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OBITUARY

BERTA KREBSOVÁ

On September 15, 1973, a member of our Editorial Board, Dr. Berta Krebsová, CSc., died suddenly in Prague, aged 64. Through her death, Czechoslovak orientalist scholarship loses a prominent sinologist, and the Asian and African Studies a devoted cooperator who had been with us for many years.

Having majored in philosophy at the Charles University, and after occupying various posts at several Secondary schools in Prague, Berta Krebsová began to study Chinese during the war years. In 1946—1948 she studied sinology at l'Ecole Nationale des Langues Orientales Vivantes in Paris. From the beginning of the fifties she held a teaching post at the Philosophical Faculty of Charles University, then, from 1955 until her retirement two years ago she worked at the Oriental Institute of the Czechoslovak Academy of Sciences in Prague as a senior scientific worker, for several years as chief of the Far Eastern Department, and directress of the Lu Hsün Library.

A bibliography of her works includes a list of some 150 items. Dr. B. Krebsová's scientific interest lay principally in an investigation of the works and personality of one of the greatest modern Chinese writers, Lu Hsün. She wrote a book about him (*Lu Sün, sa vie et son œuvre*, Prague 1953) and a series of studies in *Archiv orientální* and in *Asian and African Studies*. In addition, she wrote scores of articles, prepared several radio lectures in which she presented and unlocked to the Czechoslovak public the treasures of Chinese culture, literature, creative art, philosophy, even familiarizing her auditors with the theory of translation from Asian literatures. She translated a considerable part of Lu Hsün's work, Kuo Mo-jo's and Chou Li-po's fiction and in 1971 published her excellent translation of the ancient Chinese treatise of Tao-te-ching. Unexpected death interrupted her work on the translation of the second volume of Lu Hsün's essays. The scientific, popularizing and translation works which Dr. Berta Krebsová has left behind are evidence of the high standard of her professional erudition, her wide-embracing scholarship, her talent, but also of her personal enthusiasm which she always brought to her work.

Although she worked all her life in Prague, her memory will remain alive and will also be cherished in Slovakia, as many of her translations have appeared also in

a Slovak version. From its beginnings, Slovak oriental studies and especially The Department of Oriental Studies of the Slovak Academy of Sciences in Bratislava, had in her person a sincere supporter and trusted friend. Those of us who consider ourselves her pupils, shall never cease to acknowledge our debt of gratitude to Dr. Berta Krebsová for her counsels, encouragement, and her help.

Anna Doležalová

ARTICLES

THE WORLD OF SHIH T'O

ZBIGNIEW SLUPSKI, WARSAW

Shih T'o (pseudonym of Wang Ch'ang-chien) (born ca 1908) is one of the most outstanding Chinese writers of the thirties and forties of this century. Relatively neglected by scholars, he deserves credit because of his exceptional talent shown in stories and novels about an "unknown" and "unknowable" world, written in an unconventional manner. Shih T'o's departure from narrow literary realism should be appreciated against the background of his undogmatic approach to conventions, contemporary ideas, his attitude to cruelty, indifference and senselessness of the "world". A certain distortion of reality is here a means of depicting it more fully, even truthfully in a peculiar sense.

Shih T'o [1] is not an unknown writer, but rather one who is little read. In his two-volume *History of Modern Chinese Literature* Wang Yao¹ devotes several pages to Shih T'o without, unfortunately, saying anything of real value. C. T. Hsia gives him a whole chapter² and although his conclusions are not always acceptable, he deserves credit for having rescued the name of Shih T'o from the long list of modern Chinese writers whose work is condemned to oblivion.

Shih T'o is a pseudonym adopted by the author in 1946, before which he had written under the pseudonym Lu Fen [3]. The reason for this change was that two or three other people had used the same name during the war.³ Shih T'o's real name was Wang Ch'ang-chien [5], and he was born about 1908, probably in Honan province. He had no formal education,⁴ and began to write some time about 1931.⁵ According to C. T. Hsia he was one of the young writers round the *Ta-kung pao* [6] literary supplement edited by Shen Ts'ung-wen [7]. In 1936 he was awarded the

¹ Wang Yao, *Chung-kuo hsin wen-hsüeh shih kao* [2], 2 vols. Shanghai 1954, pp. I, 245-246; II, 137-138.

² C. T. Hsia, *A History of Modern Chinese Fiction*. New Haven 1961, pp. 461-468.

³ Shih T'o, *Chih Lu Fen hsien-sheng-men* [4], *To Messrs. Lu Fen*. A short article published as a supplement to *Ma-lan*, pp. 309-314.

⁴ These facts are given by C. T. Hsia, who pointed out that the date of birth is not reliable; it is taken from Yuan Chia-hua and Robert Payne, *Contemporary Chinese Short Stories*.

⁵ This can be assumed from Shih T'o's comment that he began to use the pseudonym Lu Fen in 1931. See Shih T'o, *Chih Lu Fen hsien-sheng-men*.

prize given by the paper, for the volume *Ku* [8], *The Valley*.⁶ Before and during the war he wrote nine volumes of short stories.⁷ He spent the war years in Shanghai, where he adapted two plays⁸ and wrote both his novels, *Ma-lan* [20] and *Chieh-hun* [21] *Marriage*.⁹ What happened to him after this is not known, but he probably wrote no longer; at least no work by him published after 1948 has come to my notice.

*

Shih T'o's stories, or to be more exact, his short prose pieces, have no fixed form, and the line drawn between sketch, story, essay or mere report tends to disappear. In other respects, too, they are without striking features, nor do they leave a deep impression on the reader. Among them are stories which C. T. Hsia would call pastoral (*The Declining Sun*; *Mu-ko* [23] *The Shepherd's Song*); although they are not idyllic, they are sentimental rural tales. Some of the stories were moulded by the pressure of the times: for instance, the depiction of a village in an area occupied by the Japanese, where the people resist humiliation and stand up heroically to the rule of terror (*Ya-ko* [24] *Mute Song*); or the story of a village labourer, a servant who is scorned by all the villagers for his loyalty to his masters, and at the end of his life breaks with it all and goes out into the world to seek personal freedom (*Jen-hsia-jen* [25] *The Underdog*).

Tales such as these are mostly to be found in *The Valley* and *The Declining Sun*, which are among his earliest; although Shih T'o was awarded the Ta-kung pao

⁶ In: J. Schyns, *1500 Modern Chinese Novels and Plays*. Peiping 1948, it is said on p. 98 that Shih T'o was awarded the prize for the story of the same name.

⁷ They are: *Ku*, *The Valley*, published 1936; *Huang-hua-t'ai* [9] published 1937; *Li-men shih-chi* [10], *Forgotten Events from Old Home*, 1937; *Lo-jih kuang* [11], *The Declining Sun*, 1937; *Chiang-hu chi* [12], *Rivers and Lakes*, 1938; *K'an jen chi* [13], *Watching People*, 1939; *Kuo-yüan ch'eng chi* [14], *The Orchard Town*, 1946. On p. 98 J. Schyns also attributes to him *Shang-hai shou-cha* [15], *Letters from Shanghai*, published by Wen-hua sheng-huo in 1941, and *Yeh niao chi* [16], *Wild Birds*, by the same publisher. I had access only to five of these volumes (data in brackets refer to the edition used): *The Valley* (Shanghai, Wen-hua sheng-huo, 5th ed. 1939); *Forgotten Events* (Shanghai, Wen-hua sheng-huo, 1st ed. 1937); *The Declining Sun* (Shanghai, K'ai-ming, 2nd ed. 1948); *Rivers and Lakes* (K'ai-ming, no date); *Watching People* (Shanghai, K'ai-ming, 1st ed. 1939).

⁸ *The Big Circus*, *Ta ma-hsi t'uan* [17], adapted from Andreyev's play *He Who Gets Slapped*, published in Shanghai by Wen-hua sheng-huo, 1948; and *Night Inn*, *Yeh-tien* [18] which is an adaptation of Gorki's *Lowest Depths*, on which Shih T'o collaborated with K'o Ling [19]. It was published by Shang-hai ch'u-pan kung-ssu in 1946.

⁹ The novel *Ma-lan* is dated 1941, and the introduction 1942, but it did not appear until 1948, published by Wen-hua sheng-huo in Shanghai. *Chieh-hun (Marriage)* was published in 1947 by Ch'en-kuang in Shanghai; it bears no date, but seems to have been written later than *Ma-lan*. Wang Yao (II, p. 138) also attributes to Shih T'o a novel entitled *Huang-yeh* [22] *Wilderness*, which I have been unable to trace.

prize for the former volume, they are not typical of his work. More characteristic of this writer is his absorption in the romance of the wanderer, the story of people who wander about the country in the course of their profession, because they must, or because they like it. This may have been due to the influence of Shen Ts'ung-wen, who probably helped Shih T'o at the beginning of his career.

A far stronger influence, however, was that of Lu Hsün's [26] work, an influence which at times seems so strong as to rob some of Shih T'o's stories of any individual character. Like Lu Hsün, Shih T'o wrote mainly about village and small town life, and his "Lu Hsün pieces" often follow the same pattern as the master's—personal reminiscences, often those of childhood, confronted with later experience. They form the majority of the stories in *Forgotten Events, Rivers and Lakes, and Watching People*. Motifs which are an integral part of the atmosphere of Lu Hsün's work appear here, too, and Shih T'o has not attempted any new treatment of them: e.g. the board with names of those owing money at the inn, with a name which has begun to fade from human memory (*T'ou* [27] *The Head*), the crow on a grave, (*Ping* [28] *Sickness*), the execution and a dumpling soaking in the victim's fresh blood (*Chiu shih* [29] *Things Past*). In this last mentioned story Shih T'o gave a detailed account of diabolic punishments and refined tortures such as could only have been thought out, it is said "in China". This sarcastic commentary, similar to the attitude in some of the other stories, too, is another feature which recalls Lu Hsün's essays and his style.

Executions also form the plot of the story *Several Tiring Conversation, Chiian-t'an chi* [30], but traces of Lu Hsün's influence can be found in other aspects as well as this motif—which was a frequent one in modern Chinese literature. There are executions every day in a small town, on the orders of the local authorities who believe this is the best way of maintaining peace and public order. The author does not describe the executions directly, but through the medium of different conversations about them: a servant girl asks the executioner about technical details; the executioner gossips with his helpers, boasting of his skill; two shop boys on a walk are amused at the sight of a corpse in a pond eaten away by a dog; finally he gives the conversation on the subject which passed between two European priests. The reaction of all these speakers was disproportionate; in fact they appear indifferent to the horror of the fact of the executions. This juxtaposition of horror and indifference is the principal characteristic Shih T'o borrowed from Lu Hsün—his fundamental approach to his subject.

It is a method which Shih T'o used frequently. In *The Head* a little shepherd suffers a shock at the sight of the head of a villager who has been executed; the head is hanging from a tree. The villager had been a popular man, and had been beheaded ostensibly for complicity with cattle thieves. The boy falls into a fever and is delirious, but his mother thinks he is bewitched by the ghost of the dead man. In *Passers-by, Kuo-k'o* [31], the death of an unknown old man whose body was

found near the village on the feast of the New Year is set against the reactions of the villagers to the event; at first they were excited by it, then put out, because of the trouble it might get them into with the authorities. In the end the strongest feeling was one of irritation towards the dead man; he was only a stranger, and had spoilt their holiday for them.

The landscape of Shih T'o's reminiscences is a gloomy one. He admitted that he did not like his native parts: "The people live in misery there, bound by unseen bonds, counting the smallest coins from day to day. To relieve their hearts, strangled by unalleviable pain, they are always fighting—father and son, man and wife, brothers, neighbours, people who have nothing to do with each other. When blood flows they sprinkle tobacco on the wound: such is my native village. I have no affection for it; I remember only the endless fields."¹⁰ Nature figured a great deal in Shih T'o's early work; the descriptions are somewhat florid, and anthropomorphism is frequent: the earth is a "mother", who "takes fright", "holds her breath", "slumbers with her red-brown bosom uncovered", and so forth. Although Shih T'o cannot be accused of not trying to develop an individual style of his own, his language is not very readable and his long complex sentences are sometimes almost more than modern Chinese can bear. C. T. Hsia called his style "ornate and poetic"; Wang Yao criticized him for paying more attention to perfecting his language and to enjoyment of nature than to analysis of society. He, too, finds Shih T'o's language "artificial, wordy and fatiguing."¹¹

For Shih T'o, however, nature means more than just beauty, or a lyrical background against which the cruelties of human fate are played out. Some of his stories are entirely "wrapped", as it were, in the garment of some natural element. The bloody strike described in *The Valley* is enacted in an unremitting snow-storm; the story of the policeman and the condemned man being led to the execution-ground develops against a background of driving rain—it is also called *The Story of the Rain*, *Yü-lo p'ien* [32]. The same goes for the story about the death of a villager, *A Misty Morning*, *Wu ti ch'ien* [33]. *Crossing the Mountains*, in the story of the same name, *Kuo ling chi* [34], takes place in murderous heat. In all these stories the natural element has a special function; it is that element in the composition which represents indifference: it enhances the cruelty or senselessness of the events described.

The typical Chinese love for mountains is very characteristic of Shih T'o. The idea of crossing a mountain range occurs in the *Notes on a Journey across the Mountains*, *Shan hsing tsa-chi* [35], *Night in the Valley*, *Ku chih yeh* [36], *The Pilgrim*, *Hsing-chiao jen* [37] and to some extent in *Ma-lan* as well, and it is always suggestively described. Mountains seem to have given Shih T'o the feeling of being

¹⁰ *Forgotten Events*, p. 59.

¹¹ Wang Yao, *op. cit.* I, 245, 246.

close to the secrets of nature, close to something unknown and unknowable, the feeling that there is another order, or another world, close and yet unattainable.

It would appear that Shih T'o's attitude to nature should be considered on the philosophical rather than on the literary plane. In the novels, for example, it plays no part as an element in the composition (with the exception of a short description in *Ma-lan*) and yet, it is unobtrusively present throughout. Perhaps it is the intense feeling that the world is unknowable and human behaviour senseless, which leaves the reader with the impression that behind all that happens there is a fourth dimension, as it were, unknown, unseizable, but ubiquitous.

Nature exists in man himself. Some "animal" force drives people to action, helps them to overcome life's difficulties, and to bear the blows that fall on them. The spellbinder in the story of the same name, *Wu* [38], has a premonition that catastrophe is at hand, that the last fateful blow is about to fall, and yet in the end she gets over it and starts life again with new energy.

Man himself is a world of his own, unknown and unknowable. There was a ditch in Shih T'o's native village which was dug and kept in repair by the villagers especially at flood time. Yet the water from this ditch regularly flooded the village because a bit further on, beyond the village, it ended in a shallow unregulated stream-bed used as a cart track, and the water from the ditch had nowhere to go. The villagers knew all about it, and yet they acted as they did—senselessly. We cannot know why (*Ho* [39] *The Ditch*).

The human microcosm has its own rules which often conflict with reality, with the human community, or at least appear to do so. A widow from the story *Shou-nan-che* [40] who has lost her husband and her only son cannot get used to solitude, and believes a charlatan who claims the power of raising the dead. There is an unbridgeable gulf between the hero of the story *Chü-jen* [41] *The Giant* and his village community; he had left it as a young man and when he returned he could not find one compatible mind among his relatives and fellow-villagers, rough and insensible from the burden of the life they led.

Alienation, more and more frequent as his theme, is presented as a natural fact, determined by man's inner make-up, as an inevitable necessity, as it were. Any attempt to overcome alienation seems to Shih T'o to have something of both comic and tragic about it.

In *Crossing the Mountains*, the story mentioned above, there are two main characters: an old soldier on his way home, and a young villager who has been earning in the town; the difficulty of their journey across the mountain range has brought them close to one another. The soldier makes fun of the younger man, hurrying home to his young wife; he has come to be fond of the youth during the few days they spent together, and when the moment of farewell comes he feels it doubly sad. He asks the villager where he lives and suggests writing to him some time. The young man is taken aback; nobody has ever written him a letter, and he cannot

understand why anybody should want to waste money on such stupid things. They part, disappear from each other's sight and never meet again. Each has been lost in the "sea of humanity".

This is another of the motifs which constantly recur in Shih T'o's work, people who appear in our lives, but whom we never really know, and who sooner or later disappear again before we have found out what they were really like or what has happened to them. *Ch'eng Yao-hsien* [42], in the story (or rather sketch) of the same name, was perhaps an unusual and remarkable personality. All that the narrator knows about him, however, comes from other people, who are not even sure about their facts. Ch'eng was said to have been a wealthy landowner who, during the revolution, sold all he had to buy arms for the revolutionary unit he intended to form. The revolutionary wave receded in the meantime and Ch'eng had to flee. When the narrator meets him, Ch'eng is back in his native parts, earning a living as a scribe writing letters and petitions for illiterate customers. Although he became friendly with the narrator, he never mentioned his past life, even when he corresponded with him later. His letters never dealt with anything but trivialities. Then the correspondence came to an end, and all we can be sure of is that we shall never know what he was really like or how his life ended. There is a similar situation in the sketch *Night in the Valley*, with a shepherd who left the mountains on a short journey, and was not heard of again. The story ". . . was told—ended—the way we often observe and frequently meet with—with no conclusion."¹² There is more to life than we can see; life has no end, and we know practically nothing about it.

It seems to have been his reminiscences which enabled Shih T'o to work out the technique which he used so successfully especially in the novels. It can be seen most clearly in the story *The Pilgrim*. There is no plot; from the mountains a man arrives, his appearance and behaviour are carefully described, but otherwise we know nothing about him. He sits by the brook and seems to be waiting for something. A woman of the mountains comes down the valley with her sheep, and the traveller asks her where he can find shelter. She shows him the way and as he approaches the cottage an old man greets him. They have supper, the old man teasing the woman for her ill-humour and restlessness. Finally, they all lie down to sleep. The narrator says no more than anyone present at the time and in that place would see and hear for himself. He stresses that he knows no more than that; he is not an "omniscient narrator". He does not know who these people are, who the traveller is, where he is going or why; he knows nothing of the past of the characters in the story, why the young woman is restless, or whom she keeps hoping to see coming down the road. Is she watching for her brother, who has gone to the town? Is she unhappy

¹² *Rivers and Lakes*, p. 86.

because a marten has carried off some of her chicks? Is she anxiously waiting for her lover? The three will part again, each going his own way, and we shall know nothing of their lives. Like the narrator, we can only ask ourselves questions.

*

Ma-lan, heroine of the novel of that name, is an exceptional woman; the novel, too, is exceptional. It possesses other qualities of its heroine, as well: it is equally "unknowable" and equally capable of providing us with surprises. Readers who are acquainted only with Shih T'o's short stories will be surprised by the intricate and mature structure of levels of meaning in the novel; those who are acquainted only with those modern Chinese works that have received most attention and praise hitherto, will be surprised by the original and unconventional philosophy of the novel.

For the most part the action takes place in the North Chinese town of K, but the scene is unimportant and is not described. Nor is there any description of nature. The time at which the action takes place is also unimportant, although not without significance for the characterization.

The plot revolves around the love of Ma-lan and Li Po-t'ang, which is depicted with remarkable freshness. Shih T'o's technique of narrating from the limited angle of a single observer gives the plot depth. Here that observer is Li Po-t'ang, at least for the first two parts of the book. Through his eyes we see Ma-lan as a shy country girl, rather lost in the company of intellectuals who at first either do not notice her at all, or tend to make fun of her. Her character cannot be understood so simply however; just as Li Po-t'ang is about to conclude that she is an ordinary, average girl, she surprises him with an unexpected reaction, sometimes with a whim or a deliberate caprice, upsetting all his ideas of her.

We get to know Ma-lan better from her own diary, which forms the third part of the novel. Here she reveals herself not only as a girl who longs for love and is disappointed that Li Po-t'ang's attitude towards her is not so single-minded as her own. Intuitively, she is seeking her own place in the world, nor is she ready to accept without question what somebody else offers her. In this she is quite uncompromising.

For Shih T'o every human being is a world in himself, and no two people can ever really come together. The relationship between Ma-lan and Li Po-t'ang is no exception. In his introduction to *Forgotten Events* Shih T'o had written that "... anyone who wholeheartedly seeks understanding from another is usually laying up trouble for himself".¹³ In Ma-lan's diary we find a similar idea: "... nobody should

¹³ *Forgotten Events*, p. VI.

ask anything from others, and even less should he be dependent on another... if he does, he will be guilty and will be punished..."¹⁴

This fundamental belief of Shih T'o's appears in many variations in the short stories. In the novel, however, the author's aim is a broader application of it to characterization. The circle of actors is limited: besides the two main characters there is the silent Mo Pu-tu, engaged in some ill-defined revolutionary activity; he stands a little apart from our heroes, but is perhaps the cleverest of all the characters. Yang Ch'un is a village lad who left his home environment in the 1927 revolution; a happy, friendly, straightforward character, he is always busy arranging something or other for his friends. The circle is completed by Ch'iao Shih-fu, "the twentieth century monk", a man who is completely devoted to his work in which—so he declares—all happiness is to be found. In his view everyone should rid himself of all that takes his mind away from "revolutionary activity" and become "a machine" absolutely given over to working for the future. Yet, he was the man who brought Ma-lan up from the country, as his wife. He is said to have saved her from suicide when her parents were about to hand her over to Cheng Ta-t'ung, the local overlord, and to have helped her to escape. Because of the friendship between Li Po-t'ang and Ch'iao Shih-fu the former's relationship with Ma-lan is bound to be wrecked. That, at any rate, is the way Li Po-t'ang sees it, realizing in time that he cannot ruin his friend's private life.

Ma-lan's diary throws a very different light on things. She really fears Ch'iao Shih-fu, believing that he did not so much save as trick her, then forcing her to live with him. In Ma-lan's eyes he is narrow-minded, ultra-radical in what he proclaims, but in fact incapable of understanding reality, and indeed too cowardly to do so. A selfish coward, expecting everybody to sympathize with him, when the same is asked of him he "must just go to the library for something". Ma-lan and Ch'iao Shih-fu are alien to each other, and have been almost from the start; their life together ends when he leaves for the interior, where he has been offered a tempting job. Yet, this picture of Ch'iao Shih-fu, as Ma-lan sees him, is again incomplete.

Visiting his friend a year later, Li Po-t'ang finds that he has changed. The man who formerly lived only for his work and the ideal of revolution is now a prey to depression, nothing interests him, and he has no will to live. All that remains is a pathological malice towards Ma-lan, who has left him to live with Yang Ch'un, although she forced him to return from the interior, ostensibly because their child was ill. Ch'iao Shih-fu's reproaches are of course comical, but he nevertheless gives the impression of a man who has suffered a heavy blow and has reached the end of his life. Was he really, then, as indifferent to Ma-lan as she claimed he was? We shall never know, for Ch'iao Shih-fu goes away, and does not appear in the novel any more.

¹⁴ *Ma-lan*, p. 209.

The novel indeed could end here. The plot has been resolved, the characters and fate of the people in it explained, at least to the extent demanded by the conventions of the psychological novel. This is where the fourth part of the novel begins, again seen through Li Po-t'ang eyes. Some years earlier he had served as an officer under Cheng Ta-t'ung; the old man now unexpectedly sends for him, being in the town of K, and feeling like having a chat about old times. In a luxury hotel, Li Po-t'ang finds Ma-lan by the side of Cheng Ta-t'ung, whose concubine she has now become.

