena Doleželová-Velingrová with the article *Kuo Mo-jo's Autobiographical Works*, Zbigniew Slupski with the article *The Work of Lao She During the First Phase of His Career (1924—1932)*, Oldřich Král with the essay *Pa Chin's Novel „The Family“*, Marcela Boušková with the article *The Stories of Ping Hsin*, Jarmila Häringová with the article *The Development of T'ien Han's Dramatic Writing During the Years 1920—1937* and Klaus Kaden with the article *Chao Shu-lis Roman „San-li-wan“*. With the exception of the last named written by a German Sinologist in German, all the other contributions are in English.

An extensive introductory study to this collective volume is presented by Jaroslav Průšek. It is one of the best essays of Průšek and a really grandiose introduction to the collection. It deals with the general aspects which are unavoidably to be taken into account in the study of modern Chinese literature: such as political and cultural revolution, further general aspects of literary revolution, of the relationship of the so-called feudal literature and modern democratic literature. Průšek very thoroughly characterizes the most important representatives of new literature and presents a general characteristic of new literary production. This is the first essay in the history of the study of modern Chinese literature going so deeply into characterizing this literature, demonstrating its typical features and partly defining its place in world literature.

The article written by Milena Doleželová-Velingrová is concerned with autobiographical works of Kuo Mo-jo. Like all the other articles of the Czech Sinologists (with the exception of Průšek) this article, too, was written prior to the year 1959, and just the same as the articles of the other Czech Sinologists, its origin lies in diploma work elaborated at the Charles University in Prague. The study of the author is a meritorious work, adequately complementing what has been written about Kuo Mo-jo so far.

The article of Zbigniew Slupski is devoted predominantly to the analysis of the first novels of Lao She, and only to a lesser extent to his short stories. The author of this review does not want to undervalue this interesting article simply by pointing at the fact admitted by Slupski himself, i.e. his statement according to which just the short stories „show Lao She's talent at its best, in the qualities revealed in his earlier works“. This is regrettable to a certain extent since alongside the novels *The Rickshaw-boy* and *Divorce*, many short stories of Lao She represent the best he ever wrote. It is to be noted that Slupski is the author of a monograph on Lao She published in *Dissertationes Orientales* by the Oriental Institute of the Czechoslovak Academy of Sciences.

The essay of Oldřich Král can be considered as one of the best contributions to this collection. It is no doubt the result of a number of considerations on Pa Chin, and even on the entire modern Chinese literature. The essay is comparable to Průšek's essay by its emphasizing not numerous but very typical features of a certain work or a certain literary phenomenon considered. The essay becomes therefore interesting by its particular ideological and aesthetical sub-text. In the novel of Pa Chin the author sees the „autobiography of a generation“ (i.e. something else than what was seen in it up to the present), he sees in it a „melodramatic picture“ of a talented author who „does not give his picture of the family in all broad flow of its life, with depths and shallows, swift currents, cascades and stagnant backwaters. He paints its picture at a moment when it is driven between narrow cliffs and hurled against rocks, when its life pours wildly forward over obstacles and whirlpools.“

One of the best contributions to the collection is also the article written by Marcela Boušková, the youngest of the contributors. The author of this review is certainly no admirer of Ping Hsin's short stories which he considers as the most feeble part of her work. This article, however, is no doubt one of the most interesting writings on Ping Hsin published up to the year 1964. The author was able work to enter into the somewhat peculiar, naive, even childishly sincere world of Ping Hsin and to draw the most of it. The idea of „all-embracing love“ is not a new cognition, nevertheless, the author presents penetratingly and in a new way the ideal of Ping Hsin, the Child, an ideal very similar to the ideal of Woman, She, the Unknown One of the symbolists. Boušková sees the subjective character of Ping Hsin's work. The author of this review considers Ping Hsin to be more subjective than was Yü Ta-fu who in this collective volume is considered the most important representative of the subjective trend in new Chinese literature. In 1934 Mao Tun wrote on Ping Hsin some words that can be agreed with: „... among the writers of the May Fourth Movement Ping Hsin belongs to her own. In her works not society is reflected but they reflect the personality of her self, they reflect her so clearly that it is not possible to do it in a way more clear.“ (*Ping Hsin lun, On Ping Hsin*, in the book *Tso-chia lun, On Writers*, Shanghai 1935, page 207.) True, Yü Ta-fu, influenced probably by Anatole France has said that every literary work is actually the author's autobiography; however, his interest in social reality and its presentation was really very intensive. His work *Ch'en-lun (Drowning)* is considered as one of the most subjective of his works, nevertheless, one must agree with his allegations written by him about his work: „I have lived my lyrical period in a whimsical, cruel, militaristic and despotic island empire (Japan, is meant M.G.), I have seen by my own eyes the submergence (lu-ch'en) of my country, I have felt myself the humiliation inflicted to me by a foreign country; from all what I have felt and thought, what I have experienced and learned at that time, I cannot derive anything but hopelessness. There was nothing else but sorrow, it was like a husband mourning the death of his young wife, there was no strength, no courage, everything was sad, born

from melancholy. It was *Drowning*, causing so much of trouble at that time...." (Liu Shou-sung, *Chung-kuo hsien-tai wen-hsüeh ch'u-kao, Outline of the History of Modern Chinese Literature*, 2nd vol., Peking 1957, page 175).

The article written by Jarmila Häringová speaks about the life and work of the prominent dramatist T'ien Han. With its way of elaboration this article can be compared to that of Slupski, analyzing, however, a greater number of works.

The article written by Klaus Kaden differs in some way from the other articles of the collection. All these articles are concerned with the period of the 'twenties and 'thirties while Kaden's article is the only one dealing with the 'fifties.

There are some inaccuracies in the book which, however, do not diminish its value. It cannot be said that the literary thought of Ch'en Tu-hsiu was characterized by „clear awareness that literature has a class character, and that the literary revolution is directed against the literature of one class and aims to help the literatures of other classes to victory“ (p. 11). A concept of this kind, the concept of the class character of literature, became predominant in China around the year 1930, and its first symptoms did not appear prior to 1923. Further, the periodical *Hsiüeh-heng* started to be published in January 1922 and not 1921 (p. 24). One cannot agree with the allegation according to which „differences between 'Creation' and 'Literary Research Society' were not caused by conflicting views on literature. It was rather a personal antagonism, because, as in ancient Chinese literary groups, the main link between members was friendship and not a specific programme“ (p. 63). Actually, particularly in the first stage of the existence of the Creation Society and the Literary Research Society there were really great divergences of opinions, and their reciprocal antagonism was due first of all to these divergences. It is sufficient to compare some material published in *Creation Quarterly* (*Ch'uang-tso chi k'an*) and in the *Short Story Magazine* (*Hsiao-shuo yüeh-pao*) in order to see these differences. Further, Mao Tun wrote two articles on Chao Shu-li. The article mentioned by Klaus Kaden on page 177 can be found in the collective volume *Lun Chao-shu-li-ti ch'uang-tso (On Chao Shu-li's Creative Works)*, Chin-ch'a-chi hsin-hua shu-tien 1947, pp. 48—50. Ibidem can be found his other article *Kuan-yü „Li Yu-ts'ai pan-hua (On the Verses of Li Yu-ts'ai“)* pp. 41—44, also several other articles on Chao Shu-li written by other authors not mentioned by K. Kaden in the bibliography.

In general it can be said that the collective volume of the young Sinologists is an important contribution in the field of research on new Chinese literature and simultaneously a promising sign for the future.

Marián Gálík

J. Lust with the assistance of W. Eichhorn, *Index Sinicus 1920—1955*. A catalogue of articles relating to China in periodicals and other collective publications. Cambridge, W. Heffer & Sons, 1964. XXX + 663 pp.

Index Sinicus links up first of all with three great bibliographies relating to China (as far as material written in world languages is concerned). In the first place stands the *Bibliotheca Sinica* by H. Cordier, exhibiting material up to the year 1921. Then there is the work of Yüan T'ung-li, *China in Western Literature* indicating the most important book material beginning with 1920 up to 1957. According to the text of the blurb the *Index Sinicus* is stated to be „complementary to Yüan's bibliography“. There is some doubt about the correctness of the word „complementary“ since it does not sufficiently express the importance of the book. The *Index Sinicus* could be even compared to the book of P. Skachkov, *Bibliografia Kitaja (Bibliography of China)*, Moscow 1960; in Russian Sinology this book represents a real treasure; besides articles and shorter translations it is enriched with book publications concerned with China published between the years 1730—1957.

The material of Lust's book is divided into the following wholes:

General Works, Geography and History, Politics and Government, Army, Navy and Air Force, Law and Legislation, Foreign Relations, Economics, Industry, Commerce, Sociology, Anthropology, National Minorities, Philosophy, Religion, Education, Language, Literature, Archeology and Fine Arts, Music and Sports, Science and Technology, Agriculture and Forestry, Medicine and Public Health, Manchuria, Mongols and Mongolia, Tibet, Sinkiang and Central Asian Connections, Hsi Hsia (Tangut), Hong Kong, Macao. At each bibliographical unit the most important data are indicated.

The material of the book has been excerpted from more than one thousand periodicals, from numerous Festschriften and many different publications edited on the occasion of Orientalistic and other congresses. The book contains some 20,000 data.

The *Index Sinicus* is an excellent manual and reference book for the Sinologist. Let us hope that the publishers of this excellent work will be able to publish in the near future the „ten years“ supplement to the Index, as promised on the blurb.

Marián Gálik

A. Róna-Tas, *Tibeto-Mongolica, The Tibetan loanwords of Mongolian and the development of the archaic Tibetan dialects*. Budapest, Akadémiai Kiadó, 1966. 232 S., 8°.

Unter den zahlreichen Werken über fremdsprachige Lehnwörter in altaischen Dialekten (sowie vice versa) ragt die vorliegende Arbeit durch ihre Solidität und Gründlichkeit besonders hervor.

Nach einigen einführenden Abschnitten, von denen vor allem die instruktive Studie über die dem Werke zugrundliegenden Quellen hervorgehoben sei, folgt der Hauptteil: eine Liste der tibetischen Lehnwörter im Mongolian, 790 Termini umfassend,

also eine nicht unbeträchtliche Zahl, worunter sich nicht wenige recht interessante Ausdrücke finden (so ist es auffällig, dass — vgl. Nr. 120 und 714 — das [ursprünglich chinesische] Wort für „Tee“ im Monguor wahrscheinlich auf das tibetische *ja* zurückgeht, und nicht wie in den übrigen mongolischen Dialekten auf türkisch *čai* aus persisch *čai*). Es schliesst sich eine vergleichende Phonetik an, in welcher der Verfasser die tibetischen Lehnwörter im Monguor auf die entsprechenden tibetischen dialektischen Urformen zurückführt und ihre spezielle Entwicklung aufzeigt. Wichtig ist der Passus über die Formative, aus dem deutlich hervorgeht, dass das Tibetische das Monguor trotz dessen vielen Wortübernahmen jedenfalls nicht strukturell beeinflusst hat: so sind die tibetischen Suffixe im Monguor nicht produktiv (erscheinen nicht an mongolische Wörter angehängt, im Gegensatz etwa zu dem türkischen Suffix für nomina agentis -*či*, das nicht nur im Mongolischen, sondern auch in vielen iranischen Dialekten produktiv geworden ist); dagegen werden nicht selten tibetische Wörter mit mongolischen Suffixen versehen. Man kann das Monguor also nicht als Mischsprache bezeichnen, es hat seinen mongolischen Charakter unverfälscht bewahrt. Besonders für den Tibetologen aufschlussreich sind die nächsten beiden Abschnitte, welche die Entwicklung der tibetischen Dialekte, vor allem in Hinsicht auf die tibetischen Lehnwörter im Monguor, untersuchen; das Monguor liefert zweifellos entscheidendes Material für die Geschichte der tibetischen Sprache. Mich persönlich hat besonders der Passus „Historical and Social Background“ angesprochen, worin der Verfasser einen knappen Abriss der Geschichte der Monguor gibt und an Hand der Verteilung der Lehnwörter auf semantische Kategorien aufzeigt, welche kulturellen Beziehungen zwischen den Monguor und ihrer tibetischen Umgebung bestanden: ein schönes Beispiel für enge und fruchtbare Zusammenarbeit zwischen Geschichtswissenschaft und Linguistik. Eine ausführliche Bibliographie sowie Register beschliessen das Werk.

Es gehört zur guten Tradition, bei rezensierten Büchern auch einige Beanstandungen zu erheben. Das fällt bei dem vorliegenden Werke besonders schwer. Vielleicht darf dies gesagt werden, dass die Bezeichnung des Monguor als eine „archaic Mongolian language“ (so S. 14 und passim) doch nicht angemessen erscheint: die Bewahrung des anlautenden *h*- (in der Form von χ) z. B. ist ja nichts sehr Altertümliches (dieser Laut war noch im 16. Jahrhundert im Gesamtmongolischen bewahrt, vgl. etwa das *Teng-t' an pi-chiu*, eine Militärenzyklopädie von ca. 1590, worin sich Formen wie *huodun* „Stern“ finden, darauf weisen auch die altsibirjatischen Lehnwörter im Baikalevenkischen u. a.); und dass die (von manchen für älter gehaltene) Variante *f*- (statt *h* vor labialen Vokalen) sekundär ist, gibt auch der Verfasser zu (S. 200). Ferner: es wäre wohl empfehlenswert gewesen, wenn Róna-Tas auch jeweils auf die entsprechenden tibetischen Lehnwörter in der mongolischen Schriftsprache hingewiesen hätte, da dies einen schönen Vergleich ermöglicht, zumindest erleichtert, haben würde (und z. B. die Feststellung, dass die tibetischen Lehnwörter in der mongolischen Schriftsprache auf ein anderes Adstrat zurück-

gehen), so hätte sich z. B. unter Stichwort 348 neben monguor *nänt'ar* „story, legend“ auch schriftsprachlich *namtar* anführen lassen. In neuerer Zeit (1959, 1962) ist behauptet worden (s. Rezendent in *Journal de la Société Finnoougrienne* 65:4, Helsinki 1964, 4), dass die Langvokale des Monguor auf eine urmongolische Länge weisen. Hier wäre es nun interessant gewesen, zu erfahren, welche Schlüsse sich aus dem tibetischen Material im Monguor hätten ziehen lassen (auch hier treten ja zuweilen Langvokale auf, so Nr. 536 monguor *sdär* „gemäss“ = tibetisch schriftsprachlich *ltar* aber dialektisch — vgl. S. 159 — mit Langvokal, nur erheben sich hier eine ganze Reihe von Fragen). Mir scheinen die Langvokale des Monguor eher jung zu sein (so möchte ich zusätzlich zu dem op. cit. Ausführten noch bemerken, dass im Monguor die Vokallänge keine phonologische Relevanz zu haben scheint dass also keine Oppositionspaare nach der Art von türkisch *at* „Pferd“ — *āt* „Name“ existieren; auch erscheinen im Monguor chinesische Lehnwörter wie *wān* „Fürst“, die in der Ursprungssprache sicherlich keine Länge gehabt haben dürften). Es wäre wünschenswert, wenn der Verfasser über diese Frage einen besonderen Artikel schriebe.

Fassen wir zusammen: Róna-Tass Werk hat unser Wissen sowohl um die mongolische wie auch die tibetische Dialektologie sehr bereichert. Seine schöne Arbeit wird zweifellos als ein Standardwerk in die Geschichte der zentralasiatischen Philologie eingehen.

Gerhard Doerfer

S. V. Kiselev, L. A. Evtiukhova, L. R. Kyzlasov, N. Ia. Merpert, V. P. Levashova, *Drevnemongolskie goroda*. Moskva, Izdatel'stvo „Nauka“, 1965. 371 pp.

The extensive and profound research work of Soviet archaeologists aimed at discovering the past of Central Asia, has aroused keen interest all over the world. Their achievements,—although sometimes published only partly and sporadically in different periodicals,—have had favourable reception giving rise to a desire to have a comprehensive and systematic publication on the subject in question, containing the demonstrative material in full, in such a form as to facilitate further researches, and—if possible—in a synthesis of some unifying idea. A request of this kind may well be fulfilled by the volume under review, summarizing, as it does, the Soviet archaeological researches of more than a decade in old Mongolian cities. In recent years capitals and other cities, representing the highest standard of way of life in a certain territory, have played an important part in researches in different branches of learning due to their being centres of neighbouring or even further territories with a key position in the country to which they belong. This is another reason why we warmly welcome the discovery of the material culture of old Mongolian cities of the thirteenth and fourteenth centuries.

The whole work is marked with the controlling hand of the late eminent archaeologist

Sergey Vladimirovich Kiselev (1905—1962), a researcher and expert on South Siberia and Central Asia from the time of the twenties of our century. Deeply interested in archaeological sources of the history of Central Asia, especially in those of Mongolian history, he began, after World War II, to study and prepare in order that he might organize a Soviet-Mongolian archaeological expedition. From 1948 onwards, as the head of the expedition, he spared no effort to discover old towns and cities of those territories where the empire of the Mongols had been established. Several people had attempted to suggest that the society of the nomadic empires consisted of a non-differentiated mass, and to simplify their economy to stock-breeding. In spite of them, Kiselev and his companions tried to find the traces of handicraftsmen and traders of the old towns, occasionally mentioned in historical sources, and they succeeded in revealing more information on the life and work in and on the remains of old cities in Mongolia.

This volume presents the results of the Soviet researches of the Soviet-Mongolian expedition (1948—1959). After a short foreword (by N. Ia. Merpert) introducing the editor responsible for this work, Kiselev, a short description is given of the aims of the expedition with an outline of the history of the Mongolian Empire (by S. V. Kiselev). The first part of the book *Oldest Mongolian Cities* contains reports by S. V. Kiselev and L. R. Kyzlasov on the old town along the river Khirkhira and another town, Dön-terek (on the territory of Tuva), respectively. The second part *Kara-Korum—Capital of the Old Mongolia* gives a detailed picture of the life in the old Mongolian capital. We read about its history (by S. V. Kiselev—N. Ia. Merpert), about its palace (S. V. Kiselev—L. A. Evtiukhova), frescos (L. A. Evtiukhova), handicraft-trade quarters (S. V. Kiselev—N. Ia. Merpert), coins (L. A. Evtiukhova), iron tools (S. V. Kiselev—N. Ia. Merpert), pottery (L. A. Evtiukhova), tools of different handicrafts (L. A. Evtiukhova), beads (V. P. Levashova), bone tools (V. P. Levashova) and building materials (S. V. Kiselev). Finally, in the third part S. V. Kiselev reports on the remains of a palace found in the neighbourhood of the river Konduy.

The studies are all accompanied by a large amount of illustrative material (31 coloured plates and 205 drawings).

We cannot but gladly welcome this work which opens up a considerable part of the archaeological sources of the Mongolian history of the 13th-14th centuries for further historical investigations.

Hilla Ecsedy

Poppe, N., *Introduction to Altaic linguistics* (= Uralaltaische Bibliothek XIV). Wiesbaden, Otto Harrassowitz, 1965. XIII + 212 S., 8°.

Auf dem Gebiete der altaistischen Studien, wo wir gerade in unseren Tagen die erste Epoche der Rekapitulation erleben, können wir über das Erscheinen eines weiteren bedeutenden Werkes berichten. Die zusammenfassende Arbeit des Gross-

meisters der Altaistik, welche eigentlich aus den Lehranforderungen an den amerikanischen Universitäten entstanden ist, gibt auch — über die behandelnden wissenschaftlichen Probleme hinaus — einen Einblick in die Problematik der Universitätsbildung und -lehre in der Altaistik.

Die am Schluss der Einleitung umrissenen pädagogischen Gesichtspunkte bestimmen den Aufbau der Arbeit, die Art der Behandlung der Fragen und den Umfang der Durchführung bzw. des Apparats. Den einzigartigen wissenschaftlichen Erfahrungen des Verfassers ist es zu verdanken, dass er selbst in dem engen Rahmen das wissenschaftliche Material auf das wesentlichste zu konzentrieren weiß. Die dazu gewählte Form und der Rahmen befolgen nicht die meistens für Handbücher und Einführungen notwendige trockene Linienführung. Der Verfasser vermag die altaische Welt mit ihren Problemen und ihren Erforschern in lebendiger Form allgemein verständlich zu machen.

Die Einleitung des Buches (*Introductory*: S. 1—5) informiert über die Zielsetzungen des Werkes und seinen Aufbau. Darüber hinaus berührt sie aber auch zahlreiche aktuelle Fragen der altaistischen Studien, die aufgrund der Vielsprachigkeit und ihres Charakters im Grunde als „internationale Wissenschaft“ angesehen werden können. Danach gibt das Werk (*The Altaic Languages*: S. 7—77) einen systematischen Überblick über die mongolischen, mandschu-tungusischen, tschuwashisch-türkischen und koreanischen Völker und Sprachen, über ihre Denkmäler, ihre Schriftlichkeit und die wichtigsten Phasen ihrer Geschichte. Der hierauf folgende Teil des Werkes (*History of Investigation of the Altaic Languages*: S. 79—124) gibt einen wissenschaftsgeschichtlichen Überblick über die altaistischen Studien, wieder in der Reihenfolge der einzelnen Sprachgruppen. Besondere Beachtung in diesem Kapitel verdient die Einschätzung der Arbeit der einzelnen Wissenschaftsschulen und Wissenschaftler. Das alles ist die Einleitung zu dem eigentlichen Kernstück des Werkes, zu dem Kapitel über die altaische Theorie (*The Altaic Theory*: S. 125—156), in dem der Verfasser mit der auch im Vorwort betonten Unparteilichkeit und Objektivität — wobei er aber auch keinen Zweifel an seinem eigenen Standpunkt lässt — die verschiedenen Auffassungen darlegt. Das *Mutual Influences within the Altaic Group* (S. 157—163) überschriebene Kapitel behandelt die interaltaischen Sprachberührungen. Die Kapitel *Contacts of Altaic Languages with other Languages* (S. 165—171) und *Altaic Influences upon other Languages* (S. 173—176) behandeln die anderen und wegen der bekannten Quellenschwierigkeiten nicht auf einmal entscheidbare Lehnwörterbeziehungen in den altaischen Sprachen. Das alles vervollständigen ein „sprachtypologisches“ Kapitel (*Characteristic Structural Features of the Altaic Languages*: S. 177—196), ferner eine „vergleichende Zusammenstellung“ (*Brief Comparative Survey of Altaic Languages*: S. 197—203) und ein Index (*Indices*: S. 205—212).

Der spezifische Charakter des Werkes und die in der Einleitung skizzierten Ansprüche geben auch der Besprechung einen bestimmten Rahmen. Wie jede

Zusammenfassung, so beleuchtet auch diese objektiv die Probleme der einzelnen Teilgebiete, die allgemeinen Forschungsforderungen, deren Heraushebung bei dieser Gelegenheit vielleicht nicht ohne Nutzen sein wird.

Jeder Altaist betont auch die nicht ausreichende Kenntnis der Geschichte der einzelnen Sprachen, sei es der Wortschatz oder das phonologische bzw. das grammatische System. Mit Recht können wir sagen, dass die Sprachdenkmäler in ungenügender Weise bearbeitet sind, dass infolgedessen auch die historischen Grammatiken fehlen, gar nicht zu reden von den etymologischen Wörterbüchern der einzelnen Sprachen. Heute nähert sich der Fachmann, der mit Recht nicht auf das Studium der theoretischen Fragen verzichten will, dem altaischen Problem ohne feste Grundlagen. So aber erscheint — die Zukunft betrachtend — ein Fortschritt immer weniger möglich. In unseren Tagen wäre immer gewünschter eine gerade von den Forderungen der Erforschung des altaischen Problems geleitete Zusammenarbeit der altaischen Sprachforscher; die auch methodisch grundlegende Abstimmung der Problematik der „unteren“ und der „oberen“ Ebene. In der Sprache der Publikation heisst das: Zusammenfassungen lexikonartigen Charakters wie das „Handbuch der Orientalistik“ oder die „Fundamenta Philologiae Turcicae“, diese nur unterstrichen auch die Notwendigkeit noch genauerer monographischer Darstellung der Teilgebiete.

In der modernen Ansprüchen genügenden Bearbeitung der einzelnen Denkmäler und so auch im Problem der Einteilung der einzelnen Sprachen käme der Einführung der maschinellen Datenverarbeitung grosse Bedeutung zu, die im Hinblick auf die Möglichkeiten der Materialbewältigung die Erforschung der einzelnen Sprachen tatsächlich revolutionieren würde. (Sie würde z. B. die exakte Vergleichung der „mitteltürkischen“ Denkmälergruppe ermöglichen und die genauere Bestimmung dieses ganz und gar nicht eindeutigen Begriffs ermöglichen, ferner ebenso eine anspruchsvollere Aufwerfung der Fragen der sprachhistorischen Periodisierung usw.)

Die Möglichkeit eines „etymologischen Fortschritts“ im altaischen Problem ist offenbar — wenigstens nach dem gegenwärtigen Denkmalsmaterial — objektiv beschränkt. Das sprachtypologische Kapitel des Verfassers führt aber die Forschung auf ein solches Gebiet, wo die Anwendung neuer Methoden und die Analyse unter vergleichendem oder historischem Aspekt der bis jetzt noch wenig bekannten oder geprüften Zusammenhänge des Sprachsystems neue Wege in der Erforschung dieser Fragen eröffnen können.

Die Tabellen, die auch visuell die behandelte lautliche Darstellung veranschaulichen, die ein wenig zu dunkeltönigen konzentrischen Kreise, sind ausserordentlich nützlich unter dem Gesichtspunkt der allgemeinen Orientierung. Die Darstellung in der letzteren Form auch deshalb, weil sie die Sprache einmal in der horizontalen, zum anderen in der vertikalen Ebene zeigt, weil sie den Leser von einer einzigen Erscheinung zur Erscheinungskombination führt, die einen Teil des sprachlichen Systems bildet. Die Ergänzung des Hilfsapparats mit Landkarten

würde sicherlich von Nutzen sein, und bei einer zweiten Ausgabe des Werkes werden sie gewiss nicht fehlen.

Diese Monographie von einem hervorragenden Vertreter der altaistischen Forschungen ist gleichermaßen ein wertvolles Handbuch für den Studenten wie für den Fachmann. Sie ist eine nützliche und bedeutende Bereicherung der Fachliteratur.

G. Hazai

Rūdakī, Stichi. Redakcija i kommentarii I. S. Braginskogo. Sostavitel D. S. Komissarov. Perevod V. V. Levika i S. I. Lipkina. Moskva, „Nauka“ 1964. 511 S.

Vor einigen Jahren erschien in Tadshikistan eine umfangreiche Anthologie aus der Poesie des tadshikischen Klassikers Rudaki, deren Editor Abdulghani Mirzojev¹ war und die sich in einem gewissen Masse an die Ergebnisse der Textkritik des hervorragenden iranischen Wissenschaftlers, *Sa'īd Nafīṣī*,² stützte. Aus diesen Arbeiten kommt ein neuer Almanach der erhaltenen Fragmente des dichterischen Werkes *Rūdakīs* heraus, der die bisherigen Kenntnisse bereichert und ergänzt. Im Text selbst sind keine Varianten in Fussnoten angeführt; alles, was mit der Textkritik zusammenhängt, ist in einem besonderen Kapitel „Tekstologitscheskie primetschaniya“ (Textologische Bemerkungen) (S. 441—511) konzentriert, in welchem auch die metrische Analyse u. s. w. angegeben wird. Die Präzisierung Braginskis bezieht sich besonders auf die Menge der erhaltenen Verse. Alle Gedichte und Fragmente, die in dem Hauptteil des Buches eingeschlossen sind (*Qaṣīden*, *qīfās*, *rubā'iyyāt*, zerstreute baits, baits aus *matnawīs* und baits, die in der Poesie, Wörterbüchern, u. s. w. zitiert wurden), werden von einer russischen Übersetzung begleitet. Die Autoren der Übersetzung sind V. V. Levik und S. I. Lipkin; einige Partien wurden aus der früher übersetzten Auswahl aus dem Werk *Rūdakīs* übernommen.³ In der gut ausgeführten Übersetzung kommt mitunter in den *Qaṣīden* und den Fragmenten der sich am Ende jedes Distichons durchgängig wiederholende Reim vor, den die russische Sprache mit ihrem beweglichen Akzent und reduzierten Vokalen in unbetonten Silben ganz gut ermöglicht; an anderen Stellen ist er durch ein Reimpaar (Schema a a b b) ersetzt — so ist dies in der *Qaṣīda „Modari may“* der Fall. Ein Reimpaar wird auch bei verstreuten baits verwendet, wo im Original der Reim fehlt, da das Verspaar aus dem Kontext herausgerissen ist; diese Lösung der Übersetzung trägt zur Wahrnehmung des isolierten Verses als ein Ganzes, als eine mehr oder

¹ Osori Rūdakī, Dar tahti tahriri Abdulghānī Mirzojev. Stalinobod 1958; gleichzeitig wurde sie in arabischer Schrift unter dem Titel Āfār-i Abū 'Abdallāh Rūdakī publiziert.

² Ahwāl va aš 'ār-i Abū 'Abdallāh Ḥa 'far bin Muḥammad Rūdakī-ji Samarqandī. Ta'līf-i Sa'īd Nafīṣī, Muğallad-i sivvum. Teheran 1319/1940.

³ Abu-Abdullo Rūdakī, Izbrannoje. Perevod s tadshikskogo-farsi V. Levika i S. Lipkina. Stalinabad 1958.

weniger selbstständige dichterische Einheit, bei. Diese Auffassung erscheint tatsächlich schon in der Lyrik *Rūdakīs*.

Eine sehr wichtige, eigentlich selbstständige Studie ist der Kommentar von Braginskij „O masterstve *Rūdakī*“ („Über *Rūdakīs* Meisterschaft“, S. 384—440). Darin stellt er sich die Aufgabe, die bisher kein Autor, der über den Dichter schrieb, gelöst hat: die Feststellung dessen, das seine Verse zum Bestandteil der Weltpoesie macht, das ihnen einen dauerhaften dichterischen Wert und Gültigkeit garantiert. Es stimmt, dass das Lesen der Übersetzung manchmal auch in einem der tadshikischen Literatur nicht bewanderten Leser ein Erstaunen darüber hervorruft, dass das Gedicht aus den ersten Anfängen der persischen und tadshikischen klassischen Literatur stammt. Diese Poesie ist wirklich im Stande über die Entfernung des Ortes und der Zeit zu wirken, die manchmal weniger relevant sind, als gewisse Stadien der Entwicklung der entsprechenden Literatur selbst (wenn wir nämlich die zeitlichen Geschmacksveränderungen der persischen Literatur der späteren Jahrhunderte vergleichen: ein Beweis ist z. B. die Einschätzung des Gedichtes von *Rūdakī* durch *Doulatšoh Samargandi* aus dem 15. Jahrhundert).

Zuerst führt uns der Autor — durch das Zitieren des tadshikischen Dichters Mirzo Tursunzoda — in die Umwelt des Heimatlandes *Rūdakīs* hinein und zeigt, wie es sich in seinem Werk widerspiegelt und auf welche Art es darin gestaltet wurde. Den Schlüssel zu der Schöpfung des Dichters sucht er in Versen, wo *Rūdakī* selbst die Besonderheiten seiner Methode aufdeckt. Hier genügt uns nicht mehr nur zu prüfen, wie die Poesie *Rūdakīs* den Normen der Poetik seiner Zeitgenossen und Nachfolger entspricht, sondern es ist nötig die ästhetischen und ideologischen Kriterien der modernen Zeit zu applizieren.

Bei der Lösung dieses Problems bekennt sich Braginskij zu der Ansicht Sadriddin Ajnis,⁴ dass der ausdrucksvollste Zug, der uns sehr nahe sein kann und aus welchem eine Reihe weiterer Vorteile erfolgt, das sogen. sahl-i mumtani' — in einem breiteren Sinne dieses Terms der mittelalterlichen Poetik etwas wie eine geniale Einfachheit — ist.

Seine gründliche Analyse beginnt Braginskij mit der Forschung, wie die dichterischen Qualitäten in den kleinsten Fragmenten, den zerstreuten baits ohne Zusammenhang, wo man die Beziehung zu dem verlorenen Kontext nicht rekonstruieren kann, zum Ausdruck kommen. Er geht dann allmählich zu den vollständiger erhaltenen dichterischen Formen über, prüft an ihnen die festgestellten Eigenschaften und erweitert sie um weitere Kenntnisse, die man bei grösseren, mehr zusammenhängenden Ganzen noch dazu gewinnen kann.

Aus der formalen und inhaltlichen Seite der Verse *Rūdakīs* leitet er seinen Hauptgrundsatz „die Ästhetik des Gewöhnlichen und Einfachen“ ab. Dem entspricht der klare, sprachlich natürliche und übersichtliche syntaktische Bau sowie der

⁴ S. Ajni, *Ustod Rūdakī, tartibdihandagon S. Ajni, A. P. Dehoti*. Stalinobod 1940.

Gebrauch der oft aus der landwirtschaftlichen Arbeit und überhaupt aus der Lebensart der einfachen Menschen übernommenen dichterischen Bilder. Das gilt auch für panegyrische und festliche Oden, philosophische Traktaten über die Welt (seine Lyrik erkennt gut die philosophische Bedeutung der einfachen Sachen und Erscheinungen) oder allegorische Aphorismen, wobei manchmal nebeneinander in merkwürdigen Kombinationen einfache und „hohe“ Ausdrücke auftreten. Dadurch gewinnen die Verse an Plastizität, Überzeugungskraft und Intimität. Diese Ästhetik des Einfachen schliesst nicht den Scharfsinn, die unerwartete Raffiniertheit der Wendungen und die feinen Paradoxe aus; im Gegenteil, sie macht sie wirkungsvoll. Die Klarheit und Einfachheit des Stiles steht nicht im Widerspruch mit der Verfeinerung der Form. *Rūdakīs* Wörterbuch ist eigenartig und farbvoll, sucht genaue und zutreffende Ausdrücke (Braginskij macht auf den aphoristischen Charakter der Formulierungen aufmerksam), oft aus dem Gebiet der Volkssprüche und Sprichwörter, aus. In langen epischen Dichtungen wird die Einformigkeit des Metrums durch die Mannigfaltigkeit des Reimes und des Lexikons kompensiert.

Die Verse haben eine deutliche dichotomische Gliederung des bait in zwei relativ selbstständige *misrā'*, event. eine weitere Gliederung innerhalb von *misrā'*, die aber zusammen eine feste Einheit bilden. Braginskij weist auf die Symmetrie im Aufbau der Verse hin und führt ihre Schemen einschliesslich Chiasmus vor. Diese Architektonik der Verse ist ein Ausdruck des Kompositionsprinzips, nämlich des Parallelismus (der immer eine grosse Rolle in der alten östlichen Poesie und Literatur überhaupt spielte), der auf dem Vergleich oder dem Gegensatz gegründet ist. Im Einklang mit dem Prinzip des antithetischen Parallelismus konzentrieren sich die Motive der Dichtung *Rūdakīs* meistens um zwei Grundantinomien „Gutes-Böses“ (der alte iranische Dualismus) und „Liebe-Vernunft“ herum. Bei beiden traditionellen philosophischen Ideen kommt es in seinem Werk zur Konkretisierung und Aktualisierung (z. B. die Äusserung des Gegensatzes des Guten und Bösen in der Form der sozialen Widersprüche) und gleichzeitig zur neuen künstlerischen Verallgemeinerung. In der späteren persischen und tadzhikischen Dichtung ist es ähnlich, die konkrete Seite wird jedoch manchmal mehr verhüllt und der Gedanke absichtlich allgemeiner formuliert.

Auch das zweite Antinomiepaar (das natürlich nicht als antagonistisch gegensätzlich verstanden wird) hat eine Grundbedeutung. Der Verstand ist die Grundlage des ethischen Systems und der philosophischen Stellungnahme des Dichters, und das bedeutet die Hervorhebung der ewigen positiven Werte und des höheren Sinnes des Lebens als Gegengewicht zu der Veränderlichkeit und Vergänglichkeit des menschlichen Schicksals. Das höchste von diesen Werten ist die Schönheit des Lebens und die Liebe. Beides in der Einheit des ästhetischen und ethischen Ideals führt ihn zu den humanistischen Aufforderungen und liegt dem Freidenkertum nicht fern.

Der Inhalt und die Form sind noch (gegenüber den späteren Zeiten) im Gleich-

gewicht. *Rūdakī* benützt viel die dichterischen Figuren; die Sorgfalt um die Form verfolgt aber das Ziel einer besseren Zugänglichkeit der Wahrnehmung und einer grösseren Suggestivkraft des Gedanken; sie ist also kein Selbstzweck.

Ein charakteristischer Zug der Verse *Rūdakīs*, die ausserordentlich melodisch sind, ist die möglichst grösste Rhythmus-Isochronie des Verses mit einer natürlichen Aussprache. Braginskij betrachtet die Rolle der Intonation und der Musikalität des Verses im Zusammenhang mit der wahren musikalischen Durchführung, die in der Zeit *Rūdakīs* üblich war.

Für einen Faktor von grössster Wichtigkeit, den wir in Betracht ziehen müssen, wenn wir in der Analyse zu Gedichten, die in einer mehr festgefügten Form erhalten sind, gelangen, betrachtet Braginskij die Frage des Subtextes. Er zitiert die Hemingways Vergleichung der literarischen Schöpfung zum Eisberg, von welchem nur ein Achtel über die Wasserfläche herausragt. Auch in diesem Fakt kann das Geheimnis der Unvergänglichkeit des Werkes liegen. In der östlichen Poesie wurde „der Subtext der Andeutung“ ausgearbeitet, was — nicht so sehr bei *Rūdakī*, wie bei einigen anderen Dichtern — z. B. mit einer grossen Menge der wissenschaftlichen Kenntnisse aus verschiedenen Gebieten verbunden wurde. Je tiefer die Kenntnisse sind, desto organischer gliedern sie sich in den formalen und Gedankenkontext des Gedichtes ein. Noch komplizierter werden die Fragen des „Subtextes“ der gesamten Situation, der seelischen Umwelt des Dichters, seiner Erlebnisse, Quellen seiner Inspiration u. s. w. gelöst. Wichtig ist es den Zusammenhang des Grundmotivs des Werkes mit dem Subtext und besonders dann den Instinkt des Dichters für das, was in der Zukunft lebendig bleibt, zu erforschen.

Interessant ist die Analyse der psychologischen Wirkung des bekanntesten Gedichtes *Rūdakīs*, das für den bucharischen *Anīr* improvisiert wurde. Dieses Gedicht ruft die Illusion der Sinnenswahrnehmungen hervor, und zwar so wie sehr konkret im Zusammenhang mit der Situation in der es entstanden ist, als auch genügend allgemein, damit es jeder ähnlichen Grundsituation entspricht (hier Sehnsucht und Heimweh).

Schliesslich versucht Braginskij die Beziehung und die Differenz zwischen dem Dichter und dem Philosophen zu charakterisieren. Beim *Rūdakī* finden wir neben den erwähnten Antinomien z. B. Elemente der spontanen Dialektik, aber kein festgefügtes philosophisches System.

Braginskis Analyse wird an einigen Stellen von kühnen Rekonstruktionen der Szenen aus *Rūdakīs* Leben und Parallelen aus den Schicksalen und Werken berühmter Künstler begleitet. Wenn uns schon einige Parallelen angeboten werden, möchten wir Petrarca erwähnen, der 400 Jahre nach *Rūdakī* lebte, als erster Psychologe unter den Dichtern betrachtet wird, indem er die Kompliziertheit und Dialektik des menschlichen Innerns (die Wonne der Qual und die Qual der Wonne) erfasste und dabei ein hervorragender Landschaftsmaler war. In dem Artikel sind einige Dichter zitiert. Der Autor erkennt die Fähigkeit, einigen spezifischen Tatsachen

der Poesie am besten auf den Grund zu kommen, den Dichtern an und vertritt augenscheinlich die Ansicht, dass der künstlerische Moment in der literaturwissenschaftlichen Forschung eine wichtige Rolle spielt und nicht missachtet werden kann. In seiner Arbeit nähert er sich selbst — bei aller wissenschaftlichen Genauigkeit — dem künstlerischen Stil und so können wir seine Arbeit als wissenschaftliche und gleichzeitig künstlerische werten.

Eva Štolbová

Berendsohn, Walter A., *Das Volk der Bibel im Land der Väter* (Der junge Staat Israel). Stuttgart, Seewald Verlag, 1962, 316 S.

Ein grundlegendes und interessantes Buch über den jungen Staat Israel. Eine Schilderung der Entstehung eines neuen Staates, die unbegreiflicherweise gegen Natur und Menschen zu Stande kam und sich behauptet.

Ursprünglich erwartete ich ein Buch, das sich mehr mit dem Lande der Väter befassen würde. In dieser Hinsicht ist der Autor sehr bündig und kurz. Seine Aufmerksamkeit ist der Gegenwart zugewendet.

Das erste Kapitel bringt zwar einen zusammengedrängten Blick auf die Vergangenheit, doch auch mehr als eine historische Erklärung warum das jüdische Volk nach einem Staate strebte, als eine historische Darstellung.

Es folgt dann eine Darstellung der wirtschaftlichen Verhältnisse im heutigen Israel. Der Autor beschäftigt sich hier mit den Kibbuzim, der Histadruth usw. Anschliessend an die innere wirtschaftliche Situation Israels schliesst dieses Kapitel mit einem Überblick auf den Export Israels.

Ein besonders umfassendes Kapitel beschäftigt sich mit der innenpolitischen Frage des jungen Staates Israel. Hier waren die Probleme besonders gross und von entscheidender Bedeutung.

An dieses Kapitel schliesst sich die Geschichte der Verteidigung Israels mit einem besonderen Hinblick auf den Sinaifeldzug 1956, der sich würdig an den Unabhängigkeitskrieg 1947/9 reiht.

Aufmerksam analysiert Berendsohn die kulturellen Fragen Israels. In diesem Kapitel beschäftigt er sich auch mit dem Gesundheitswesen und den sozialen Fragen. Dieser Teil schliesst mit einer Übersicht über die Einstellung Israels zur Religion.

Im letzten Kapitel untersucht der Verfasser die Einstellung Israels zur Welt. Aufklärend ist vor allem der erste Teil dieser Erwägungen über Israel und die arabischen Staaten. Dieser Teil könnte vielleicht noch weiter ausgebaut werden.

Das Buch schliesst mit einer Betrachtung über den Antisemitismus und den Staat Israel.

Soviel über den Inhalt des Buches. Vielleicht könnte man über seinen Titel polemisieren, doch bei dieser Wahl hat jeder Schriftsteller Freiheit. Der Titel scheint hier jedoch anzudeuten, dass der Leser etwas über die Geschichte und Vergangenheit

Israels erfahren wird. Dem ist jedoch nicht der Fall. Es muss jedoch dem Autor zuerkannt werden, dass er darauf selbst im Untertitel des Buches hinweist. Grammatisch ausgedrückt könnte man sagen, dass der Autor hier nur das Praesens und das Futurum nicht aber das Perfectum des Volkes der Bibel behandelt.

Unter den Menschen finden wir verschiedene Liebhaber und Sammler. Einer sammelt dies, der andere jenes. Wenn ich jetzt nach dem Durchlesen dieses interessanten Buches über die Art und Weise Walter A. Berendsohns nachdenke muss ich seine Vielseitigkeit hervorheben. Dieses Buch verknüpft in sich die realistische Darstellung einer Photographie mit dem Werke eines darstellenden Künstlers. Sowie die photographische Linse ein unverfälschstes Bild gibt, haben wir auch hier ein wahrhaftiges Bild des Staates Israel vor uns, doch ist dieses Bild umfassend, was der Photographie sonst fehlt, denn diese erfasst ja das Objekt nur von einem Standpunkte. Berendsohn beleuchtet jedoch den Staat Israel von allen Seiten, von verschiedenen Aspekten. Er beleuchtet diesen auch und sieht und schildert ihn nicht mit dem leblosen Auge des Photoapparates, sondern mit der gefühlsvollen Seele des Künstlers.

Wenn ich hier schon bei der Wertung auf das Gebiet des Objektives abirrte möchte ich dabei verbleiben. Dieses Buch ist nicht nur eine Photographie, es ist eine Photoserie, ein Film, der nicht nur einige Momente festhält, sondern einen Überblick der zwar kurzen, aber wichtigen Entwicklung bietet. Ja ich muss sagen es ist ein Tonfilm, der nicht nur die Ansichten des Verfassers gibt, sondern der die Menschen selbst sprechen lässt. Ich will hier nur auf den Brief des Emir Feisal von Hedschas (S 215) hinweisen, doch bringt das Buch die Ansichten vieler verschiedener Persönlichkeiten.

Wenn ich dem Buch einen Mangel zusprechen muss, so ist es die Tatsache, dass es vom nicht genügend kritischen Standpunkt eines Ben Gurion-Freundes geschrieben ist, dessen Stern schon im Fallen war, als dieses Buch geschrieben wurde. Dies ist überall zu erkennen. Auch würde ich das Buch — wie schon angedeutet — im Kapitel: Israel und die Welt zu ergänzen empfehlen.