If the reader wondered at the opening of this fourth part, how the author was going to reopen a completed story, he is now a little disturbed by the surprising turn in the story, and by the author's daring. Undoubtedly, the continuation of the story shows the author's deliberate playfulness, as if he were anxious to stress once again that our knowledge is never definitely complete, and that he does not follow the conventions in his writing.

It is certainly a surprise to find Ma-lan in the role of Cheng Ta-t'ung's concubine, but she is not unconvincing. In many respects she recalls the characters of the classical Chinese romances, who have blank passages in their biographies, but whose behaviour is nevertheless always quite in keeping with their character. These blank passages are important: we cannot utter final judgments, because we do not know how Ma-lan came to be there with Cheng Ta-t'ung, we do not know what her life with Yang Ch'un was like, in fact we do not know anything at all. To top it all, after Li's visit Ma-lan runs away from Cheng Ta-t'ung, and this old soldier who had served under the Emperor of old and is a man of brutality, although in a way magnanimous and utterly brave, weeps over his loss. He gets all his men out to search for her and asks Li Po-t'ang to help too; the latter, however, goes to look for her from a different motive: all his old love for this woman has welled up again. The closed story reopens.

Li Po-t'ang sets out to look for Ma-lan in Cheng's region, for it is the part of the country she came from, and here, too, Yang Ch'un is now living as a village teacher. On his way Li hears fantastic tales about Ma-lan from the village folk; she is a living vampire, who has sucked Cheng's life out of him, and left him dying in hospital. Elsewhere he hears that she is a goddess, waiting in the mountains with an army of thirty thousand spirits, to come and bring order to the land when the day dawns. What Yang Ch'un has to tell him is less supernatural but not less fantastic; when Cheng Ta-t'ung found Ma-lan again, he took the severest steps to prevent her getting away from him again, but again she found a way. With Cheng's enthusiastic approval she had apparently learned to shoot with a pistol and to ride a horse, and accompanied him on his favourite rides. One day she shot his horse from under him at full gallop and left the old man lying there, while she fled to the mountains. Is this story true, or is it just a more probable version of the fairytales current among the village people?

There are many rumours about Ma-lan in the countryside, but Li Po-t'ang does not succeed in finding her. After some time he returns to the town of K to carry on his search there, and happens to run into Ma-lan with a few villagers, preparing to transport some packages into the mountains. She must be supplying some rebels or partisans. Ma-lan refuses Li Po-t'ang advances, believing that their love is a thing of the past and that if she gave in, her last sweet memories would not survive the burden of everyday life. This is then the end. Li Po-t'ang, whose friends always said he was "lucky", has lost.

Two years later Li Po-t'ang happens to meet Yang Ch'un again. In the country, at their last meeting, Yang Ch'un had been hostile; humiliated by the fact that Ma-lan had left him, he had tried to hide his inferiority complex under would-be class hatred towards all who seemed to him to enjoy an easier life. Now he is friendlier again, or at least pretends to be, as he tells Li Po-t'ang (not without malice) that Ma-lan is now living with Mo Pu-tu. She is fond of Li Po-t'ang, he hastens to add, but will love Mo Pu-tu more deeply and more constantly, because he is superior to her in his conscientious devotion to a cause.

The whole novel is pervaded by a certain degree of irony, which is strongest in the last part; the purpose of this irony, however, is not only to make light of surprising turns or improbable events. Its true function is to throw doubt on all statements, all knowledge. We know that the whole novel is told from the angle of non-omniscient narrators, and that the author's aim is to destroy any feeling of certainty. In the fourth part, therefore, all the news about Ma-lan is filtered through yet other narrators—villagers, Yang Ch'un—a double limitation. The irony enhances all our doubts still further.

There is yet another level of meaning in the novel. In the fourth part, Ma-lan is not so much the desirable woman as a symbol of values, perhaps a symbol of happiness, something all long for but none of the heroes is capable of attaining on account of some personal characteristic. Ch'iao Shih-fu gained Ma-lan by a trick. Yang Ch'un through his friendship and devotion; the infatuated old man, Cheng Ta-t'ung, by force; but none of them won her. Once again the author puts the question which we cannot answer: was their failure really due to some weakness or quality in themselves, or were their efforts doomed to fail because they were aiming at something unattainable?

And yet we have something in the way of an answer. Li Po-t'ang's story, which forms the main body of the novel, ends with his conversation with Yang; but the story itself does not end there. Li Po-t'ang's story is preceded by the author's introduction, dated later than that account. In it the author introduces Li Po-t'ang to us and explains how he came into possession of Li's manuscript; this provides us with yet another narrating individual, one to whom the events recorded by Li Po-t'ang did not appear as conclusive. The author ends his introduction with the words: "... I believe—and this belief has never been shaken, never deserted me,

although I have no irrefutable proof. . . I believe that the day will come when Li Po-t'ang will do something to astound us, something in keeping with his noble, aristocratic soul. No, he will not do it for any other reason than to achieve peace, to attain victory in the face of Fate."¹⁵

Thus Li Po-t'ang story is not conclusively ended. It is not impossible that the heroes will again try to find each other. We are reminded, then, that when they last met Ma-lan promised to return to the town and offered Li Po-t'ang her friendship. Li himself felt that it was only due to lack of boldness on his part that Ma-lan had refused him before. Everything can start again, even though we have the feeling that whatever our heroes do to attain their goal will again be fruitless. The heroes, however, are left with their hopes of great deeds.

All the efforts made by the heroes of the novel are tragic, because they are made in vain. At the same time they are comical, because the heroes do not realize they are striving for the unattainable; they let themselves be carried away by their own unfounded ideas and do not realize that the world is a deception and that the truth, apparently so close, will always evade them. All the efforts made by the heroes are, at the same time, moving, because they are very human, and the heroes of Ma-lan could hardly act otherwise.

*

In many ways the novel *Marriage* is reminiscent of *Ma-lan*. Again there is a closed circle of characters, and as the title suggests, the subject is again the coming together of two individuals. There are similarities in the technique, too, the combinations of two narrators, although (unlike the narrators in *Ma-lan*) their accounts are not simultaneous. The first part of *Marriage* consists of six letters from the main character, Hu Ch'ü-wu, to his betrothed, Lin P'ei-fang; the second part is narrated by the author and also consists of six chapters. There is a difference in the fundamental approach to the subject, however: the people in *Ma-lan* have their tragic and their moving aspects, and we follow their story with a certain amount of sympathy. In spite of the inexorable alienation from which they suffer, these heroes are still left some hope, and in his introduction the author says in so many words that he wishes Li Po-t'ang "and all like him the chance of attaining peace".¹⁶ In *Marriage*, on the other hand, there is no sincere longing for anything; there is only selfishness, stupidity, conceit, and over it all the need to down the other man. The result is comedy on a grand scale.

Hu Ch'ü-wu's first letter is sentimental, bombastic, and full of unfounded optimism; he repeatedly expresses his respect and admiration for his betrothed's

¹⁵ *Ma-lan*, p. VII.

¹⁶ *Ibid.*

parents and thanks her for the lovely hours spent at her home, moments all the more precious because his life hitherto has been grey, sad and hopeless. Hu promises his bride that after her marriage the whole family will at last enjoy a little peace and happiness. He has decided to leave teaching and begin to speculate on the Stock Exchange, a calling for which he feels he has real talent.

The writer's exaggeration, and his boasting, rouse serious doubts as to whether Hu is really a sensible man who can judge reality and his own capabilities soberly. Not that he is unsuccessful; his former colleague T'ien Kuo-pao persuades Ch'ien Heng, a speculator and stock exchange agent, to arrange for the loan Hu so longs for. Hu Ch'ü-wu leaves the money in Ch'ien's hands, for him to speculate on the stock exchange with, at least for the time being. Hu is now admitted to the company of people "who are worth something", and he enjoys the feeling. T'ien Kuo-pao's attractive sister, Kuo-hsiu, lets him see that she enjoys his company; Ch'ien Heng, always the height of elegance in dress, assures him of his friendship; T'ien Kuo-pao praises two manuscripts by Hu, which were given as the surety for his loan. Hu Ch'ü-wu's new friends, the blind syphilitic "Doctor America Huang" and his inseparable companion, secretary and nurse, Miss Chang, known as "the old maid", completely lacking in the charms of her sex, appear to Hu Ch'ü-wu to be very interesting, indeed, and pleasant. Doctor America Huang is said to have been one of the richest men in Shanghai in his time, and to have lost his sight as a result of his wife's plotting with his doctor. The blind man makes no secret of his intention of getting a great deal of money out of this doctor, who has been living with his first wife for years. The doctor is wealthy and wants to marry the woman but cannot so long as Huang will not consent to a divorce.

The action develops through a number of long scenes resembling the acts of a play, the circle of people appearing in a café, in a restaurant, in the stock exchange, and so on. In the individual scenes of Shih T'o's *Marriage*, like those of *Ju-lin wai-shih* [43], nothing ever seems to happen; the characters who appear show their stupidity, their egoism, the less attractive sides of their natures; and yet the plot does move slowly forward. Each scene exposes the intentions of one person to cheat another, suggests various possible outcomes, and betrays the aims of individual protagonists.

Enchanted as he is by the charms of Kuo-hsiu, Hu Ch'ü-wu soon loses all interest in what is happening to his money; he is fully employed "helping her in and out of her coat" in cinemas, cafés and dancing halls. Yet, he realises how little Ch'ien Heng is to be relied on, and begins to plan his future wealth not through the loan, but through the medium of marriage with Kuo-hsiu. She comes from a wealthy family who would certainly not want to see her living in poverty. Indeed, this would be a much more comfortable way of making money. Having made up his mind, Hu writes a last letter to Lin P'ei-fang, telling her with a suitable ration of sighs that catastrophe has descended on him in the shape of love for

Kuo-hsiu. He begs Lin P'ei-fang's forgiveness and concludes with the assurance that she is really the only one he loves.

He has a simple plan for making sure of Kuo-hsiu; he thinks it is enough to sleep with her, and she will not be able to refuse marriage. This of course collides with Ch'ien Heng's interests. The Japanese attack on Pearl Harbour and the occupation of foreign concessions in Shanghai provide Ch'ien Heng with a welcome opportunity to explain to Hu that his money has melted away. On the other hand, the development of events has robbed Ch'ien Heng of his employment and forced him to think seriously of the future. Ch'ien Heng comes to the same conclusion as Hu, but he has the advantage over the other of having been an admirer of the lady first, and having neglected her for several more important ladies in the meantime. To add to this, Kuo-hsiu's sexual experiences with the primitive Hu make the idea of marrying him decidedly unwelcome. Which of them will emerge from this contest victorious?

Having learned that he has lost his money, Hu Ch'ü-wu suffers yet another blow. In a secondhand bookshop he comes on a pile of new books condemned to pulping. Looking through them, he realizes that they are his two books, the security he gave for his loan. The titles have been changed and the name of T'ien Kuo-pao appears as the author. Hu Ch'ü-wu is furious, and dashes off to make a fuss at T'ien's home. Goodness only knows what would have happened if Ch'ien Heng had not given him a couple of blows and thrown him out of the house.

Hu has lost everything: his money, his betrothed, his manuscripts, and Kuo-hsiu, who soon forgives Ch'ien Heng. All that remains is a large debt. One thing is certain: Hu cannot pay the debt, and had better disappear from Shanghai. Will he go repentantly back to Lin P'ei-fang, or make for somewhere else? The author suggests a different solution: some time earlier, Ch'ien Heng carelessly left in Hu's care two boxes of coagulin, an American drug which furthers the coagulation of the blood and is therefore of rapidly increasing value in time of war. If Hu were to treat this as his own property, he would be a rich man. The idea appeals to Hu, and he decides to carry it out. It would be a logical way of getting his own back on Ch'ien for his dishonesty. Hu's idea from the beginning had been to find a way of getting rich, and here was an excellent opportunity. It would also be logical from another point of view; to take his place permanently in this society, which he likes so much, he must cross a moral boundary and accept all the rules that govern this society. The whole story would come to its climax in this way.

Here, as at the beginning of the fourth part of *Ma-lan*, the author presents us with a surprise. Hu Ch'ü-wu lies in ambush, waiting for Ch'ien Heng in the dark, falls on him and stabs him to death with a little knife, and even goes on to cut his throat at considerable effort. To be on the safe side. As he tries to escape a police patrol shoots him dead.

This grotesque murder oversteps the aesthetic bounds of the novel, and upsets

all the readers' expectations and ideas. Yet, it is psychologically absolutely logical, and of primary importance for understanding the whole work. It is clear from his letters that Hu considers himself humiliated, unfortunate, and condemned to fight his own way through the ambushes laid by life. A hero, indeed, who deserves our sympathy and understanding, our affection and admiration. Hu himself thinks that he is both honourable and very capable, a man who in different circumstances might have been a great historian; for reasons outside his control, however, he decided on a different career, certainly one which was not unsuitable for a man of his capabilities. His actions, however, would suggest something quite different. He is probably not a very good teacher, if his pupils make fun of him, as he complains in one of his letters; what are his books worth, if they go straight from the press to the pulping machine? How could he expect to make money if he left all he had borrowed in the hands of a man he assumed would be unreliable? And it was comical to expect a girl like Kuo-hsiu to feel herself under an obligation to him, after what she had experienced with him as a lover.

Hu Ch'ü-wu is a bungler, and it is more than likely that he would not even know how to make money on the stolen drug. At times, Hu reminds us of Ch'iao Shih-fu in *Ma-lan*; he shows the same ignorance of himself and the same conviction that he is remarkable. Both are afflicted with a strange blindness which prevents them from a sober assessment of themselves and the world around them. Both react in a way that is primarily primitive, emotional. Ch'iao Shih-fu is seized with helpless rage when Ma-lan humiliates him; Hu murders Ch'ien Heng, although he has more or less the same cause to murder T'ien Kuo-pao. But Ch'ien has humiliated him, and he is guided not by cool reasoning, but by primitive emotions and very false ideas of reality.

Shih T'o's satire is directed here not against a man with no moral principles, but a man who is not adult, not independent. As we have seen, Hu is capable of anything, and would perhaps be capable of the greatest self-sacrifice, but only if there was someone leading him, if there were a set of values he could follow. He is not capable of finding them for himself.

At the end of the penultimate chapter the author says in a comment on the story that Hu Ch'ü-wu himself rejected his betrothed, and himself chose the path that led him to destruction. Didactic comment of this kind, reminiscent of Lao She's [44] mentor attitude, is rare in Shih T'o's novels. The fact to which he draws attention could not escape the reader; is he perhaps afraid that the idea is so unusual that his readers may not understand it? If that is so, his fears were not vain, for Wang Yao tells us, for example: "In *Marriage* (Shih T'o) has described a young intellectual, originally honest and sincere, destroyed by a rotten society only because he wanted to make a decent marriage."¹⁷ These words are an exact

¹⁷ Wang Yao, *op. cit.*, p. II, 138.

expression of a stereotyped attitude which is deeply rooted in modern Chinese literature; it is always "rotten society" which is to blame for everything. It is this stereotyped attitude which is, in fact, the target for Shih T'o's ridicule.

The world is cruel, but illusions are worst of all. The novel really does end in marriage—between Doctor America Huang and the "old maid". Although he is blind, Huang is the most successful of the lot, because he is the sharpest. His blackmail has brought him thirty thousand. Huang and the "old maid" are happy, and it is clear that only people of this kind can be happy in this world. Nobody is interested in Hu Ch'ü-wu any more. "People will be hurrying about their business as usual, caring nothing for the murderer or his victim; the main thing is that I am still alive; it's nothing to do with anybody. Like throwing a stone into the sea; it disappears and leaves no trace on the surface."¹⁸

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Shih T'o's novels display some features which are unique in the context of modern Chinese prose and reveal that he is conscious of the conventionality of literary fiction and of the fact that there are special laws governing plot structure. He realizes that the logic of a fictional story serves to express the author's intentions and that it cannot be identified with the logic of the real world. It would be wrong indeed to view Shih T'o's novels (especially *Ma-lan*) from a narrow realistic angle, looking for "probable" or "typical" action, characters, or conflicts. There is direct suggestion of a certain unreality about the story, in part four; the legends told by the villagers about Ma-lan, and the mountain setting, suggest an atmosphere of mingled reality and fantasy.

It is only possible to appreciate fully Shih T'o's departure from realism in the narrow sense, and his undogmatical approach to literary conventions, against the background of contemporary ideas; the predominant attitude was the traditional division into "real" and "invented", on which the conception of realism was founded. Realism was taken to be a guarantee that the work in question presented the reader with "reality" and that it was therefore socially useful and valuable. It was essential for Shih T'o to reject this attitude.

He starts from the assumption that every theme, plot, or motif in the story contains the germ of a certain conventional solution, which he is careful to avoid. This is the chief principle of his novel structure. Not only could *Ma-lan* have ended with part three; it need not have gone on beyond the conclusion of Li Po-t'ang's first narrative. Each successive part of the book introduces a surprise, not only by throwing a different light on the story and characters, but also by reopening an apparently closed story. Even the last part of the novel, lifted as it

¹⁸ *Marriage*, p. 268.

were to a new and almost allegorical plane, does not bring it to a conclusion. Similarly in *Marriage*, every new chapter introduces new aspects which force the reader to reassess his attitude to earlier parts of the story and earlier appearances of the characters. At the end, the element of surprise is even stronger because the author himself suggests the possibility of another, more conventional solution. It is difficult if not impossible to give an unequivocal judgment on the characters in *Ma-lan*. In no case does Shih T'o say unambiguously what the person is really like. Potentially each of them could react unexpectedly and in an apparently unthinkable way. The whole structure of the novel tends to strengthen the feeling that knowledge is only relative, an attitude already suggested by the individual approach of the different narrators, each of whom can only know a narrow slice of the event he is talking about. In *Marriage* this technique serves to heighten the comic effect and to underline the senseless, miserable nature of what Hu Ch'ü-wu does. The more unexpected his actions, the more senseless and superfluous they appear, and the author's almost cynical coolness emphasizes this still more.

There are times when alienation, as Shih T'o depicts it, seems like criticism of the moral disintegration of human relationships, especially in some of the stories and in *Marriage*. But Shih T'o does not moralize. For him human behaviour is a given fact, and as we have already shown, he treats it as a fact of nature. (When he gives voice to criticism and ridicule, it is more likely to be turned against those who try to establish moral norms and apply them strictly: this is the sense of his criticism of Ch'iao Shih-fu in *Ma-lan*.) What fascinates Shih T'o is the fortuitous and senseless nature of human behaviour. The end of the story of Hu Ch'ü-wu is characteristic in this respect: the murder of Ch'ien Heng, although described with a naturalistic sense for detail, is grotesque because it is senseless and quite useless. It does not matter whether this murder has been committed or not, and it does not really interest anyone, either; it will have not the slightest effect on the way the world goes on. The same is true of Hu Ch'ü-wu's death.

Although some of Shih T'o's stories are reminiscent of the work of Lu Hsün in their cool objectivity, the inner emotional tension is different. In Lu Hsün's writing we feel strong moral indignation behind the detached description of cruelty in personal relationships, while Shih T'o is more resigned. In his introduction to *Forgotten Events* he wrote: "... I am an insignificant person... if I am able to live, I shall be doing something or other silently, I shall follow my path silently, think silently about myself and other people, and then silently die; there will be nothing remarkable about it. Nor do I hope to be understood, for I know that he who longs with his whole heart to be understood by others usually brings disaster on himself."¹⁹

¹⁹ *Forgotten Events*, p. VI.

This allusion to Lu Hsün's introduction to *Outcry, Na-han* [45] reveals Shih T'o's doubts about the social value of his writing and his doubts as to whether human action can ever rid society of all that makes it cruel.

The detachment with which Shih T'o regards his characters and their actions is very marked in the novels. He leaves us with the feeling we get from reading classic novels, that we have been looking down from a great height on the busy human anthill. In this Shih T'o reminds us of Mao Tun [46]. In the classic novels, however, the aimlessness of the bustle may be offset by consciousness of the transcendental meaning of life. Mao Tun's narrator hints that he knows what forces stand over human individuals and determine human fate. Mao Tun's narrator knows what none of the characters knows, is often taken by surprise at the turn of events, and somewhat ridiculed by the narrator. Shih T'o's narrator does not know any more than any other character, and his ignorance is emphasized. His characters act as if they were against a black background which can be interpreted in various ways: as a vacuum, as infinity or perhaps universe, or as Order, but an Order absolutely indifferent to man, to his life and his fate; an Order which takes no account of man.

In the last moments of his life Hu Ch'ü-wu says that he himself is to blame; everything would have turned out better if he had not set out to become rich. Reading the stories it must occur to us even here that perhaps Shih T'o's idea of the most sensible behaviour is that of the hero of *Chiao-liao* [47], *The Tailor Bird*, who is as modest in his demands as the bird, which—according to Chuang Tzu [48]—is content with a single branch in the forest. Shih T'o's hero is like the bird breaking off all that binds him to the world and to people, he settles in a simple little room on the second floor, with a view of a church spire, and reads the works of the Master: "Now you have this big tree and you're distressed because it's useless. Why don't you plant it in Not-Even-Anything Village, or the field of Broad and Boundless, relax and do nothing by its side, or lie down for a free and easy sleep under it?"²⁰

The philosophy of Chuang Tzu is certainly close to Shih T'o's own thinking; yet even his modern hermit cannot rise above all suffering, as we learn from another story *Ts'an chu* [49], *Candle Stump*, and his isolation then seems a little ridiculous. The characters of Shih T'o's stories cannot choose between Society and Nature.

Shih T'o's non-omniscient narrator is a man who sees the surface of things but does not understand their significance; he longs for friendship, but knows that he will fail; he sees cruelty, indifference and senselessness around him, but sees neither a way out nor the possibility of escape; he is powerless, and at times the world seems unreal to him. All that remains is his unanswered question—what should be done with this "big tree" of life.

²⁰ Transl. by Burton Watson, *The Complete Works of Chuang Tzu*, New York 1966, p. 35.