Das Buch ist mit zahlreichen Photos und Mappen schön ausgestattet, die dieses gut ergänzen.

Das Buch entstand auf Grund vieler Reisen des Autors, jedoch ist es keine Reisebeschreibung. Es ist eine Studie, welche dem Leser viele Rätsel des neuen Israel erklären kann. Es dient nicht — wie dies vielleicht der Titel verspricht — dem Historiker (im engen Sinn), sondern eher dem Denker, der die Welt um sich begreifen will.

Der Leser wird dem Autor sicher dankbar sein, wenn er sich auch wahrscheinlich von manchen Ausführungen distanzieren wird.

Elias Katz

Michael Avi-Yonah, *Geschichte der Juden im Zeitalter des Talmud in den Tagen von Rom und Byzanz*. Berlin, Walter de Gruyter und Co, 1962, VXI+290 Seiten, Preis DM 38.

Michael Avi-Yonah ist ein bekannter Wissenschaftler und Schriftsteller. Er wurde 1904 in Galizien geboren und lebt seit 1921 in Israel. Er studierte auch in England. Sein Wissensgebiet ist umfangreich und umfasst vor allem: Archeologie (historische), historische Geographie und Geschichte (Altertum und Mittelalter). Zur Zeit des Mandates war er Regierungbeauftragter für Archeologie. Jetzt ist er Professor für Archeologie an der Hebräischen Universität in Jerusalem. Sein Werk wurde im Jahre 1956 mit dem Bialikpreis ausgezeichnet.

Zu seinen bekanntesten Arbeiten zählen: *Handel und Industrie in Israel (Palästina) in den Tagen Rom's und Byzanz und Historische Geographie von Israel (Palästina)*. Er war auch der Herausgeber des umfassenden *Sepher Jerushalayim*, das einige seiner Studien enthält: so die Topographie von Jerusalem in verschiedenen Zeitaltern und eine Beschreibung des Heiligtums. So wie dies sein Weltruf erwarten lässt reiht sich auch diese seine Arbeit würdevoll zu den hier angeführten.

Das Buch *Geschichte der Juden im Zeitalter des Talmud* umfasst die Epoche von 135—634 unserer Zeitrechnung. Das Ziel, das sich der Autor setzt ist die Schilderung der politischen Geschichte der Juden in diesem Zeitabschnitt. Dies ist eine schwere Aufgabe, denn zu dieser Zeit existiert kein jüdischer Staat und das jüdische Volk hat keine offizielle politische Führung. Das Material für dieses Werk musste von dem Autor in jahrelangem ausdauerndem Studium zusammengetragen werden. Seine Hauptquelle war der Talmud. Doch hier waren die Anhaltspunkte für diese Arbeit weit verstreut, denn der Talmud ist ja kein geschichtliches Werk, sondern ein religiös normatives Gesetzbuch. Trotzdem muss man mit Anerkennung sagen, dass dem Verfasser ein hervorragendes Werk gelungen ist, dass die geschlossene Reihe der Geschichtsbücher des jüdischen Volkes, wie sie uns in der Bibel erhalten sind, bis zu dem Jahr 635 unserer Zeitrechnung in moderner exakter Weise weiterführt. Dieses Jahr war dann für die Geschichte (politische) des jüdischen Volkes ein unglückliches, denn mit ihm hört das politische Bestreben der Juden für mehrere dunkle Jahrhunderte auf.

Das Buch ist in zwölf Kapitel eingeteilt, welchen eine Einleitung vorangeht. Diese schildert die Verhältnisse vor dem Jahre 135 und bildet so den Ausgangspunkt für die Erwägungen des Autors.

Die ersten drei Kapitel schildern dann die Geschichte des Judentums im römischen Reiche. Nach den grausamen Erpressungen des jüdischen Volkes durch die siegreichen Römer kam es zu einem gewissen erträglichem Zusammenleben. Das Judentum hatte zwar keine eigentliche politische Vertretung, doch fand es im Patriarchat eine nationale Organisation.

Die Krise des römischen Reiches gegen Ende des dritten und zu Beginn des vierten Jahrhunderts hatte weitgehende Folgen für alle Angehörige des Imperiums. Es steigerten sich die Forderungen der Machthaber, was sich durch Zwangsaushebungen, Zwangsarbeiten und neue und neue Steuern in den unterdrückten Staaten bemerkbar machte. Dies blieb nicht ohne Nachwirkung auf das Patriarchat, das ja

der Verbindungspunkt zwischen den Herrschern und dem Judentum war. Die Rabbiner kritisierten das Patriarchat, das die Interessen der Römer vertrat. Es kam zu Zerwürfnissen und zu Einschränkungen der Rechte des Patriarchen. Im Volle lebten in dieser Zeit härterer Bedrückung die messianischen Hoffnungen aufs neue und stärker auf. Es vergeht eine Periode verhältnissmässigen Friedens und der Ruhe, die zwei Jahrhunderte angedauert hatte.

Als bestimmendes Element für das Judentum tritt mit dem vierten Jahrhundert das Christentum auf die Szene. Im sechsten Kapitel rekapituliert der Autor die Beziehungen des Judentums und Christentums in der vergangenen Epoche des römischen Reiches. Das Christentum war von den Römern offiziell nicht anerkannt, ja im Gegenteil verfolgt. So hatte es auf das Judentum keinen politischen Einfluss. Mit dem Ausgang des grossen römischen Reiches kommt es aber zur Änderung, denn die christliche Religion wird nicht nur anerkannt, aber sie wird sozusagen zur Staatsreligion.

In den Kapiteln 7—9 schildert der Verfasser die Lage des Judentums unter den Kaisern Konstantin dem Grossen, Julian und Theodosius dem Ersten. Namentlich unter den Nachfolgern Theodosius I. wurde die Lage der Juden immer schwerer. Die Periode dieser Verfolgung (383—438) bringt auch das Ende des Patriarchates mit sich.

Das zehnte Kapitel schildert die Spaltung des römischen Reiches und die Spaltung im Christentum und die Folgen für das Judentum.

Das elfte Kapitel erläutert das Verhältnis der Juden unter Kaiser Justinian. Es ist wichtig diesem Zeitraum eine besondere Beachtung zu widmen, denn die zu dieser Zeit erlassenen byzantinischen antijüdischen Gesetze behielten ja ihren Einfluss bis in das späte Mittelalter.

Das zwölfe Kapitel schildert das Ende der christlichen Herrschaft in Israel (Palästina) und die persische und schliesslich arabische Eroberung und deren Folgen für das Judentum. Michael Avi-Yonah gibt in diesem Buch eine klare und übersichtliche Schilderung der politischen Bemühungen des Judentums in fünf Jahrhunderten.

Avi-Yonah benutzt die modernsten Methoden und Resultate der Geschichtsforschung. Er lässt nicht einmal die neuesten Funde von Qumran ausser Acht. Ich kann an seinen Darstellungen wirklich nichts wesentliches bemängeln. — Seine Schilderung ist prägnant und verständlich. Wo verschiedene Deutungen möglich sind weisst er selbst darauf hin. So mit Fragezeichen bei verschiedenen Namen, die sich auf mehrere Personen beziehen könnten. Ich will hier z. B. auf die Seite 81, Fussnote 146 R. José (ben Halaffa?) und auf S. 144, Fussnote 26 Samuel nach R. Ismael ben Jose (?) aufmerksam machen. Auch diese kleinen Hinweise und ähnliche kleine Bemerkungen bringen dem Forscher viele Anregungen.

Leider konnte ich mir nicht die Originalfassung im Hebräischen beschaffen und diese mit der deutschen Ausgabe vergleichen. Denn in der letzteren muss ich auf

einige kleine Ungenauigkeiten aufmerksam machen. Ich weiss nun nicht ob diese vielleicht nicht nur auf die Übersetzung zurückzuführen sind. So z. B. auf S. 144 im Zitat aus Tosephtha Hulin II, 20—21 heisst es: „ihre Söhne unehelich“ richtig müsste es heissen: „ihre Kinder unehelich“. Im Hebräischen gebraucht man sowohl für Söhne als auch für Kinder den Ausdruck *banim*.

Ähnlich auf S. 210 im Zitat aus Erubb. 5, 1—22c wird das hebräische Wort *Ibur* mit Schaltjahr anstatt mit Weichbild (verstehere Weichbild der Stadt) übersetzt. Hier an dieser Stelle wird durch diese Übersetzung der Text fast unverständlich. Auf S. 168 müsste es wohl im Zitat bSanh. 12 a Idomäer und nicht Aramäer heissen, denn diese sind wahrlich keine Römer. Auch im Zitate auf Seite 166 ExodR 2,2 sollte man *schechina* nicht „Seele“ sondern „Geist“ übersetzen.

Auf S. 173 gehört die Fussnote 43 zu dem Zitate des R. Abbahu und nicht zur Dreieinigkeitslehre. Das Zitat aus Deut. R. (Fussnote 44) kann missverstanden werden, denn Gott zürnte Salomon nicht ob des dreimal Heilig, sondern ob der Verschiedenheit. Das „Heilig, heilig, heilig...“ gehört auch heute noch zu den täglichen Gebeten des frommen Juden. Deshalb kann er nicht getadelt werden. Bei den Juden hat dieses dreimal heilig aber nicht gemeinsames mit der christlichen Dreifaltigkeitstheorie.

Bei einer neuen Auflage sollte Avi-Yonah vielleicht auch noch einige Details überprüfen. So z. B. auf S. 143, im vorletzten Absatz (Fussnote 24) handelt es sich um zwei verschiedene Jakob. (Siehe Dr. Josef Klausner, *Jesus von Nazareth*, Berlin, Jüd. Verlag, 1930, S. 48.)

Auf S. 171 ist nicht Hillel der Patriarch gemeint sondern Hillel, der Sohn des Rabbi Juda und Bruder des Patriarchen Gamliel. Deshalb ist das dort angeführte für den Anfang der christlichen Herrschaft nicht massgebend, denn dieser Hillel lebte früher. Auch Rabbi Josef, der auf Hillel reagiert, lebte zeitlich früher.

Auf S. 172 bringt die Fussnote 39 nichts, was auf die Absicht des Verfassers hinweisen würde.

Auf S. 159 zitiert Avi-Yonah R. Isaak ohne jedoch die Stelle anzugeben (es fehlt die Fussnote — vielleicht Druckfehler?). Bei einer Neuausgabe würde ich auch anempfehlen den sonst vortrefflichen Register auch mit einem Stellenregister zu ergänzen. Das Angeführte soll nur auf einige Möglichkeiten hinweisen, die vorliegende vortreffliche Arbeit bei einer Neuausgabe womöglich noch zu verbessern. Wie gesagt, sind dies aber keine wesentlichen Fehler und wahrscheinlich sind sie auf die Übersetzung zurückzuführen.

Etwas Hervorragendes in diesem Buch sind die vier Karten und das Diagramm, die das Material vortrefflich und übersichtlich ergänzen.

Das Buch *Geschichte der Juden im Zeitalter des Talmud in den Tagen von Rom und Byzanz* ist nicht nur zeitlich sondern auch örtlich auf Rom und Byzanz eingeschränkt. Sie lässt wohl mit Absicht das Judentum in Afrika und in Persien unbeachtet, da ja dieses mit dem politischen Bestreben des Judentums nichts zu tun hatte und in jeder

Hinsicht ganz unter dem Einfluss des römischen und byzantischen Judentums stand.

Ich kann an diesem Werke nichts beanstanden, sondern es nur loben und empfehlen. In seiner Vorrede zur hebräischen Ausgabe zitiert Michael Avi-Yonah den englischen Historiker Lytton Strachey der von einem Geschichtsschreiber drei Fähigkeiten verlangt: das Sammeln der Tatsachen, die Darstellungsfähigkeit und die Betrachtungsfähigkeit. Ich will hier betonen, dass Avi-Yonah diese drei Fähigkeiten nicht nur in sich verkörpert, sondern sie auch mit einer vierten ergänzt, die für einen Geschichtsschreiber nicht unbedeutend ist: nämlich die Begebenheiten mit dem Auge der damaligen Zeit zu betrachten, mit der Fähigkeit sich in die Vergangenheit einzuleben. Dies kommt überzeugend in dem Kapitel über die Politik Konstantins des Grossen (S. 162ff) und an vielen anderen Stellen zum Ausdruck. Es bleibt nur zu hoffen, dass uns Michael Avi-Yonah noch weitere ähnliche gründliche Arbeiten schenken wird, die eine wirkliche Bereicherung unseres Wissens über das Judentum und seine biblische Heimat und Vergangenheit darstellen.

Elias Katz

Albrecht Goës, *Genesis. Bilder aus der Wiener Genesis*. Hamburg, Friedrich Wittig Verlag, 1956, 15 Seiten und 12 farbige Bildtafeln mit erklärendem Text.

Ein herrliches Buch für den Liebhaber alter Kunst. Ein Buch für beschauliche Stunden, Stunden der Beschauung und Einkehr die dem rastlosen Menschen unserer Zeit so wichtig sind und ihm so wohl tun. Es bringt eine Auswahl von Illustrationen aus der Wiener Genesis. Doch wie der Autor ausführt ist sie deshalb nicht vielleicht ein Buch, das nur zu dem Juden sprechen würde, wenn auch die Genesis das älteste Geschichtsbuch der Juden ist. Es ist ja auch ein Buch des Christen, denn die Bibel ist ein Gemeingut beider und auch ein Buch für den Menschen im allgemeinen als Bericht über den Ursprung des Menschen überhaupt.

Das vorliegende Buch ist kein wissenschaftliches Werk. Es betrachtet zwar die ausgewählten Illustrationen mit dem Auge des geschulten Theologen, begleitet aber gleichzeitig diese herrlichen Darstellungen mit der Zunge des Dichters. Ob die Auswahl der zwölf Bilder unter 48 Illustrationen der Wiener Genesis glücklich ist kann ich leider nicht beurteilen, da ich nur die vorliegenden Bilder kenne. Sie sind aber eindrucksvoll und künstlerisch kennzeichnend.

Die Wiener Genesis ist eine Bildhandschrift vermutlich aus der Mitte des sechsten Jahrhunderts. Es ist eine syrische Arbeit, die wahrscheinlich wie der Codex Rossanensis aus Antiochien stammt. Antiochien ist durch seine Theologieschule bekannt, die sich besonders um die Auslegung der Genesis bemühte. Die Person des Künstlers ist unbekannt, sie wird unter den Mönchen eines Klosters zu suchen sein. Wahrscheinlich waren mehrere Autoren an dieser Abschrift der Genesis beteiligt.

Wie dies aus diesem kleinen Büchlein ersichtlich ist, würde die Wiener Genesis eine Faksimilienausgabe mit einer gründlichen wissenschaftlichen Studie verdienen.

Die Wiener Genesis ist nämlich eines der wenigen Bildüberlieferungen der ältesten christlichen Kunst. Eine eingehende Untersuchung könnte vieles zu den vorausgesetzten Beziehungen zwischen der jüdischen und christlichen Kunst in ihren Anfängen sagen. Auf diesen Zusammenhang wies besonders Carl Otto Nordström hin. Auch ich befasste mich mit diesem Problem in meiner Studie die die Faksimilienausgabe des Machsor Lipsiae (Leipzig, VEB Edition, 1964) begleitet. Auch in diesen Bildern der Wiener Genesis konnte ich solche Zusammenhänge erkennen. So wird Gott immer nur durch eine Hand symbolisiert. Im Bilde des Cherub an der Paradiespforte treffen wir auf eine Darstellung der Vision EzechIELS. Im Bilde der Bogen des Friedens werden Noe und Sem in blauen Kleidern dargestellt, da Blau die himmlische Farbe ist, während Cham und Japhet, die sich von den redlichem Wege abwandten rotbraune Kleider tragen. Rot symbolisiert die Sünde. Doch dies nur als Anregung, denn der Autor Albrecht Goes stellte sich keine solche Ziele.

Trotzdem kann man sagen, dass dieses Büchlein nicht nur die christliche und jüdische, sondern auch die Kunstgeschichte im Allgemeinen bereichert.

Vielleicht wäre es, besonders für den allgemeinen Leserkreis, bei dem man heute keine gründliche Bibelkenntnis voraussetzen kann, gut gewesen die dargestellten Personen genau zu bezeichnen. So zum Beispiel bei dem schon erwähnten fünften Bilde der Bogen des Friedens und vor allem im neunten Bilde Rebekka am Brunnen, wo der nicht versierte Betrachter im unklaren bleiben könnte, welche Figur Rebekka darstellen soll. Es ist selbstverständlich die keusch verhüllte Gestalt mit dem Kruge, während die unverhüllte wahrscheinlich eine der Töchter der Kannaniter darstellen soll, die Abraham als seines Sohnes unwürdig erachtete, da sie durch ihren freien Lebenswandel berüchtigt waren. Es könnte auch sein, dass unter dem Einfluss der griechischen Mythologie eine Nymphe des Brunnens dargestellt wird. Dies soll jedoch kein Vorwurf für den Autor sein, der ja die Bilder wirklich richtig und dem Bibeltext entsprechend erklärt. Es soll nur als Anregung für eine eventuell weitere Ausgabe dienen.

Abschliessend muss ich hier auch den Verlag erwähnen, der viel Mühe für eine entsprechende Ausgabe verwendete und so dem Leser ein Buch in die Hand gab, dass auch dem Bibliophilen Freude bereiten kann und muss.

Elias Katz

Peter Gradenwitz, *Die Musikgeschichte Israels*. Kassel, Bärenreiter, 1961. 240 S. und XXIV Bildtafeln.

Peter Gradenwitz ist einer der wenigen Musikwissenschaftler der sich einem so vernachlässigten Gebiete widmete, wie es die Geschichte der israelischen Musik ist. Er wurde 1910 geboren und wohnt seit 1936 in Tel Aviv. Seine langjährige — über dreissig Jahre andauernde — Forschungsarbeit stellte er in den Dienst der Pionierarbeit auf diesem Gebiete. Er ist durch viele kleinere Veröffentlichungen und durch seine Rundfunkvorträge bekannt.

Über die Musikgeschichte Israels veröffentlichte er mehrere Bücher, das erste im Jahre 1945 in hebräischer Sprache, in der englischen Ausgabe (1949) und in der zweiten hebräischen Ausgabe (1954) die umgearbeitet und erweitert wurde. Das vorliegende Buch ist eine völlige Neubearbeitung, dessen Manuskript im Jahre 1960 abgeschlossen wurde.

Wer nur informativ auf dem Gebiete der jüdischen Geschichte und namentlich Kulturgeschichte bewandert ist, kann dieses Buch nur bewundern. Es ist fasst unfassbar, was Gradenwitz in jahrelangen Studien und im bewunderswertem Fleiss zusammentragen wusste um eine einmalige Monographie herauszubringen. Das Judentum selbst befasste sich mit seiner Musik nur vom praktischen rituellen Standpunkte aus. Deshalb sind die Spuren dieser Musik schwer zu verfolgen, denn es fehlt an Dokumentationsmaterial. Namentlich der Ursprung der jüdischen Musik ist sehr schwer zu verfolgen. Andersgläubige Forscher hatten in den vergangenen Jahrhunderten nichts oder fast nichts für jüdische Kunst übrig. Den Juden selbst aber war Kunst unter den streng konservativen Einflüssen der Vergangenheit ein fast verbotenes Land, da es vom Studium des allein notwendigen, dem Studium der Thora und des Talmud abhielt.

Gradenwitz liess sich durch keine Schwierigkeiten von seinem Ziele abhalten und gibt so vor allem dem Wissenschaftler ein Buch in die Hand, dass einen Ausgangspunkt für eine weitere Forschung darstellt. Namentlich sind die ersten Kapitel von dem Standpunkte der Einmaligkeit und Originalität besonders beachtenswert.

Zuerst untersucht der Autor die Musik der Juden vor der Besitzergreifung des Verlobten Landes. An Hand der Bibel beweist er seine Ausführungen. Dieses Kapitel ist jedoch nicht nur für den Juden von Bedeutung, sondern für die Geschichtsforschung und Musikgeschichtsforschung des Nahen Ostens überhaupt, denn die Juden sind das einzige Volk unter den ursprünglichen Semiten, dessen Kultur bis heute erhalten blieb.

Im Kapitel Die heilige Stadt, bringt der Verfasser eine Darstellung des Aufblühens der jüdischen Musik in seinem eigenen historischen Staatswesen. Über die Wichtigkeit dieses Teiles spricht das Mitwirken des Königs David, der als königlicher Sänger und Musiker nicht nur in jüdischen Kreisen sondern besonders in christlichen und auch islamitischen sprichwörtlich ist.

Das Zurücksinken der politischen Macht bringt das Judentum unter Einfluss anderer Mächte. Dieser Einfluss macht sich auch auf dem Gebiete der Musik bemerkbar. Gradenwitz untersucht besonders den griechischen und römischen Anteil in der Geschichte der hebräischen Musik und weist auch auf den Wechseleinfluss der jüdischen Musik in Hellas und Rom hin.

In den weiteren Kapiteln steht Gradenwitz schon mehr Material zur Verfügung, das er in Kapiteln: Die Besiedlung des Westens (Europas), Die Musik der Juden im europäischen Mittelalter, Jüdische Musik der Renaissance und schliesslich im Kapitel Von Mendelsohn zu Schönberg behandelt. Hier treffen wir schon auf bekann-

tere Tatsachen, auch wenn sie bisher vom Standpunkt der jüdischen Musik kaum bearbeitet wurden.

Sehr wertvoll sind dann die zwei folgenden Kapitel: die Bibel in der Musik und die Entwicklung der liturgischen (verstehe jüdischen 1.) Musik. Das erstere bringt nicht nur eine Aufstellung oratorialer Werke, die sich zuerst der Bibel bemächtigten sondern auch eine Reihe von Opern, die ihr Thema aus der Bibel schöpften. Im zweiten Kapitel befasst sich Gradenwitz mit der unterschiedlichen Entwicklung des liturgischen Gesanges in den beiden kulturellen Sphären, in denen das europäische Judentum lebte. Für den östlichen Teil — dem aschkenasischen Ritus — bleibt melodische und rythmische Freiheit und Improvisation kennzeichnend, bei den westlichen — dem sephardischen Ritus — macht sich der Einfluss der hochstehenden musikalischen Kultur Westeuropas bemerkbar. Der Autor analysiert hier in einem Überblick die traditionellen Elemente des Synagogengesanges. Der Autor weist auf mehrere bekannte Vertreter der jüdischen kantoralen Musik (chasanut) hin und auch auf den Einfluss der westlichen Musikkultur. Im Westen macht sich die Entfremdung durch die Einführung der Landessprache in den Gottesdienst und somit in den liturgischen Gesang und auch durch fremdes melodisches Gut und Einführung von Musikinstrumenten (Orgel) bemerkbar.

Aus dem hier angeführten ist es klar, dass vom Standpunkte des Judentums in musikgeschichtlicher Hinsicht der Osten Europas wichtiger und aufschlussreicher ist. Deshalb widmet der Verfasser auch ein besonders Kapitel der national jüdischen Schule in Osteuropa. Gradenwitz verfolgt diese Entwicklung richtig im Zusammenhang mit dem ganzen soziologischen und kulturellen Hintergrund des jüdischen Lebens im Osten.

Das Buch schliesst mit zwei Kapiteln: Hebräische Musik unserer Zeit und Die Musik im neuen Israel. Im ersten Kapitel weist dabei der Verfasser auf die notwendige Unterscheidung einer jüdischen und einer hebräischen Musik hin. Unter der ersten versteht er Musik aus der Erbschaft des europäischen Gettos, vor allem in jiddischer Sprache, unter der letzteren Musik die auf traditionell hebräisches Gut zurückgeht und den klassischen hebräischen Büchern und vor allem der Bibel nahesteht.

Für den Forscher werden die Anhänge besonders wertvoll sein, vor allem eine vergleichende Zeittafel zur allgemeinen jüdischen Geschichte und zur Kulturge schichte der Juden und ein Verzeichniss der Bibelstellen, die Musik und Musikinstrumente erwähnen. Nützlich und aufklärend sind weiter das Literaturverzeichnis und die Register.

Das Buch ist mit einem reichen Bildmaterial und vielen Notenbeispielen und einigen Textillustrationen begleitet. Es ist mit der bekannten Fürsorge des Bärenreiterverlages herausgebracht worden.

Trotz aller Vorzüge dieses Werkes, die ich nicht ausreichend hervorzuheben vermochte, möchte ich dieses Buch nicht als letztes Wort auf diesem Gebiete betrachten. Es scheint mir eher eine Insel, oder Inselgruppe zu sein, die dem schon

verzweifelnden Seefahrer das nahende Festland ankündigt. Wie schon ange deutet, wurde die jüdische Kunstgeschichte, also auch — und diese vielleicht am meisten — die Musikgeschichte, sündhaft vernachlässigt. Und hier findet nun der fast schon verzweifelnde die Inselgruppe die das Festland andeutet.

Dieses Buch ist wie eine singende Uhr. Wie diese nur zu gewissen Stunden schlägt und sonst schweigt, bespricht auch dieses Buch einige Teile der Musikgeschichte Israels, doch bleiben noch andere unbesprochen. Dies ist jedoch kein Vorwurf. Ich fand in diesem Buche mehr als ich erwartete und es bringt sicher das wesentliche, so dass es eine gute grundlegende Monographie darstellt.

Am schwersten waren wohl dem Verfasser die ersten Kapitel, wo seine Ausführungen wegen ungenügendes Dokumentationsmaterials mehr hypothetisch sind.

Zu den ersten zwei Kapiteln möchte ich auch einige Anmerkungen beifügen. So scheint mir, dass Gradenwitz mit Recht auch Moses als einen Schöpfer und König der Musik betrachtet, während allgemein nur David dafür gehalten wird. Auf Grund der Bibel würde ich Moses für den König der Vokalmusik und David den der Instrumentalmusik betrachten. Dagegen ist es jedoch interessant dass die Araber Moses als König der Flötenmusik betrachten.

In diesem Zusammenhang möchte ich eine Hypothese über das Wort machol vorlegen (S. 42). Mit Machol kommen wir auf mehreren Stellen der Bibel zusammen, Ex. 15, 20, Jer. 31,4). Dieses Wort wird mit Reigen (Tanz) übersetzt was den Text schwer verständlich macht, denn er heisst „so geht mit Pauken und Reigen“. Machol ist ein zusammengesetztes Wort, das M ist vorgesetzt und auch in vielen anderen hebräischen Wörtern in dieser Funktion zu finden. Ich bin aber der Ansicht, dass hier das M eine besondere Funktion hat, nämlich dass es eine Abkürzung für Moses ist, während das chol auf das Chalil — Flöte zurückzuführen ist. Da Chalil zuerst im Zusammenhang mit Moses und Miriam in der Bibel erwähnt wird, scheint mir diese Ausführung logisch. Es wäre so auch eine Erklärung dafür gegeben, warum die Araber Moses als Patron der Flötenmusik betrachten. Vielleicht war das Machol auch eine besondere Flötenart, welche auf Moses zurückzuführen war. Moses war ja ein Hirte und die Flöte ist ein Hirteninstrument.

Man kann dem Autor auch einige Kleinigkeiten vorwerfen. So führt er als Beweis für die Ersfindung von Musikinstrumenten durch David den Bibelvers 2. Chron. 7, 6 an: Musikinstrumente „die der König David hatte machen lassen...“ der hebräische masoretische Text sagt es genauer: erfinden, erdenken. Vergleiche Amos, 6, 5: „Wie David haben sie sich Geräte zum Gesang ausgedacht.“ Dieser Bibelvers zeigt, dass Davids Musikalität schon zur Zeit des Amos sprichwörtlich war. Dass er Instrumente erfand, liest man sonst nur in den apokryphen Zusatz zu den Psalmen bei LXX (vergl. Altes Testament Ausgabe Strack und Zöckler). Auch das Psalmzitat auf S. 16 ist nicht richtig, denn es bringt die Verse in sehr verändert er Reihenfolge:

Ps. 104 28 b

29 a

In einer Neuausgabe könnte man vielleicht auch den Bildteil ergänzen. Wertvolles Material dazu bietet das Buch: „Gesicht der Welt der Bibel“ (hebr. und engl. Ausgabe).

Doch dies sind wirklich Kleinigkeiten, wenn wir sie mit den Vorzügen und Entdeckungen dieses Werkes vergleichen. Absichtlich gehe ich nicht näher auf weitere Details ein, denn dies würde zu weit führen.

Es ist unbestreitbar, dass dieses Buch ein wertvoller Beitrag zur Kulturgeschichte des Judentums und auch des Nahen Ostens überhaupt ist. Es ist auch dem Historiker wichtig, denn so bekommen die trockenen Fakta der Geschichte eine musikalische Unterfärbung, und zwar je nach den Ereignissen: traurig oder fröhlich, demütig oder stolz. Es gelang Gradenwitz Versunkenes aus dem Schlaf der Vergessenheit zum Leben zu erwecken. Und sollten auch mit der Zeit andere Forscher diese Musikgeschichte mit neueren Fakten ergänzen und auffüllen, auch dann bleibt Peter Gradenwitz der Verdienst einer Pionierarbeit, der unbestreitbare Lob ungepflegtes Brachland fruchtbar gemacht zu haben.

Elias Katz

Eduard Lohse, *Die Texte aus Qumran*, hebräisch und deutsch, mit masoretischer Punktation, Übersetzung, Einführung und Anmerkungen. München, Köselverlag, 1964, XXIII + 294 S.

Origenes erwarb sich durch seine Hexapla entschiedene Verdienste um die Bibelforschung und legte mit ihr den Grund einer kritischen Textforschung. Seit ihm verging viel Zeit, die zwar vieles vertieft, die Methoden vervollkommen, jedoch ohne wesentlich neues ans Licht zu bringen. Einen Wendepunkt bringt die Entdeckung einer ganzen Bibliothek jüdischer Handschriften aus der Epoche vor unserer Zeitrechnung, die durch ihre Datierung den hebräischen Urtext der Bibel autentifizieren. Die Qumraner Handschriften bringen aber auch eine Reihe bisher unbekannter Handschriften, die unsere Kenntnis über Glauben und Leben im damaligen Israel erweitern.

Heute sind die Qumraner Handschriften vom Hörensagen und auch aus verschiedenen Studien ziemlich bekannt. Der Text ist aber zumeist nur in grossen und teuren Ausgaben veröffentlicht worden, so dass er nur in Bibliotheken vorhanden ist. Diese Ausgabe soll nun diese Fundgrube einem breiteren Leserkreis zugänglich machen.

Die Ausgabe bringt die grossen zusammenhängenden Schriften aus der Höhle 1 und 5 kleinere Texte aus Höhle 4. Es sind dies folgende Handschriften: Die Gemeinderegel, die Gemeinschaftsregel, Segenssprüche, Die Damaskusschrift, die Loblieder, die Kriegsrolle, der Habakuk-Midrasch, Patriarchensegen, Testimonia, Florilegium, Nahum-midrasch, Midrasch zu Psalm 37.

Den Texten geht eine Einführung und ein Literaturhinweis voraus. Das Buch endet mit Anmerkungen.

Wie schon gesagt existieren auch andere Ausgaben der Texte aus Qumran. Namentlich einzelne Handschriften wurden publiziert. Es gibt auch gesammelte Ausgaben, so z. B. die Ausgabe A. M. Habermann: *Megilloth midbar Yehuda*, Tel Aviv, Machbaroth Lesifruh Publishing House, 1959, die eine punktierte gesammelte Ausgabe der Ausserbiblischen Schriften von Qumran ist. Jedoch zum Unterschied vor dem vorliegenden Buche ist dies nur der hebräische Text.

Im Allgemeinen kann man bei einem Vergleich beider Ausgaben sagen, dass die Ausgabe Lohse viele Vorzüge in der Textgestaltung vorweist. Dies zeigt vor allem daraufhin, dass Lohse auch die neueren und neuesten Entdeckungen und Forschungen auf dem Gebiete der Qumraner Handschriften verfolgte und in sein Werk aufgenommen hat.

Einige kleine Mängel finde ich in der Punktation. So z. B. auf S. 270, Z 9 sollte das erste Wort Rescha auch Rescha punktiert werden, denn dieses Wort wird auch in der Pause nicht anders punktiert, ausser das es mit einem Artikel verbunden ist (vergleiche z. B. Kohelet 3,16). Vergleiche auch Kahle: Der masoretische Text des alten Testamentes in der Überlieferung der babylonischen Juden. Kahle spricht von einer Abweichung der Punktierung dieses Wortes im babylonischen Texte. Doch auch diese Punktierung deckt sich nicht mit der hier benützten.

Auch bei der Schreibweise des Tetragrammes hätte der Herausgeber hinweisen sollen (wie dies Habermann und andere taten), dass die Qumraner das Tetragramm nie ausschrieben. Sie benützten an seiner Stelle entweder Punkte, oder die althebräische Schrift oder weitere andere Schreibweisen.

Die Ausfüllung von Textlücken (infolge des unleserlichen oder fehlenden Textes) ist im Allgemeinen glücklich. Man sieht auch hier den Fortschritt, den die Qumranforschung seit Habermanns Ausgabe machte. Manchmal scheint mir jedoch Habermann (und auch andere) besser. Deshalb wären bei einer Neuausgabe die Textlücken vielleicht noch einmal zu revidieren.

Zuletzt möchte ich nur auf eine Unpunktlichkeit in der Einführung hinweisen (s. XIII), wo es heisst, dass die Hasmonäer, die das Amt des Hohenpriesters ausübten, nicht aus dem Geschlechte Aarons abstammten. Dies ist nicht richtig! Denn als die Griechen Menelaos, den Bruder Simons einsetzten, der kein Aaronite war (II. Mak., 3, 4 und 4, 23), rief dies den Zorn der Hasmonäer hervor, die darauf bestanden, dass der Hohepriester ein Aaronite sein müsse. Die Hasmonäer und Makkabäer selbst waren aus dem Geschlechte Aarons, auch wenn sie nicht aus derselben Familie stammten, wie die hervorgehende Generation der Hohenpriester.

Trotz dieser kleinen Einwände sind die Qumrantexte Lohses sowohl für den Orientalisten, als auch für den Historiker von grosser Bedeutung. Dieses Buch ist eine gute und wertvolle Ausgabe, der der Köselverlag, durch eine gediegene und schöne Ausstattung einen entsprechenden Rahmen verlieh.

Elias Katz

Mitchell T. F., *Colloquial Arabic. The living language of Egypt*. London, The English Universities Press Ltd, 1962. 240 pp.

Six years after the excellent *Introduction*¹ a more moderately sized description of Cairo Arabic — *Colloquial Arabic. The Living Language of Egypt* (hereafter CA) — appeared in the English Universities Teach Yourself series by the same author. This second book of T. F. Mitchell continues in the virtues of the 'Introduction', and besides, it presents a number of useful improvements. Being intended for an avarage learner, the book assumes, on the part of the reader, neither a knowledge of Classical Arabic (despite Mitchell's words uttered in favor of 'pan-Arabic' as exactly that form of Arabic 'the foreign learner should first be taught' (p. 12)²) nor a full-scale acquaintance with the subtleties of the linguists' jargon. Mitchell's book, nevertheless, proves to be highly usable even from a specialist's point of view owing to its reliability and accuracy of description. There are, however, some features which deserve to be discussed.

The short vowel system, as represented in the 'Introduction,' consists of five units: *a*, *e*, *i*, *o*, *u*, while that of the CA consists of six: *a*, ***a***, *e*, *i*, *o*, and *u*. By introducing the new symbol ***a*** 2a (= back *a*), Mitchell attempts to settle a number of difficulties due to a somewhat deficient stock of the emphatic consonants, noted in his transcription, implying a far-reaching velarization of the adjacent sounds among which the 'backing' of |*a*| is of quite particular phonetic interest. When taking, however, into account that some of the emphatic consonants,³ unnoted by Mitchell, seem to be of phonemic value in Cairo Colloquial, espec. the |*r*| - |*r*| contrast at the very least, the notation of the back *a* may even have some phonemic implications in signalling the occurrence of an otherwise unnoted emphatic phoneme (in Mitchell's case, seemingly, the |*r*|⁴). Mitchell's ***a***, nevertheless, seems to be definitely nothing

¹ T. F. Mitchell, *An Introduction to Egyptian Colloquial Arabic*. London—New York—Toronto Oxford University Press, 1956 (Repr. 1960).

² Unless otherwise indicated, the page quotations are referring to the CA.

^{2a} Mitchell's back "a" will be indicated by heavy italics.

³ In order to avoid long unfruitful attempts to solve the analytical problem of emphasis in Arabic, especially the perplexingly entangled question whether emphasis is a distinctive feature of the consonant system or rather that of the vocalic system (cf. also n. 4 below), some American phonemicists, namely Ch. A. Ferguson [*The Emphatic / in Arabic*, Language, 32, 446—452 (1956)] and R. S. Harrell [(1) *The Phonology of Colloquial Egyptian Arabic*. New York 1957; and (2) *A Linguistic Analysis of Egyptian Radio Arabic*, in: Contributions to Arabic Linguistics (= Harvard Middle Eastern Monographs III, Editor: Ch. A. Ferguson), Cambridge, Mass. 1960, pp. 26—30]—consider emphasis in Arabic as a suprasegmental phoneme which co-occurs with both consonants and vowels [cf. R. S. Harrell, (2) above, p. 27; viz. also our review of R. S. Harrell, L. Y. Tewfik, G. D. Selim, *Lessons in Colloquial Egyptian Arabic*. Georgetown University Press, Washington, D. C., 1963].

⁴ The |*r*| — |*r*| contrast tends to be recognized, at least for Cairo Arabic (cf. Mitchell's consonant-featured |*raagil*| — |*raagi'*| or, alternatively, vowel-featured near-minimum pairs

more than a rather isolatedly stated variant of |a| (the equally velarizable variants of the remaining vowel phonemes are thoroughly left unnoted) before or after all the emphatic consonants and yet the |q| (e.g. *'ilqa(a)híra*,⁵ |h| (Mitchell's *x*) and |j| (M's *y*) with a simultaneous admission of some connotations of Al-Azhar Mosque correctness and other types of stylistic variation, especially for the last two cases, e.g. *xáadim* vs. *xáádim* (23—4).

The introduction of the back *a* has substantially reduced even the stock of the etymological emphatic consonants, explicitly noted in the *Introduction*, while occurring as conjunct emphatics in such positions which cannot directly be faced by those of the Written Standard, e.g. *'innahárda* „today“ (170) as against *'innahárda* (Introd. 222) or, even when occurring independently of an emphatic environment, in lexical borrowings, e.g. *lukánda* „hotel“ (144) (= Ital. *locanda*) as ag. *lukánda* (Intr. 205), etc., etc.

Mitchell's five unit short vowel system of the *Introduction* and the six unit picture of the CA are neither consistently phonemic (the matter of the more preferable three unit system: |a|, |i|, |u|, has already been pointed out by some reviewers of

|r̩ágil| — |r̩axígi| (*Introduction* 9), or N. Tomiche's minimum pair |gári| — |gari| [*emphasis is*, opp. to the author's writing, indicated here by underlining] (cf. *Le parler arabe du Caire*. Paris—La Haye, Mouton, 1964. p. 29 (it seems, however, in this latter case, that it would have been more adequate to recognize another distinctive feature, notably the |i| — |y| contrast, and accordingly, to write |gári| — |gary|). Unfortunately, not all authors, concerned with Cairo Colloquial, note it in their transcription systems in an explicit way. Mitchell has found it necessary to indicate this contrast at least indirectly [by an asterisk in the glossary of the *Introduction*, and as shown above, by the backing of the adjacent |a| in the CA]. Father Jomier ignores it totally in the ‘alphabet’ of his *Manuel d'arabe égyptien* (= *Études Arabes et Islamiques*), Paris, Klincksieck, 1964. N. Tomiche (see above) recognizes and notes it quite consistently and so do the American analysts owing to their conceiving the emphasis as a phonemic long component.

As for Damascus Arabic, for instance, Cantineau hesitates between the consonant- and vowel-featured emphasis: „I have mentioned *r* on account of the minimal pair *'ædre pot*, *'ædra* (*'ilâhiye*) divine power, but is the *r* really emphatic? Isn't the timbre of the final vowel the true differentiating element?“ (viz. J. Cantineau, *The Phonemic System of Damascus Arabic*. Word 12 (1956), p. 117, quot. in H. Grotfeld, *Laut- und Formenlehre des Damaszenerisch-Arabischen*. Wiesbaden 1964, 5). H. Grotfeld (cf. ib.) does not recognize it at all.

For Moroccan Arabic, Cantineau, unlike his attitude towards the |r| — |r̩| contrast in Damascus Arabic, tends to recognize it, although rather timidly, in the Moroccan Arabic pairs such as *'æšra* vs. *'æšra* („Il semble donc que dans *'æšra* et *'æšra* nous ayons actuellement deux réalisations différentes du même phonème vocalique |ø|, dont la plus fermée serait amenée par le caractère non emphatique du |r|; le seul trait qui distinguerait les deux mots serait, en définitive, l'emphase ou la non-emphase de |r|.“ [*Réflexions sur la phonologie de l'arabe marocain*, in: *Études de linguistique arabe*, Mémorial Jean Cantineau, Paris: Klincksieck, 1960, p. 245]).

⁵ Some of Mitchell's symbols are replaced, in this review, by typographically more easily representable equivalents, notably: ', ', h, š, j, t, d, s, z. On the other hand, Mitchell's way of marking the stress (by the acute accent) and vowel quantity (by doubling the corresponding short vowel symbol) will be maintained.

the *Introduction*, namely by the late R. S. Harrell⁶ and H. Blanc,⁷ and need not be gone into in our present review) nor consistently phonetic (which needs no explicit argumentation). Despite this, both systems are used quite consistently by the author and present a fully workable and easy-to-penetrate way of writing the short vowels.

The notation of consonants in CA, as against the *Introduction*, has undergone some changes as well. Although the inventory of the consonant symbols is the same in both sources, the distribution of some of them substantially varies. The |q|, for instance, was in the *Introduction* uniquely conceived of as a stylistic variant of the nonetymological glottal stop since, in Mitchell's words, 'The use of this sound—in the right places—is probably the most important single phonetic feature distinguishing educated speech' (Intr. 5). Phonemically, such a statement is fairly inconsistent because the | | and |q|, as pointed out by H. Blanc,⁷ do contrast, e.g. |áwi| „very“ vs. |qáwi| „strong“ [both written qáwi in the *Introduction* while being | |—|q| differentiated in the CA (cf. e.g. 211)]. Neither, in the CA, are such cases as 'adíima vs. qadíima allowed, to be freely substituted one for the other for, the difference between the forms is charged with meaning' (18).

Some of the paragraphs concerned with elision of the short vowels have been partly reconsidered as against the *Introduction*. Besides |i| and |u| (in the *Introduction*), elided under certain conditions, also the |a| is recognized as subject to elision, in a few common forms in which h or ' follows the vowel, e.g. šufti + māhammad = šífti-mhámmad ?,..., ma + mā'iš = ma-m'iš (30).

The grammatical description [Chapter III-Grammar (36-120)] presents a more integral whole than that of the *Introduction* where some very substantial features are dealt with in Notes only. In the vocabularies, enclosed in Chapter IV-Useful sentences and vocabulary (121—240), there are some plurals of the pattern 'iCCaaC alternating with the 'aCCaaC patterned ones, e.g. 'iyýáam (besides 'ayyáam) (210) or plurals of 2—10 fractions, e.g. 'insásas ('ansásas) „halves“, 'itláat ('atláat) „thirds“ (169), etc. as well as some other plural patterns of less common occurrence, notably 'ušhur ('ashur) „months“ (210). These plural patterns, correctly considered as stylistic variants of their counterparts which ,tend to be commoner among educated speakers' (62), are, strictly speaking, morphologically incommensurable with the latter series s nce forms of the 'aCCaaC, 'aCCuC etc. patterns represent real morphological entities with clearly definable distribution (occurring independently of the 3—10 numerals, e.g. 'ayyáam il'usbíu' (all examples which follow are quoted in p. 62); as stylistic variants of the iCCaaC series (viz. below) after the definite article, e.g. 'il'ayyáam / liyyáam, and, finally, as stylistic variants of the above series of patterns after what Mitchell calls „masculine“ forms of 3—10 numerals with no ,linking -t-, e.g. xámas'ayyáam, tálat 'ašhur, etc., and after the construct-like -t featured forms

⁶ Cf. R. S. Harrell's review of the *Introduction* in *Studies in Linguistics* 12, 86—90 (1957).

⁷ Cf. H. Blanc's review of the latter in *Word* 13, 535—540 (1957).

of 3—10 numerals, e.g. *xámsit* 'ayyáam, *xámsít* 'asdás, etc.)—while the '*iCCaaC*' series is definitely not more than a morphophonemic fiction with no real occurrence at all, notably with no independent occurrence which would only justify the initial glottal stop representation. As a matter of evidence, after Mitchell's linking *-t-*'s exclusively the vowel initial *iCCaaC*, *uCCuC* etc. patterns occur,⁸ e.g. *xámas-t-iyýáam*, *tálat-t-úšhur*, etc. This flow is possibly due to a mere graphical mis-representation of morphophonemic facts and the paragraph covering elision of the glottal stop when following a consonant (p. 31) partly corrects this. However, the inappropriateness of such a presentation of facts will become obvious as soon as the alternant of '*aláaf*', for example, occurring after the ,linking *-t-*', is to be represented. Since, in this case, neither the vowel change nor any other differentiating feature occurs, both alternants would, in Mitchell's presentation, yield '*aláaf*', a fact which can in no case be agreed with.