1	師	2	陀	3	王	4	王	5	稿	6	花	7	新	8	文	9	學	10	中	11	國	12	致	13	新	14	文	15	生	16	們	17	史	18	文	19	從	20	集	21	野	22	柯	23	牧	24	迅	25	集	26	晨	27	谷	28	受	29	林	30	41	47	之	31	難	32	外	33	鷓	34	36	40	37	38	39	42	45	49	43	44	48	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100																																																																												
1	稿	5	8	11	14	鳥	靈	歌	27	31	34	夜	者	史	鷓	48	3	王	谷	落	果	集	20	24	頭	過	過	37	41	44	48	蘆	長	9	日	園	17	馬	啞	28	客	嶺	行	巨	老	莊	2	楚	簡	黃	光	城	大	蘭	歌	病	32	記	脚	人	舍	子	4	王	4	6	花	12	記	馬	21	25	29	雨	35	人	42	45	49	王	4	6	花	12	記	馬	21	25	29	雨	35	人	42	45	49	瑤	致	大	苔	江	15	戲	結	人	舊	落	山	38	程	呐	殘	中	蘆	公	10	湖	上	團	婚	下	事	篇	行	巫	耀	喊	燭	國	焚	報	里	集	海	18	22	人	30	33	雜	39	先	46	新	先	7	門	13	手	夜	荒	26	倦	霧	記	河	43	茅	文	生	沈	拾	看	札	店	野	魯	談	的	36	40	儒	盾	學	們	從	記	人	16	19	23	迅	集	晨	谷	受	林	41	47	之	難	外	鷓	史	文	集	野	柯	牧	迅	集	晨	谷	受	林	41	47	之	難	外	鷓

STUDIES IN MODERN CHINESE LITERARY CRITICISM: VII. LIANG SHIH-CH'IU AND NEW HUMANISM

MARIÁN GÁLIK, BRATISLAVA

Liang Shih-ch'iu was one of the best-known Chinese critics between the two World Wars. He was a pupil and later an adherent of Irving Babbitt, the founder of American New Humanism, and transplanted his teaching into Chinese soil. The present study shows up Liang Shih-ch'iu's opinions on various important issues of criticism: nature, human nature, mimesis, imagination, ethics and their attitude to literature and art. The question of "human nature", the basic issue in Liang's criticism, is here analysed in particular detail. The article deals only with problems relating temporally to the pre-proletarian phase in the development of modern Chinese literary criticism.

Liang Shih-ch'iu [1] (born in 1902) is the most prominent critic of the literary society *Hsin yüeh she* [2] Crescent Moon Society, founded in 1928. He was just over 22 year of age when as one of the graduates of Ch'ing-hua, at that time a middle school, he went to the U.S.A., and he might have been 23 when he came to Harvard to Professor Irving Babbitt. He did not come to him as a pupil, but rather as opponent very sure of himself. He wanted to know more thoroughly Babbitt's critical teaching and his arguments in order the better to be able to fight against him. In fact, two other known opponents of the new literary language *pai-hua*, and of the new Chinese literature had also studied under Babbitt. These were Wu Mi [3] (born in 1894) and Mei Kuang-ti [4] (1890—1945), professors at Nanking University at the beginning of the twenties. Shortly before Liang Shih-ch'iu left for the United States of America, they made abundant use of the knowledge they had acquired under Babbitt to fight against the new literature and the new literary language. Liang Shih-ch'iu had belonged among prominent adherents of the one and the other, and by his views was close to members of the Creation Society, *Ch'uang-tsoo she* [5]. This of course applied only to the years 1923—1924. His meeting with Babbitt completely altered his subsequent critical outlook.

Liang Shih-ch'iu began to attend Babbitt's lectures dealing with the development of European criticism from the 16th century to modern times.¹ He soon became

¹ Liang, Shih-ch'iu: *Kuan-yü Pai-pi-te hsien-sheng chi ch'i ssu-hsiang* [6] *On I. Babbitt and His Thought*. In: *Wen-hsüeh yin-yüan* [7] *Notes in Literature*. Taipei 1964, p. 57.

disappointed, not with Babbitt, but with himself. Liang was struck with the enormous erudition and intellect of this man. When he realized that from the entire literary field he himself knew only Ibsen, Wilde, Maupassant, Chekhov, Tagore, together with a dozen famous European works which he read at school, and that he knew next to nothing about literary criticism as a special branch of literary scholarship, it dawned upon him that he had challenged a man against whom he had no chance whatever.

Looking at American criticism in a historical retrospect, René Wellek considers I. Babbitt to be the first noteworthy American literary critic. R. Wellek had evidently in mind Babbitt's great historical and critical work and his merits in this field.² The purely critical qualities of his work, however, are not so outstanding. Thus, for instance, W. J. Bate, likewise a professor at Harvard, doubts whether any New Humanist may be a good critic at all.³ The truth of the matter is that nobody before Babbitt's time had created any similar work in the U.S.A., and it was Babbitt's lucky lot to have educated several pupils who completed, corrected and outgrew him—for example, T.S. Eliot—who thus enabled a tradition of modern American literary criticism to be set up. Babbitt's best Chinese pupil was Liang Shih-ch'iu. However, owing to specific Chinese conditions, he did not succeed to do what some of Babbitt's American pupils did. Why? In my view, it was because of Liang Shih-ch'iu's relation to Babbitt. He saw in Babbitt something that Confucius had seen in Chou-kung [8] Duke of Chou—simply an unattainable ideal. Consequently, he did not attempt anything beyond Confucius' "shu erh pu tso, hsin erh hao ku" i.e. being only a "transmitter and not maker, believing in and loving the ancients".⁴ The measure of transformation of the neohumanist theory is really negligible in Liang's presentation. Liang never saw the drawbacks in neohumanist criticism.

Liang Shih-ch'iu might have convinced himself much earlier of Babbitt's qualities. Mei Kuang-ti and Wu Mi, and particularly the latter, wrote about Babbitt and translated his works in the journal *Hsüeh-heng* [9] *The Critical Review*.⁵ Unfortunately, both used to write in a language difficult to understand, which Liang detested. As a matter of fact, the progressive young people did not read *The Critical Review*. That is why Liang Shi-ch'iu had formed an unfavourable opinion of Babbitt on false grounds.

As implied earlier, Babbitt's lectures soon convinced him of his error. But he did not give in at once. He did not retract his aesthetico-impressionist views. He decided to subject his own and Babbitt's views to a critical examination. Liang Shih-ch'iu did

² Cf. Wellek, R.: *Concepts of Criticism*. New Haven and London, Yale University Press 1967, pp. 304—305.

³ Bate, W. J.: *From Classic to Romantic*. New York 1961, p. 60.

⁴ Legge, J.: *The Chinese Classics*, vol. 1 and 2. Taipei 1969, p. 195.

⁵ Liang, Shih-ch'iu: *On I. Babbitt and His Thought*, p. 58.

proceed in this as logic would have us to presume. He did not subject to such an examination his own published articles and reviews, but took as object of his critical study the work of Oscar Wilde. Liang Shih-ch'iu read Oscar Wilde intensively, far more so than other authors of world repute.⁶ On this, his preferred author, an adherent of aestheticism, he wished to test the strength of neohumanist arguments, and make his decision on the outcome of his study. When he came to Babbitt with his idea to work out a seminar paper on the theme Oscar Wilde and aestheticism, the old professor is reported to have bowed his head and looking at his pupil over the rim of his glasses, said: "You want to work out such a theme? That requires an infinite amount of care."⁷

Clearly, I. Babbitt did not say this to warn his pupil of the difficulties he might expect to encounter, but because he detested, or at least had no liking for Oscar Wilde and the entire post-romantic or romantic tradition. An infinite amount of care was meant to express rather his anxiety lest his talented pupil be seduced by Wilde's spirited, but according to Babbitt, dangerous views. He probably had no inkling as to why Liang Shih-ch'iu—at that time still a revoltee—had picked such a theme.

Liang Shih-ch'iu carefully read all of Wilde's works, and most of what had been written about him, and at the end of the semester submitted the completed work. Babbitt liked it.

A comparison of this study of Liang Shih-ch'iu's, which was later published in Chinese, with his other articles, shows that it was carefully written, that in it the author speaks concisely, sparingly but to the point, of weighty issues in literary criticism. His other works may be said to be commentaries, footnotes, complements to this study which constitutes some sort of prolegomena to his further critical development.

We shall not examine here Liang Shih-ch'iu's entire work on criticism. That would require a study of a wider scope than is the present one. Here we take up the period between Liang's meeting with Babbitt and Lu Hsün [10] (1881—1936), hence, the years 1924—1927. No attempt will be made to judge the New Humanism against a background of all Babbitt's works. We shall concern ourselves mainly with his principal study *Rousseau and Romanticism*, which Liang had carefully read and made frequent use of the material it contained.

Liang Shih-ch'iu's article, *Oscar Wilde's Aestheticism* is made up of these parts: Art and Age, Art and Life, Art and Nature, Art and Ethics, The Individual and The General, Art and Art Criticism.

The article now being submitted to the reader will deal with the following aspects: Art and Nature, Art and Human Nature, Art and Mimesis, Imagination and Feelings in Relation to Art, Art and Ethics or Morality, Art and Criticism.

⁶ Ibid., p. 59.

⁷ Loc. cit.

Our subdivision is fairly similar. We take no note of those problems which Liang Shih-ch'iu analysed in the first two parts of his article, although both the questions: relation of art to age, and of art to life occupied a strong place in Chinese discussions of the time. Liang Shih-ch'iu had devoted but little attention to these questions before his controversies with Lu Hsün and the proletarian critics. It should nevertheless be said that he was convinced that literature expresses the spirit of the epoch and the life it describes. However, he was opposed to the idea that literature should have the character of opposition (whether political or social). This emanated from his overall orientation, not only from his political conviction.

Art and Nature

“Art imitates nature” wrote Aristotle twenty-three centuries ago and since that time, but in particular during the time of neoclassicism and also later, this idea was being repeated and discussed.

Liang Shih-ch'iu, as a pupil of Babbitt, could not ignore either its content or its purport. The premise “art imitates nature” is not so simple as it appears. Especially the catchwords “imitates” and “nature” make it extremely complex. Above all, the catchword “nature” has gone through an immensely complicated developmental route and all this became reflected, or may have become reflected, in an explication of Aristotle's above statement.

Professor A. O. Lovejoy made a great effort to trace the “Odyssey” of this term. He wrote a minor article, but one pregnant in meaning, on “nature” as an aesthetic norm.⁸ In it he endeavours to define the ideas concealed behind this word and to point out their bearers among philosophers, critics, artists, etc. In this and the next chapter this article will serve us as a guide-line for determining Liang Shih-ch'iu's “kinship”.

At the beginning of one of his articles devoted to questions of art and nature called *Yü tzu-jan t'ung-hua* [11] *Fusion With Nature*, Liang Shih-ch'iu relates an incident from his life in New York. Sitting one day with his friend, they discussed this theme, evidently without being able to agree, when another of their friends came into the room. Before he had even time to say a word of greeting, Liang Shih-ch'iu asked him point-blank: “Have you fused with nature?” Stunned by the strange question he asked: “With whom was I to fuse?” “With nature” replied Liang. “With nature?” asked the newcomer in surprise. “Where is there nature here?”⁹

⁸ Lovejoy, A. O.: *Essays in the History of Ideas*. Baltimore 1918, pp. 69–77.

⁹ Liang, Shih-ch'iu: *Yü tzu-jan t'ung-hua* (*Fusion With Nature*). In: *Lan-ying-ti yü ku-tien-ti* [12] *Classic and Romantic*. Taipei 1965, p. 45.

Liang Shih-ch'iu then goes to answer the question, what is nature, in the sense of the most common and the most frequent interpretation of this word: nature, that is mountains, rivers, trees, wild beasts, all that God has created and that has not been touched by human hand. This interpretation agrees with that according to which "nature" is "antithetic to man and his works: the part of the empirical reality which has not been transformed (or corrupted) by human art: hence, the out-of-doors, 'natural' sights and sounds"—according to Lovejoy.¹⁰ But even though Liang Shih-ch'iu does not express himself explicitly, this interpretation is inadequate to him. The term "nature" means more to him, or something essentially different. But of this, a little later.

Liang Shih-ch'iu sees the principal representative of the tendency to fuse with nature in the promoter of the idea of a "back-to-nature" movement, J. J. Rousseau—otherwise a man whom, like I. Babbitt, he did not like. He saw other representatives of this tendency in German romantic poets, L. Tieck and Novalis. All the three were concerned with just one thing: a fusion with nature meant nothing but an escape from life or forgetting one's own self *wang-wo-ti ching-chieh* [13], one's human obligations.¹¹

Beside the above, Liang Shih-ch'iu quotes yet another romanticist, Lord Byron: "I love not man the less, but nature more".¹² It is very probable that Liang Shih-ch'iu took over this quotation from Babbitt's book *Rousseau and Romanticism*, for immediately after, he quotes another of Babbitt's ideas, though in a little altered form. In the same book, on the same page as the above quotation from Byron, Babbitt says: "The Greek, one may say, humanized nature; the Rousseauist naturalizes man. Rousseau's great discovery was revery; revery is just this imaginative melting of men into outer nature."¹³ Liang Shih-ch'iu slightly altered text when he wrote: "To humanize nature was the basic motto of classicists and humanists; to naturalize man was the basic motto of romantics and naturalists."¹⁴ Moreover, he too, writes about "romantic revery" which he characterizes as self-melting *tzu-wo-ti hsiao-jung* [14], an exaltation of nature to such an extent that man forgets his own self, becomes part of it, fuses with it. According to Liang Shih-ch'iu this is emotional intoxication *ch'ing-kan-ti fang ts'ung* [15] and subjective illusion.¹⁵

As has been observed earlier, the question of the relation between art and nature was dealt with by Liang Shih-ch'iu in part of his article on Wilde. Wilde did not like nature as "antithetic to man and his works". Such a nature seemed

¹⁰ Lovejoy, A. O.: op. cit., p. 71.

¹¹ Liang, Shih-ch'iu: *Fusion With Nature*, pp. 47—49.

¹² *Ibid.*, p. 50.

¹³ Babbitt, I.: *Rousseau and Romanticism*. Boston and New York, 1930, p. 269.

¹⁴ Liang, Shih-ch'iu: *Fusion With Nature*, p. 50.

¹⁵ *Loc. cit.*

to him ugly, imperfect, unpleasant. If nature were beautiful, people would have no need of architecture. Wilde's views were a refutation of those held by Rousseau. While Rousseau felt happy only amidst wild nature, Wilde was happy only in a world that had been transformed by human mind, hand and intellect. According to him art was beautiful because it was artificial, because it had distanced itself from nature. In his hierarchy of values, art stood incontestably higher than nature.¹⁶

Wilde's view, however, did not mean a restoration of the classical ideals which Babbitt and Liang Shih-ch'iu propagated. By relegating the significance of nature into the background, Wilde did not assign human nature *jen-hsing* [17] to the first place. He always preferred the human individual—the hyperbolized, exalted human individual. Wilde was against spontaneity *tzu-jan liu-lu* [18], hence against romantic tendencies, but not because he was against original genius (one of the main catchwords of the romanticists), but because on the highest pedestal he set formal beauty created by man.¹⁷

When Liang Shih-ch'iu reflected on the relation between art and nature, he also pondered on that of the ancient Chinese artists to nature. The attitude of these people seemed to him to resemble that of ancient Greeks.¹⁸

“Chinese people are fond of nature”, wrote Liang Shih-ch'iu, “and therefore do not run away from real life, they only run away from society. In fact, we acknowledge that nature, too, is reality.”¹⁹

Liang Shih-ch'iu had in mind those old Chinese men of letters who studied much as young boys, then became State officials, and finally, when leaving State service, sometimes became hermits. With them, man was or could be the centre of life, whether in society, or in nature.

They all were people formed by Confucius' teaching. At least, this applied to the great majority of all Chinese intellectuals after the victory of Confucian orthodoxy in the first century B.C., and in particular after the advent of Neo-confucianism during the Sung dynasty (960—1279).

Professor Wing Tsit-chan begins his book *A Source Book in Chinese Philosophy* with the words:

“If one word could characterize the entire history of Chinese philosophy, that word would be humanism—not the humanism that denies or slights a Supreme Power, but one that professes the unity of Man and Heaven. In this sense, humanism has dominated Chinese thought from the dawn of its history.”²⁰

¹⁶ Liang, Shih-ch'iu: *Wang-erh-te-ti wei-mei-chu-i* [16] *Wilde's Aestheticism*. In: *Classic and Romantic*, p. 149.

¹⁷ *Ibid.*, p. 149—150.

¹⁸ Liang, Shih-ch'iu: *Fusion With Nature*, p. 49.

¹⁹ *Ibid.*, p. 49.

²⁰ Wing Tsit-chan: *A Source Book in Chinese Philosophy*. Princeton University Press 1963, p. 3.

It should be noted that Heaven in this sense means Nature.

The humanistic thoughts and tendencies of the oldest Chinese philosophy found an application in Confucius. His philosophy concentrated on man, his ethical attitudes, his relations to other people, on society in which he had to live and which had to be controlled by a good government of moral persuasion. *Chün-tzu* [19] Superior man, was not to designate only a ruler or a member of hereditary nobility, but a man of a high moral standard.

Taoist teaching, the thoughts of Lao-tzu and Chuang-tzu, was likewise humanistic. Here too, man was the centre of reflections, however, in contrast to the Confucian apprehension of man, strictly determined by relations and society, the ideal of the Taoists was a man entirely free, liberated, a natural man.

I. Babbitt added to his book *Rousseau and Romanticism* an appendix entitled *Chinese Primitivism*. Liang Shih-ch'iu makes no reference to this article. Babbitt states in it that perhaps "the closest approach in the past to the movement of which Rousseau is the most important figure, is the early Taoist movement in China".²¹ He characterizes this original movement as "primitivist", similarly as he does also Rousseau's movement. Up to a point, we may agree with this, but not with his other statement characterizing it as a "wise passiveness" (Wordsworth's term).²² That is to say, it did not involve solely *wu-wei* [20] non-action, but also practical devices of action, and this also in society, hence, outside "primitive" reality.

In his analysis of Taoism Babbitt fails to note the emphasis on man.

In this chapter we have shown that Liang Shih-ch'iu apprehended nature, in the first place, as "antithetic to man and his works", and secondly, in the sense of the Greek classical ideal, the ancient Chinese ideal, and also the ideal of European neoclassicists, as a union between nature and man, in which man always was the more important. Nature created in it at most the environment, complemented the scenery. This meaning of the catchword "nature" was characterized by Lovejoy as "empirical reality".²³

So far we have made no note of the third meaning of this word, which to Liang Shih-ch'iu was the most important. Without an understanding of this meaning, we shall not grasp correctly his literary and critical theory. He expressed it most concisely in his article on Wilde. There we read:

"Wilde did not even dream that nature *tzu-jan* [21] signifies human nature *jen-hsing*."²⁴

This sentence clearly implies that Liang Shih-ch'iu equates nature with human nature.

²¹ Babbitt, I.: op. cit., p. 395.

²² Loc. cit.

²³ Lovejoy, A. O.: op. cit., p. 70.

²⁴ Liang, Shih-ch'iu: *Fusion With Nature*, p. 150.

Since Aristotle's postulate "imitation of nature" constitutes the basis of classical, neoclassical, neohumanistic and also Liang Shih-ch'iu's literary theory, Liang Shih-ch'iu's literary views must also be considered from the aspect of his comprehension of nature as human nature.

What then is this human nature, or the more frequently used term general human nature *p'u-p'ien jen-hsing* [22] in Liang Shih-ch'iu's conception? If we are to grasp the sense of this catchword, then neither Aristotle nor Babbitt will suffice, and we must turn to Dr. Johnson, the eminent English neoclassical critic. Professor Babbitt considered Dr. Johnson to be "the wisest man since Confucius" and Liang Shih-ch'iu wrote a book about him.²⁵ Johnson writes about "general nature", at least partly, in a way similar to that in which Liang Shih-ch'iu writes about "general human nature".

In *Preface to Shakespeare* from the year 1765, Samuel Johnson wrote these words: "Nothing can please many, and please long, but just representations of general nature. Practical manners can be known to few, and therefore few only can judge how nearly they are copied."²⁶

These words were addressed to critics and readers. To writers and poets he addressed different words: "He must (i.e. writer or poet, M.G.) divest himself of prejudices of his age and country; he must consider right and wrong in their abstracted and invariable state; he must disregard present laws and opinions, and rise to general and transcendental truths, which will always be the same."²⁷

But what did Johnson precisely consider as a manifestation of general nature? Liang Shih-ch'iu asserts that by it Johnson meant "a synthesis of reason and feeling", hence, rational and emotional qualities. However, this tells us nothing, nor could it tell anything to Chinese readers and critics. And this was one of the reasons why Chinese critics attacked so vehemently the conception of "general human nature". Professor W. J. Bate, one of the foremost authorities on questions of classicism and romanticism, states that under this key-term Johnson understood "principles, qualities or values", that are "the most universal or persisting".²⁸ That "general nature" was in fact a "standard" "by which art is to be evaluated".²⁹ The latter statement is evidently closer to the truth. It is unquestionable that Johnson was concerned about an artistic expression of deep truths from the field

²⁵ Cf. Mei, Kuang-ti: *Article in "Babbitt: Man and Teacher."* In: *Mei Kuang-ti wen-lu* [23] *The Writings of Professor K. T. Mei*. Taipei 1968, p. 37.

²⁶ Samuel Johnson, *Preface to Shakespeare*. Menston, The Scholar Press 1969, p. VIII.

²⁷ Samuel Johnson, *Rasselas*, London 1811, pp. 27-28.

²⁸ Bate, W. J.: *Prefaces to Criticism*. New York 1959, p. 75.

²⁹ Bate, W. J.: *From Classic to Romantic*, p. 62.

of ontology, gnoseology, ethics, and about axiologic matters. Bate points also to psychological values when (according to Johnson) he shows that art presents rather "the passions of men which are uniform, than their customs, which are changeable".³⁰

The interpretation of "general nature" in Johnson is wider in scope than that of "general human nature" in Liang Shih-ch'iu. Under the term which he tried to enforce, Liang Shih-ch'iu understands psychophysical bases of man, while Johnson included also the intellectual, emotional and ethical values which surround man.

Some might object: Why go to Samuel Johnson when Chinese philosophy, too, knows the conception of human nature. After all, Confucius himself spoke of it. His words are explicit and well-known: "By human nature men are alike. Through practice they have become far apart."³¹

This is even reminiscent of Johnson. Only in China was the ethical accent in its clear moral, or even moralizing tendency underlined everywhere, hence also in literature, while Dr. Johnson, and later also Liang Shih-ch'iu left a role in that "general nature", or "general human nature" to be played also by passions, and by "amoral passions" too, when their outcome was a remarkable work of art. That is why Johnson exalted Shakespeare so much, was his "discoverer" for the world and Liang Shih-ch'iu made him accessible to the Chinese reader.³²

A moot question is whether Liang Shih-ch'iu in advocating his conception of human nature, turned to old Chinese traditions. That is to say, Chinese tradition never related human nature with literature. Even though the postulate *Wen-i tsai-tao* [24] *Literature is meant to convey Tao*, was formulated relatively late, it was a categorical one, implicitly embodied in Chinese Confucius-oriented literary thinking. Even though the concept of Tao (i.e. Way) was meant to imply an imitation of "human nature", everyone understood by it something different than in European tradition, hence, something connected with Ethos rather than Pathos, with Morality rather than Passions.

In spite of that Liang Shih-ch'iu took contact both with Dr. Johnson and with home tradition, although he gave no indication of the latter.

According to Liang Shih-ch'iu literature "begins in human nature, there it has its foundation and there it ends".³³ These words form the basis of Liang's literary theory. The role of literature is "to express the general and determined *ku-t'ing* [26] human nature. This human nature does not reside in high mountains nor in deep

³⁰ Ibid., p. 67.

³¹ Cf. Legge, J.: *The Chinese Classics*, vol. 1 and 2, p. 318. The translation here is slightly changed.

³² Liang Shih-ch'iu translated *The Complete Works of William Shakespeare* into Chinese. The translation has been published in 37 volumes in 1967.