Insofar as the very treatment of the ,linking *-t-*' is concerned, it would probably have been worth noting hat after *sitt* „six“ no *-t-* must be added, e.g. *sitt úšhur* „six months“ (171).

In marking some types of assimilation within consonant clusters Mitchell is rather inconsistent. Besides a prevailingly morphemic notation '*ođtak*', '*ođti*' (where the pronunciation is indicated in foot-notes: '*ott-*' (144), *bitdállim* (pron. *bidd-*) (213), we find cases like '*iyátt idduktúur* (177), *kutti sitta-w talatiin yanádayir* (214) instead of '*iyádt...*, *kunti...* resp.

The higher cultural background underlying a part of the linguistic situations in Chapter IV has induced Mitchell to include a number of carefully transliterated Standard Arabic samples which are, unfortunately, far from being consistently indicated as standardisms. Thus, for instance, *filmi l-ilkipáar faqat* „X -certificate (adults only)“ (189) yields a misleading contrast between the Standard Arabic plural form *kibáar* and the true Cairene *kubáar*.

The present work of T. F. Mitchell, despite its relatively limited contents, performs a double task: (1) it presents a reliable description of the synchronic system of Cairo Colloquial, and besides, (2) proves to be an excellent manual introducing the student to the day-to-day Cairene usage in its very various conversational situations. Some of the topics in Mitchells' „useful sentences“ can hardly be found elsewhere.

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⁸ H. Blanc in his review of the *Introduction* (viz. n. 7 above) prefers to consider, on the morphological level, these combinations of the ,linking *-t-*' featured numerals with the following vowel initial series of plural patterns ,as special sorts of compounds, with *|t|* forming part of the whole compound or even of the plural noun, though historically it belongs to the numeral' (p. 538). The latter alternative of H. Blanc's coincides with the treatment of this feature as found in some recent works of the American analysts (cf. R. S. Harrell, L. Y. Tewfik, G. D. Selim, *Lessons in Coll. Eg. Ar.* (viz. n. 3 above), p. 30.4; W. Lehn and P. Abboud, *Beginning Cairo Arabic* (The Middle East Center. The University of Texas), Austin (prelim. ed.) 1965, p. 44, N 6.12 („special plural form“).

Richard S. Harrell, Laila Y. Tewfik, George D. Selim, *Lessons in Colloquial Egyptian Arabic*. (Institute of Languages and Linguistics of the Georgetown University. Arabic Series: No 2). Washington, D.C.: Georgetown University Press, 1963. (13) P-1 — 40.3 pp.

'Lessons in Colloquial Egyptian Arabic' (hereafter LCEA) is a second (revised) edition of the original mimeographed version of 1958. The purpose of the book is to provide intermediate reading and conversational material with a grammatical review. Accordingly, the book is not intended to be used for a basic course without some modification.

The book is divided into five sections as follows: Section I: *Pronunciation* (P-1—P-9¹); Section II: *Pronunciation Drills* (PD-1—PD-16); Section III: *Preliminary Grammatical Points* (Lesson One—Lesson Three); Section IV: *Model Sentences for Specific Grammatical Points* (Lesson Four—Lesson Nineteen); Section V: *Dialogs with Grammatical Notes* (Lesson Twenty—Lesson Forty).

Section I on pronunciation is clear and adequate for its proposed aim. However, some of the parallels the features of the Egyptian Arabic pronunciation are faced with, are too specifically connected with American English, a fact which prevents even (non-American) English speaking students from identifying some of these features with those corresponding to them (even if by approximation only) in their own dialects. So it is, for instance, in the case of what Harrell symbolizes as *r*, the latter sound being said to be „quite similar to the ordinary American pronunciation of the ‚*t*‘ in ‚*butter*‘“ (cf. P-3), etc.

In a textbook like that proposed by the authors of LCEA a more explicit specification of the allophonic contents of the Egyptian Arabic sound features should have been provided. However, when having in mind that the book has been designed for Americans and for being used under auspices of a native instructor, our remark is a mere suggestion rather than a rebuke.

The symbols used in the book are fully adequate to the representation of the Egyptian Arabic inventory of sounds (although the notation is not expressly said to be phonemic, it can be considered as such when disregarding some minor deviations from a strictly phonemic one, viz. below). Nevertheless, some single symbols are rather unfamiliar, e.g. *q̄*, *s̄* (instead of *q*, *s*, resp.²). Apart from this, two graphemes of

¹ LCEA is not paginated continuously. The pages of the front material are left unnumbered. Those of the section on pronunciation and the pronunciation drills are numbered consecutively with a ‚*P*‘ and ‚*PD*‘ resp. before the numerals. The particular lessons are paginated separately with compound numerals the first number of which indicating lesson number and the second the page-within-lesson.

² As for the *q̄*, it is used to mark the difference between the etymological *q* non-converted into the glottal stop (i.e. *q̄*) and the etymological *q* converted into the glottal stop (i.e. *q*) as against the etymological glottal stop (i.e. ‚*’*). Viz. below in the text.

the Arabic alphabet were incorporated into the stock of Harrell's symbols, notably *z* (for *h*, what Harrell replaces by *h̄* in his *Phonology...*³) and *ɛ* (instead of more customary and typographically even more easily representable *'*).

The graphic representation of sound features is, of course, a matter of secondary importance. Nevertheless, in the time being, it is hardly possible to speak not merely about a U.S.-wide tradition in this respect (as it is possible to speak about a 'traditional' phonemic or nearly phonemic representation of the Egyptian and the other varieties of Colloquial Arabic, in the U.S.A., as against for instance, the somewhat involved allophonic systems used in France) but no more is it possible to disclose a noticeably unified way of writing with particular authors through short intervals of time.

The system of notation is what it would be possible to say 'nearly phonemic'. Deviations from a strictly phonemic one are few in number: the glottal stop (*hamza*) is rendered by two symbols: *'* (the apostrophe) and *q*. Such a distinction is based on etymological considerations and, from a phonemic (or even phonetic) point of view is unjustified seeing the fact that the voiceless postvelar stop *q*, the latter occurring mostly in borrowings from Classical, is covered by a somewhat unusual symbol *q*.

As for emphasis, R. S. Harrell, following the basic idea of Prof. Ch. A. Ferguson, worked out one of the best theories of emphasis in Arabic⁴ which makes possible an extremely simple and comprehensive notation of this feature. It is to be regretted that this treatment of emphasis has substantially been modified in LCEA (only the Harrell-said primary emphatics are consistently noted, the secondary ones only occasionally and the emphasized vocalic segments, accordingly, not at all.)

The few examples of allophonic writing, contrary to the system adopted by LCEA, are in all probability due to misprints, e.g. *kont* 'you (msc. sg) were'; *konti feen?* 'where have you (msc.sg.) been?' (P-8), instead of *kunt*, *kunti feen?*

The grammatical description is one of the most competent, the same can be said of the selection and organization of drill materials.

The Egyptian Arabic samples, provided by Laila Y. Tewfik and George D. Selim, are in perfect harmony with the overall project of the book. An Arabic-English word-list would have increased the versatility of that part of the book which includes Model Sentences and Dialog features.

LCEA thoroughly answers the proposed aim and is a fully reliable well-planned text-book for the intermediate level of instruction. With some modifications it can successfully be used as a teaching device in an elementary course of Egyptian Arabic.

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³ R. S. Harrell, *The Phonology of Colloquial Egyptian Arabic*. New York: American Council of Learned Societies, 1957.

⁴ Cf. ibid. (viz. fn. 3 above), pp. 69—82, esp. § 8.8. *The Analysis of Emphasis as a Prosodic Feature* (p. 82).

Macuch Rudolf, *Handbook of Classical and Modern Mandaic*. Berlin, Walter de Gruyter and Co., 1965. LXVIII + 649 S. Price DM 200.—

Apart from Nöldeke's *Mandäische Grammatik*, published nearly a century ago, there has been no reliable information on Mandaic available so far. Macuch's Handbook is, however, to be taken neither as a mere restatement of Nöldeke's ingenious results in a time-advanced methodology and modernized terminology nor as an enrichment of the latter by new fresh-blood linguistic material collected during the author's field research among the Iranian Mandaeans, as may appear from the rather modest Preface. In fact, the Handbook presents a completely reorganized body of exact information, thoroughly underlain by first-hand acquaintance with the traditional phonic representation of the analyzed texts as against Nöldeke's predominant interest (the latter being determined by his possibilities) in the graphic or textual representation of Mandaic in quite a specific way. Naturally, a similar comparison of both masterpieces of Mandaic grammatical studies is not intended to discredit the ingenuity of Nöldeke's *Mandäische Grammatik*, whose actual usefulness has been proved by a photomechanical reprint edition, almost 90 years after its first appearance in Halle (1875) and, to a still greater degree, by Macuch's own estimate (cf. LV of the Introduction, for instance). Not only to point out the secularly-intervalled divergencies in scholarly approaches, it is uniquely meant to reveal one of the most specific features of Macuch's Handbook: the analytic treatment of phonetics. The Macuch-proposed catalogue of Classical Mandaic phonetic features (based upon the traditional pronunciation of the competent representants of the Mandaean community) as well as a statement of those pertaining to Modern Vernacular, are underlain by a really analytic treatment of the Mandaic inventory of sounds.

The book is organized in the following way: *Preface*, *Contents*, *Abbreviations*, and *Introduction* (VII—LXVIII); *Preliminary Remarks on the Pronunciation of Mandaic* (1—5); I. *Script and Pronunciation* (9—26); II. *Phonetics* (27—148); III. *Morphology* (149—380); IV. *Essentials of Syntax* (381—463). Besides, an exhaustive *Bibliography* (467—477) is added. Some very important additions as well as some other substantial features (among which an English-Mandaic Vocabulary of the Vernacular) are included in the Appendix (479—546). In addition to this, three indices are provided: A. *Philological Index* (549—640); B. *Analytico-Topical Index* (641—646) and C. *Index of Authorities* (647—649).

Nevertheless, some of the above headings are somewhat misleading. Thus, for instance, the very substantial part of the book, concerned with Mandaic sound features, is labelled as Phonetics. However, the subsequent statement, as proposed by Macuch even though prevailingly (but not exclusively) concerned with the allophonic values of the described items (after a century of being neglected), is decidedly more than what is commonly designed by this term. We suggest that

,Phonetics and Phonemics' or something of the sort would have been a more adequate covering of this crucial section of the book.

Macuch's first-hand acquaintance with modern Mandaic dialect, as still spoken in the Mandaean community in *Ahwāz*, has enabled the author to draw parallels between the latter and Classical Mandaic in the field of morphology and syntax as well.

Macuch's Handbook is an epoch-marking achievement in the domain of comparative Semitic studies. By virtue of the constant references to the Vernacular, progressively dying out in our days, Macuch's book has a documentary value of chief importance as well.

Ladislav Drozdík

Grotfeld Heinz, *Laut- und Formenlehre des Damaszenisch-Arabischen* (= Abhandlungen für die Kunde des Morgenlandes, XXXV, 3). Wiesbaden, Kommissionsverlag Franz Steiner GMBH, 1964. XIII + 134 pp.

Simultaneously with issuing the *Damaszenisch-arabische Texte* by A. Bloch and H. Grotfeld,¹ the Deutsche Morgenländische Gesellschaft has published H. Grotfeld's book which is the subject of the present review. The author's aim is to give a full-scale descriptive statement of the Damascus Arabic phonology and morphology, the syntactic description being left out of account (an important study of syntactic interest is to be published by the Deutsche Morgenländische Gesellschaft in the near future: A. Bloch, *Die Hypotaxe im Damaszenisch-Arabischen*, Abh. f. d. K. d. M. XXXV, 4). The author evaluated a considerable number of Damascus Arabic texts and related sources,² in writing the book.

Besides an introduction (vii-ix) and bibliographical references (x-xiii), the book contains the following chapters: I. *Phonologisches System* (1—13), II. *Historische Lautlehre* (14—33), III. *Silbenbildung und Akzent* (34—39), IV. *Pronomen* (40—52), V. *Verbum* (53—87), VI. *Nomen* (88—119), VII. *Zahlwörter* (120—126), VIII. *Präpositionen, Negationen, Konjunktionen, Partikeln* (127—134).

The transcription used by Grotfeld is thoroughly phonological (its principles are exposed in §§ 1 and 3 of the book under review), especially in the morphological description. In Chapter II. numerous exceptions to these principles are made for explanatory purposes. Since the same system of notation was used in the DAT, some of its most important features were extensively discussed in our review of the latter.

The descriptive part of the phonology takes full account of the latest works of Ch. A. Ferguson and the late J. Cantineau.

¹ Bloch A. und H. Grotfeld, *Damaszenisch-arabische Texte*. Wiesbaden, Steiner 1964; (= DAT).

² (1) G. Bergsträsser, *Zum arabischen Dialekt von Damaskus*, Hannover 1924; (2) Commandant Malinjoud, *Textes en dialecte de Damas*, JA 204 (1924), 259—332; (3) DAT (viz. n. 1); (4) E. Kuhnt, *Syrisch-arabischer Sprachführer*. Wiesbaden 1958; etc.

In § 40 of Chapter III is given a fine description of the cluster preventing vowel ° (Sprossvokal). The treatment of the pause (—) in cases *C°C-* and *-°CC* as being equal to consonants in cases *C°CC* and *CC°CC* respectively (p. 36) enabled the author to reduce these four cases to a unique principle (that is *C°CC*) which is an important step forward in handling the cluster preventing °. It would, nevertheless, have been worth noting, in drawing the parallel between the Damascus Arabic *C°CC* and the Cairo Arabic *CC°C*, that the occurrence of this cluster preventing vowel is quite facultative in Damascus Arabic which is not the case in Cairo Arabic. Grotzfeld's statement: „Wie in vielen arabischen Dialekten können im Damaszenischen die Konsonantengruppen durch einen sog. Sprossvokal getrennt werden“ (35) does not appear to imply to this particular feature.

In discussing the fusion of the demonstrative *hā* with the definite article *al* (> *hal*) (p. 46), Grotzfeld erroneously identifies constructions such as *hassallet əlbēd* „dieser Korb Eier“ with what he terms ‚Constructusverbindung‘ (status constructus). It seems, however, that such an identification can be made neither in a diachronic description (since, in Classical Arabic, the last constituent of this type of constructions is faced by what is commonly referred to in German Semitology as a ‚substantivische Apposition‘ (cf. C. Brockelmann, GvG, II, 213) or a ‚substantivisches Attribut (Apposition)‘ (cf. H. Reckendorf, Ar. Synt., § 43, esp. p. 68, e.g. *aš-šağar(u) az-zaītūn(u)*; or the Eg. Ar. examples exhibiting a twofold determination quoted in GvG, II, 213—214.)]—nor in a synchronic description (because, exactly, of the twofold determination of this and yet some other types of constructions³ which is otherwise impossible; it should, finally, be said that the fusion of *hā* + *al*, unlike Grotzfeld's opinion, does not impair the determining power of the Syro-Palestinian *hal*, decidedly not beyond that of the Classical Arabic *al-* in constructions like *hairu' t-ṭālibi' t-tirati* „der beste der Bluträcher“ (*Qālī* I, 270, 5) or *aš-ṣātimai 'irdī* „die beiden die meinen Ruf schmähen“ (Ant., 21, 84; quoted in GvG II, 235, § 4, 6) which can, in the main, be compared with Grotzfeld's *halmal-ūn əlwaldēn* (p. 46.) As for the terminology used, we share Grotzfeld's opinion concerning the inappropriateness of the term ‚Genitivverbindung‘ for the description of the analytical linguistic structures (as against, for instance, M. Jiha in his description of *Bišmizzīni Arabic*⁴).

One of the most important innovations of the present work, which is, at the same time, a courageous attempt to abandon the traditional schedule, is undoubtedly the separate treatment of verbal and nominal morphologies in the fully autonomous sub-chapters on inflection (Flexion) and word-formation (Wortbildung). As a working scheme, this way proved quite advantageous. Nevertheless, a more consistently

³ Cf. construct-state constructions whose non-final constituents are represented by participles, viz. GvG, II, 235—6 (some examples are quoted in the text).

⁴ Jiha M., *Der arabische Dialekt von Bišmizzīn*. (Beiruter Texte und Studien, Bd. I, Beirut) Wiesbaden, Steiner, 1964; cf. § 36 (Genitiv).

stated linguistic argument would be required in order to fully justify this disjunction.

In his treatment of verbal inflection, Grotzfeld calls attention to the intricate problem of Perfect 3rd pers. sing. fem. when followed by a vowel initial series of suffixes, e.g. *hāktō*, *sa'ītō*, etc. as against e.g. *wa''āētō*, *zāwabētō* (65), etc. A fine comparative material is incorporated in order to give evidence for the alternative elision and non-elision of the vowel which precedes the final *t*. The Cairene usage, where cases like *katabītū*, *šafītak* (the acute accent indicates the stressed syllable), etc. represent nearly the unique exception to the general rule governing the elision of *i* and *u* in unstressed final syllables under the above described conditions, seems to corroborate Bergsträsser's hypothesis concerning the persistence of the old stress location better than any other variety of Colloquial Arabic (cf. 66, 1).

Quite a few inconsistencies are due, apparently, to misprints, e.g. § 92, c, referred to in p. 18 (§ 11, a) is to be substituted by § 92, b; *katbe* (34, § 39 (5)) instead of *kātbe*.

Grotzfeld's book, originally a Münster University doctoral dissertation, is one of those reliable monographs which one would wish to possess for at least the main varieties of Colloquial Arabic.

L. Drozdik

Bloch Ariel und Heinz Grotzfeld, *Damaszenisch-arabische Texte*. Mit Übersetzung, Anmerkungen und Glossar. Mit einem Vorwort von Hans Wehr. (= Abhandlungen für die Kunde des Morgenlandes, Bd. XXXV, 2). Wiesbaden, Kommissionsverlag Franz Steiner GMBH, 1964. X + 215 pp.

The relatively large stock of German works concerned with the study of Syrian Arabic¹ has recently been enlarged by a number of substantial contributions issued by the Deutsche Morgenländische Gesellschaft.² The book under review which constitutes an integral whole with H. Grotzfeld's *Laut- und Formenlehre des Damaszenisch-Arabischen* [viz. n. 2 (2)] forms part of this latter series. The Damascus Arabic texts, included in the book, are based on the expertly selected tape-recorded materials, secured by Professor Hans Wehr during his stay in Damascus (1956). The DAT, besides a short introduction by H. Wehr (v-ix), contains: a list of quoted

¹ (the following bibliographical items are confined to the 20th century): (1) G. Bergsträsser, *Sprachatlas von Syrien und Palästina*, in ZDPV 30. 169—222 (1915); (2) G. Bergsträsser, *Zum arabischen Dialekt von Damaskus*. Hannover 1924; (3) A. Dietrich, *Damaszener Schwänke*, in: ZDMG 106.317—344 (1956); (4) E. Kuhnt, *Syrisch-arabischer Sprachführer*. Wiesbaden 1958.

² Besides the two titles: (1) A. Bloch und A. Grotzfeld, *Damaszenisch-arabische Texte* (— the book under review, hereafter DAT), and (2) H. Grotzfeld, *Laut- und Formenlehre des Damaszenisch-Arabischen*. Wiesbaden, Steiner 1964,— which are the objects of our present reviews, the Deutsche Morgenländische Gesellschaft has recently issued: (3) B. Lewin, *Arabische Texte im Dialekt von Hama*. Beirut, Bd. 2. Besides these items O. Harrassowitz has recently published: (4) H. Grotzfeld, *Syrisch-arabische Grammatik. Dialekt von Damaskus*. Wiesbaden 1965.

sources (x); carefully selected and annotated texts provided with a German translation (1—203), and a short glossary listing words which occur in DAT but which are missing in A. Barthélemy's Dictionary³ (205—215).

In the reliability of its presentation, the DAT surpasses any Damascus Arabic texts published so far. The transcription used is more strictly phonological than is currently the case in editing dialectological samples. The emphaticized variants of [b], [r], [l], [m], and [n] (i.e. [b], [r], [l], [m], [n]) are, accordingly, left unnoted and so is the case of the [u] and [i] variants of the [ɔ].

The phonemic disguise will be, after all, relatively easily penetrated by the reader acquainted with the phonology of Damascus Arabic but the reader will still meet a good deal of trouble in restituting the phonetic shape of a number of [r] occurrences in all cases where the statements, concerning (1) the emphaticizing of a [r] (fortunately, the occurrence of the emphatic variants of [b], [l], [m], and [n], unnoted by the author, is relatively rare) or (2) the de-emphaticizing of an (unnoted) [r], will yield a ‚mostly‘ instead of an ‚always‘ quantification. Accordingly, besides the fully predictable emphatic variants of the [r] e.g. in *|l'ard|* (28) (the non-phonemic notation of the following examples will be left unbracketed), that is *l'ard*, the reader, previously unacquainted of Damascus Arabic, will necessarily hesitate as to the choice between [r]/[r] in cases such as *|hamīr|* (14) = *hamīr*, as against, for instance, *|ktīr|* (176) = *ktīr*, (*zgīr*) (2) = *zgīr*, etc., etc. In the last case, for instance, the reader would equally be authorized to expect *zgīr* in view of the emphaticizing power of another emphatic consonant of simultaneous occurrence in the word [here |z|] which is, in this case (but not in all cases!), neutralized by the effect of a de-emphaticizing environment [here |i|], as against, for instance, *|marīd|* = *marīd*, etc.⁴ A more moderately phonemic system would have, probably, done the job better, all the more that a deviation from a strictly phonemic writing had been already made by the authors in noting the cluster preventing vowel⁵ (Sprossvokal) which is, unlike the above mentioned cases, fully predictable.

The German translation is remarkably readable and adequate. We did not succeed in tracing but one discrepancy between; both texts which is, after all, rather negligible: 'ana hal'əšrīn 'ərš — la'ēton 'ahsan mən 'əšrīn lēra (12) „Ich fand diese zwanzig Piaster besser als zehn Léra,...“ (13) (instead of ..zwanzig léra,...“).

The authors have fully succeeded in their work. One of the finest features of the book under review is the excellent choice of the dialectal Damascus Arabic samples some of which having even a considerable folk-lore value.

L. Drozdík

³ A. Barthélemy, *Dictionnaire arabe-français. Dialectes de Syrie: Alep, Damas, Liban, Jérusalem*. Paris 1935—1955.