³³ Liang, Shih-ch'iu: *Wen-hsüeh-ti chi-lü* [25] *Literary Laws*. In: *Classic and Romantic*, p. 123.

valleys and therefore we need not search for it intensely. The marrow of this nature lies in our heart. Pure and true human nature will show itself in a rational life".³⁴

Liang Shih-ch'iu considers human nature to be very complex. But he does not say which are its components. He even poses the rhetorical question: "Who can say clearly which are the components of human nature?". Nevertheless, he states that emotions and imagination must submit to reason."³⁵ Evidently, he sees these three "human abilities" to be components of human nature.

One conception uniting Liang Shih-ch'iu to Samuel Johnson is that art acquires value in the measure in which it succeeds in expressing human nature. Another idea, too, is common to both: both, at least partially condemned all that contradicted "general nature", for instance, expression of the individual, the particular. Liang was related to Babbitt by his refuting "self-expression" as a method of literary creation. Johnson, of course, did not as yet know anything like "self-expression".

Liang Shih-ch'iu defined human nature in a very inadequate manner, yet declared it to be "the only standard" for a knowledge and determination of literary value. It is not difficult to understand why he failed to find comprehension among Chinese critics of his time. The latter started from different ideological positions and had an essentially different training. Practically all of them refuted Liang Shih-ch'iu's conception of human nature.

Art and Mimesis

Mimesis (imitation) was the most basic catchword of Aristotle's theory of art. It was not Aristotle's invention, but a weighty component of pre-Aristotelean criticism. Plato likewise spoke of mimesis, but rejected it where art was concerned.

Liang Shih-ch'iu evidently made a careful study of Aristotle's *Poetics*, and of Plato's works in so far as they were concerned with mimesis. As a neohumanist and an adherent of Babbitt, he decided for Aristotle.

According to Liang Shih-ch'iu, Aristotle sees two attributes in every object capable of being imitated: one attribute is real *chen* [27], the other ideal *li-hsiang* [28]. Human life and nature change. However, that does not change which is general and eternal in that "real" and "ideal". "That which poets imitate", wrote Liang Shih-ch'iu, "is human life and nature in its universal, eternal, real and ideal aspects."³⁶

³⁴ Ibid., pp. 117—118.

³⁵ Ibid., p. 123.

³⁶ Liang, Shih-ch'iu, *Ya-li-shih-to-ti* "Shih-hsüeh" [29] *The Poetics of Aristotle*. In: *Classic and Romantic*, p. 61.

Liang Shih-ch'iu likewise endeavoured to deduce from Aristotle the dialectical connection between the real and the ideal—in so far as art was concerned. However, he rather simplified and partly distorted the whole issue. "Aristotle is of the opinion", he wrote in an article devoted to Aristotle's *Poetics*, "that the 'real' is also the 'ideal'. Generally we presume that reality and ideal are two different things, but according to Aristotle, that only which is ideal may become real; both the terms refer to the same thing."³⁷

However, Aristotle in his *Poetics* explains this problem in a more complex manner: "For the purpose of poetry a convincing impossibility is preferable to an unconvincing possibility; and if men such as Zeuxis depicted be impossible, the answer is that it is better they should be like that, as the artist ought to improve on his model."³⁸

What Aristotle was concerned with was not that in art something "ideal" should become "real", but that probable impossibility become artistic reality, or that the "ideal type" should find its expression in art, that not what is real should become the content of art, but the "higher reality".

Liang Shih-ch'iu is likewise in agreement with Goethe who in his view gave the best characterization of mimesis when he said of it that it is "an illusion of higher reality".³⁹ Liang Shih-ch'iu took over this idea from Babbitt's book *Rousseau and Romanticism*.⁴⁰

It is of interest to note that in his article on Aristotle's *Poetics*, Liang Shih-ch'iu does not mention one catchword "human nature", but always two catchwords: nature *tzu-jan* and human life *jen-sheng*. It is plausible that Liang Shih-ch'iu made the concept of object of artistic imitation more precise only after having written that article. This is supported also by the fact that he devotes most space to the concept of "human nature" in his article *Literary Laws*, published in a book of the same name, of course in Chinese. This article is of a more recent date than the one dealing with Aristotle's *Poetics*.

In his article *Literary Laws* Liang Shih-ch'iu treats also of the problem of imitation. But in contrast to the object of imitation, which is now human nature, he does not alter the conception of imitation in any way. His considerations imply that literature is imitation, it is not something subjective. Here he supports the classical ideal which has always laid greater emphasis on what is outside a poet or a writer, than on the poet himself. Poems and the entire literature are real, even more so than separated and fragmented phenomena of reality. In his ultimate and best definition of mimesis one may note at first glance an incorporation

³⁷ Ibid., p. 60.

³⁸ Fyfe, W. H.: *Aristotle's Art of Poetry*. Oxford 1940, p. 77.

³⁹ Liang, Shih-ch'iu: *The Poetics of Aristotle*, p. 61.

⁴⁰ Babbitt, I.: op. cit., p. 19.

of Goethe's conception: "Literature is a real description and reflection of the higher reality."⁴¹

Imagination and Feelings in Relation to Art

Of all the big catchwords of art, Liang Shih-ch'iu comes closest to Babbitt precisely as regards imagination. Not because he would drift away from him on other spheres, but because Babbitt has his own theory of imagination, and fidelity to it means, to a large extent, fidelity to Babbitt's system.

If art is not a mere imitation of reality, but a reflection or expression of the "higher reality", then imagination or something similar must play an important role in such a conception. Aristotle ascribed such a role to thought or reason. This is inadequate for Babbitt, and at one place of his most important work he states that Aristotle does not even use the word imagination (*fantasia*).⁴² According to Liang Shih-ch'iu we can apprehend universal or general elements in human life with the aid of imagination. But only a restrained and disciplined imagination can create works that would not be opposed to the principle of life probability.⁴³ In harmony with Babbitt, Liang maintains that the strength which restrains and disciplines the imagination, is reason.⁴⁴

Liang Shih-ch'iu—similarly as Babbitt—condemns romantic imagination. In particular he disagrees with J. Addison, the most prominent representative of British associationism of the early eighteenth century. He speaks of the visual nature of Addison's imagination, and characterizes it as "a newly-realized image of real things in our thought".⁴⁵ He considers this to be a "narrow explanation". Liang sees in imagination—similarly as in mimesis—a strength capable of conjuring "the illusion of higher reality". In general this may be said to be a deviation from the neoclassicist theory which, in a large measure, denied imagination, and also from the romantic tradition which, on the other hand, put a rather strong accent on it.

In his reflections on imagination Liang Shih-ch'iu does not lose sight of the question of human nature. "Imagination is very important", writes at one place, "but its properties are even more so. A truly great work does not ensue from senseless gossip but from a decisive approach to human nature."⁴⁶ Therefore,

⁴¹ Liang, Shih-ch'iu: *The Literary Laws*, p. 123.

⁴² Babbitt, I.: *op. cit.*, *Introduction*, p. XV.

⁴³ Liang, Shih-ch'iu: *The Poetics of Aristotle*, p. 62.

⁴⁴ Liang, Shih-ch'iu: *The Literary Laws*, p. 119 and Babbitt, I.: *Rousseau and Romanticism*, pp. 353—357.

⁴⁵ Liang, Shih-ch'iu: *Shih yü t'u-hua* [30] *Poems and Pictures*. In: *Classic and Romantic*, p. 44.

⁴⁶ Liang, Shih-ch'iu: *Wilde's Aestheticism*, p. 147.

human nature is to him a guide and goal, reason a restraining power, and the so-called "creative imagination" which, already restrained and disciplined, is his method.

Liang Shih-ch'iu does not characterize imagination as such, but presumes it as a wholly self-evident component of literature. He refers to creative imagination in at least two places: at one place he states that it is a necessary condition of "artistic creation"⁴⁷ emanating from experience, at the other he says that "creative imagination" consists in that the "literary material seeps through the writer's soul".⁴⁸ As to the experience referred to here, it should be observed that Liang Shih-ch'iu insisted that it be "subjected to analysis and synthesis".⁴⁹

With regard to these statements, two things should be noted: first, the principal role in creative imagination is played by reason. That is why Liang mentions analysis and synthesis—bothgnoseological and logical categories. Secondly, a "writer's soul" acts like a sieve or a piece of cloth, like a filter.

Not everything passes through it, at least, not what is rough-grained and sullied, polluted. Liang Shih-ch'iu does not oppose the subjective component in literature as might be inferred from what has been said so far. He is against that aspect of the "subjective" which has no firm roots in the "objective", which is mere "illusion", but not an "illusion of higher reality". Newspaper reports cannot become literature because they are only an objective description, and the 'writer's personality' is not in them".⁵⁰ What he meant by a writer's personality, he does not say.

One further item is implied in the preceding considerations. Although Liang Shih-ch'iu takes as his starting point the experience as the source, he proceeds in quite a different manner from that adopted by English empiricists, Hobbes, or Locke, who had influenced even Addison whom he criticized. These were in essence, sensationalists and antirationalists, while Liang was consistently rationalistic. According to him, all that emanates from feelings and imagination must bow to reason.⁵¹

I. Babbitt too, expressed himself in a similar manner on the role of imagination. However, it seems that particularly following his study of Chinese literary tradition, he began to see in it something more than a means of a literary and artistic expression. He claimed it to be "the universal key of human nature".⁵² We failed to find anything like this in Liang Shih-ch'iu. How did Babbitt hit upon

⁴⁷ Ibid., p. 146.

⁴⁸ Liang, Shih-ch'iu: *The Literary Laws*, p. 122.

⁴⁹ Liang, Shih-ch'iu: *Wilde's Aestheticism*, p. 146.

⁵⁰ Liang, Shih-ch'iu: *The Literary Laws*, p. 122.

⁵¹ Ibid., p. 123.

⁵² Babbitt, I.: *op. cit.*, p. 397.

this idea? After coming into contact with Chinese students, Babbitt made a relatively detailed study of Chinese Confucian and Taoist writings. The Confucians have always been very imitative and little imaginative. Taoists differed essentially in this respect. They so hyperbolized the elements of flux and relativity and illusion in things, that they doubted about a difference between "sleeping and walking, and life and death".⁵³ In this connection Babbitt too, expressed a very interesting idea. As the Confucians did not create "a sound conception of the role of the imagination", one is inclined "to ask whether this is the reason for China's failure to achieve a great ethical art like that of the drama and the epic of the Occident at their best".⁵⁴ This is very correct. Of course there exist more reasons than one. The most important will perhaps be the fact that China always lacked the concept of mimesis. *Tao* which was to have been the content of creation, confined itself excessively to human nature in its rigorous and rigid ethical interpretation, to the Way (Tao) of the ancient "wise and holy men", not to "nature" in its classical, and also post-classical apprehension, as was the case in Europe.

However, it should be noted that Babbitt's statement applies only to literature recognized by the orthodox literary criticism. Great works that can be ranged among the greatest in world imaginative literature, may be found among novels, short stories and dramas which this criticism either ignored, or condemned.

During the period studied here, Liang Shih-ch'iu devoted less attention to the question of relation between art and feelings. Similarly as in the case of imagination, he subjects feelings to the control of reason.

Liang Shih-ch'iu could not have been a neohumanist critic had he failed to seek a solution to this problem within the framework of dichotomy: classicism and romanticism. Classicists set a great store by reason, while romaticists value feelings. According to the latter, literature without feelings is impossible.

In speaking of feelings, he applies his remarks to modern Chinese literature. He finds it "saturated with lyricism".⁵⁵ Modern foreign literature made an impact on new China. Liang does not characterize it in any more detail, but under its influence modern Chinese writers began to write about "liberation" and "freedom", etc. Modern Chinese literary movement "lays too great an emphasis on feelings" and—according to the nature of the feelings it stresses—proceeds either towards decadence, or the so-called pseudoidealism. Modern Chinese writers are reportedly, in a predominant measure, decadents. Their literary creation turns round sensuousness and voluptuousness. It is an unaesthetic literature. His characteristic of

⁵³ Loc. cit.

⁵⁴ Loc. cit.

⁵⁵ Liang, Shih-ch'iu: *Hsien-tai Chung-kuo wen-hsüeh lang-mang-ti ch'ü-shih* [31] *Romantic Tendency of Modern Chinese Literature*. In: *Classic and Romantic*, p. 10.

pseudoidealistic literature is irreverent to us, for Liang Shih-ch'iu is of the opinion that "only one or two writers tend towards pseudoidealism".⁵⁶

Liang Shih-ch'iu recognizes the importance of feelings for literature and art, but simultaneously observes that their restraint, not their quantity, takes first place. It is precisely this restraint which he fails to find in modern Chinese writers.⁵⁷

Just as Babbitt, so Liang Shih-ch'iu too, condemns romantic melancholy.⁵⁸ Not only because the emotional aspect of works that result from this romantic melancholy is not under restraint, but also because this romantic melancholy is usually feigned only.

A lack of emotional restraint corresponds—according to Liang-Shih-ch'iu—in the sphere of world outlook, to the co-called humanitarianism. He does not look for the roots of this world outlook conviction in social or class reality as was almost universal among Chinese intellectuals after the year 1925. According to Liang, humanitarianism emanates from the so-called general sympathy *p'u-p'ien-ti t'ung-ch'ing-hsin* [32]. This general sympathy was a characteristic feature of romantic works and world outlook of romanticists.⁵⁹

There is a really close connection between imagination, sympathy and feelings. English romantic writers, for instance, were clearly aware of it. With the help of sympathy, imagination is capable to identify itself with its object.⁶⁰ Feelings are one of the products of this identification. The object of this sympathy—according to English romanticists—was not only man, but the entire nature.

Liang Shih-ch'iu does not mention sympathy in relation to nature. He asserts that in modern China a "Rickshaw-boy School" has been created. Poems are written that sing and pity the rickshaw-pullers. Liang had probably in mind Hu Shih [33] (1891—1962), one of the initiators of the literary revolution of the period of the May Fourth Movement, and perhaps also others. Liang Shih-ch'iu did not look upon rickshaw-pullers as being social and class cases, he did not see them as an exploited social stratum. "In reality", he wrote in one of his articles, "a rickshaw-puller by his blood and sweat earns money and his livelihood. This may be considered as a clean life *ch'eng-shih* [34]. There is nothing in him to be pitied, nor yet to be admired either."⁶¹ Rickshaw-pullers are not the only object of sympathy of Chinese poets and writers. They include in their general sympathy also peasants, tradesmen, workers, even prostitutes.⁶² It should also be added that Liang

⁵⁶ Ibid., pp. 12—13.

⁵⁷ Ibid., p. 12.

⁵⁸ Ibid., pp. 12—13.

⁵⁹ Ibid., p. 13.

⁶⁰ See the chapter The Premise of Feeling in Bate's *From Classic to Romantic*, pp. 129—153.

⁶¹ Liang, Shih-ch'iu: *Romantic Tendency of Modern Chinese Literature*, p. 13.

⁶² Loc. cit.

Shih-ch'iu, in the name of a struggle against "universal sympathy", condemned also the literature of the so-called small and oppressed nations of Central and Northern Europe which enjoyed great favour in China in the twenties and thirties, and thus looked with great scepticism on the efforts of Lu Hsün, Mao Tun [35] (born in 1896), Hu Yü-chih [36] (born in 1897) and others from the Literary Association *Wen-hsiieh yen-chiu-hui* [37].⁶³

Liang Shih-ch'iu's words about the rickshaw-pullers' "clean life" and other facts too, lead us to the view that class aspects were of no importance to him. He did not look at the world through the prism of Marx's, or later philosophies and sociologies. He thought in terms of neohumanist premises in which humanist thinkers from Confucius to Goethe had their place, but none from the younger ones, excepting I. Babbitt.

It may appear strange that 25-year-old Liang Shih-ch'iu should have chosen in his article, in which he wrote with so little sympathy about universal sympathy, the words of old Confucius as an illustration of his relation to reality, to art and literature: "At seventy I could follow what my heart desires without transgressing the law of measure."⁶⁴ But Liang Shih-ch'iu chose this quotation for the sake of the last words it contains. As a matter of fact he was not opposed to writings about workers, peasants or even prostitutes. Nevertheless, he insisted that the doses of sympathy on the part of writers, critics and readers to these would not exceed the law of measure, that only such a dose of sympathy be shown them as is commensurate with their desert, as an artistic expression of "human nature", as an embodiment of ethical and aesthetic ideals.

Liang Shih-ch'iu, that is to say, was not against sympathy at all, he was merely against "universal sympathy".

Art and Ethics or Morality

The premise of "restraint" is an indispensable component of Liang Shih-ch'iu's neohumanistic literary creed, just as the premise of associative imagination or feelings had been an indispensable part and parcel of the creed of old romanticists. All the aspects of his theory of art must be looked upon in the light of this premise.

This restraint manifests itself in an internal check.⁶⁵ This internal check involves not only imagination and reason, but also moral or ethical aspects.

⁶³ *Ibid.*, pp. 13-14.

⁶⁴ *Ibid.*, p. 21. The translation is taken from Legge, J.: *The Chinese Classics*, vol. 1 and 2, p. 147.

⁶⁵ Liang, Shih-ch'iu: *The Literary Laws*, p. 119.

Internal check is one of the main requirements and principles which I. Babbitt introduced into literary thinking.⁶⁶ In his system as in that of Liang Shih-ch'iu's theory, internal check is set in contrast to the so-called outer authority.⁶⁷ By outer authority is understood the sum of pressures striving to influence literature from outside. These are views of critics, politicians who endeavour to influence the nascent literature, or directly the rules valid, for instance, at the time of the coming of neoclassicism. Liang Shih-ch'iu always saw the ideal of literature in classicism. According to him, only that literature was sound which was created with the aid of this internal check. "This sound literature", he wrote in one of his articles, "will bring moral results".⁶⁸

Liang Shih-ch'iu differentiated between the moral and the ethical. He was not quite explicit on this point in his writings, but he seems to have been against "moral mentoring", but for "ethical principles".⁶⁹ Virtues and crimes may be the object of works of art. For example, Liang Shih-ch'iu did not consider Sophocles' *Oedipus Rex* to be immoral, although in it a son has sexual intercourse with his own mother and kills his father. In passing judgment on the moral value of a work, account must be taken primarily of the overall approach of the author, of the overall view of the plot. He who describes the Oedipal complex need not have in mind the moral or immoral aspects, but must strive to elucidate man's psyche in its depth and show one side of his human nature.⁷⁰ Art, according to Liang Shih-ch'iu, would not be useful if it were only ethical. However, neither did he recognize "immoral" literature as such. He considered "immoral" works as something abnormal, against order, something mad and irrational.⁷¹

Art and Criticism

Liang Shih-ch'iu deduces the meaning of the word "criticism" from the Greek word "krinein" to judge, and translates this term into Chinese as *p'an-tuan* [38], which means to pass judgment, to select, to assess, determine the value. He explicitly warns that "to criticize" means neither "to attack", nor "to destroy".⁷²

According to Liang, the role of criticism is not "to be a commentary of

⁶⁶ Cf. Babbitt, I.: op. cit., pp. 146—152.

⁶⁷ See Babbitt, I.: op. cit., p. 369 and Liang, Shih-ch'iu: *The Literary Laws*, p. 119.

⁶⁸ Liang, Shih-ch'iu: *The Literary Laws*, p. 121.

⁶⁹ Liang, Shih-ch'iu: *Wilde's Aestheticism*, p. 151.

⁷⁰ *Ibid.*, pp. 151—152.

⁷¹ *Ibid.*, pp. 152—153.

⁷² Liang, Shih-ch'iu: *Wen-hsüeh p'i-p'ing pien* [39] *A Defence of Literary Criticism*. In: *Classic and Romantic*, p. 104.

literary works, but to assess their literary value".⁷³ This is a fundamental tenet and the most important requirement of his literary creed. It must evaluate art and must proceed seriously in this. Criticism may not be either an explanation of the content, nor an analysis of a literary work and its relation to the surrounding world.⁷⁴

Criticism is, therefore, "a judging and evaluating activity of the soul".⁷⁵ In thus defining criticism, Liang Shih-ch'iu may have had in mind A. France's well-known outcry, according to which literary criticism is "the adventure of a critic's soul among masterpieces".⁷⁶

There is hardly any need to remark that he refutes France's conception and thus takes up the position of the majority of Chinese critical community. Essentially, Liang Shih-ch'iu recognized only that type of criticism which is usually termed in the history of literary thought as "judicial". It is the type that claims that there exists a certain "objective, determined and general standard", or perhaps "standards", on the basis of which it is possible to evaluate, or assess. He condemns the so-called appreciative criticism, which, besides the critic's "emotional predilections", acknowledges no determined standard and judges works solely on the basis of his sympathies or antipathies. The former of these types is classical, the latter, in Liang Shih-ch'iu's view, is a romantic type, and in its extreme form represents impressionistic criticism. As adherents of impressionistic critics he mentions W. Pater, A. France and subjects to a particular criticism Oscar Wilde, his erstwhile great literary hero. He reproached him, similarly as Pater (and the same may be inferred also of France) with substituting creation for criticism, and that "besides his own temperament" he does not recognize any standard for the criticism of a work.⁷⁷ Liang Shih-ch'iu liked very much a sample of impressionistic criticism—Pater's study on Mona Lisa. Nonetheless, he judged it as the result of a faulty method of criticism. He stated that Pater, when writing this study, confused criticism with creation and taste with genius.⁷⁸

Liang showed dissatisfaction also with other types of literary criticism. The lowest type of "pseudo-scientific criticism" in his view was "psychological criticism", which was rather an interesting phenomenon in terms of Chinese relations.⁷⁹ The "psychological" aspect in the literary domain received here

⁷³ Liang, Shih-ch'iu: *Ka-lai-erh-ti wen-hsüeh p'i-p'ing-kuan* [40] *Carlyle's Literary and Critical Opinions*. In: *Classic and Romantic*, p. 56.

⁷⁴ Liang, Shih-ch'iu: *A Defence of Literary Criticism*, p. 106.

⁷⁵ *Ibid.*, p. 109.

⁷⁶ *Ibid.*, p. 105.

⁷⁷ Liang, Shih-ch'iu: *Romantic Tendency of Modern Chinese Literature*, p. 17 and *A Defence of Literary Criticism*, p. 105.

⁷⁸ Liang, Shih-ch'iu: *Romantic Tendency of Modern Chinese Literature*, pp. 17—18.

⁷⁹ Liang, Shih-ch'iu: *A Defence of Literary Criticism*, p. 106.

very little attention indeed. Liang disliked also other forms of "pseudo-scientific" criticism, for instance that of Taine, which, however, he does not specify any further, nor the biographically oriented criticism of Sainte-Beuve.⁸⁰ A critical work is not "an inductive reasoning", but "an ethical selection", it is not "a statistical investigation", but "a determination of values".⁸¹ A critical work always presumes an "evaluation", but it is not a science.⁸² In a similar manner, Liang Shih-ch'iu is dissatisfied also with a "sociological criticism", whose aim is to investigate the influence of the period and the milieu on literature. According to him, this is not a criticism, but an investigation or survey.⁸³

What are the attributes which literary criticism should possess, what, according to Liang Shih-ch'iu, should be its nature?