⁴ Cf. also H. Grotfeld's *Laut- und Formenlehre* (viz. n. 2 (2) of our present review), § 11.

Sylvia G. Haim (Ed.), *Arab nationalism. An Anthology*. Berkeley and Los Angeles, University of California Press, 1964, 255 pp.

From the very beginning it is necessary to stress that the book edited by Sylvia G. Haim is not merely an anthology of works whose authors are Arab nationalists. A detailed introductory study on the pre-conditions of the origin, the tendencies of development of Arab national thought covers almost one third of it.

However, to start with the characterization of the texts. The author herself remarks on this work: „In this anthology of Arab nationalism I have tried to give a complete picture of the literature on the subject and have therefore chosen every piece either for its historical importance or because it best represents some noteworthy current of opinion. (Preface.)“

And indeed, the selection is based on both of the mentioned criteria. The anthology begins with passages of works by Rashid Rida, Negib Azoury... and closes with the names of Gamal Abdel Nasser, Michel Aflaq. There are twenty illustrations—speeches, articles, selected chapters of books, manifestos and other material—all of them written by prominent Arab ideologists of nationalism.

The introduction—which the review Middle Eastern Affairs calls „perhaps the best short statement on the subject available in English“ (back cover of the book)—has been elaborated by Sylvia G. Haim in such a way that it may be considered—without any doubt—a separate, autonomous part of the book. However, it does not escape an attentive reader's attention that the analysis of the ideas proper to Arab nationalism as presented in the introduction is in a very close, organic relation to the exposed texts. The relation is mutual. Therefore the analysis is not merely based on exposition, but the very character of the considerations which demonstrate Arab national ideas in a wider context illustrates and defines the significance of the exposed texts.

The introduction shows another (in my opinion the most remarkable) feature: The basic tendencies of the development of Arab nationalism have been outlined here—naturally showing the intentions of Arab nationalism as an ideology and not as a political movement. In this connection (everyone who concerns himself with the political reality in the Near East will readily concede it) it is most difficult to state the beginning, the pre-conditions respectively, of Arab national ideas.

I think that even some twenty years after the decline of the Ottoman Empire there were in the Near East prominent men who wondered how it could have happened. Such a reaction results from an altogether natural fact. It became a social fact to relate the fate of the Ottoman Empire to that of Islam. The Islamic reformists themselves regarded this relation as a social fact.

It is well-known that the ideology of Arab nationalism took shape in the thirties. It is, thus, not only the direct consequence and reason of the Arab political aspirations, but—first of all—the reflection of the new political and social reality that arose in the Near East after the First World War.

In this connection let us think about the relationship of the ideas of Arab nationalism and the reformists' theories and ambitions. No doubt, the conception of Islamic reformists results—among others—from a certain effort to democratize life in Islamic countries. Moreover, nationalism in general usually arises in countries lacking democracy. Thus these heterogeneous intellectual currents originate in similar social conditions. However, considering both movements in their political aspects, we find that they differ diametrically. Therefore, I think that the correlation of the ideas of the Islamic reform movement (A) and the ideology of Arab nationalism (B) should be conceived in this way: The existence of an autonomous B is realized on the basis of an autonomous A and vice-versa. It goes without saying that certain tendencies of A are absorbed in B. In this sense it can be understood why a commentary on the Islamic reform movement has been inserted in the author's introduction.

No doubt, there exists (or has developed) a different relationship of the ideology of Arab nationalism and Islam as such. The author's statement on page 54 is found to be correct. It reads: „... the fact remained that Arab nationalism had to make place for Islam, to accommodate itself to it, or else risk to find itself exiled to the limbo of clever ideas which dazzle by their subtlety and astonish by their sterility.“ On this page the author also quotes the opinion of the Iraqi statesman *Nuri al-Sa'id*: The practical men knew, without support of any elaborate theory, that in actual fact the great strength of Arab nationalism was that it could draw on Muslim sentiment. Thus Nuri al-Sa'id, pleading the cause of Pan-Arabism with the British government in 1942, could write naturally: „All Arabs and particularly those in the Near and Middle East have deep down in their hearts the feeling that they are „members of one another“. Their nationalism springs from the Muslim feeling of brotherhood enjoined on them by the Prophet Muhammad in his last public speech.“

This citation is simple and truthful. The inclusion of Islam in the ideology of Arab nationalism proved to be necessary; moreover, in the forties Islam turned into the basis of this doctrine. In this connection Arab nationalists—in their theoretical studies dealing with the relationship of Islam, Arab nationalism and the Arabs—often resume the thoughts of reformists, the likes of Rashid Rida, al-Kawakibi and others, giving their ideas of Arabs and Islam a new purport. In my opinion, this is the way the significance of Islamic reformism for Arab nationalism should be understood.

Concluding this review I wish to emphasize that the author has tried to give clear information on the development of Arab national ideas. The review Middle East Forum certainly is not mistaken when it writes: „One of the most important studies of the doctrines of Arab nationalism to appear in recent years...“ (back cover of the book).

Ján Pauliny

L. I. Klimovič, *Islam*. Moskva, Izdatelstvo Nauka, 1965. 332 S.

Das Werk des sowjetischen Islamisten L. I. Klimovič hat keinen strengen wissenschaftlichen Charakter, sondern ist populär und atheistisch-propagandistisch gerichtet. Es enthält kurze Skizzen, die einige wichtigere Fragen aus der Geschichte und dem gegenwärtigen Zustand des Islam in der UdSSR und im Ausland beleuchten. In dem Buch wird vom Islam nur als Religion gesprochen, d. h. der Autor befasst sich mit dem Islam nicht in seiner gesamten Tragweite und seinem Einfluss auf alle Aspekte des Lebens. Er widmet seine Aufmerksamkeit auch dem Freidenkertum und dem Atheismus in den Ländern des Vorderen und Mittleren Ostens.

In der Arbeit nützte der Autor die Ergebnisse seiner älteren Werke (*Soderžanje Korana, Islam v carskoj Rossiji, Prazdniki i posty Islama, Iz istoriji literatur Sovjetskogo Vostoka*) aus, sowie die Ergebnisse der russischen und sowjetischen Islamisten wie I. I. Kračkovskij, V. V. Barthold u. a. Es ist zum Nachteil des Werkes, dass der Autor zu den islamistischen Studien der westlichen Autoren eine apriori negative Stellungnahme einnimmt. Zu den Erscheinungen des heutigen Islam nützte der Autor die Angaben der Presse, event. neuerer politischer und Fachpublikationen aus.

Das Buch ist in ein Vorwort und in fünf Kapitel geteilt. Im Vorwort wird festgestellt, dass die wissenschaftliche Forschung des Islam erst in der zweiten Hälfte des 19. Jahrhunderts in Westeuropa begonnen hat, wo ausser anderen besonders die Werke I. Goldziehers und Ch. Snouck-Hourgronjes die Grundsteine dieser Disziplin gelegt haben. In Russland ist die islamistische Forschung mit den Namen V. R. Rosen, V. V. Barthold und I. I. Kračkovskij verbunden. In den Ländern, wo der Islam die herrschende Religion war, waren seine Forscher durch die offiziellen Gesetze gebunden und deshalb wurde keine andere ausser der offiziellen Klärung zugelassen.

Das Kapitel „Das Entstehen des Islam“ (S. 15—40) ist eine Analyse der politischen, kulturellen und religiösen Verhältnisse des vorislamischen Arabiens. Bei der Klärung der einzelnen Erscheinungen trägt der Autor soziale Aspekte in die Forschung hinein, die in der bisherigen islamistischen Forschung nicht sehr berücksichtigt wurden. Es scheint aber, dass der Autor manchmal diesen Aspekt überschätzt und ihn als einzigen und entscheidenden betrachtet. Eine sehr geringe Aufmerksamkeit wird dem Gründer dieser Religion — Muhammad — gewidmet.

„Koran, sein Dogma und seine Lehre“ (S. 41—110) handelt von religionsdogmatischen, mythologischen und gesetzgeberischen Quellen des Korans, analysiert dann die kosmologischen, geographischen u. a. Begriffe des Korans. Der letzte Teil ist der Übersetzung des Korans ins Russische und in andere Volkssprachen der Sowjetunion gewidmet.

Das dritte Kapitel „Sunna und Ši'a. Die Sekten des Islam. Sufismus“ (S. 111—213) ist seinem Inhalt nach sehr ungleichartig. Die Tatsache, dass der Islam von weiteren

Völkern, von denen viele ein höheres kulturelles Niveau als seine Träger — die Araber hatten, rief schon in den ersten Jahrzehnten seiner Existenz zentrifugale Tendenzen hervor. Die Aufteilung des Islam in zwei Hauptrichtungen „*sunna*“ und „*ši'a*“ in einer verhältnismässig kurzen Zeit seit seiner Entstehung, ist ein klarer Beweis dessen. Der Autor fasst die Entstehung von „*ši'a*“ als eine politische Opposition der feudalen Schicht des westlichen Iran und des Irak gegen das syrische Zentrum der ‘Ummajjiden und ihrer Umgebung auf. Die politischen Tendenzen waren oft in ein religiöses Gewand gehüllt und haben die Zersplitterung des Islam in verschiedene Sekten besonders in „*ši'a*“ verursacht. In dem Kapitel wird auch eine kurze Übersicht der islamischen Jurisprudenz und ihrer Quellen, weiter der islamischen Mystik und der Orden, besonders derjenigen, die auf dem Gebiet der UdSSR verbreitet waren, gebracht. Am Ende des Kapitels betrachtet er den „Babismus“ und den „Baha'ismus“, die er in einem engen Zusammenhang mit den politischen Ereignissen des 19. Jahrhunderts im Iran auffasst.

Das vorletzte Kapitel „Ritten, Feiertage, Fasten und Kult der Heiligen im Islam“ (S. 214—285) ist eine Übersicht der Religionspflichten der Muselmanen. Der Autor betrachtet auch die Genesis der einzelnen Sitten. Als eine „schädliche“ Sitte betrachtet er die Beschneidung (*sunnat* — S. 217), wobei er die allgemein bekannte Tatsache vergisst, dass diesen Ritus die hygienische Notwendigkeit erforderte, die später sowohl schon durch den Judaismus als auch vom Islam kanonisiert wurde. Scharfe Kritik übt der Autor auch gegen das Fasten im Ramadan, während welchem viele Kinder und Säuglinge in den islamischen Ländern sterben. Der Autor bringt in diesem Kapitel interessante Dokumente über die Religions-sitten der muselmanischen Völker der UdSSR.

„Islam und die Frau“ ist der Titel des letzten Kapitels. In diesem betrachtet der Autor die Stellung der Frau in den islamischen Ländern seit der Determinierung ihrer Stellung nach dem Koran bis zur Gegenwart.

Das Buch bringt eine Menge interessanten Materials, besonders in dem Kapitel über die Sitten der islamischen Völker, zieht aber viele zu rasche Schlüsse, was zum Nachteil der Publikation führt. Schade, dass das Buch kein Register bezw. keine Liste der verwendeten Literatur enthält.

V. Kopčan

E. W. Stewick, J. G. Mlela, F. H. Njenga, *Swahili basic course*. Washington D. C., Foreign Service Institute, 1963. 560 pp.

In the preface to the reviewed book it is said that „the course is intended for general use by speakers of English of many occupational backgrounds who are living or expect to live in the areas where Swahili is used“.

The text is prepared very carefully. The Swahili sentences are compiled by E. J. Kazi and J. G. Mlela of Tanganyika, and by F. H. Njenga of Kenya. The linguist

in charge is E. W. Stevick. Two other Africans from Tanganyika and one from Kenya checked the original version of the manuscript. The original text was also sent for verification to the United States Foreign Service posts in Swahili-speaking areas. In cases where there appeared clear disagreements among two or more critics, the alternative wordings are also included.

Above all, „Swahili Basic Course“ seems to aim at assisting the student to develop his ability of understanding and speaking everyday Swahili. It is designed to be used in Swahili courses with both full-time and part-time language programmes, and also for individual study. According to the authors, the class should be guided in such a way that it concentrates on one small task at a time. For this reason, the book is divided into 150 comparatively short units. Each unit is divided into a brief dialogue, grammatical notes and a series of short exercises. For individual study, tape recordings of the dialogues and the exercises were made; but these, unfortunately, have not been accessible to me.

The lessons are preceded by a chapter on pronunciation, based on the standard treatment of this subject by A. N. Tucker and E. O. Ashton.¹ The „Swahili Basic Course“ makes use of a pedagogical orthography indicating the location of an „irregular“ accent (i.e. the accent that does not fall on the next to last syllable) by an acute accent (*lázima*) and the syllabic nasals by a grave accent (*mítoto*, *nne*). In this way, syllabic and non-syllabic *m* are distinguished (*mbovu*—WA class singular, and *mbovu*—N class).

The dialogues are presented both in Swahili and English in two columns, the new words are placed just above the sentences. This way of arrangement is very lucid and helpful to students. It should be appreciated that the principle of clarity of arrangement is maintained throughout the whole book. The dialogues introduce the student into various situations which he can encounter in the Swahili—speaking areas. They start with basic greetings and continue with meals, shopping, basic phrases for introducing people, visit to a farm, a trip, etc. etc. The last twenty-five units of the course are based on a series of casual conversations recorded by Swahili speakers in Dar es Salaam. The editing of these texts is limited to short sentences. A free translation into English substitutes grammatical notes. There are no more exercises in these twenty-five units.

In addition, there are review sentences after each twenty units starting from Unit 40, and a reading selection after each ten units starting from Unit 60.

The authors suggest that very little English should be used in the courses, and starting from Unit 65, all class section are recommended to be conducted entirely in Swahili.

The way in which the grammar is arranged is rather unusual. In order to use

¹ A. N. Tucker and E. O. Ashton, *Swahili Phonetics*. Johannesburg, University of the Witwatersrand Press, 1942.

only the most useful sentences for everyday conversation, the authors start explaining almost all classes at once (except for the PA and KU classes). It seems, therefore, that the grammatical part is rather overloaded at the beginning; the student, however, can master it thanks to the numerous routine exercises attached to every unit. For purely practical purposes, this method appears to be much better than the traditional explaining of one class in every lesson; in this case the word-stock of the student is quite limited at the beginning and he can hardly make use of the sentences he has learned in normal conversation.

The classes are named according to the plural prefixes: the WA class, MI class, N class etc. This is much more practical than using numbers.

The grammatical explanations are rather simplified. The authors, however, seem to simplify quite deliberately as it appears from one of the hints launched in order to help the instructor in the teaching process: „Don't try to explain how the language works: teach the language, not the grammar.“ For more details concerning the grammatical part the authors suggest to consult E. O. Ashton.²

For those students who are interested in a closer study of grammatical problems the notes given in the „Swahili Basic Course“ will not be sufficient as they will certainly miss a more systematic arrangement of the grammar. Only exceptionally can we find, for example, a table of concords (Unit 17, p. 44), a complete set of pronouns (Unit 14, p. 28, Unit 28, p. 95) etc. In the majority of cases, however, the complete forms can be found in the exercises only. In the first units, one problem is often not explained in one unit, but in several (e.g. subject prefixes *ni-*, *u-* in Unit 8, *tu-*, *m-* in Unit 10, *wa-* in Unit 11, *a-* in Unit 12). It would be preferable to explain the function of these prefixes in one unit. The numerals 1—5 can be found in Unit 24, 6—20 in Unit 55; the other numerals are not mentioned at all (cf. Unit 69 where students are supposed to use them in exercises).

Certain changes in the sequence of the explained grammatical problems seem to be desirable. The *-li-* and *-ta-* tenses which are very simple could have been dealt with earlier, before the more complicated applied stems (Unit 36—40 and Unit 26 respectively). Also the *-ki-* and *-ka-* tenses—which are indispensable to students who want to read an elementary Swahili narrative—are explained rather belatedly (in Unit 52 and 65 respectively). The same is valid of the demonstrative *-le* and the table of the three series of demonstratives (Unit 52), and of many basic words (e.g. *mtu*—Unit 38, *mama*—Unit 43, *dada*—Unit 65, *kwa heri*—Unit 44, *maji*—Unit 43, *pesa*—Unit 49, *mwalimu*—Unit 61, *kitabu*—Unit 63, the verb *-ambia*—Unit 66 etc.) On the other hand, several problems are presented too early without proper explanation (*mjini humu* in Unit 29, *nchini mwa...* in Unit 30, p. 103, *ulikuwa ukifanya* in Unit 39, p. 135).

The exercises aim at helping the student to practice new words and grammar

² E. O. Ashton, *Swahili Grammar (Including Intonation)*, London, Longmans, 1944.

as long as he acquires the skill of using the sentence-patterns almost automatically. The majority of the exercises are divided in two or three columns. The word or phrase at the left is called the „cue“, the sentence in the next column is the desired response to that cue.

The Swahili-English vocabulary attached to the book contains about a thousand words with the reference to the number of the unit in which the word occurs for the first time.

The „Swahili Basic Course“ is an excellent textbook for anyone wanting to learn how to speak Swahili without spending much time on its grammatical problems. But even those students who are more or less concerned with the grammar can make a good use of this book as a supplement to more academically-conceived Swahili grammars or textbooks.

Elena Zúbková—Bertoncini

Siegmund Brauner—Joseph K. Bantu, *Lehrbuch des Swahili*. Leipzig, VEB Verlag Enzyklopädie, 1964. 220 S.

This textbook intends to be a practical introduction to the Swahili language; as explained in the preface, it is worked out from „the progressist point of view“. In this way, the authors dissociate themselves from previous German grammars and textbooks of Swahili influenced by colonial and racial tendencies. The authors want to make the students acquainted with the modern political, economic and cultural life in East Africa, particularly in Tanganyika (the book had been written before Tanzania was formed). Therefore, the majority of articles and even most sentences in the exercises are of the political type, sometimes they are directly taken from Swahili newspapers. To my knowledge, this is the first Swahili textbook conceived in this particular way.

The textbook is divided in eighteen lessons which are preceded by a chapter on the role of Swahili, on the locations where it is spoken, on pronunciation and accent; also a brief account of the main features of the Swahili grammar (classes, word-order, etc.) is included. At the end of this chapter, the most important modern dictionaries are named.

The lessons are divided into the grammatical part and exercises, each of them containing a vocabulary, Swahili and German sentences for translation, and a well-conceived article on politics and other spheres of modern life (education, sport, etc.); every single article is followed by a set of questions. In the last two lessons there are no exercises: they deal solely with the grammar and contain a rather long narrative (*Historia ya kupigania uhuru katika Tanganyika*).

The grammatical part is treated with the typical German thoroughness. It explains very clearly all morphological problems and it does not neglect even the syntax (Lessons 17 and 18) and the word-formations (Lesson 16). In the same lesson

(16), common greetings from both inland and coastal Swahili are quoted (*Salaam aleikhum?*). The authors consider the tense and other prefixes as ‚infixes‘ which seems to be a rather questionable approach.

The classes are arranged in the traditional way, i.e. one class is explained in one lesson. From the very beginning, the authors try to make best use of the newspaper-type sentences (with the aid of the words like *mwanasiasa*, *mwanachama*, *mwongozzi*, *mtawala*, *mtetezi*, *mwandishi*, *Mheshimiwa*, etc. They could not avoid, however, some queer sentences like *Mvuvi mvivu si mtu mwema. Mwanamke mpole ana mume mkali...* The classes are numbered 1–7 in the following order according to the prefixes): *wa-*, *mi-*, *vi-*, *ma-*, *n-*, *u-*, *ku-*. The authors do not mention locative class and explain the noun *mahali* as a sort of exception.

The exercises seem not to be quite sufficient for practicing grammar and new words, one of the reasons being that starting from Lesson 12, no translations from German into Swahili are included.

The lessons are followed by a Reader (Chrestomathia) which aims at giving the students a chance to read important original texts taken from Swahili newspapers which, otherwise, they could hardly find by themselves. There are also two speeches of Julius Nyerere and the National Anthem of Tanganyika.

The Swahili-German vocabulary attached to the book contains about 1700 words, many of them being taken from English in the last decades (*komiti*, *redio*, *gitaa*), and also a number of those Swahili words which have got recently a new special meaning (*mpango*—a plan). Therefore, this vocabulary is very handy for reading newspapers.

„Lehrbuch des Swahili“ is not suitable for the students who want to acquire active knowledge of Swahili because they would not learn how to speak and to understand the everyday language. But it is a rather good textbook for those students whose principal aim is to read modern texts, especially newspapers, and besides, it gives them a solid knowledge of the Swahili grammar.

Elena Zubková—Bertoncini

Polly Hill, *The migrant cocoa-farmers of southern Ghana. A study in rural capitalism*. Cambridge University Press, 1963, S. 265.

Ghana und der Kakao können heute berechtigt als Synonyme angesehen werden. Diese Behauptung hat seine Berechtigung in der Bedeutung, die der Kakao in der Wirtschaft Ghanas und der ghanäische Kakao im Welthandel schon seit langer Zeit besitzt. Der Kakao ist nicht nur die bedeutendste Quelle des Reichtums Ghanas, sondern auch der Ursprung der wirtschaftlichen Probleme dieses Landes. Stellt doch Ghana im Durchschnitt ein Drittel der Weltkakaoproduktion (seit 1961 cca 400 000 t pro Jahr). Gleichzeitig ist der Kakao der wichtigste Exportartikel und die Haupteinnahmequelle Ghanas (cca 65 % des Außenhandels). Die Schattenseite

dieser positiven Faktoren befindet sich jedoch im Umstand, dass der beinahe ausschliessliche Kakaoanbau dem Lande den Stempel einer Monokulturwirtschaft aufdrückt. Die grosse Abhängigkeit vom Weltmarkt, die schwankenden Preise, welche im besonderen seit 1957 dauernd sinken und gegenwärtig sehr niedrig sind, machen die Volkswirtschaft Ghanas ausserordentlich labil und verwundbar. Diese Umstände sind demnach von masstäblicher Bedeutung für die wirtschaftliche Entwicklung des Landes.

Der Kakao ist erst im 19. Jahrhundert nach Ghana eingeführt worden. Historisch gesehen verbreitete sich der Anbau dieser Kulturpflanze in einer unglaublich kurzen Zeitspanne. Obzwar der Kakao schon im Jahre 1815 erwähnt wird und dann hauptsächlich die Baseler Mission sich um seine Verbreitung bemühte, wird der eigentliche Beginn des Kakaobaus — entsprechend der Überlieferung — mit dem Jahr 1878 angegeben und der Verdienst dafür einem Ga namens Tetteh Quarshie zugeschrieben. Während die Produktion im Jahre 1893 erst 60 t Kakao betrug, stand Ghana im Jahre 1911 mit 40 000 t schon an der Spitze der Weltproduktion und konnte sich diesen Platz durch andauernde Produktionssteigerung bis in die Gegenwart behaupten.