Literary criticism ought to have a standard (which we shall point out presently). Its soul is "taste" and not creation, its duty is to evaluate and not appreciate, its methods are objective, not subjective.⁸⁴

To understand Liang Shih-ch'iu's criticism, it is indispensable at least approximately to define certain concepts which he frequently manipulates without adequately explaining them. These are three: literary standard *piao-chun* [41], literary laws *chi-lü* [42] and literary rules *kui-lü* [43].

Of these, literary standard is the most important concept, and is only one—valid for the entire literary creation and literary criticism. This literary standard is "human nature".⁸⁵ According to Liang, those will fail to apprehend this standard, who wish to determine or define it from a position of scientific positivism, sentimentalists, or rationally-minded neoclassicists who believe in "rules", intuitivists of the type of Bergson, for pure "human nature" is not identical with "constant flux".⁸⁶

Liang Shih-ch'iu does not elucidate in any detail the concept of "human nature", although it is the corner-stone of his whole literary theory. It may well have been a real "thing-in-itself" to himself, as it is now to us, and as it was to Chinese critics of the twenties and the subsequent period.

Literary criticism must also observe certain laws. In his view the principal laws of literary criticism (but also of creation) are a "high seriousness" (M. Arnold), and "rational restraint of imagination and feelings" (I. Babbitt).⁸⁷ The former law refers to attitude towards literature. Liang Shih-ch'iu condemns those who see

⁸⁰ Loc. cit.

⁸¹ Ibid., p. 105.

⁸² Ibid., p. 106.

⁸³ Loc. cit.

⁸⁴ Ibid., p. 105.

⁸⁵ Ibid., p. 106.

⁸⁶ Loc. cit.

⁸⁷ Liang, Shih-ch'iu: *The Literary Laws*, p. 126.

in literature a means for entertainment, but also those who seek in it something interesting, unusual and peculiar. The latter law refers to methods by which literature is produced. "Internal checks" have been spoken of earlier.

Liang refuses to acknowledge the rules that evolved in literary criticism from the times of Horace until the end of the 18th century. These are, for example, the "law of decorum", "three dramatic unities". He asserts that literature will do without them.⁸⁸

Liang Shih-ch'iu expressed his views on numerous other issues, for instance, on that of literary evolution, or more precisely, on question of literary progress. He understood this question differently from Chinese critics of his time. Here too, he started from the fundamental thought: human nature. General human nature is the "foundation of all the great works".⁸⁹ Neither the time nor the space of its origin is of consequence, important is only, how it satisfies this unique standard of works of art. Great works tend towards the highest Goodness and the highest Beauty (Liang Shih-ch'iu does not mention Truth).⁹⁰ We may evaluate them according as we approach this ideal, or drift away from it. Liang Shih-ch'iu did not believe in literary progress, or rather not in "gradual", but only in "comparative" progress.⁹¹ Literary progress does not proceed linearly, but only centripetally.⁹² The highest Good and the highest Beauty is the centre of all literary endeavours. Liang made no attempt more exactly to define the one and the other.

Liang Shih-ch'iu also understood the relation between literary works and the masses, and that between a literary critic and the masses, differently from the majority of contemporary Chinese critics. He felt convinced that the masses can only appreciate a literary work, but can never evaluate it.⁹³ This can be done only by critics. Great literary works are not confined to the taste of the masses, they rise above the trifles of a period.⁹⁴ Liang Shih-ch'iu likewise affirmed that the highest art does not reach the masses. "The highest art", he wrote in an article on dramatic art, "can be understood by few people only *shao-shu jen* [44], and these are serious people, and have great imaginative power."⁹⁵ This conception was condemned by advocates of mass literature from the end of the twenties and beginning of the thirties, and the entire gigantic and long-lasting movement for mass literature was guided by an opposite spirit.

⁸⁸ *Ibid.*, pp. 112—114.

⁸⁹ Liang, Shih-ch'iu: *A Defence of Literary Criticism*, p. 108.

⁹⁰ *Loc. cit.*

⁹¹ *Loc. cit.*

⁹² *Loc. cit.*

⁹³ *Ibid.*, p. 109.

⁹⁴ Liang, Shih-ch'iu: *The Literary Laws*, p. 116.

⁹⁵ Liang, Shih-ch'iu: *Hsi-chü i-shu pien-cheng* [45] *On Dramatic Art*. In: *Classic and Romantic*, p. 33.

Liang Shih-ch'iu would not have been a faithful disciple of Babbitt's had he not looked upon the whole literary development from the visual angle of dichotomy of classicism and romanticism. His very first book publication of his articles appeared under the title *Lang-mang-ti yü ku-tien-ti (Classic and Romantic)* and he also published under this same title a selection from his first two books, which appeared in 1965.

Right at the beginning of his first book Liang Shih-ch'iu characterizes his critical method as the "orthodox method" *cheng-t'ung* [46] in Western literary criticism.⁹⁶ According to this method there are two basic trends in literature: classical and romantic: an offshoot of the former is neoclassicism, and from the latter we may deduce the other post-romantic trends. He mentions most frequently impressionism.

"Classicists lay emphasis on sound art. Soundness depends on harmony of individual elements..."⁹⁷ When characterizing classicism he specially accentuates reason and underlines the rational aspect. However, he does not absolutize it as did rationalistic neoclassicists. Reason is an organ of restraint, equilibrating various elements that go in to make up the structure of a literary work.

Although classicism is Liang Shih-ch'iu's creative and critical ideal, he devotes far more attention to romanticism. One of the reasons may be that he encountered "romanticism" or its metamorphoses fairly frequently also in modern Chinese literature. He never characterizes romanticism in a summary manner, but from his relatively numerous remarks we may obtain a fairly just image of his concept. At one place he writes: "Romanticists ask for freedom, movement, the new, the peculiar."⁹⁸ Romanticists have become tired of the traditional spirit of neoclassicists and "spiritless imitation". They are convinced that return to the old is impossible and that new stimuli can be found only in foreign literatures. Consequently, romanticists carry on from the gains of foreign literatures. Romanticism in China, just as in other countries, is a reaction to classicism. Individual components in the two literary trends correspond, although the second is always a suppression of the first. For instance, genius in the romanticists is a denial of the good sense in classicists, creation in romanticists is a denial of imitation in classicists, imagination is a denial of reason, freedom a denial of rules. The romantic protest is emotional not rational, is destructive but does not build.⁹⁹

Liang Shih-ch'iu considered impressionism as a modern offshoot of romanticism. According to the impressionists: "Literature is not an objective imitation, but

⁹⁶ Liang, Shih-ch'iu: *Romantic Tendency of Modern Chinese Literature*, p. 2.

⁹⁷ Liang, Shih-ch'iu: *The Literary Laws*, p. 120.

⁹⁸ Liang, Shih-ch'iu: *Romantic Tendency of Modern Chinese Literature*, p. 3.

⁹⁹ Liang, Shih-ch'iu: *The Literary Laws*, p. 112.

subjective impressions.”¹⁰⁰ Liang Shih-ch’iu maintained that contemporary Chinese literature is “under the domination of impressionism”.¹⁰¹

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At the beginning of 1928 an extensive discussion began on “revolutionary literature”. Willy-nilly, Liang Shih-ch’iu also, took part in it. Left-oriented critics condemned, above all, the conception of “human nature” (of course, they understood it differently from what he meant). Liang Shih-ch’iu discussed on the “class nature of literature”, on the relation between literature and revolution, on literature and the masses.

Liang Shih-ch’iu has persistently remained a New Humanist. Nothing changed here. Only the situation in creative and critical area became different. In the years dealt with in this study (1924—1927) he was one of the few personalities with a clear-cut outlook on criticism. However, he was not a great critic. The main drawback in his criticism was his unexplained, and probably also uncomprehended concept of “human nature”. A further drawback was his hatred towards practically all modern literary production, both creative and critical. Liang Shih-ch’iu has perhaps a stronger position in a little influential Chinese neohumanistic endeavour. In the field of literary thought, he failed to gain followers even in the ranks of those who sympathized with him politically. To his political opponents he provided opportunities for extremely sharp exchanges of views not only because of his sympathies and antipathies, but also because of the lack of lucidity of his issues in the most important questions of literary criticism.

¹⁰⁰ Liang, Shih-ch’iu: *Romantic Tendency of Modern Chinese Literature*, p. 15.

¹⁰¹ Loc. cit.

1. 深寧秋
2. 新月社
3. 吳宓
4. 梅光迪
5. 創造社
6. 關於白璧德先生及其思想
7. 文學因緣
8. 周公
9. 學衡
10. 魯迅
11. 與自然同化
12. 浪漫的與古典的
13. 忘我的境界
14. 自我的消融
15. 情感的放縱
16. 王爾德的唯美主義
17. 人性
18. 自然流露
19. 君子
20. 無爲
21. 自然
22. 普遍人性
23. 梅光迪文錄
24. 文以載道
25. 文學的紀律
26. 固定
27. 真
28. 理想
29. 亞里士多德的「詩學」
30. 詩與圖畫
31. 現代中國文學的浪漫的趨勢
32. 普遍的同情心
33. 胡適
34. 誠實
35. 矛盾
36. 胡熊文
37. 文學研究會
38. 判斷
39. 文學批評辯詩
40. 喀賴爾的文學批評觀
41. 標準
42. 紀律
43. 規律
44. 少數人
45. 戲劇藝術辯正
46. 正統

THE SHORT STORIES IN CREATION DAILY

ANNA DOLEŽALOVÁ, BRATISLAVA

From July 21 to November 2, 1923 the journal *China News* published a literary supplement, *Creation Daily*, edited by Creation Society. Seven short stories appeared in this literary supplement, mostly describing emotional and social sufferings of heroes. These short stories form an important part of Creation Society's literary efforts during one of its most active periods.

Creation Society, *Ch'uang-tsao she* [1], founded in 1921 by young Chinese literates studying in Japan, soon took up a prominent position in the lively literary events of China of that day. The centre of its activity from its very beginning was Shanghai where the Creationists published their works and carried out organizational and editing activities. An important part of the life of the association was the publication of its own literary magazines, started in 1921.¹ From this point of view Creation Society achieved already the following year one of the most active periods of its history, comparable only with a later activity during 1926—1927. In 1923, besides its quarterly and weekly magazines, the association published also a daily, the *Creation Daily*, *Ch'uang-tsao jih* [3] as a literary supplement of the journal *China News*, *Chung-hua hsün-pao* [4].

Details on the history of *Creation Daily* are given by Kuo Mo-jo [5] in his memoirs *Annals of Revolution*, *Ko-ming ch'un-ch'ü* [6]. According to his reminiscences the idea of a daily of Creation Society originated at a meeting of former students of the Japanese Higher School at Shanghai at which Kuo Mo-jo and the editor of the *China News* also participated. The latter asked Kuo Mo-jo that the Creation Society should edit a literary supplement of the journal for the fee of 100 yüan monthly, with the Creationists having full liberty to determine the character of the supplement. Kuo Mo-jo consulted with the other members of the association concerning this proposal. He himself was against accepting the proposal—he found the orientation of *China News* uncongenial, the journal had a far

¹ Concerning their first magazine *Creation Quarterly*, *Ch'uang-tsao chi-k'an* [2], see articles in *Asian and African Studies*, Nos. VII and VIII.

lower circulation than Creation Society's magazines and he saw no reason to help them boost their circulation. In addition, he feared lest the Creationists, alongside their quarterly and weekly magazines, have not enough strength to edit a daily. However, Ch'eng Fang-wu [7] and Yü Ta-fu [8] urged that the proposal be accepted. They had several reasons for it: the competing Literary Association, *Wen-hsüeh yen-chiu hui* [9] was editing three literary supplements and under the circumstances Creation Society, too, needs a daily to be able to stand up to it. The existing magazines of Creation Society have a rather high standard, ninety-nine per cent of contributions by externists cannot be accepted for publication, whereby they lose readers, and the submitted manuscripts could safely be published in the supplement. Since they would have full right over editorial policy, they would not succumb to the orientation of China News, and ultimately, the monthly income of 100 yüan would go some way to ease their life. Kuo Mo-jo submitted to the view of the majority and he himself suggested to call the supplement Creation Daily and even drew the picture for the heading—flashes of lightning on a dark background. They agreed that Creation Daily would be edited by Yü Ta-fu, Ch'eng Fang-wu and Teng Chün-wu [10], Yü Ta-fu receiving 60 yüan and the other two twenty each.² But Kuo Mo-jo evidently makes a mistake in dating the above events. He writes about the meeting at which he received the offer from the China News Editor to have taken place in the first decade of September 1923 and the first issue of Creation Daily to have appeared about the middle of the same month.³ It is, however, quite certain that Creation Daily began to appear in July of 1923,⁴ exactly on July 21.⁵ One hundred issues came out and then the publication was stopped on November 2, 1923. V. Adjimamudova, referring to China News of July 17 till 20, 1923, writes that Creation Daily appeared daily except on Sundays, and only from the fifth week the supplement began to be published also on Sundays.⁶ Editing of Creation Daily was greatly affected by Yü Ta-fu's departure

² Kuo, Mo-jo: *Annals of Revolution*, Shanghai 1951, 2nd Edition, pp. 164—165 and 168.

³ *Ibid.*, pp. 164—165.

⁴ See e.g. announcement in Creation Weekly, *Ch'uang-tsao chou-pao* [11] No. 12 of July 29, 1923, p. 15.

⁵ Roy, David Tod in his book *Kuo Mo-jo: The Early Years*, Cambridge Harvard University Press 1971, pp. 125 and 197, states that "the first issue was published on July 26, 1923". He refers there to Creation Weekly No. 26 of November 4, 1923, p. 13, where, however, we find only an announcement on the discontinuance of Creation Weekly No. 26 of November 2, 1923. As against this, Yü Ta-fu's *Statement of Creation Daily*, *Ch'uang-tsao jih hsüan-yen* [12] in which he announces the launching of the supplement, is dated July 21, 1923 (see *Creation Daily Collection*, *Ch'uang-tsao jih hui-k'an* [13] Shanghai 1931, 3rd Edition, p. 2) and this date is also taken by V. Adjimamudova in the collection *Literatura i folklor narodov Vostoka* (Literature and Folklore of Nations of the East), Moscow 1967, p. 182, as the date of the appearance of the first number.

⁶ *Ibid.*, p. 182. The journal China News has not been available to me.

for Peking at the beginning of October. The care of the supplement passed completely to Ch'eng Fang-wu and Teng Chün-wu who also shared the fee: however, as several of the Creationists lived out of Shanghai, the publication of three journals simultaneously proved to be exerting. Moreover, influential members of the rightist Political Science Clique whose official organ was China News, initiated a campaign against literature in the vernacular and Kuo Mo-jo was of the opinion that stoppage of Creation Daily which propagated and carried modern literature in vernacular, was inevitable. Hence, it was no surprise to them when the director of China News called on Kuo Mo-jo and in carefully chosen terms intimated to him that China News showed a deficit and it would be advisable to stop publication of the Creation Daily.⁷ Kuo Mo-jo and Ch'eng Fang-wu agreed—it was in fact a relief to them: the daily was approaching its hundredth issue which came out on November 2, 1923, as the last.

Yü Ta-fu in his *Statement of Creation Daily*, inaugurating the publication of the supplement, writes that their aim will be on the basis of pure principles, with severe but just words to criticize literature, politics and economy, and above all, in the spirit of beauty and truth to create and mediate literature. They cannot speak, nor is it worth speaking about the reality of contemporary Chinese rotten politics and the sad prejudices of the governing party. In conclusion, addressing himself to friends he says that the forces of "nature" have already reached a climax and the times have come when their spirits must no longer hide. He exhorts them to come and together to plough up the expanse and sow the seed.⁸

With few exceptions, such as reviews and scientific treatises, Creation Daily devoted itself exclusively to questions of literature, propagated its modern conception publishing the fruits of the new Chinese literature following the progressive requirements of the May Fourth Movement as regards its formal aspect and contents. The supplement published numerous poems, critiques of home and foreign authors, discussions on issues affecting translation of poetry, relatively extensive essays on J. W. Goethe, R. Rolland, translations of works of A. de Lamartine, V. Hugo, P. Hille, J. W. Goethe, J. Heine, E. Dowson, W. Wordsworth, G. Maupassant, H. C. Andersen. Practically one half of the journal was taken up by artistic prose of various genres—short stories, lyrical travelogues, literary miniatures, poems in prose, feuilletons, musings, and reflections, etc.

Creation Daily published seven short stories representing quantitatively almost one-fourth of the supplement. Among the authors we miss the names of the most productive Creationists, and until then the most well-known short story writers: however, these contributed works of different genres to Creation Daily (for

⁷ *Annals of Revolution*, pp. 170—171. Kuo Mo-jo again makes a mistake in dating when he states that they had agreed on stopping the Creation Daily in the middle of December 1923.

⁸ *Creation Daily Collection*, p. 2.

instance, Kuo Mo-jo poetry and translations, Yü Ta-fu lyrical travelogues, literary miniatures and diaries, Chang Tzu-p'ing [14] articles). Short stories by two new authors appeared in it, viz. by Ni I-te [15] and Chou Ch'üan-p'ing [16] whose works began to appear frequently also on the pages of other magazines of Creation Society. In Creation Daily they published further works—Ni I-te wrote poems and Chou Ch'üan-p'ing a lyrical travelogue and a review. The remaining authors of short stories in Creation Daily are new names either in Creation Society, or in Chinese literature generally.

The present work will deal with the short stories in the order in which they appeared in Creation Daily.⁹

The first of the stories was Ni I-te's *On the Bank of the River, Chiang-pien* [17], dated April 8, 1923. Its protagonist suffers from feelings of disappointment and hopelessness when his friend Ku, stopping over in Shanghai on his way to Chen-chiang where he wishes to give notice to quit his job, comes to pay him a visit. N is without job; hope dawns on him and he proposes to take over his place. That same night they take the train for Chen-chiang and Ku tries to convince him that he will do well; N, however, is sceptical, he doubts about everything including art. Ku argues that there is nothing to doubt about in art, only that now under capitalism a young artist has no firm position and cannot even afford to buy painting requisites at the grossly exaggerated prices. N complains that his life has been nothing so far but an alternation of hope and disappointment, no artistic opportunity has come his way, and in contrast to his other friends, he has not done well. At Chen-chiang they call on the principal of the school, a former fellow student of N's. From him they learn that the number of pupils enrolled is low at present, and only two for the arts course, there is a financial deficit—N sees that this is no refuge either. He sees the teachers during recess time and they appear to him to be commonplace, banal and he is glad not to be one of them, he prefers to live with his romantic artistic friends. Together with the principal they go to the Yang-tse River, N gets drunk and cries out to the river that he wants to go far, to suffer as did formerly the poets Ch'ü Yüan and Chia I to whose greatness and moral purity he renders homage aloud. The story is divided into three parts. The first deals with the meeting of the two friends until their decision to go to Chen-chiang, the second with their journey by train and the third with the days at Chen-chiang. All the three begin with a description of the environment in which, in the conclusion of the second and third part, the characters N and Ku are embodied, while in the

⁹ As I have at my disposal only the *Creation Daily Collection* in which individual issues of the supplement are not separated, it cannot be reliably determined in which numbers the stories appeared. At best by dividing the number of pages in the Collection by the number of issues, a very rough estimate may be made as to the issue number and date of appearance of the supplement.

first, the author passes from a view of N to a description of the scenery. The core of the story are the relatively extensive dialogues revealing the heroes—especially N's—world of thought and feeling motivating and shifting the plot. As used to be typical for Creationists, Ni I-te also describes intimately known milieus and problems, and his heroes are types intellectually and socially close to the author (Ni I-te also painted).

The Hound Yung-nu, Lieh-kou Yung-nu [18] by Sung-yeh [19]—I have not succeeded in tracing this author's real name—is dated, perhaps by mistake, October 1912. The story of the old dog who follows daily his master to hunt, though neither his legs, nor eyes nor ears serve him any longer, is made to develop on nearly five pages. The housefolk talking among themselves, say that the dog is useless and that they will chase him away. The dog does not know what to do: he will hardly find another master, for he is of no use any more, he is not able to provide for his own subsistence and he cannot go home for at one time he is killed and tyrannized there. He reproaches his master that he has served him faithfully for ten years, he reproaches people that they are brutal, cruel and himself that he had formerly badly appraised them. He reminisces on fine episodes with his masters and subconsciously makes his way home. The grass mocks him, the sage-hare and the partridge reproach him doing them harm, the dog admits his faults and mistakes which he has now understood, he lies down on his native earth and awaits their final judgment. With the exception of the initial passage describing the dog's wasted condition and his masters' dialogue in which they decide to chase him away, the entire prose is taken up with Yung-nu's reflections and inner monologues, along with statements of the dog, grass and other animals. The story carries elements proper to fables.

The story *Punishment, Tse-fa* [20] is dated by its author Hsü Shih-heng [21] as January 1921. The hero, without any closer identification, lives an unhappy life, he has no one in whom to confide with his grief, he sheds tears in his loneliness, cries, shouts like a madman. He is tormented by his conscience, ashamed; to live to him means to wait for punishment for guilt, for the sentence of death from his conscience. He goes out among the people but feels they would not understand him, he recites to himself his own poem on love and suffering which he does not like. At the end of a fortnight he is physically completely worn out as a result of his nightly transgressions. He lives only at night, daylight sadness has no meaning to him. After a month he was sent to hospital for treatment of his enfeebled nerves. Now he envies people their daily pleasures, but he cannot get free of the night which provides him excitement. During the night he thinks of a girl he liked and with whom he once slept before her wedding. He sees in this a grievous sin, he torments himself physically for it, waves in his brain count his transgressions, he suffers cruel torments of conscience. Hsü Shih-heng's *Punishment* comprises six parts, all of which, with the exception of the reminiscent narration of his

amorous episode in the fifth part and two short descriptions of the hero's shabby exterior, are portrayals of his mental states, self-torment, endless suffering without an exit. The hero's mental states are depicted emphatically, often terminated by an exclamation mark, his inner monologues are full of passionate outcries of pain and self-accusation.

Of quite a different tone is the next story, by Ho Tao-sheng [22] *The Apprentice*, *Hsüeh-t'u* [23] (undated) which portrays in a detailed and connected manner a concrete episode. The principal figure here is a boy Fu-shou whose father died when he was ten, leaving his mother penniless with five children. He became an apprentice in a cap-maker's workshop. He has to do all the household chores, the master is irascible, his wife often feigns illness, and then he takes it out even more on the boy, harassing him, letting him go without sleep and food. They beat him, but carefully so as not to leave any marks, so that nobody even pities him. The boy dreams of food and money, and even of illness so that he might have a little rest, he longs to get through his training quickly and return to his mother. He stands it out for two years, but thinks more and more of running away. Once they sent him out to make purchases for two coins: for one he buys a sweet cake for the new-year, and for the other he decides to go home. The villagers show him the way to the little town whence there is a boat to his native place. People are kind to him, they give him to eat, let him sleep and take him to the boat. He thanks for nothing, accepts everything as a matter of fact: he knows it to be the goodness of multitude. At home he tells his mother who received him with mixed feelings that he wants to buy material and make caps. However, the distressed mother has no money. In a few days, on her orders he begins to prepare and sell bean curds. By its theme and its manner of processing the story differs from the others in *Creation Daily* and from most stories typical for *Creation Society* writers generally. In contrast to them, it does not draw for its theme on emotional problems of city intellectuals. Consistently, in a balanced, thrifty style he describes the apprentice's episode and the environment in which he moves. Fu-shou's thoughts and emotions are not analysed to the same extent and in as great detail as in *On the Bank of the River* or in *Punishment*, though the characteristic of the boy is sufficiently plastic. The author works with a direct description of the events connected with the apprentice and his reactions: direct speech of characters and dialogues are relatively rare and concise. The story carries a deep social and humanistic tone.