Das vorliegende Werk Polly Hills ist den Anfängen des Kakaoanbaus in Süd-Ghana und der Rolle, welche die „Wanderbauern“ in der Ausweitung der Kakaokulturen im ursprünglichen Anbaugebiet nördlich von Accra spielten, gewidmet. Die Autorin basiert ihre Enthüllungen und Ausführungen an Hand ihrer mühevollen Feldstudien. Die umfangreichen Anhänge zu den einzelnen Kapiteln des Buches enthalten eine Menge sehr origineller und wertvoller Angaben. Die unkonventionelle Einreichung der faktographischen und erläuternden Materialien macht jedoch das Werk unübersichtlich und erschwert dem Leser die Orientierung.

Diese, im Grunde genommen wirtschaftshistorische Studie verfolgt jedoch nicht nur ökonomische, sondern im grossen Umfang auch historische und antropologische Aspekte. Auch die Methode ist nicht einheitlich, sondern wie die Autorin selbst erklärt, interdisziplinarisch.

Polly Hills Ziel ist es, auf den Anteil der „Wanderbauern“ an der Ausweitung der Kakaokulturen hinzuweisen, den eigentlichen Prozess der Migration in die Wälder des südlichen Akim Abuakwa und Umgebung zu untersuchen. Sie weist darauf hin, dass dieser Prozess sehr expansiv war, dass er kapitalistischen Charakter hatte und in Bezug auf die Landbesitzverhältnisse neue Organisationsformen hervorbrachte. Es wäre jedoch wünschenswert gewesen, eine allgemeine, wenn auch kurze Einführung mit ergänzenden Angaben zu den nachstehend behandelten Problemen zu geben. Die Einreichung vieler Materialien direkt in die einzelnen Kapitel anstatt in die Anhänge hätte manche unwesentliche Mängel beseitigt. Das erste Kapitel behandelt das eigentliche Problem — die Migration südlich vom Waldgürtel in das historische Anbaugebiet. Diese Migration, welche um 1892 begann und an der Angehörige der Akwapim, Krobo, Schai, Ga und andere

teilnahmen, ist in der Literatur, wie die Autorin mit Recht behauptet, übersehen und demnach nicht eingeschätzt worden. Die Autorin beweist uns, das es gerade die „Wanderbauern“ waren, welche den Kakaoanbau expansiv gestalteten und förderten. Diese Migration in die ganz dünn besiedelten Feuchtwälder brachte neue Organisationsformen für den Ankauf von Ländereien durch die unternehmungslustigen „Wanderbauern“ hervor. Dies wurde durch die Bereitschaft der Häuptlinge, das Land an Fremde zu verkaufen, ermöglicht.

In den zwei nachfolgenden Kapiteln werden die neu entstandenen Formen ausführlich behandelt. Die eine, die sogenannte „Gesellschaft“ („company“), setzte sich aus Gruppen von Freunden und Bekannten zusammen, welche Angehörige patrilineärer Stämme waren. Der einzige Grund zur Gründung einer solchen „Gesellschaft“ war der Ankauf eines Landes für den Kakaoanbau. Nach dem Ankauf wurde das Land nach bestimmten Regeln in Streifen unter den Mitgliedern aufgeteilt. Das Land ist nach der Aufteilung persönliches Eigentum jedes Einzelnen, wird durch ihn bebaut und kann jederzeit jedem verkauft werden. Mit dem gemeinsamen Landankauf und der Landaufteilung ist der Zweck der „company“ erfüllt.

Die andere Form, das Familienland (family land) stützt sich auf die Familie und den Familienbesitz und unterscheidet sich von der „Gesellschaft“ dadurch, dass sie sich aus Verwandten zusammensetzt, welche matrilineärer Abstammung sind.

In den übrigen Kapiteln werden die traditionellen Ordnungen, Formen und die Regelnd des Gewohnheitsrechtes nach welchem Erbe, Verkauf von Land usw. geschlichtet werden, behandelt. Außerdem kommen noch die geographischen und ökonomischen Aspekte zu Wort.

Als eines der Hauptmerkmale des Migrationsprozesses scheint der Autorin die Tätigkeit der „Wanderbauern“, welche sie als kapitalistisch bezeichnet. Diese Behauptung begründet sie unter anderem mit dem Investieren des grössten Teiles des Ernteertrages in den Ankauf neuen Landes (S. 3). Die Beweisführung (VII. Kapitel) ist jedoch literarisch und ungenügend untermauert. Der Akumulationsprozess, obzwar betont, ist nicht in der ganzen Breite analysiert. So z. B. die Höhe der Einkommen und des Gewinnes, der Anteil von Fremdarbeit und die ausgezahlten Löhne, resp. der Anteil am Ernteertrag usw. sind nicht berücksichtigt oder nur isoliert behandelt bzw. erwähnt. Ähnlich verhält es sich mit den Reinvestitionen und dem Masse der Belastung der Ländereien durch Schulden.

Unbestritten wird jedoch der Beweis geliefert, dass auch die Afrikaner zu wirtschaften und ökonomisch zu denken und zu handeln fähig sind.

Das Verdienst der Autorin muss jedoch betont werden. Es besteht in den umfangreichen Materialien, welche durch mühevolle Arbeit gesammelt wurden und welche sonst wahrscheinlich ganz verloren gegangen wären, sowie in ihrer Auswertung, welche zur Beleuchtung der Anfänge des Kakaoanbaus führte und den Beweis der entscheidenden Rolle der „Wanderbauern“ im Aufschwung der Kakaoproduktion in Ghana erbrachte. Deshalb können wir W. Manshards Behauptung nur zustim-

men wenn er sagt, dass ohne die „Wanderbauern“ die Entwicklung des Kakaoanbaus in Ghana sicher ebenso langsam vor sich gegangen wäre wie in der Elfenbeinküste (W. Manshard: *Die Geographischen Grundlagen der Wirtschaft Ghanas*. F. Steiner Verlag, Wiesbaden, 1961, S. 137).

F. Brunner

Paul Fordham, *The geography of African affairs*. Harmondsworth, Middlesex, Penguins Books Ltd., 1965. 244 pp.

This African Pelican widens the range of those manuals, fairly numerous in recent years, which provide the reading public with basic information on what used to be the „continent of darkness“. Although Paul Fordham's work is also a kind of general survey and does not claim to bring forward any new findings, it is not a superfluous book.

The title imparts its goal, which—in the author's own terms—was „to select from the whole mass of geographical facts about Africa south of the Sahara such information as seems important for an understanding of current political and economic problems.“ This used to be aimed at more than once in the past. But in addition to the liability of all writings on present-day Africa to get quickly out of date, it has in fact rarely been achieved so clearly and consistently. In concise form but not without due accuracy, the book outlines the geographical background of the manifold changes constituting what we all have witnessed regarding the emergence of Africa from the obscurity of old colonial days and what there is nowadays to serve as a basis for future development. The sketch is drawn in a serious, matter-of-fact way, admitting no indulgence in unfounded visions.

Paul Fordham is a geographer, at the present time a Principal of the College of Social Studies at Kikuyu, in Kenya. He possesses a first-hand knowledge of Africa along with the gift of selecting properly the facts and interpreting them clearly. The parts dealing with physical geography, natural resources and economic development are written most carefully and competently. The sole question arises: In what way the notion of geographical background should be delimited?

The reviewer admits that the following remarks may, to some extent, have a subjective colouring. It seems to us that less attention has been paid to the treatment of the social factor than it deserves. Indeed, there is not much to be found in the book on the social structures of the African social milieu or, say, on the forms of land tenure besides where the Europeans' presence imposed a clear-cut pattern of relations as in Rhodesia, South Africa or Kenya. Nor are political concepts, discussed such as various postulated types of socialism or *egalitarian democracy*. It may be argued that all these are highly controversial issues and need not be necessarily comprised in an introductory work based on a geographical approach. Still, in our opinion, the economic characterizations should not altogether omit any mention

of e.g. attempts at planning or co-operative conceptions in some of the countries under discussion. Also, indisputable facts like that of the liberation struggle going ahead in the Portuguese colonies should be named by their true name in addition to merely pointing out some of the roots of tension.

We certainly sympathize with the author's final warning against false generalizations, which do not show the enormous differences of the given situation—including both the level of material advancement and the social readiness to change—as they exist between the individual African countries. Summarizing judgements and predictions are always in danger of being shortsighted. Nevertheless, something of the intellectual and emotional atmosphere of contemporary Africa should perhaps have been registered and, similarly, a rough outline of the present state of education and culture would have been of great use. These points are also essential to a proper understanding of African affairs.

It is high time now to pass from what the author did not write to what he did. The book offers interesting and stimulating reading and is a good achievement and success of its kind. The area covered includes all the states south of the Sahara; the Arab North as well as the whole of the Sudan, Ethiopia, Somaliland and Madagascar are not discussed. The first part—a General Survey—describes the natural environment and the peoples, and gives a brief account of their history and characteristic economic problems. As indicated above, the complex matter of the socio-human factor is dealt with in a somewhat simplified way, which is mainly true of the chapter on races and tribes. Very comprehensively, on the other hand, are explained the system of subsistence economy, problems of soil, fertility, diseases, transport and some other topics.

The second part contains detailed studies of individual regions or states. The English-speaking countries receive much more attention than succession states of the former French West and Equatorial Africa. Topical problems such as apartheid or South-west Africa are discussed at greater length.

The referential value of the book is enhanced by the insertion of numerous maps and of tables based on most authoritative sources, which give account either of the population or of the economic situation of a territory.

Luboš Kropáček

Africana Bulletin, Nos. 1—3. Warsaw, Wydawnictwo Uniwersytetu Warszawskiego, 1964—65.

This new journal devoted to African studies is a testimony to the rapid growth of both the broad interest and the scientific and organizational accomplishments made in this domain in Poland. The Bulletin is published by the Centre of African Studies of the Warsaw University whose director, the well-known *Ethiopist* Prof. Strelcyn, is in charge of the editorial board. Other members are Dr. Halpern (eco-

nomist) and Prof. Winid (geographer). The introductory editorial briefly traces the upward line of the development of African studies in Poland and sets the targets of the new periodical: to make accessible to the scientific world the results of research conducted by the Centre and to promote an exchange of information in this field.

The first three numbers, available at the day of writing, show that it will cover the more traditional fields of African studies (ethnography, history, linguistics) as well as geography, economy, demography and sociology, perhaps with a slight predominance of the latter. The contents are divided into three parts. Articles, Varia and Reviews and Short Notices. All contributions are published either in English or in French, some of them being translations of an article which originally appeared in Polish.

No. 1 opens with M. Malowist's article entitled *Les aspects sociaux de la première phase de l'expansion coloniale*. The paper subjects to analysis the Portuguese undertakings in Morocco and West Africa ushering in the age of great discoveries, and advances the question of what social forces furthered and carried out the expansion at this stage. The impact of the rising Ottoman power in the Eastern Mediterranean did not play a major role as is so often assumed. After careful analysis of chronicles and documents of the epoch, Prof. Malowist comes to the conclusion that the decisive force came into being as a result of a crisis of the feudal economy in Portugal. There were the noblemen, the young sons of impoverished *fidalgos*, whose search for fortune gave the first impetus, while the merchants came to the fore only after the palpable success of these first ventures.

No. 3 contains two other detailed studies on historical themes. K. Michałowski's *La Nubie chrétienne* is based on the results of the recent Polish excavations in Faras, the capital of the ancient Nobadia, which brought a definitive proof of the Christian infiltration to this region prior to the well-known missions mentioned by John of Ephesus. Edward Szymański's *Formation de l'Etat marocain* traces the historical paths of the rise of state and nation in Morocco since the 8th century. In this process the Islamic culture and central power invested in the *makhzen* constituted the forces of unity against the disintegration trends of tribalism.

Jan Halpern's *Economic Planning in Africa* (No. 1) examines the nature and feasibility of planning in North and West African countries and discusses its shortcomings. Similar in character is I. Sachs' *Barriers to Growth* (No. 2), which shows the interrelations of agriculture, industry, infrastructure, foreign trade, investments, accumulation and of what the author terms institutional factor in underdeveloped economies. In a *circulus vitiosus* way the development in any domain is hampered by the backwardness of another. Both articles do not fail noting the harmful policy of the wealthy élite with its distorting influence on the economic growth.

Three articles are devoted to the study of historical texts. Prof. Strelcyn's *Un traité éthiopien d'hygiène et de diététique* (No. 1) gives an annotated translation

of an Amharic medical treatise continuing the line of the classical Greco-Arabic medicine. The original text was found in two copies by Prof. Strelcyn at the time of his visit to Ethiopia a few years ago. In the paper *L'Afrique Noire dans le Kitāb al-Masālik wa 'l-mamālik d'Abū 'Ubayd al-Bakrī* (No. 2) Prof. T. Lewicki gives an account of *Al-Bakrī* and his work, which is a source of fundamental value for the study of the history of the Sudan. Finally, in the last of the three, A. Zajączkowski (*Jeune élite africaine* — No. 2) reviews the journal *Dakar Etudiant* published with rather irregular periodicity by the African students of the *Institut des Hautes Etudes* (transformed later into a University) in Dakar in the years 1953—59. Zajączkowski pays attention especially to the symptoms of the rise of nationalist feelings among the Dakar students.

So far only two linguistic studies have appeared in the Bulletin: R. Ohly's *Patterns of New-Coined Abstract Terms (Nominal Forms) in Modern Swahili Language* (No. 2) and Nina Pilszczikowa's *Some Preliminary Notes on Lete Grammar*. As the first title clearly indicates, the author examines the existing patterns of introducing new abstract terms into Swahili, both loan words and neologisms. The second article is a result of field work conducted in Ghana in 1963—64. Mrs. Pilszczikowa gives a sketch of the Lete morphology and syntax and confronts the data with D. Westermann's notes on other dialects of the Guang language.

Other articles are of a manifold nature. E. Vielrose's *The Birth Rate in the Sudan* (No. 1) is a demographic study on the population census effected in the Sudan in 1955—56, correcting some of its probable errors. Another demographic study is S. Stechmàn's *Map of Population Distribution in Libya* — a detailed map is enclosed — based on the General Population Census of 1954. P. Zaremba (*The Urban Development of West and Equatorial Africa* — No. 1) concentrates on problems of the spatial aspect of the town development in some selected African towns. A. Waligórski's *Economie paysanne dans les territoires coloniaux et postcoloniaux* (No. 2) examines the life of African peasants who have abandoned the traditional subsistence economy. A great part of the material is concerned with the Luo of Kenya. Of the remaining articles we shall only quote the titles to complete the picture of the variety of treated subjects: B. Winid: *Atlases and Serial Maps in Africa* (No. 1), M. Skotnicki: *La subdivision de Soubré (Notes d'un séjour en Côte d'Ivoire)* (No. 2) and N'Diaye Abdoulaye: *Etude sur le Cercle du Bas-Sassandra* (No. 3). The last title is a manuscript found by M. Skotnicki in the national archives in Abidjan.

The section Varia is designed to give information about Polish institutions concerned with African studies and to publish reports on their activities as well as on international seminars and symposia, visits of scholars and other items of professional interest to students of African affairs. So far comprehensive accounts have been given *inter alia* of the African studies at the University of Warsaw, the Polish Institute of International Affairs, the Szczecin Academic Centre, The Polish excavations in Egypt and the Sudan and the Centre of Research on Underdeveloped

Economies. No. 3 presents also summaries of doctoral theses submitted to the University of Warsaw.

The Centre of African Studies existing in its present form since 1962—is an interdepartmental organism within the framework of the Warsaw University, which helps in designing perspective programmes for African studies and coordinates the work relating to Africa performed by scholars of different branches. Besides, it runs a specialized library and documentation service and offers a two years course in African problems for the graduates of various subjects.

The last section of the Bulletin consists of short summaries and reviews of books and articles dealing with African themes, which have been published in Poland, mostly in the Polish language. They are abundant in number and English or French notes may make them wider known, as some of them certainly deserve.

The upward trend of African studies in Poland is finally revealed also in the technical aspect of the Bulletin. While the first number appeared in a mimeographed edition, comprising 500 copies, the second and third were printed (in 800 copies). While looking forward to the next numbers, we certainly have to congratulate our Polish colleagues on their work.

Luboš Kropáček

W. F. Wertheim, *East-West parallels. Sociological approaches to modern Asia*. The Hague, W. van Hoeve Ltd., 1964. 284 pp.

This book is a collection of 12 of Wertheim's articles concerning some sociological and political problems of contemporary Asia. The majority of them deals with Southeast Asia, in particular Indonesia. What is most important is the fact that the author shows both sides of the coin: The negative as well as positive results of the foreign colonial rule, the ratio of mutual interaction of both „Eastern“ and „Western“ culture, the role played by particular classes and social groups in the anti-colonial opposition etc. The work consists of the following chapters:

A Sociological Approach to the Problems of Underdevelopment (3—20), *Society as a Composite of Conflicting Value Systems* (23—37) *The Trading Minorities in South-east Asia* (39—92), *Nationalism and Leadership in Asia* (85—101), *Sociological Aspects of Corruption in South-east Asia* (103—131), *Religious Reform Movements in South and Southeast Asia* (133—145), *Religion, Bureaucracy and Economic Growth* (147—163), *Urban Characteristics in Indonesia* (165—181), *Inter-Island Migrations in Indonesia* (184—209), *Social Change in Java 1900—1930* (211—237), *The Sociological Approach to Indonesian History* (239—256) and *Betting on the Strong?* (259—277).

Wertheim polemizes with the French sociologist, A. Sauvy, on the general characteristics of an underdeveloped society (6—7), analyses some particularities of the Balinese—Baliaga relations (29—330), deals with the Chinese problem in

South-east Asia, growth of nationalism in the development countries and the last social changes within the South-east Asian societies.

Many of the important ideas presented by the author in this book will help anthropologists, historians and sociologists to understand better recent developments of the situation in South-east Asia. Wertheim's work is an important contribution in South-east Asian studies.

R. Raczyński

L. Jonathan Cohen, *The Diversity of Meaning*. London, Methuen and Co., Ltd., 1962. 11+340 pp.

As may be gathered from the flap, this book represents the first synthetical treatise in English philosophical literature from the domain of the theory of meaning, since 1923 when Ogden's and Richards' well-known work *The Meaning of Meaning* first appeared. Even the titles of the individual chapters (there are ten of them) indicate already that L. J. Cohen, the English language philosopher, attempts to present in a broad perspective the problems involved in various aspects of language expression, as well as the manifold concepts of the theory of meaning. This is a cross-road where the interests of the philosopher, logician, semantist, linguist, historian and psychologist meet. Philosophical questions of language as such are discussed mainly in chapters 1, 3, 4 and 6 — here such questions as change of meaning, universals, analytical and a priori truths are taken up. But the philosophical view is also felt to penetrate with emphasis in the ensuing chapters too, along with an analysis of the logical, linguistic and other material. Chapters 7, 8 and 9 are devoted to logical and logico-semantic aspects of meaning, to the extensional and nonextensional comprehension of meaning, to universal ambiguity and the like. Chapters 1, 2 and 5 deal mainly with the history of language and meanings, changes in word meaning and problems of communication and the cultural background of a language. A simple enumeration of what the author analyzes, comments and tries to solve here gives a hint of the wide orientation that will be expected from the would-be reader, together with an ability on his part to cross beyond the confines of a narrowly specialized interest on questions of meaning.

Cohen's basic view might roughly be formulated thus:

1. Not only are there various aspects of meaning in linguistic expressions and hence, also various notions on meaning, but there exist manifold conceptions as well, of the theory of meaning, semantic conceptions in a broader sense of the term, which cannot be easily interconnected—he endeavours to illustrate this basic idea throughout his book.
2. None of these semantic conceptions is exhaustive (i.e., neither linguistic, logical nor any other), but a synthesizing view must take into account their results in order thus to avoid one-sidedness.

3. There is no unity either within the linguistic, philosophical or any other conception—this, the author supports by the conflict between the so-called temporal and timeless semantics. A typical representative of semantics making no account of time and change of meaning is in his view, the German logician Gottlob Frege, and his diametrically opposite pole is, allegedly, Engels (on pp. 22—23) the author pictures the latter explicitly as a Heracleitian relativist.

4. In contrast to the pre-Herderian philosophy of language which refused to acknowledge changes and development in the meaning of words in a given language, the prevailing view in contemporary notions is that meanings do change, even though a certain steady nucleus may be found to persist within them. The author strives here to strike a certain compromise, but it turns out, to be this is in favour of the dynamics of meanings, an attitude which will no doubt be welcomed by linguists and historians of ideas.

5. From what precedes it may be inferred that the author often takes a sceptical view of the possibilities of formalized, constructive languages which are made so much of by contemporary logical semantics and certain philosophical trends in linguistics. In this respect he rather inclines towards language philosophers favouring analysis of the natural (spoken) language which is much richer in means of communication, but also considerably less lucid. The influence is felt here of English linguistic philosophy whose spiritual fathers were G.E. Moore and the late Wittgenstein. Nevertheless, the author cannot be unequivocally ranged here either, since he endeavours to differentiate between where application of a formalized language is appropriate (he himself makes attempts at formalization of nonextensional contexts in the 7th chapter which, dealing as it does with logic, has attracted my closest attention), and where it is not, (as for instance, in lexicographic, historical conceptions of meaning).

6. Another focus of interest resides in differentiation of the theories of meaning according to whether *de jure* rules, i.e., a normative approach, or a descriptive *de facto* approach, i.e., empirical investigations of the laws of meaning, are preferentially applied. L.J. Cohen emphasizes empirico-descriptive conceptions thus supporting, as he himself states, actually prevailing tendencies in linguistics and the history of ideas. According to the reviewer of Cohen's work, Jerry A. Fodor, (*The Journal of Philosophy*, 1964, Vol. 61, Nr. 11, 334—343), this is altogether a key-question and Cohen resolved it unambiguously and rather schematically fully in favour of the *de facto* theories. In my view, one may agree with this critical remark, all the more so, as the rules-of-meaning with regard to the rules-of-use are nowhere in the book defined with any great precision.

Given these general characteristics of Cohen's attitudes we shall take up some of the sub-questions involved, proceeding from chapter to chapter. In the first one, the author states that Herder's philosophy on language was a turning point in the views regarding change of meaning in words—the latter has since been considered

as a normal phenomenon in human history. This conception has allegedly been reinforced particularly by comparative morphological investigations. Arguing against Frege's comprehension of meanings as unchanging and timeless entities, the author endeavours to differentiate between words, sentences, etc. (hence, language-expressions) from several standpoints. He accepts Peirce's division of words into „token“ (e.g., any graphic or acoustic form of the Slovak word *dom*), and into „type“, e.g., the given word *dom* as a word of the Slovak language—common shape, type of all inscription or pronouncing of this word). However, instead of the word „type,“ he uses terms like „language-word“, „language-sentence,“ etc., and this with the same meaning, but besides „token“ he also admits „utterance-word“ and these two terms do not overlap in meaning. He illustrates his point by witty examples: if two persons carry a banner with the slogan „Disarm!“, one token, but two utterances are involved: the opposite is presented in the case where a person makes a tape-recording of his own voice. Besides a language-word, he recognizes also the so-called „culture-words,“ „culture-sentences“ (for instance, Newton's expression „matter“ in European culture of the 17th century). There exists at the same time a parallel „utterance,“ viz. „saying-sentence,“ etc., (for instance, that which Newton states in his works on matter, making use of the culture-word „matter“). The author further distinguishes between two ways of speaking about meaning, viz., on the verbal and the conceptual plane. All these differentiations have a basic methodological role in subsequent considerations. Thus, for instance, „utterance-word,“ or „saying-word“ is timeless in meaning, but the meaning of „culture-word“ is temporal and liable to change, and even more so that the meaning of a „language-word.“ Allegedly, Frege went wrong on all these points.

In chapter 2, Cohen analyses the causal and the purposive conceptions of meaning (*de facto*), as well as its formal and less formal conception (*de jure*). As already stated earlier, the author excludes very vehemently the *de jure* conception, refuses to acknowledge rules-of-meaning with regard to the rules-of-use. Here he lays particular stress on the contextual interpretation of meaning: „the meaning of any one word is its function in a whole sentence“ (p. 45). From the aspect of the culture-context, words are to be understood as social institutions, implying that their meaning must be examined against a wide „extra-language“ background. In this connection he makes a point of Trier's theory of language fields which has substituted the holistic approach to meaning for the atomistic; further, of Whorf's so-called „new relativity principle,“ as well as of the methodological directives by Saussure and Sapir. At the same time he criticizes Quine's theory of „stimulus meaning“ which, according to him, fails to achieve its *raison d'être* which is to supply a suitable tool for a semantic comparison of various languages. He likewise rebukes Whorf's theory too, for presenting temporary difficulties in this comparative investigation as being insoluble.

What the object of the so-called philosophical semantics, i.e. of philosophical

analysis of meaning actually is and what it should be, forms the subject-matter of Cohen's third chapter. He differentiates here two types of analysis, viz. on the verbal and the conceptual plane. He affirms that to acknowledge the so-called logical grammar as such a philosophical analysis, is erroneous, since logical grammar is too normative and is, as a rule, connected with an incorrect conception of atomic terms. Consequently, logical grammar should be rejected. Furthermore, he declares that the *de jure* theory of conceptual semantics is to be entirely rejected, just as philologists had earlier rejected in practice the *de jure* theory of verbal semantics. There exist no rules-of-use of words, but only a *de facto* function of words in a language or community and these functions may be described or evaluated (p. 92). This statement which I consider too one-sided, holds a key-position in the author's conception. It then becomes incumbent upon philosophical semantics to evaluate the *de facto* functions of words (a similar role in the field of linguistics, allegedly, falls to criticism of style).

This topic is indirectly resumed in chapter 4 which speaks of the solution of the problem of universals from the point of view of various conceptions of meaning. This represents a modern variant of the middle age conflict between nominalism and realism. Here too, the author points to errors in logical grammar, introduces interesting notions on Platonic „metamathematical realism“ and Aristotelian „botanical realism,“ but fails to supply any satisfactory positive solution.

Chapter 5 treats of meanings from the standpoint of the communication process. *De jure* theories are here given a respite in view of the needs of translations from one language to another. As a matter of fact, language utterances and sayings are here being translated which are timeless and whose meanings are given by rules. These rules then form the subject of investigation of the so-called expository semantics, whether at the verbal or the conceptual plane. Allegedly, no *de facto* theory may be applied to these questions. In any case, however, the author excludes the existence of any „subsistent entities“ which would form meanings of utterances and statements. In addition, questions relative to translatability, synonymity and the existence of the so-called propositions (that which corresponds to the meaning of sentences, statements), are analysed here.

The remaining chapters contain less material of primary interest to the linguist, the whole of the author's conception of language philosophy having actually been expounded in the preceding chapters. In the sixth chapter the author deals with questions of a priori and analytical truths against a background of various conceptions of meaning. He again makes reference here to contemporary research, in particular to the problem of conventional determination of analytical sentences and to that of verification methods. Chapter 7, called *Meaning and the Law of Extensionality*, embodies the results of Cohen's research in connection with formalization of nonextensional contexts. This chapter deserves deeper attention on the part of logicians, for it involves not only an original approach to the question of

nonextensional contexts (it takes as its starting point the inadequacy of Frege's differentiation in this sense), but also interesting contributions to the problem of semantic antinomies, quantification of nonextensional contexts, etc.

In chapter 8, dealing with the formally logical problem of investigating meaning, Cohen analyses the following questions: what is represented by logical formulae, what justifies logical theories and whether logic denies the possibility of an empty universe. In chapter 9 we find the problem of universal vagueness of terms and universal ambiguity being dealt with, while the closing 10th chapter deals with aspects of natural necessity, inductive confirmation of hypotheses and on this basis again the problem of change of meaning in language expressions.

It is no easy task to take up an explicit stand trying to evaluate the overall contribution of Cohen's work. The book as written, gives an indisputable proof of deep erudition, with extensive knowledge of facts, but the results leave room for much discussion. This in itself, I hasten to add, is not a defect, just the contrary, as it is provocatively conducive to further considerations. It corresponds ultimately, to the present-day status quo in language philosophy. Every specialist in any one discipline, reading the book from his own aspect, will no doubt take up a different attitude towards its contents and methods, in conformity with his own point of view. Cohen, however, lays claims to a synthetical treatment of the questions of meaning—this is today a rather exacting task for anyone. To this objective cause, it seems to me, must be added the considerable indistinctness of exposition and lack of definition of numerous terms which are routinely employed therein. From the point of view of a logical „ideal,” the much promising subject dissolves into hazy implications, heaped up freely and colourfully. Thus here is a lack of a clear line of exposition. Nevertheless this is a work which should be read by everyone interested in questions of meaning.

Augustin Riška

J. P. Hughes, *The science of language*. New York, Random House, 1963.
XIV + 305 pp.

Es wird immer schwieriger, eine gute Einführung in die Sprachwissenschaft zu schreiben. Eine genaue Kenntnis der gesamten Thematik, eine einheitliche Konzeption und eine leicht verständliche Darstellung — das ist beim schnellen Wachstum der sprachwissenschaftlichen Literatur eine schwierige Aufgabe.

J. P. Hughes bemüht sich um eine einheitliche Konzeption, indem er mit seiner Definition der Sprache beginnt. Die Sprache (*language*) ist danach ein System von Lautsymbolen, die von einem Menschen zum anderen übertragen werden. Die Definition ist nicht überzeugend — schon deswegen, weil eines der besten Kapitel von der geschriebenen Sprache spricht (116—144). Man ist gar nicht überrascht, wenn der Autor die weiteren Erörterungen ohne Rücksicht auf seine Definition schreibt -- so traurig ist das Schicksal der Definitionen.

Der Inhalt des Buches ist der Geschichte der Sprachwissenschaft (32—72), dem Katalog der Sprachen (73—115), der Beschreibung der sprachlichen Strukturen (145—209), der Phonetik (210—238) und der Phonologie (239—257) gewidmet. Schwer zu begreifen, warum die beiden letzten so streng voneinander abgeteilt sind. Das Buch ist in einem guten Darstellungstil geschrieben und die kurzen monothematischen Kapitel geben reiche Belehrung. Ein Fehler liegt darin, dass hie und da kleine Ungenauigkeiten, und sogar unbewiesene Theorien unterlaufen (p. 83 und 92: die Urindoeuropäer sassen bis 2000 vor unserer Zeitrechnung in Kleinasien, woher sie unter dem Druck altaischer Stämme emigriert seien; p. 94: Pidgin-English sei ein Genisch englischer Wörter mit chinesischer Grammatik — die echte chinesische Grammatik ist aber weit komplizierter; p. 96 das Japanische sei dialektisch nicht differenziert; p. 25 die spanische Schriftsprache habe den Dialekt von Madrid zur Grundlage).

Sehr wertvoll sind einige Kapitel, die darüber handeln, was in der Sprachwissenschaft neu ist und in den Einführungen oft beiseite gelassen wird (vgl. z. B. p. 154 immediate constituents, p. 163 exocentric and endocentric structures).

Zusammenfassend können wir sagen, dass hier eine wertvolle, gehaltreiche Einführung in die Sprachproblematik geboten wird, die man jedem empfehlen kann.

V. Skalická

Zs. Telegdi (Ed.), *Általános nyelvészeti tanulmányok*, I. Budapest, Akadémiai Kiadó, 1963. 338 S.

Die ungarischen Sprachwissenschaftler haben in der Vergangenheit am meisten auf dem Gebiet der Ugrofinnistik und Hungaristik sowie in anderen besonderen Spalten der Sprachwissenschaft gearbeitet. Die allgemeinsprachlichen Studien standen nicht in Vordergrund, obwohl sich hier die ungarische Linguistik solcher Namen rühmen kann wie der Semantiker Z. Gombocz (der Lehrer S. Ullmans!), der Phonetiker Hegediüs, der Phonologe Laziczius.

Die junge linguistische Generation sorgt nun dafür, auch in der allgemeinen Sprachwissenschaft Europa und Amerika einzuholen. Jetzt publiziert sie Sammelbände aus dem Gebiet der allgemeinen Sprachwissenschaft, und versucht alles, was im Auslande gut ist, zu verwerten und fortsetzen. Wir referieren hier über den ersten Band dieser Reihe.

Einige Aufsätze dienen hier dazu, grosse Gestalten der Linguisten zu beurteilen. E. Vértes schreibt über Brøndals Theorie der Wortarten (sie kritisiert auch vieles, vor allem vom Standpunkt der finnisch-ugrischen Sprachen), M. Temesi über die Theorien Weisgerbers (auch hier gibt es viel zu kritisieren), J. Berrár über die Verdienste von J. Ries, S. Károly über Tesnières syntaktische Konzeption, J. K. Soltész über die statistische Methoden P. Guirauds; F. Bakos bringt Bemerkungen zu den Gedanken von A. Graur.

Andere Linguisten propagieren die verschiedenen Richtungen der modernen Sprachwissenschaft. M. Hutterer befasst sich damit, was neues die geographische Linguistik der Dialektologie bringen kann. I. Fónagy appliziert die stilistischen Fragen in der Phonologie. K. Magdics informiert über die Rolle der Intonation in der Satzstruktur. L. Antal macht den Leser auf die Wichtigkeit der Psychologie aufmerksam und fordert die Liquidierung des Kampfes gegen Psychologismus. Wichtig sind die Ausführungen nach dem Muster der modernen Mathematik und Transformationslinguistik (Gy. Szépe, F. Papp, F. Kiefer). Der Redaktor des ganzen Bandes, Zs. Telegdi, referiert über die Möglichkeit, gegen schroffen Gegensatz zwischen diachronischer und synchronischer Linguistik zu überbrücken. Das ganze Sammelband zeigt die neuen Wege, die von der ungarischen Linguistik betreten werden. Es gibt auch noch andere Beweise dafür, dass Ungarn zu einem wichtigen Zentrum der allgemeinen Linguistik werden wird.

V. Skalička

Dell Hymes (Ed.), *Language in culture and society. A reader in linguistics and anthropology*. New York, Harper and Row, 1964. XXXV + 764 pp.

The publishing of „Readers“ in linguistics has in USA a long tradition. They either close a particular era of linguistics or yield a survey of a particular linguistic discipline, show the perspectives and stimulate further research. A similar policy of furnishing information has recently been taken up in USSR, where in a series called „Novoe v lingvistike“ (News in linguistics) the most important works by foreign authors are translated into Russian.

The book under review is an attempt at systemization of existing results in linguistic anthropology. The results are, of course, mostly American, since in USA linguistics has always been somewhat anthropologizing, whilst in many other countries anthropology is totally separated from linguistics. The book is uncommonly rich. It includes 69 articles divided into 10 chapters: I. *The Scope of Linguistic Anthropology* (3—70); II. *Equality, Diversity, Relativity* (73—111); III. *World View and Grammatical Categories* (115—163); IV. *Cultural Focus and Semantic Field* (167—211); V. *Role, Socialization, and Expressive Speech* (215—288); VI. *Speech Play and Verbal Art* (291—381); VII. *Social Structure and Speech Community* (385—445); VIII. *Processes and Problems of Change* (449—563); IX. *Relationships in Time and Space* (567—663); X. *Towards Historical Perspective* (667—710); each chapter is provided by an introduction by D. Hymes and a reference note giving all relevant literature up to 1963; at the end of the book there is the *General bibliography* (711—749) and the *Indexes* (753—764).

It is very probable that the book will be most useful to European scientists, to whom the literature included has not always been accessable. It is aimed for students as well as lecturers. Though several articles are somewhat older, they have

not lost anything from their actuality. However, it is not due to their own merit only but also to the consequences of the slow methodological progress in linguistic anthropology. As different from the *linguistic* approach to the language which, recently, has been strongly formalized, the *anthropological* approach remains almost entirely unformalized. The choice of articles is very good—though other editors might have made it differently—, nevertheless, the inclusion of at least *The Logical Analysis of Kinship* by Greenberg would have brought at least a flavour of the more exact side of the thing. In most chapters either functions or systems are investigated, where the use of the symbolic apparatus is to be expected. Unfortunately, the book does not signalize the outset of a more exact era in linguistic anthropology. Apart from this shortage of choice the book is very valuable both to linguists and to anthropologists.

Last but not least, the work Hymes put into editing this book is to be appreciated. The preparation of the manuscript engrossed him, perhaps, taking as much of his time as would have enabled him to write a book of his own on this subject.

G. Altmann

W.S. Cooper, *Set theory and syntactic description* (= Janua Linguarum, Series Minor, 34). The Hague, Mouton G Co., 1964. 52 pp.

Linguists studying mathematics encounter two main difficulties: (1) That of getting accustomed to „mathematical thinking“—if they have been educated in „linguistic thinking“—and to its adequate expression; (2) that of seeing in the abstractly given mathematical theorems a suitable instrument for linguistic investigation and of finding mathematical methods which may be of use in describing or solving linguistic problems. Indeed, this is not easy in every case—as is evident from the preliminarily limited exploiting of mathematical disciplines in linguistics. This is why linguists will surely appreciate every endeavour to „interpret“ the language of mathematics into linguistic terms. It is, as a matter of fact, a demonstration of how linguistic variables are to be substituted for mathematical ones and a demonstration of the meaningfulness of the results.

In the present booklet the author tries to show the applicability of the set-theoretic notation and of three special operations (concatenation, interconcatenation and exponentiation) by means of which strings are constructed. The exposition is as simple as possible and needs no previous mathematical training. The descriptive procedures are illustrated by thirteen examples of various types of grammars. The set-theoretic description has the advantage of being clear, exact and brief, and it would be very useful to accept it as a *lingua franca* in all branches of linguistics. Its asset makes itself felt in describing smaller systems, but in syntax its suitability depends on the aim which the description is made for. For manipulating linguistic data in computers it has its advantages but for pedagogical purposes it is inappro-

priate. The reason being its utmost briefness: The originator is, perhaps, able to remember the meaning of all symbols with which he marked the individual sets and their concatenations, but the reader must translate them for himself to a more understandable language. Of course, this shortage may not outbalance all the advantages which can be brought about by introducing set theory into linguistics. The popularization of other branches of mathematics in linguistics would be just as meritorious as is the book under review.

G. Altmann

Claude Flament, *Applications of graph theory to group structure*. Englewood Cliffs, N. J., Prentice-Hall, Inc., 1963. X + 142 pp.

Claude Flament, *Théorie des graphes et structures sociales*. Paris, Mouton-Gauthier-Villars, 1965. 166 p.

The book by a French author, who has published numerous works on experimental and mathematical psychology, is meant as an introduction to the problem of applying the graph theory to the study of internal relations in social groups. It consists of three chapters.

The first chapter „Introduction to the theory of graphs“ besides some basic mathematical concepts (such as set, relation, function, lattice etc.) also contains definitions of several basic notions of graph theory, e.g. path, tree, arborescence, deviation, connectivity and its various types, degree of connectivity, clique, stable set, kernel, articulation, incidence matrix etc. Two algorithms for finding the deviations in a graph and an algorithm for finding the strongly connected components of a graph are also described here. Some special types of graphs are briefly described, some of which, especially the valued and algebraic graphs, play an important role in the investigations of following chapters.

In the second chapter „Communication networks,“ problems connected with carrying out a given task in a given communication network (e.g. in a valued directed graph) are investigated. Among the possible realizations of a task consisting of the transfer of information from one part of a communication network to other one the optimal (in the sense of minimal „costs“) is to be found. The described algorithms of an optimal realization of a task are related to various special cases and they include an algorithm for finding the deviations in a directed graph, Kruskal's algorithm for finding the minimal spanning tree (for undirected graphs) as well as algorithms for finding minimal arborescences. The so-called Bavelas' centrality index for networks is described and illustrated by simple examples. However, the remarks on the connection of this index with the degree of automorphism are confused. At the end of this chapter, under the title „Applications“ several interesting results of the experimental studies of work groups and discussion groups are brought out. As the author remarks, there appears to be a disproportion between the introduced mathe-

matical means and the concrete problems: the cases considered are either too simple, so that no essential mathematical means are required or, for the case of greater groups, this means are insufficient with respect to the complexity of the problems.

In the third chapter „Balancing processes“ for complete algebraic graphs (e.g. for complete graphs each edge of which is either positive or negative) the notions of balance, degree of unbalance as well as further notions related to them are introduced. Further „balancing processes“ of graphs with a given degree of unbalance are studied, whereby the assumption is made about the group, whose structure is represented by an unbalanced graph, that it will modify its structure until it is in a state of balance. At the end of this chapter the remark is made that experimental results show that the theory of balancing graphs gives at least a good instruction for the analysis of real psychological situations; one antropological application is also given here.

The English publication of the book contains some small misprints which, however, can be easily corrected by the reader. In the Table 2.1 the centrality index for the network N_1 should have the value 26,3.

A. Rosa

M.M. Valle, *Two concepts of race. The road to academic integration.* Lima Institute of Human Studies 1964. 148 pp.

This excellent pioneer work of M.M. Valle is recommended to everyone who is interested in the ethnic and physical anthropology of human typology. The author polemizes with the static, „taken out of the sphere of natural life“ (p. 9) conception of the human types, introducing into anthropology a new term of „thermorace.“ In ten chapters the author analyzes the most burning problems of contemporary anthropology: What is the race and how to classify it.

The author asserts that „by the use of thermorace, a new specialized meaning of the term race as applied here, we keep man within the natural order, preserving the role that belongs as an element of the biological world... (p. 9). We can say for the moment that thermorace expresses man's habitat.“ (p. 10). As it appears, the author's approach to the problem is correct. But it would be perhaps necessary to investigate the influence of other ecological factors rather than the temperature on morphorace, as the author calls human types.

There is no place here to polemize with Chapter 4, „Two Kinds of Race Mixture“ where Valle asserts that a successful intermarriage can take place only between ecologically equivalent human type. Human genetics is not yet in a position to reply to this question.

The last three chapters, „Omissions and Distortions in Human Ecology, The Road to Academic Integration, and The Future of Human Ecology,“ deal with the problem of the man-ambient relation. Here, the author criticizes the vulgar appli-

cation of Allen's rule in anthropology. He polemizes also with the scholars stating that „the advantage gained by climatic adjustment is so small that it probably would not affect the population at all“ (p. 61). In defense of Valle's opinion it is suggested that attention is paid to the recent inhabitants of America, the majority of whom originated from Eurasia. It is a well-known phenomenon that the acceleration of growth is quicker in America than in Europe. The descendants of European immigrants to U.S.A. are on the average taller in the 2nd or 3rd generation than their relatives of the same generation in Europe. Such differences are, after several generations, fixed genetically: The American Indians are of Asian origin. Despite that even such a constant sign as blood groups, is now entirely different from that of Asian populations.

Of most importance, in the opinion of the reviewer, is the author's conclusion that „human ecology“ must take into account that the man forms, to a certain degree, his ambient. It could be a field of collaboration for cultural and physical anthropologists, human geneticists, psychologists and sociologists.

The book contains 12 appendices and 17 fig. which document the work. Here, I draw the author's attention to his Fig. IX (p. 134): (see Fig. 1). It is thought that this scheme does not express entirely the reality. It is valid in Yosemite or in such small areas only. The scheme has to be completed a little more (see Fig. 2).

Natural history shows that the greatest progress is found in zones of a moderate climatic aggression. Weak and defective forms or tolerant and accidental types inhabit the zones where the climatic aggression is on the border of adaptability of the concerned species. The other extreme, which the author of this book does not include in the scheme, is the zone of the zone of optimal conditions. There, the species loses adaptability and its phylogenesis stagnates. In man we must calculate, of course, also with the psychological factor. In general, the history of mankind shows an analogical phenomenon: Morphologically the most progressive early human forms were found in the areas of a moderate influence of the ambient. Later the highest ancient civilizations, also originated from the same zone which forces man to work

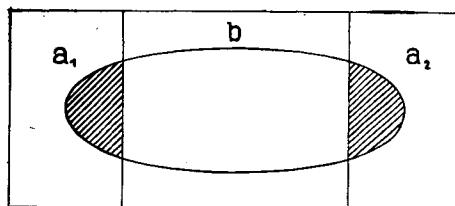


Fig. 1.

a^1, a^2 : zones of climatic aggression. Weak and defective forms. Tolerant and accidental types. b: Favorable thermic zone. Optimum environment.

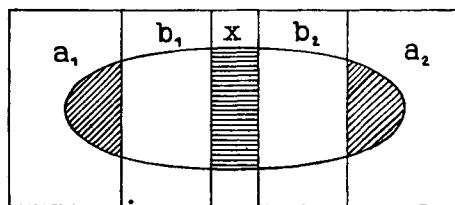


Fig. 2.

b^1, b^2 : zones of moderate influence. Progressive and adaptable forms. x: Optimum environment. Adaptability reduced.

and think, but does not annihilate his effort, e.g. Egypt, Mesopotamia, Western India, China, Mexico or in the Southern hemisphere the Peruvian Highlands. The optimal ambient, even man, does not energize him to seek new ways and causes a stagnation in his cultural development.

The book will probably evocate a large discussion which will make clear many of the above mentioned problems. This may have been the author's intention.

R. Raczyński

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