The longest story in *Creation Daily* is Ni I-te's *A Poor Scholar*, *Han-shih* [24], dated "October 1st, 1923 in the Nanking School of Arts". The hero, speaking in the first person, filled with enthusiasm over autumn and convinced that it is the most favourable season of the year, weighs up his miserable financial situation, when suddenly he has a letter from his former professor. On reading through it, he feels overjoyed, for his problems seem to be solved. On second thought, however, he experiences a disappointment for he held the view that an artist must live in

a large city where contemporaneous life is concentrated which must be depicted, and where an artist must seek his subject matter—contrary to the old literature which focused unduly on nature. He says to himself that he will rather starve in Shanghai. But his friend persuaded him to accept the proposal in the letter: he should acquire a position in youth, he would hardly do it in Shanghai, and then Nanking is a fine place for a painter, and if he wishes to write, he will gain experience there and find enough material. However, he has no money for the journey and nobody from whom to borrow it. He calls on the editors of a literary magazine who, according to him through pity, had published in spring a couple of his short stories. They now lent him some money to enable him to go to Nanking to teach at an Arts school. In the train he becomes oppressed with fears of the future, he watches the countryside, thinks of his past, unrequited love. On arriving to Nanking he feels lost. After a time he meets V who takes care of him although the previous summer, in order to earn some money for food, he had written about their exhibition and criticized V's pictures. V as a Tolstoist, repays evil with good. The director of the Arts school is not to his liking, nor is his comfortable accommodation on the school premises, he feels lonely and craves for his poor life in Shanghai. He receives a letter full of understanding, confidence in the future, tenderness and love. He wakes up with a start and becomes aware that he only dreamt of the letter and regrets that in reality no such letter came his way. This story too comprises five parts, succeeding each other in a temporal sequence and chronologically developing the episode. The reminiscences do not constitute an independent part but are incorporated into the narrative just as they are evoked by the event or view that is being described. *A Poor Scholar* is the only story in *Creation Daily* written in the first person. Descriptions of the environment are smoothly connected with passages about the hero's reflections, depiction of his feelings, impressions and insights. The hero's actual communication with other characters in the story is always presented in the form of dialogues and not directly as spoken by him. Some of the traits possessed by the hero, the environment and the plot are, similarly as in the preceding story of Ni I-te, fairly close to the author and evidently autobiographic to a certain extent, a fact implied in the author's remark accompanying the dating, that he had written the story at the Nanking School of Arts.

Chou Ch'üan-p'ing, according to his own dating, wrote the story *His Confession*, *T'a-ti ch'an-hui* [25], on March 19, 1923 at Nan-hsiang. A rainy and windy evening only adds to the already low spirits of the unhappy hero. A glance at the portrait of a woman revives in him sad and unpleasant memories. In a group of middle school scholars, in high spirits, there is one who is sad. He had a letter from his father informing him that they had betrothed him to a friend's daughter, not pretty, but a good girl. The student believes that husband and wife should be united in love and he does not even know the girl, moreover, she might even have bound feet and be an analphabet. He decides to inform his father that as a condition, she must unbind

her feet and must study. Three years later he finished school and came home. He muses over marital relationships about him. He knows he would be happy with a pretty, modern wife, nevertheless, although his fiancée is just the opposite of this, he will love her if she obeys him and changes. After the wedding he finds that his wife not only lacks beauty, but is also frigid, bashful, incapable of moving in his social circle and livens up only in the company of women from the family. She did not unbind her feet, does not study, is ignorant of love, does not understand it, she only knows how to serve her husband and be humble: she is old-fashioned—he is able to forgive her, but not to love her. They had a child, but nothing altered in their married life. The hero concludes that he must divorce her, more and more people depart from the established traditions, why should he have to renounce love? According to the old morale the woman is an excellent wife, she will suffer through the divorce, even though materially she will be assured. After the divorce he will find a wife according to his fancy, in fact they have lived together for several months now. He is happy, the woman is pretty, modern, educated, but also capricious and egocentric. She insists that he always have time for her and for social life, he has no time for writing and for his teaching duties, works during the night and she takes offence when he tries to explain to her that he has work to do. In the end she leaves him under the pretext that his renown and position are inadequate to her and that he does not love her with a real love. He lives alone, often thinks of his first wife, feels that he had been unjust towards her and through the divorce had destroyed her life. The wind and the rain grow more intense, it seems to him that the woman from the portrait looks on him with love and sadness. The story has a circle-like construction, the introductory and concluding situations are alike, the latter being reinforced by the hero's remorse over his treatment of his first wife. This description taking up the major part of the story is constructed as an independent part, the portrayal is never interrupted by any allusion to the present spoken of in the introduction and the conclusion. Both sections are optically separated, as are also the individual parts within the recollection. The author has spanned the time intervals between the incidents of the core of the story, by brief statements. He described in detail certain crucial, characteristic scenes from both his marriages, underlined with brief dialogues and more frequent inner monologues of the hero. The story contains extensive passages describing the characters' behaviour and the hero's reflections while the thoughts and feelings of both the women are portrayed indirectly, either through their actions, or through the hero's observations and statements. An opposition against the traditional mode of concluding marriages, promoting emancipation of women, were issues of actual interest in China of those days. However, Chou Ch'üan-p'ing's story is not à la thèse: the hero condemns traditional marriage, extricates himself from it, but neither does his new, free marriage bring him permanent happiness and is not a happy end. An analysis for a vain search of happiness and the hero's amorous failures is an approach typical for Creationists.

The last story in *Creation Daily* is *On Board a Ship, Ch'uan-shang* [27] by Shen Tsai-pai [27] (a pseudonym of Shen Tuan-hsien [28], better known under his other pseudonym Hsia Yen [29]). It bears the date of January 15th, 1923. In three short parts the author describes a journey by boat from Shanghai to Nagasaki which began on September 1st 1922. Two students C and Y are also on board. As the ship leaves the shore, the cries of the hawkers die down, so does the parting of the passengers, the students talk about the hard life of Japanese workers. The third class cabin is crowded, the air is unbreathable, stuffy. A wind rises, the majority of the passengers fall sea-sick. On request, the waiter brings tea to the Japanese, replaces the spittoon soiled with puke, but insolently refuses to do anything at all for a young workman although the latter feels very bad. When the following day another workman asks the waiter when is the ship to arrive to Yokohama, he abuses him in rough language, but is polite to the student—his fellow-countryman. In Nagasaki the police comes to take away the young man who is said to be a Korean. C and Y also disembark here, but must spend the night in a quarantine, for an epidemic had broken out in Shanghai. C begins to have some doubts and questions: Why only passengers from the 3rd class had to be isolated and not those from the 1st and 2nd class? The Korean was arrested because of his country, he himself is free because China has not as yet been entirely destroyed. Why may the Japanese and the student-countryman have the services of the waiter, but the workman may not? And he finds no satisfactory answer, not even in the morning when he takes the train to the place where he is to study. The author concentrated on the description of some incidents relating to C's questions. The concise forceful dialogues and portrayals of the situation on board the ship lead directly to an atmosphere suitable for expressing the mental design embodied in C's questions. Shen Tuan-hsien, himself a student in Japan, was the only one in *Creation Daily* to have touched upon the frequently recurring topic in *Creationists*: a description of journeys or sojourns of Chinese students in Japan.

When winding up publication of *Creation Daily*, Ch'eng Fang-wu, the Editor, wrote about the short stories: "As regards the few stories which we have selected for publication, I can guarantee that they are above average. Among several authors particularly Chou Ch'üan-p'ing and Ni I-te are the most promising. During the past six months they proved to be the most outstanding among rising writers; had we but introduced these two coming authors, we may say that our effort during the past hundred days has not been in vain."¹⁰ Both became regular contributors to *Creation Society's* magazines. Publication of short stories in *Creation Daily* proved to have been of importance to them. Chou Ch'üan-p'ing dated the story *His Confession*, March 19th 1923 and it was published in *Creation Daily* about mid-October. Shortly before that, on October 7th, his other story appeared in *Creation Weekly* No. 22, *Christmas Night, Sheng-tan chih yeh* [30] which, however, he wrote later, September

¹⁰ *Creation Daily Collection*, p. 3.

17th 1923.¹¹ Hence, *His Confession* is evidently Chou Ch'üan-p'ing's first story (Ch'eng Fang-wu is right when he says that Creation Daily introduced this author—his lyrical diary evidently appeared earlier than No. 22 of Creation Weekly). Ni I-te's *On the Bank of the River* is clearly his first work. According to his dating he wrote it on April 8th 1923, hence, approximately at the same time as his story *Shadows of Flowers, Hua-ying* [31] which he wrote, as he says, towards the end of spring 1923.¹² The latter, however, appeared only in February 1924 in No. 2, Volume II, of Creation Quarterly, while *On the Bank of the River* was published in No. 1 or 2 of Creation Daily.

The stories published in Creation Daily represent an organic part of the literary efforts of Creation Society in helping to shape modern Chinese literature in the early period of this association's existence. With the exception of *The Hound Yung-nu* and *Apprentice*, they are connected by a type of central hero who always plays an exceptionally important role, as the entire plot is concentrated on him. He is the social and intellectual counterpart of the author. The stories analyse the thoughts and feelings of these characters—the bearers of the plot and the mental design—focusing on their subjective apprehension of reality and its reflection on the psyche. This is not an absence, a lack of interest on the part of the authors in reality, problems of time and place are reflected in the fates and problems of individuals (from this aspect an exception, alongside *The Hound Yung-nu*, is the story *Punishment*). They are not the forceful, determined, constructive type with "a drive", they are unable to cope with the problems encountered in ordinary life, they find no way out nor any positive answer to them, they only present them, perceive them with sensitivity and suffer on their account. Their attitude towards contemporaneous society, their disappointment with it and their criticism are directly or indirectly embodied in their statements, their sufferings and sense of hopelessness. The authors of the stories in Creation Daily are all young, beginning writers. From a global point of view of modern Chinese literature they do not represent its peak achievement, but they are characteristic for the literary efforts and tendencies of the period immediately following the May Fourth Movement of which they form an intrinsic part, without a knowledge of their endeavours, our image of Chinese literature of this period would not be complete.

¹¹ Creation Weekly, No. 22, p. 12.

¹² Creation Quarterly, Vol. II. No. 2, p. 54.

1. 創造社
2. 創造季刊
3. 創造日
4. 中華新報
5. 郭沫若
6. 革命春秋
7. 成仿吾
8. 郁達夫
9. 文學研究會
10. 鄧均吾
11. 創造週報
12. 創造日宣言
13. 創造日彙刊
14. 張資平
15. 倪貽德
16. 周全平
17. 江邊
18. 獵狗庸奴
19. 誦業
20. 責罰
21. 徐葩蘅
22. 何道全
23. 學徒
24. 寒士
25. 他的懺悔
26. 船上
27. 沈宰白
28. 沈端先
29. 夏衍
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QUELQUES REMARQUES SUR LA PROSE RÉALISTIQUE VIETNAMIENNE

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Cet article n'aspire pas à une compréhension complète du réalisme dans la littérature vietnamienne. En fait, il est question ici d'une évaluation de la prose de la période entre 1930 et 1945 de notre siècle. Avant tout, nous nous sommes efforcés d'expliquer les problèmes de base qui modifient intérieurement les rapports du chercheur avec les problèmes de la littérature vietnamienne. Il s'agit des représentants principaux de la prose vietnamienne, comme Ngo Tat To, Nam Cao, Nguyen Hong, Nguyen Cong Hoan et Vu Trong Phung. Les problèmes traités ne représentent, certainement, qu'une partie infime des problèmes complexes.

Le réalisme, en tant que mouvement littéraire, en outre des traits les plus communs, possède dans chaque pays des particularités individuelles déterminées par sa situation historique et sociale. Son origine et développement dans l'Europe Occidentale et tout particulièrement en France, remontant à la moitié du 19^e siècle (le professeur N. I. Konrad dans son étude *Problema realizma i literatury Vostoka* place l'origine du réalisme entre 1825 et 1850, la rattachant aux noms de Balzac et Flaubert),¹ étaient relativement complexes, comme l'atteste le fait assez frappant qu'il n'existe pas même de nos jours une compréhension univoque de ce terme du point de vue artistique. Dans son travail D. Grant releva en ordre alphabétique la liste suivante: «critical realism, durational realism, formal realism, ideal realism, national realism, naturalist realism, objective realism, optimistic realism, pessimistic realism, quotidian realism, romantic realism, satiric realism, visionary realism».² W. K. Wimsatt décrit un «low realism, high realism, drab realism»,³ alors que W. Lacher classe les formes de réalisme en «réalisme pastoral» de Chateaubriand, «réalisme spiritualiste» de Duhamel, «réalisme du moi profond» de Proust et «réalisme de la plus grande ville» de J. Romains.⁴ A une époque plus proche de nous, alors que la littérature réaliste européenne pénétrait aussi dans

¹ Konrad, N. I.: *Problemy stanovleniya realizma v literaturakh Vostoka*. Moskva 1964, p. 11.

² Grant, D.: *Realism*. Methuen and Co. Ltd., London 1970, p. 1.

³ Wimsatt, W. K.—Brooks, C.: *Literary Criticism*. London 1957, p. 102.

⁴ Lacher, W.: *Le Réalisme dans le roman contemporain*. Genève 1940, pp. 332—333.

quelques pays asiatiques, c'était « essentiellement une littérature de réalisme négatif »⁵ déterminée de nouveau historiquement et orientée politiquement vers le réformisme.

On doit remarquer de prime abord, que le réalisme vietnamien a pris naissance en des circonstances différentes, en des conditions historiques spécifiques — dans une société coloniale et semi-féodale. Même dans la troisième décennie de notre siècle une forte idéologie féodale du confucianisme était encore très répandue au Vietnam, ou se heurtaient des influences diverses de caractère idéologique, religieux, artistique et social. Cet état de choses a laissé des empreintes de particularités nombreuses sur le développement de la littérature réaliste vietnamienne.

En Juin 1884 un traité était conclu donnant à la France le droit d'établir sa propre administration civile sur tout le territoire du Vietnam. Des groupes de poètes-satiriques (Tu Xoung, Nguyen Khuyen, Hoc Lac) et beaucoup d'érudits parmi les confucianistes de diverses provinces ne sympathisaient guère avec ce fait accompli. Certains historiens littéraires vietnamiens considèrent les œuvres de ce groupe de poètes comme le commencement du réalisme dans le domaine de la poésie,⁶ — alors qu'on puisse en grande mesure généraliser cette opinion, l'étendant sur toute la littérature vietnamienne, étant donné que la poésie y dominait traditionnellement, pratiquement pendant les vingt premières années de notre siècle. Le poète le plus caractéristique de ce groupe était Tu Xuong (1870—1907), dont les vers satiriques sont riches en lyrisme.

Il fallait encore quelque temps pour que les facteurs sociaux et littéraires indispensables pouvaient se manifester, facteurs qui constituaient la base pour le développement du réalisme, et du réalisme critique, dans la prose. La société vietnamienne a passé par périodes nombreuses et complexes du féodalisme et au cours du rapprochement avec le capitalisme occidental a éprouvé des changements profonds. C'étaient avant tout des changements dans la structure de la société, la formation de nouvelles classes sociales et de nouvelles relations en production. Un des résultats de la première guerre mondiale, en ce qui concerne le Vietnam, était l'émergence et le développement d'une bourgeoisie nationale.

L'époque à laquelle la France a occupé le Vietnam était une période de développement du capitalisme en Europe, de la création d'un système mondial qui, d'accord avec un investissement planifié du capital, s'étendissait graduellement aux pays arriérés de l'Extrême Orient et par conséquent aussi à l'Indochine. Ici il se heurtait à des conditions historiques différentes et cet impact, indésirable à plusieurs points de vue, s'affermissait graduellement, cette collision de deux systèmes disparates, de deux idéologies et cultures non-homogènes exerçait une influence considérable

⁵ Nguyen Duc Dan: *May van de van hoc hien thuc phe phan Vietnam (Quelques problèmes de la littérature critico-réaliste vietnamienne)*. Hanoi 1969, p. 9.

⁶ Ibid., p. 12.

sur certaines particularités de la littérature vietnamienne de cette époque. Khai Dinh dans une polémique avec Pham Quynh écrivait ironiquement à ce sujet: «Kieu and the Tonkin Coal Company? Nguyen Du and the Michelin rubber plantations? The language of Nguyen Trai and the Bank of Indochina? That was it, Franco-Annamese collaboration! That was it, the coupling of Eastern wisdom and Western philosophy, of Confucian thought and Cartesian rationalism!»⁷

Plusieurs événements historiques ont pris place au cours du développement du système capitaliste durant les vingt premières années de notre siècle qui entraînaient la société féodale-coloniale dans un état de crises de plus en plus profondes. Durant la première guerre mondiale la France était un des états belligérents et a souffert de grandes pertes. Cela se reflétait d'une manière très désavantageuse sur la situation à l'Indochine même, dans les années d'après-guerre, quand les conditions économiques et sociales allaient rapidement de mal en pis. Et en plus, les échos de la grande crise économique mondiale n'ont pas épargné l'Indochine et ont provoqué plus d'un événement tragique. Bref, telles étaient les conditions historiques et sociales qui sont devenues les stimuli pour la naissance du réalisme critique dans la littérature vietnamienne, approximativement entre 1930 et 1935. Une attention toute spéciale doit être prêtée aux conditions de la vie littéraire comme telle. Le facteur qui avait une influence importante sur l'origine du réalisme critique dans la littérature vietnamienne était le développement de la prose. La littérature vietnamienne classique préférait, et on peut même dire, faisait cas absolu de la position privilégiée de la poésie, de sorte que les créations prosaïques ne se sont conservées qu'oralement, de même que le roman populaire en Chine, bien que certaines de ces œuvres s'y aient été conservées aussi en écrit. Ce n'est qu'au commencement de notre siècle, avec le progrès et la codification légale de l'écriture nationale (chu quoc ngu) qu'un changement est survenu dans l'image de la littérature. Sans doute, un rôle positif a été joué en ce sens par la pénétration de la culture européenne, principalement par la littérature écrite en français. On commençait à traduire et à publier de nombreux ouvrages littéraires, philosophiques et politiques de l'Ouest. Les jeunes des familles cultivées — éduquées — cessaient graduellement de sympathiser avec la transmission de l'idéologie occidentale uniquement à travers le «filtre chinois», mais lisaient directement en français, ou en traduction vietnamienne. De cette manière, le mouvement traducteur du commencement du 20^e siècle est devenu un élément significatif dans le développement de la prose vietnamienne et a créé pour celle-ci les conditions primaires.

Cependant, cet impact de deux cultures différentes, alors même qu'il s'affermis dans le domaine de la vie littéraire, n'aboutit en son ultime forme qu'à un mélange relativement complexe, voire même chaotique, où entraient un démocratisme

⁷ Cit. selon Nguyen Khanh Toan, *Nguyen Du and His Times*. Vietnamese Studies, No. 4, Hanoi 1965, p. 6.

progressif bourgeois, un romantisme attardé, une décadence occidentale, un radicalisme socialiste, une tradition et une révolution chinoises et un mouvement national vietnamien.

C'est en de telles conditions que les premières générations des prosateurs vietnamiens débutaient. A peu près vers la fin de la première guerre mondiale, des contes, nouvelles et romans et successivement aussi d'autres genres prosaïques commençaient à paraître dans les revues et journaux vietnamiens publiés en écriture nationale. Leurs auteurs, tels que Pham Duy Ton, Nguyen Ba Hoc, Ho Bieu Chanh et d'autres signalaient déjà des ouvrages plus remarquables pour les années à venir. Ils publiaient leurs travaux surtout dans les revues *Dong duong tap chi*, 1913—1917 (Journal d'Indochine) et *Nam Phong*, 1917—1934 (Vent du sud). Le lancement de journaux littéraires dans la période entre 1920 et 1940 se rattache étroitement aux efforts d'une modernisation de la littérature vietnamienne. Ces revues sont plus tard devenues un arrière-front pour la publication livresque des œuvres de plusieurs auteurs éminents, tels par exemple, Ngo Tat To, Nguyen Hong, Vu Trong Phung, Nam Cao et autres.

Les premiers contes à paraître dans la littérature vietnamienne sont de Pham Duy Ton (1883—1924). Celui-ci était le rédacteur en chef de la revue, publiée en vietnamien, *Luc tinh tan van* (Littérature nouvelle de la Cochinchine) et son conte le plus connu est «*Qu'ils vivent ou meurent — c'est égal*» (*Song chet mac bay*, 1918). Il y traite de problèmes sociaux, du caractère anti-humain de l'administration et de la cruauté du mandarinat. Il avait une bonne maîtrise du français et dans ses travaux il était sous l'influence du roman français du 19^e siècle (A. Daudet, Guy de Maupassant).⁸ Un autre prosateur, Nguyen Ba Hoc (1857—1921), notait et décrivait les aspects peu communs de la société, qu'il s'efforçait de résoudre se basant sur la morale classique et des sentences instructives. Dans sa nouvelle *Histoire de la première nuit conjugale* (Cau chuyen mot toi cua nguoi tan hon, 1921), «il eut l'honneur d'être le premier parmi les auteurs vietnamiens à décrire la vie des ouvriers et de présenter l'image de l'ouvrière vietnamienne».⁹ L'écrivain du Vietnam Sud Ho Bieu Chanh (1885—1958) écrivait sous la forte influence du libéralisme de l'ouest, alors même qu'il voyait la solution des problèmes sociaux dans un retour à la morale classique du confucianisme (nouvelle *La fleur fanée — Doa hoa tan*). En 1925 apparut le roman *To Tam* de Hoang Ngoc Phach (1896—) qui est considéré comme le fondateur de romantisme dans la littérature vietnamienne — mais on doit tenir compte du fait que «ce que (les érudits littéraires vietnamiens — J. M.) embrassent sous le terme «romantisme» est loin d'être équivalent au mouvement romantique dans les littératures européennes».¹⁰ Ce

⁸ Nikulin, N. I.: *Vietnamskaya literatura*. Moskva 1971, p. 167.

⁹ Ibid., p. 168.

¹⁰ Ibid., p. 175.

qui lui est caractéristique, c'est son regard sur le monde intérieur des personnages, leur attitude délicate, voire même sentimentale, un style assez près du style rythmique de la prose.

Chez les représentants de ce groupe d'écrivains, le détail a joué un rôle remarquable dans leur création, quoiqu'il se fût montré dans certains travaux comme extrême et une fin en soi-même. Leur principal mérite réside en ce qu'ils ont donné le stimulus au développement de la prose réaliste dans la période entre 1930 et 1950 quand des œuvres plus éminentes ont été créées: «Il fallait attendre jusqu'en 1936 pour que la création réaliste eût gagné une base réellement socialiste et idéologique, pour qu'elle eût pu se développer fortement et devenir un mouvement littéraire. Peu à peu des œuvres réalistiques de grande valeur commençaient à paraître. Pour la première fois y apparaissait la campagne avec ses chagrins et sa misère. Il n'y a plus de situations romantiques, plus d'atmosphères paisibles, derrière, 'une haie de bambou'.»¹¹

Le premier parmi les représentants éminents de la prose réaliste vietnamienne est Ngo Tat To (1894—1954). C'est le dernier des érudits confucianistes, formé selon l'esprit de la culture classique vietnamienne et chinoise, et en même temps un grand démocrate et patriote. Son œuvre comprends un grand nombre d'articles, de critiques, d'études littéraires et philosophiques, des reportages, des pamphlets et plusieurs romans le placent parmi les plus grands personnages de la littérature vietnamienne contemporaine. Il est le dernier homme de lettres de la vieille école et le premier écrivain réaliste de la nouvelle génération de sorte qu'il est un lien entre deux époques de la littérature vietnamienne. Dans son roman le plus connu, *Quand la lampe s'éteint* (*Tat den*, 1939), Ngo Tat To découvrit la campagne féodale, le luxe des nouveaux-riches, leur corruption, la brutalité et l'insolence des notables et mandarins. La campagne vietnamienne lui offrit une nouvelle occasion pour une critique âpre sous la «renaissance culturelle» proclamée par les occupants japonais en 1941 avec l'assistance de la flotte de Pétain sous le commandement de l'amiral Decoux. Toute la littérature vietnamienne devait se développer en ce temps sous le manteau d'un retour aux vieilles valeurs classiques, où néanmoins, était très transparente et très saillante «l'unité de l'enseignement confucianiste et les traditions de l'Orient avec occultisme, magie, pornographie et exaltation des armes modernes «Made in Japan» dans l'intérêt de la plus grande prospérité des relations culturelles Hanoi—Tokyo». ¹² Ngo Tat To est un confucianiste avec une appréhension rationaliste de la réalité, avec un sens pour l'objectivisme historique et un art de montrer la beauté dans le banal et la grandeur dans l'ordinaire.

¹¹ Vu Dinh Lien, *Luoc thao Lich su Van hoc Viet-nam (L'Esquisse de l'histoire de la littérature vietnamienne)*. III. Hanoi 1957, p. 298.

¹² Le Lien Vu—Boudarel, G.: *Quand la lampe s'éteint*. Hanoi 1959, p. 9.

Le maître du conte vietnamien est Nam Cao (1914—1951). Il a écrit la majorité de ses ouvrages pendant la deuxième guerre mondiale et y a présenté une image profonde et sensitive du village vietnamien et des représentants des strates intellectuelles. En premier lieu c'est un narrateur cultivé de ses histoires marquées par une sorte de lyrisme intérieur et voilé. Il interprète avec une grande sensibilité les aspects les plus ordinaires et souvent les plus cruels de la vie et leur prête un sens plus profond. Il réussit à absorber dans son sujet créateur le monde de sentiment d'autrui et à le confronter avec son propre monde et la dure réalité. Toute sa création est pénétrée, inondée d'un rai d'humanisme qui se relie à tout homme qui, comme il le croit, n'est pas dépourvu de l'honneur et du sentiment. Son conte le plus connu est *Chi Pheo* (1941). L'auteur y décrit le sort d'un fermier vaincu par la misère qui tourne vagabond. C'est un personnage curieux qui a sa justification précisément dans les années de la seconde guerre mondiale. Les conditions sociales d'une société coloniale et demi-féodale privent Chi Pheo de la dignité et du naturel humains. Il devient un ivrogne-alcoolique qui invective contre tout, contre Dieu, contre ses parents, et enfin contre lui-même. Et quoique l'humanisme n'ait pas complètement disparu de son cœur, c'est une perte tragique de la connaissance, de la conscience humaine, que N. I. Nikulin désigne par l'expression de Marx «idiotisme de la vie villageoise».¹³ Mais le roman qui a valu à Nam Cao la plus grande notoriété était *Une vie râpée* (*Song mon*, 1944). C'est l'histoire d'une désintégration des illusions d'un jeune patriote, un érudit, durant les années de guerre. Dans son monde intérieur il existe des antagonismes, des contradictions entre les besoins insignifiants de la vie matérielle et les désirs intimes nés de ses rêves. Il hait la vie mesquine, égoïste, mais il se voit forcé de vivre précisément dans ce cercle banal et ordinaire d'où il n'y a pas moyen de s'échapper. Il aime passionnément la beauté des idéals, mais de jour en jour il doit lutter pour un plat de riz; il aime sa femme, mais en même temps doit la soupçonner. Le grand nombre de contradictions pareilles crée en lui un état psychologique très compliqué qui débouche dans une désillusion amère et un dégrisement. Le roman contient beaucoup d'éléments autobiographiques. La plupart des œuvres de Nam Cao sont thématiquement liées, en mesure plus ou moins grande, par un tragique social et un désenchantement subjectif. Cela découle de l'influence de la littérature romantique étrangère et indigène, sous laquelle Nam Cao avait vécu surtout au début de sa carrière d'écrivain.

Un des écrivains-réalistes qui étaient très conséquent en ce qui concerne la critique sociale, était Nguyen Hong (1918—). Ses œuvres sont remplies de conflits sociaux qui se résolvent en vertu d'un optimisme futuristique et de ses propres forces. Nguyen Hong est un des rares écrivains vietnamiens qui déchire le voile des problèmes sociaux du colonialisme et met à nu la perversité et la

¹³ Nikulin, N. I.: op. cit., p. 200.

position intenable d'un régime de misère. Par son allégorie, drastique même par endroits, il sonne l'alarme, par ses cris d'horreur il réduit au silence, et par le murmure des bouches demi-mortes de faim il fait appel pour un dégrisement du cercle vicieux des relations humaines, si cruelles et des conditions sociales. Alors même que les faits dans le monde des proses de Nguyen Hong aient souvent un caractère hyperbolique, ils sont toutefois en leur essence une réflexion de la vie réelle. Nguyen Hong enrégistre des événements de grande signification, en donne un témoignage objectif et s'efforce d'y porter une solution, épuisant toutes les possibilités de la vie humaine, ou même de la mort.

L'œuvre littéraire de Nguyen Hong est étendue et embrasse beaucoup de genres. Cependant, il cultive pour la plupart le roman et le conte. Ses premiers ouvrages comprennent des contes autobiographiques *Jours d'enfance* (*Nhung ngay tho au*, 1938). Il y traite de la critique sociale, dépeignant d'une manière saillante les traits négatifs et les phénomènes sociaux, n'évitant pas s'il y a lieu, de peindre la situation au naturel. Une place assez importante dans ces contes revient aux petits personnages de la bourgeoisie, aux pauvres, ou même au rebut de l'humanité (Nguyen Hong lui-même avait passé son enfance entre les pauvres et le lumpen-proletariat des cités industrielles). Ce qui leur est particulier, c'est qu'ils appartiennent à la couche la plus misérable, mais ils ne s'en inquiètent pas, ne se renferment pas dans leur sort tragique, et anarchisme leur est étranger.

Dans son premier roman *La voleuse* (*Bi vo*, 1938), Nguyen Hong a essayé de présenter une image relativement large de divers groupes sociaux dans les conditions typiques du régime colonial. Même que le roman porte sans aucun doute des marques de prémices, il n'en est moins une expression cristallisée de l'écrivain. Il s'agit ici de l'histoire d'une honnête fillette de village, Binh, qui, bouleversée par un destin implacable et hostile, va à la dérive et arrive au bas-fond de la société, à partir d'une mère non-mariée et trompée mais aimant son enfant, par la prostitution jusqu'à devenir une voleuse «travaillant» dans une bande organisée: enfin elle trouve le cadavre de son propre fils dont elle a, en un certain sens, elle aussi causé la mort (la fin du roman donne l'impression de l'irréel étant contribuable aux tendances de son temps). Le roman se caractérise par une dynamisme et une concentration de l'action. Le thème de la souffrance est représenté «dans l'aspect moral-psychologique»¹⁴ des personnages principales. Le langage de l'auteur peut être caractérisé comme riche en expressions, ferme quant à la syntaxe et concis et précis dans les dialogues et les scènes, entrelacé de mots et d'expressions du jargon des gueux. On apprend du roman des relations inhumaines et des coutumes usuraires de cette période dans la campagne vietnamienne, qui dans une hiérarchie stricte du mandarinat, dominaient tous les domaines de la vie et, renforcées par les conditions matérielles misérables, se vengeaient cruellement du peu de l'intime

¹⁴ Ibid., p. 197.

bonheur humain dans le malheur de l'individu. En même temps, Nguyen Hong s'efforce de trouver des sentiments humains chez deux gens exclus de la société et se tenant hors la loi. Par exemple, la fille de «la maison de tolérance» — Lien, d'un côté cynique et fataliste envers tout l'entourage, de l'autre côté capable d'un amour sincère et prête à aider son amie en malheur. Et même Nam de Saigon — madré voleur et assassin — est capable d'un noble sentiment. Cependant, Nam ne peut plus reprendre une vie normale et quoiqu'il aime Binh tendrement, il la force d'exercer le métier de voleuse. Par cette épisode, l'écrivain essayait de montrer qu'un retour à la vie honnête dans cette société est impossible car ses stimuli sociaux sont dégénérés.

Les autres contes de 1940—1945 par Nguyen Hong sont des histoires assez choquantes sur les conditions misérables matérielles-sociales renforcées par les vicissitudes de la guerre, l'occupation japonaise et les calamités naturelles. Ainsi, dans le conte *Il faut aller* par exemple, les pauvres gens épuisés par une des plus effroyables catastrophes — la famine, abandonnent leurs domiciles et villages et sans savoir exactement où aller, ils vont avec une étincelle d'espoir au cœur qu'ils arriveront quelque part où ils trouveront des vivres. Cependant, le chemin est long et chaque jour le nombre des victimes monte. Ce sont des victimes effrayantes, débris de vies humaines poussées par le vent d'une mort à une autre. Mais il faut aller. Dans cette unique pensée se concentre toute espérance mais aussi l'accusation terrible de la société où il n'y a pas d'échappement à la misère et en fait, chaque pas est un dernier pas. Le problème de vie et de mort, de l'existence même de l'homme fait aussi le sujet du conte, *Quelques mots*. L'histoire entière] est racontée impersonnellement, comme par un témoin fortuit, ce qui augmente l'authenticité de ce qui est présenté. C'est un sort profondément tragique d'un homme parmi des milliers, qui par son silence et son immobilité appelle, crie, supplie son entourage qui n'y fait aucune attention au commencement, et quand cet entourage s'en aperçoit, c'est de nouveau un cri et en même temps une question muette du sentiment humain et de la dignité humaine sur son humiliation.

Nguyen Hong révèle les contrastes sociaux de la société vietnamienne de cette époque et montre aussi les possibilités impotentes et sans résultats de résoudre la situation dans le cadre d'un système semi-féodal. Donner au moribond expirant de faim un plat de soupe pour qu'il ne meure pas affamé — c'est là tout ce que cette société peut lui offrir. Dans son refus d'une telle solution l'auteur a exprimé une protestation sensitive et profonde de l'homme qui, mourant lentement, ne lutte pas contre la mort, mais lutte acharnement contre la vie hostile qui l'entoure, pour la vaincre à la fin. Ce grand postulat est ici accentué, faisant de l'homme un vrai homme — le travail. S'il ne le trouve pas dans la vie — la vie elle-même perd son sens.

Nguyen Hong est un auteur qui n'entasse pas les événements, ne coupe pas en pièces l'action par une multiplicité de petites épisodes, mais gradue le drame dans une

composition simple et fermement bâtie. Le canevas idéologique de la nouvelle est caractéristique par sa tension potentielle qui, on peut dire, débouche en une explosion silencieuse de l'attitude sentimentale et matérielle vers la vie, qui, du point de vue philosophique, semble être une harmonie naturelle, nécessaire même pour que la fierté de l'homme puisse être préservée.

L'écrivain Nguyen Cong Hoan (1903—) commence à publier comme instituteur de village, des contes humoristiques dont le nombre s'élevait à plusieurs centaines, dans les journaux d'avant la révolution. Ce sont d'ordinaires des pièces très courtes, écrites dans un style simple et clair. Ils embrassent tous les strates, à partir des paysans, les érudits et artistes, jusqu'aux laveurs de vaisselle et les prostituées. Ils sont remarquables par une approche réaliste du sujet et un tranchant de la satire sociale. Dans ces contes on peut trouver «toutes les nuances du comique — de l'ironie jusqu'au grotesque, mais il y a en lui aussi une inclination évidente vers l'exagération, une mise au point du négatif». ¹⁵ En 1933 son conte bien connu est paru *Acteur Tu Ben (Kep Tu Ben)* qui provoqua une grande polémique parmi les adhérents de «l'art pour l'art» (Le Trang Kieu) et «l'art pour la vie» (Hai Trieu) sur le problème du talent artistique et sa fonction sociale.

Le roman *Le dernier pas (Buoc duong cung, 1938)* est une collection de grande valeur du matériel sur la société vietnamienne classique. Il témoigne des connaissances universelles de l'auteur sur la campagne vietnamienne. L'image en est présentée dans un cadre de grande envergure et l'auteur est familier avec les plus secrets recoins de la vie du village. Cependant, il ne s'agit pas ici uniquement des richesses matérielles sur la société mentionnées ci-avant. Le roman possède aussi un tranchant socio-critique très expressif, qui s'accroît à mesure que le conte avance et se développe. Le sujet du roman est la vie de la famille Pha, depuis son début jusqu'à sa fin. Les relations sociales cruelles et oppressives qui dominent au village vietnamien, maintiennent les habitants dans l'ignorance, querelles mutuelles et méfiance. L'usure de la part des autorités du village est aussi aidée par les vieilles coutumes féodales qui cachent l'infamie, la deshonnêteté et le caprice. Probablement dans aucune autre classe les différences abyssales du régime féodal n'éclatent-elles pas si vivement au premier plan que chez les agriculteurs. On trouverait peu d'exemples pareils où la confiance, l'honneur, la bonté et une ignorance intègre étaient abusés et violés d'une manière si basse et si indigne de l'homme. Les sangsues sociales du type du fermier (un propriétaire foncier) Lai sont un témoignage choquant de fausseté, duplicité, de flouterie, flatterie et cruauté qu'engendrait ce régime.

Nguyen Cong Hoan considérerait comme une des causes de cet état de choses l'analphabétisme de la population de la campagne. Comme maître d'école au village il a probablement connu aussi ces problèmes-ci et par conséquent il est juste

¹⁵ Ibid., p. 190.

de lui en donner raison, du moins en partie. Autre question est, pourquoi y avait-il tant d'analphabètes au Vietnam même dans la troisième décennie de notre siècle. Alors même que le roman ne contienne pas de critique directe des colonisateurs français, on y trouve des allusions sans équivoque à l'entente à l'aimable entre la hiérarchie du mandarinat et l'administration coloniale. La collision entre le paysan pauvre Pha et le propriétaire Lai débouche dans la dernière partie du roman en des actions de révolte de la part de quatre paysans ruinés et un acte isolé, élémentaire, de Pha qui, semble-t-il, par ce dernier pas, commence en réalité son chemin de révolte et d'opposition, car les vieux préjugés se sont rompus en lui et sa philosophie tolstoïenne de «non-résistance au mal par la violence» s'est montrée inefficace. Caractéristique pour le langage du roman est son actualité et son expressivité. Il est assujéti à l'évènement, par conséquent bref et condensé. Il contient beaucoup d'éléments du langage populaire et de dialectismes.

Le représentant le plus complexe de la littérature du Vietnam entre 1930 et 1940 était Vu Trong Phung (1912—1939) et l'est encore dans l'histoire littéraire de ce pays. Il s'agit principalement de la valeur artistique de son œuvre qui constituait un problème déjà durant sa vie et qui avait provoqué des discussions très vives. En général on peut constater que toutes les critiques du passé¹⁶ attaquaient le caractère malséant, pornographique même, de ses œuvres. Vu Trong Phung s'en défendait lui-même disant: «Les hommes craignent la vérité parce qu'elle est sale et lâche. S'ils souffrent quelque plaie suppurante, ils s'efforcent de la voiler seulement par des soies et des étoffes chères, mais est-ce là le moyen de guérir une maladie?! La plaie doit être mise à nu, quelque sale et puante qu'elle soit. Cette société a une telle plaie, je l'ai exagérée afin que la société s'en rende compte et se hâte de s'en guérir.»¹⁷ Souvent il s'en reportait aussi aux écrivains français, Zola, Flaubert, Baudelaire, Marguerite et autres.¹⁸ Il est évident que Vu Trong Phung était sous l'influence forte du naturalisme français, mais ce fait ne saurait être considéré à priori comme un défaut dans son œuvre.

Le *Dictionary of World Literature* (compilé par J. T. Shipley) a ceci à dire au sujet du naturalisme: «Broadly speaking, naturalistic writing (e.g. Zola, Hauptmann, Dreiser, Farrell) presents, explicitly or implicitly, a view of experience that might be characterized as pessimistic materialistic determinism. It emphasizes the strength of external forces (social and natural) that obstruct human freedom, and the strength of internal forces (genetic and unconscious) that limit human rationality and moral responsibility. There is a tendency to look upon life as a downhill struggle with the only issue in death or quiescence. Since they assert man's kinship with the lower animals, writers in this mode are likely to take a behaviouristic or epiphenomenal

¹⁶ *Ngay nay (Aujourd'hui)*, 14. III. 1937.

¹⁷ *Tuong lai (L'Avenir)*, 25. III. 1937.

¹⁸ *Tuong lai (L'Avenir)*, 11. III. 1937.

view of mind and to show the primary tropistic or «instinctive» behaviour, assigning a large part of human behaviour to sex, hunger, etc.»¹⁹ Selon cette conception, l'œuvre de Vu Trong Phung ne pourrait pas être désignée exclusivement comme naturalistique. Il se peut, que dans certaines situations l'écrivain aie considéré nécessaire d'avoir recours aux éléments naturalistiques, mais simultanément il était conscient de leur caractère transitoire. Des cas analogues se trouveraient certainement aussi dans les autres littératures orientales de cette époque. Par exemple, M. Gálik dans son étude sur le naturalisme par rapport aux œuvres de l'écrivain chinois Mao Tun, écrit: «According to Chandler, naturalism is an extremely short-term phenomenon since it «stimulates for the moment but is too abnormal to prevail». Or, «the fashion of naturalism no sooner arrived that it began to pass». Mao Tun accepts a concept of this kind. He believes that modern Chinese literature to which he recommends naturalism, will soon get through it and will be linked up with modern post-naturalistic world literature.»²⁰

Plus tard, il se trouvait des partisans dont quelques uns désignaient Vu Trong Phung comme «le roi du reportage du Nord» et accentuaient la validité générale et humaniste de ses œuvres: «Vu Trong Phung a installé de grandes choses, il a relevé les problèmes sociaux de base et reflété les antithèses de la période historique la plus riche...»²¹

L'évaluation contemporaine²² de l'œuvre de Vu Trong Phung tend à prendre pour base l'influence du naturalisme dans le domaine de l'art et l'influence de freudisme dans celui de la philosophie. La société créée par Vu Trong Phung dans ses ouvrages est, selon cette explication, une société où le libido influence profondément la manière d'agir des personnages et souvent détermine leur destin. Ainsi par exemple, dans le conte *Prostituée (Lam di)* la sexualité infantile est traitée et la relation vers la vie chez une jeune fillette s'établit sur le principe du plaisir. Vu Trong Phung explique le phénomène social (prostitution) à l'aide d'une cause physiologique (l'instinct sexuel). De même, dans le roman *Tempête (Dong to, 1936)* il dépeint un monde où le plaisir et ce qui en relève sont la cause de phénomènes graves et tragiques. Sous quelques unes de ses caractéristiques, ce roman, même si non complètement équivalent, est néanmoins comparé à l'œuvre de A. Moravia *La montagnarde*. Dans le reportage *Le mets du seigneur et de la servante (Com thay com co, 1936)*, la servante se venge sur son maître qui l'agace et la tourmente, en provoquant en son jeune fils une passion brûlante de plaisir et le séduisant sur la pente du vice. Ici, l'auteur conditionne l'activité humaine par un facteur physiologique, par l'existence du subconscient, ce qui le mène au déterminisme extrême.

¹⁹ Cit. selon Gálik, M.: *Naturalism: A Changing Concept*. "East and West", New Series, Vol. 16, Nos 3-4, September-December 1966, Rome, pp. 319-320.

²⁰ Ibid., p. 319.

²¹ *Vu Trong Phung voi chung ta (Vu Trong Phung avec nous)*. Hanoi 1958.

²² Nguyen Duc Dan, op. cit.

Le critique littéraire Nguyen Dang Manh dans son article *Les contradictions fondamentales dans le monde des personnages et dans les œuvres de Vu Trong Phung* (*Mau thuan co ban trong The gioi va Sang tac Vu Trong Phung*), écrit: «Le monde entier des personnages de Vu Trong Phung (interprété dans son sens plus large et comprenant la pensée, les émotions et autres états psychologiques) consiste dans une relation dialectique entre deux facteurs fondamentaux: une idéologie pessimistique fataliste et une division spirituelle du point de vue de l'individualisme de membre de la petite bourgeoisie, misérable toute sa vie et sans argent». ²³ Vu Trong Phung était, comme certes, tout autre bon écrivain, un individualiste dans sa vue sur la réalité et dans sa recherche d'une solution à ses problèmes. Il a justement déduit sa justification «d'être soi-même» de «l'existence de cet autre», ce qui était l'objet de son attention et ainsi quoiqu'il y ait dans son œuvre des influences naturalistique évidentes, venant de la littérature Occidentale, is ne faut pas négliger son droit d'être précisément tel et non pas différent dans les conditions sociales complexes de la société vietnamienne de ces temps. Naturellement, les opinions que Vu Trong Phung défendait directement dans le domaine de la politique (l'attitude a l'égard du mouvement intellectuel contre Auburtin, articles anti-communistes, défense de l'administration française directe) ne sont qu'autant de preuves de son manque de maturité politique. Car, presque à la même époque, le critique littéraire progressif Truong Tuu écrivait: «La nécessité elle-même doit provoquer la culture, une culture vietnamienne. Et c'est là une question de vie ou de mort d'une nation de presque vingt millicns». ²⁴

En conclusion on peut constater qu'alors même que la tradition dans la création de la prose vietnamienne eût été relativement courte, elle a néanmoins réussi à utiliser la richesse des éléments réalistiques de la littérature nationale comme telle. «Il est évident qu'une nation dont l'histoire est une histoire de la lutte de classes, une lutte contre les agresseurs de dehors, une lutte ininterrompue et acharnée avec la nature, ne pouvait que créer une tradition riche et profondément réalistique dans la littérature artistique.» ²⁵ Cependant, en ce qui concerne la prose du réalisme critique, on ne peut pas sousestimer l'influence très forte de la littérature européenne, en particulier la littérature française: «Avant tout, il faut dire que le contact avec la culture européenne et la littérature artistique a élargi l'horizon de nos intellectuels littéraires-artistiques.» ²⁶ Grâce à cette influence, les écrivains vietnamiens assimilaient les méthodes analytiques créatrices et la structure de l'œuvre d'art. A mon avis, il

²³ Nguyen Dang Manh, *Mau thuan co ban trong The gioi va Sang tac Vu Trong Phung* (*Les contradictions fondamentales dans le monde des personnages et dans les œuvres de Vu Trong Phung*). *Noi san nghien cuu van hoc* (*La recherche interne de la littérature*), Truong Dai hoc Su pham (L'École Supérieure de Pédagogie), No. 3, 1970, Hanoi, 1, p. 106.

²⁴ *Tao dan* (*Le monde des poètes*), No. 1, 1939.

²⁵ Nguyen Duc Dan, op. cit., p. 188.

²⁶ Loc. cit.

semble très probable qu'à cette époque la prose réaliste vietnamienne était assujettie à ces influences au point de vue formel. Car si l'émergence des meilleures œuvres réalistes dans la littérature anglaise s'appuyait sur l'essor du mouvement chartiste, et dans la littérature française sur le processus d'industrialisation de grande envergure dans l'économie nationale, d'aussi forts facteurs n'existaient pas dans la vie politique-économique vietnamienne. Il ne restait alors pratiquement qu'une seule possibilité: s'appuyer sur les valeurs de ces littératures et s'efforcer d'appliquer d'une manière créatrice les notions acquises, dans son propre travail. Cela ne veut pas dire que la prose vietnamienne, laissée à elle seule, ne serait pas capable d'arriver au réalisme critique. Arrêtons nous, cependant, sur la question: Pourquoi les problèmes de la littérature réaliste européenne de la moitié du 19^e siècle ne se présentaient pour une solution au Vietnam qu'au cours de la deuxième et troisième décade de notre siècle? Certes, les réponses seraient assez nombreuses, mais aucune ne serait univoque. Un fait irréfutable reste ici, à savoir qu'il y avait ici un délai important dont le contenu devait être absorbé, refondu et compris par la vie littéraire vietnamienne pendant quinze-vingt années. Il est tout naturel que des extrêmes divers, des phénomènes contradictoires et même des déformations de déformations soient advenus, car tout passait de la littérature européenne dans la vie littéraire vietnamienne, avec ses aspects négatifs aussi.

Je tiens à remarquer que la question des relations et affinités littéraires de la littérature vietnamienne vers les littératures étrangères (principalement chinoise, française et soviétique) a été très peu étudiée: il n'est pas clair de quels contacts et influences il s'agissait ici et en quelle manière les expressions étrangères extralittéraires intervenaient dans la réception intralittéraire. Quoiqu'on trouve des efforts pour une approche d'intercontacts dans l'investigation des phénomènes comparatifs (par exemple, chez N. I. Nikulin), cependant on n'a pas réussi encore à pénétrer le sens du conditionnement intérieur des divers éléments dans la relation étudiée. De cette manière on demeure simplement sur les positions d'une doctrine périmée sur la force de l'influence. Une analyse plus systématique de la littérature vietnamienne du point de vue de la méthode comparatiste ne sera possible que sur la base d'une recherche plus détaillée des matériels originaux, qui malheureusement sont inaccessibles dans beaucoup de cas.

Le réalisme dans la littérature vietnamienne a donc atteint vers 1930 un niveau dans les ouvrages de tels auteurs qu'étaient Ngo Tat To, Nguyen Cong Hoan, Nguyen Hong, Nam Cao, Vu Trong Phung et qui sont parvenus à la méthode réaliste au caractère général mondial. Sa base philosophique était donnée par un objectivisme historique, une recherche de la substance dans la réalité (contrairement au phénoménalisme chez les naturalistes) et son expression objective dans une œuvre littéraire. Une des particularités de ces ouvrages est que leurs auteurs s'y efforçaient de représenter en détail les caractères des personnages dans le développement, et le développement de la situation dans le processus changeant de manière que cela corresponde

à la logique historique. Un aspect plus faible dans les travaux des réalistes vietnamiens était leur style qui «était relativement peu élaboré et du côté littéraire plus encombrant que chez les romantiques». ²⁷ Nguyen Duc Dan parle d'un «développement précipité» (phat trien voi va) ²⁸ du romantisme au réalisme dans la littérature vietnamienne. Il semble que la critique littéraire vietnamienne contemporaine est généralement beaucoup tributaire de la théorie de l'évolutionisme dans la littérature qui se sent être périmée: «Darwinian or Spencerian evolutionism is false when applied to literature because there are no fixed genres comparable to biological species which can serve as substrata of evolution. There is no inevitable growth and decay, no transformation of one genre into another, no actual struggle or life among genres. Hegelian evolutionism is right in denying the principle of gradation, in recognizing the role of conflict and revolution in art, in seeing the relationship of art to society as a dialectical give-and-take, but it is wrong in its rigid determinism and its schematism of triads.» ²⁹

Comme raisons de la procédure évolutionnelle dans l'évaluation de la littérature, la critique vietnamienne (dans le cas ci-avant) indique la lourde oppression de l'administration féodale-impérialiste dans un état colonial d'un côté, et l'étendue du mouvement révolutionnaire du peuple, de l'autre. Mais ce qui est paradoxal, c'est que ces deux facteurs (et ici je souligne le mot impérialiste dans le premier cas) aient trouvé une réflexion plutôt faible dans les œuvres réalistiques. Vu Dinh Lien relève ce fait aussi: «Quant aux colonisateurs, ils font leur apparence aussi dans la production réaliste, mais les écrivains n'étaient pas à même de présenter l'essence de leurs intérêts économiques. A cette période (entre 1930 et 1940 — J. M.) il existait déjà une forte classe ouvrière avec une direction révolutionnaire. Cependant, les écrivains ne présentaient guère cette réalité sociale. C'est un manquement de la part de la création réaliste. Les causes en peuvent être cherchées dans une censure rigide, mais aussi dans le fait que le sentiment de classes des écrivains-réalistes était borné, ceux-ci n'étant pas été éduqués et menés par le parti communiste.» ³⁰ Le sentiment de classes des écrivains était frustré en grande mesure par le système très fort d'une idéologie féodale, qui était encore enracinée dans toutes les couches sociales en même temps était une source du conservatisme qui se manifestait aussi dans la création réaliste (par exemple chez Nguyen Cong Hoan). Puisque la nationalité était plus ou moins une qualité caractéristique de tous les écrivains vietnamiens (sans tenir compte de leur appartenance à quelque tendance littéraire que ce soit), il arrivait facilement que dans l'intérêt d'élever la nation, les écrivains faisaient peu cas des traits négatifs de l'administration coloniale, ne les considérant souvent que comme des

²⁷ Vu Dinh Lien, op. cit., p. 301.

²⁸ Nguyen Duc Dan, op. cit., p. 201.

²⁹ Wellek, R.: *Concepts of Criticism*. Yale University Press 1963, p. 51.

³⁰ Vu Dinh Lien, op. cit., p. 299.

phénomènes concomitants auxquels on doit se résigner dans l'intérêt du principe supérieur national. Nguyen Duc Dan en écrit sur ce sujet: «Evidemment, on doit voir aussi qu'en réalité, beaucoup des écrivains-réalistes ne pouvaient pas pleinement connaître la face réelle des impérialistes, leur mauvaises intentions cachées sous le masque de protection et de civilisation. C'est pourquoi maints écrivains inclinaient vers l'idéologie du réformisme.»³¹

Par conséquent, l'origine et le développement de la prose réaliste vietnamienne peut être caractérisée dans cette période par une vaste échelle de facteurs politiques, idéologiques et littéraires divers, par une complication des influences internes et externes, par la manière de recevoir les valeurs artistiques, par une différenciation d'un «Weltanschauung» subjectif et par une diversité dans le domaine des critères et de l'évaluation d'une œuvre d'art, «car toute activité humaine entre deux périodes historiques incline vers un état de choses chaotique.»³²

Quoiqu'il en soit, en ce qui concerne le réalisme, il faut ici aussi prendre pour point de départ son interprétation comme «the objective representation of contemporary social reality»,³³ et ne pas le considérer comme méthode artistique stricte, car «In its lower reaches realism constantly declined into journalism, treatise writing, scientific description, in short, into non-art; at its highest, with its greatest writers, with Balzac, and Dickens, Dostoevsky and Tolstoy, Henry James and Ibsen, and even Zola it constantly went beyond its theory: it created worlds of imagination.»³⁴

Par conséquent, la théorie du réalisme n'est pas la plus conveniente du point de vue esthétique, car tout œuvre d'art, par le seul fait qu'il est «making», s'éloigne en quelque sorte de la réalité et acquiert des traits nouveaux, conditionnés par tous les composants du processus d'une création artistique.

³¹ Nguyen Duc Dan, op. cit., p. 208.

³² Vu Duc Phuc, *Ban ve nhung cuoc dau tranh tu tuong trong lich su van hoc Viet-nam hien dai* (La discussion sur les luttes idéologiques en l'histoire de la littérature vietnamienne moderne), Hanoi 1971, p. 1.

³³ Wellek, R.: op. cit., pp. 240—241.

³⁴ Wellek, R.: op. cit., p. 255.

MOHAMMAD MAS^cŪD "TAFRIHĀT-E SHAB" — ANALYTICAL APPROACH TO THE COMPOSITION OF THE NOVEL

KAMIL BAŇÁK, BRATISLAVA

In his analysis the author attempts to reveal the compositional arrangement of the *Tafrihāt-e shab* (*Night Diversions*), the first novel by the Persian writer of the thirties and forties, *Mohammad Mascūd*. The author's analysis is concerned mainly with the distribution of the characters and the manner of narrating.

I. The beginning of the twentieth century in Iran witnessed striking changes which affected all the facets of social life, not excepting that of Persian literary creation. The marked increase in literary activity necessarily brought along with it an acute need of establishing and forming new poetic principles in the entire field of literary creation, but these developmental efforts became most conspicuously manifest in the literary genre which preceding periods of Persian literature had largely neglected, i.e. prosaic creation in which individual genres were moulded. Therefore, it is not without some justification that numerous Iranists have called modern Persian literature of the twentieth century as a period of prose and have backed up their thesis with overall analyses and appraisals of the situation in the literary creation of twentieth century Iran. These complex assessments¹ have borne out the justification of the thesis, but in view of the wide range of take they could not always present an adequate analysis of individual authors and portray in more detail the evolutionary stages of any given prosaic genre.

While in the field of short prosaic works progress moved faster in the direction

¹ The most important works are: Alavi, B.: *Geschichte und Entwicklung der modernen persischen Literatur*. Berlin 1964; Avery, P. W.: *Developments in Modern Persian Prose*. The Muslim World, Vol. XLV, No. 4, October 1955, pp. 313—323; *Khānlari, P. N.: Nasr-e fārsī dar dour-e-ye akhīr*. In: *Nakhostīn kongre-ye nevīsandegān-e Irān*. Tehrān 1326, pp. 128—175; Kamshad, H.: *Modern Persian Prose Literature*. Cambridge University Press 1966; Komissarov, D. S.: *Ocherki sovremennoy persidskoy prozy*. Moskva 1960; Kubičková, V.: *Novoperská literatura XX. století. Dějiny perské a tádzické literatury*, 2nd Edit., Praha 1963, pp. 295—361; Lescot, R.: *Le roman et la nouvelle dans la littérature iranienne contemporaine*. Bulletin d'Études Orientales de l'Institut Français de Damas, Tome IX, Année 1942—1945, pp. 83—101; Nikitine, B.: *Les thèmes sociaux dans la littérature persane moderne*. Oriente Moderno, 1954/34, pp. 225—237.

indicated by *Jamālzāde* in his initial work *Yekī būd yekī nabūd*,² the form-shaping process of the Persian novel proceeded slower in view of its more complex structure. However, the thirties mean important steps forward also in this genre and one of the authors who have indubitably helped Persian novel to advance,³ was the writer and journalist *Moḥammad Mas'ūd (Dehātī)*.

Through an analysis of some of the structural components of *Mas'ūd's* first novel *Tafriḥāt-e shab (Night Diversions)*, published in 1932,⁴ the present study attempts to reveal the principle of its compositional arrangement. This involves in the first place, an analysis of the characters and the manner of narrating, of course, touching at the same time in some measure also further components (topic, social context and language) and consequently we may say that we are interested in the "sujet" of *Mas'ūd's* first work.⁵ The aim of our present study, however, is not an evaluation of *Mas'ūd's* works on the basis of this partial analysis, for a final judgment on his literary creation may emanate only from an analysis of his entire novel writing, one that would take note in a complex manner of all the structural components of his all novels.

II. There is a dearth of reliable factographic data on *Mas'ūd's* life,⁶ and none of the accessible works mentions the date of his birth.⁷ At the age of twenty he leaves his

² *Jamālzāde, M. A.: Yekī būd, yekī nabūd (Once Upon a Time)*. Berlin 1921.

³ Cf. Avery, op. cit., p. 321. *Jamālzāde* mentions the same in his preface to the fifth edition of *Yekī būd, yekī nabūd*, which he wrote in 1954, where he mentions as the most talented authors of modern Persian prose two writers—both then already dead—*Šādiq Hedāyat* and *Moḥammad Mas'ūd*.

⁴ *Moḥammad Mas'ūd, Tafriḥāt-e shab*, Tehrān 1932. The following edition was used—without place and year being given: *M. Mas'ūd, Tafriḥāt-e shab*, 7th Edition, pp. 173.

⁵ The term "sujet" has received various, often contradictory contents in the history of literary theory. The present study is not theoretically oriented and therefore we shall refrain from discussing its various interpretations. By the term "sujet" we understand an area of literary-technical means used in the organization of individual structural components of a literary work into an organic whole, and therefore we necessarily presuppose its differentiation from the term "fable" (or sometimes the similarly terms plot or story). Essentially we take as our basis the original differentiation of these terms in the work of Boris Tomashevsky, *Teoriya literatury, Poetika*, Moskva 1931 (Slovak translation: *Tomaševskij, B., Poetika, Teória literatúry*, Bratislava 1971), who defines "fable" as a sum total of events in their mutual internal relatedness (op. cit., p. 193) and a "sujet" as an artistically arranged distribution of events in a work (op. cit., p. 196). Hence, our interpretation of "sujet" embodies also the content determined by Tomashevsky, but extended and we understand by it an arrangement of the components of an epic structure conditioned by the author's design.

⁶ The following works have been used for comparing and making more exact the bibliographic and biographic data: Alavi, Avery, Khānlari, Kamshad, Komissarov, Kubičková, Lescot and Nikitine. The most comprehensive work dealing directly with *Mas'ūd* and his life is the book

native town of Qomm and goes to Teheran where he starts work in a printing press.⁸ During that time he had opportunity to become acquainted with 'Alī Dashtī, the Editor-in-chief of the journal *Shafaq-e surkh* (Red Dawn),⁹ which left an imprint on his development as a journalist.¹⁰

Mas'ūd's literary road began with the publication of his first novel *Tafriḥāt-e shab* which was first published in installments in the journal already referred to *Shafaq-e surkh*¹¹ and then in the year 1311 (1932)¹² appeared in book form under his true family name *Dehātī*. Within a short lapse of two years *Tafriḥāt-e shab* was followed by the novels *Dar talāsh-e mā'āsh* (*In Quest of a Living*), Teheran 1312 (1932),¹³ and *Ashraf-e makhluqat* (*The Noblest of Creatures*), Teheran 1313 (1934).¹⁴ The novels provoked a lively response among the public, being loaded with praise and condemnation.

by Parvīz Naqībī, "Moḥammad Mas'ūd. Golī ke dar jahannam rū'id" (*Moḥammad Mas'ūd. The Flower That Grew in Hell*), Tehrān 196?, 2nd Edit. As stated by the author himself, his work originally appeared in installments in the journal "Roushanfekr" and its first book edition appeared in Teheran in 1342 (1963). Naqībī's work, however, is rather of a belletristic-biographical character than a scientific monograph and consequently, many of the views and remembrances mentioned there are to be taken with reserve, as not too reliable. Naqībī's data may be supplemented and compared with two further works, which, however, have not been accessible to us. They are: *Javānmard, Sharh-e zendegānī-ye por havādes-e Moḥammad Mas'ūd modīr-e nāme-ye mellī Mard*, 16th Fasc. 1327 (Nikitine's data, op. cit., p. 226); *Meymandī Nezhād, Kār-nāme-ye zarrīn* (data from Naqībī, op. cit., p. 120).

⁷ He was probably born about 1905, if we take into consideration the year 1932, when his first novel appeared, and the fact that following his departure to Teheran, when he was twenty, he struggled for his existence (cf. Naqībī, op. cit.).

⁸ Kamshad, op. cit., p. 67 states that Mas'ūd taught for some time at a basic school. Naqībī's work does not mention this fact.

⁹ "*Shafaq-e surkh*, which he ('Alī Dashtī—K. B.) founded in 1921 and remained editor of until 1930, soon became one of the leading daily papers of the time and played a major part in shaping opinion throughout the twenties. Apart from valuable literary discussions and a genuine attempt to open the eyes of its readers to progressive ideas, to the realities of the modern age, and to Western culture and civilization, the chief attraction of the paper was its passionate editorials, written in an unusually vigorous and expressive style and directed chiefly against government policy." (Quoted from Kamshad, op. cit., p. 69).

¹⁰ Just as *Shafaq-e surkh* was known for its well-aimed and provocative editorials, so also Mas'ūd's weekly *Mard-e emrūz* became famous some years later by these same qualities.

¹¹ Naqībī, op. cit., p. 9.

¹² Ibid., p. 11.

¹³ Cited concordantly by Alavi, op. cit., p. 153; Avery, op. cit., p. 321; Kamshad, op. cit., p. 66.

¹⁴ Alavi, op. cit., p. 153; Kamshad, op. cit., p. 66; Lescot, op. cit., p. 95; Nikitine, op. cit., p. 230.

In 1314 (1935) *Mas'ūd* arrived in Brussels where he studied journalism for a period of 4 years,¹⁵ during which he published several articles in Belgian papers. On his return to Teheran in 1318 (1939) he failed to find work¹⁶ and only a change in the inner political situation in Iran brought a change in his life. In 1321 (1942) he is issued an editing licence and the first number of his weekly *Mard-e emrūz* (*Man of Today*) comes off the press.

Mas'ūd devoted all his energy to his weekly, and his sharp criticism¹⁷ of conditions in the country soon won him numerous enemies who endeavoured to silence him. When all other means failed, they had recourse to the one most frequently employed and the most reliable, and in the evening of 22nd Bahman 1326 (February 12th, 1948) *Mas'ūd* was found murdered by a shot from a revolver at the wheel of his car in front of the printing-house which printed *Mard-e emrūz*.¹⁸ This treacherous murder meant the end of the weekly,¹⁹ and likewise the project of a novel of several volumes remained incomplete: only two volumes were published—*Golhā'ī ke dar jahannam mārūyand* (*Flowers that Grow in Hell*) and *Bahār-e 'omr* (*Spring of Life*).

III. *Tafrīhāt-e shab* is an analytical type of novel which by its topic attempts to give an analysis of the existential problems of one part of Iranian young generation of the twenties and the beginning of the thirties of this century. This involves a generation of educated young people who are just entering social life and their very first steps bring a confrontation with reality which they had not expected, nor even presumed. Loss of ideals resulting from a confrontation of cultivated notions with real life means for them also a loss of confidence in society, a conscious refusal to accept the given state, together with desorientation and helpless perplexity. This brings them to the position of outsiders and they express their protest against and their unwillingness to accept the given state by nihilism, cynicism and hedonism,²⁰

¹⁵ *Mas'ūd's* novels attracted the attention of the then minister of Justice *Dāvar* and on his recommendation, the author received a scholarship grant from the Ministry of Culture to study journalism in Belgium.

¹⁶ The Ministry of Culture refused to give work to *Mas'ūd*, pointing out that in some of his articles published in Belgian papers he had written about socialism.

¹⁷ *Mas'ūd* was not a member of any political party.

¹⁸ Those concretely responsible for *Mas'ūd's* murder could not be found, nor were the circumstances of his murder quite clear. Precisely *Naqībī* devotes a considerable part of his work to this event.

¹⁹ *Mas'ūd* expressed the wish long before his death that in case of his death the journal should cease to appear.

²⁰ That such an attitude may at a certain stage lead to an acceptance of this state of society against which it had originally been in revolt, is justifiable theoretically and practically, but consideration in this line of thought exceed the scope of the present study and from this point of view are unimportant.

however, visits to prostitutes, frequentation of coffee-houses and empty amusements fail to give satisfaction, and even make more acute their sense of hopelessness and the impasse of their position.

The fable of the novel²¹ serves *Mas'ūd's* analytical design—to show the life attitude and the mental hinterland of the desoriented generation, his effort to motivate and interpret problems of the Iranian parallel of the Western “lost generation”.²² Both the “lost” generations, Western and Iranian, are faced with the solution of the same generative problem—adjustment to society, of course with a considerable modification of concrete circumstances in view of the evolution-conditioned differences of the social context. Deception of both generations induces a similar reaction: restlessness, anxiety, which are some sort of an illusory means

²¹ For our interpretation of the term “fable”, see note 5. Also cf. in Wellek, R., Warren, A., *Theory of Literature*, London 1966, 3rd Revised Edition, p. 218.

²² The well-known expression by Gertrude Stein about the “lost generation” by which she addressed the young Hemingway and his contemporaries has become a concept employed by literary history and criticism to refer to some members of the writer's generation of the after the World War I period. It became the designation not only of writers, but of the entire generation which passed through the experience of World War I at the decisive moment of its entrance into life. (Hemingway used Stein's expression as the motto for his novel *Fiesta*.) The catastrophe of humanism completely desoriented it, ethical principles which school and education had mediated to them, became refracted in the prism of war into principles that suddenly gave way and approved of everything that contributed to personal interest, a selfish relativism uncovered the true face of society. The generation lost its confidence in society and the return into post-war life shoes its attitude towards life: drinking, sexual life that crosses borders taboo until then, respect for nothing, cynicism and nihilism, are attitudes that are to balance the experiences of war and compensate for the torturing consciousness of a loss of faith in society. The generation is an “outsider” for society. The literary testimony of the mental world and attitudes of the “lost” generation is presented mainly in the novels by Hemingway and E. M. Remarque, hence authors from two “enemy” camps, and it is surprising how the reactions and feelings of their heroes agree.

And precisely this loss of ideals and hopes, loss of trust in society and desorientation is common also to that generation living in a different land with a different cultural tradition. The “outsiders” of West have the same common roots as “outsiders” of the generation in *Mas'ūd's* novel, which we consequently also designate as “lost”. The Iranian “lost” generation had not gone directly through the tragic test on the battlefields, but its being lost is also motivated by a loss of ideals in their confrontation with reality. Moreover, a direct participation on the battlefield was not necessary. The experiences and events from the war were mediated by written testimonies of the western generation. Remarque's novel *All Quiet on the Western Front* was translated into Persian already in 1930 (*E. M. Remārk Ālmānī, Dar ġarb khabarī nīst*, Tehrān 1309). Alavi, op. cit., p. 153 speaks, besides, of the direct influence of Remarque's novel on *Mas'ūd*, and comparing some of the compositional principles, we see that not without justification. *Khānlarī*, op. cit., p. 153, is of a like opinion. (Of course, the Iranian “lost” generation in our designation does not include the whole young generation of those years, but only part whose representative was the principal hero of the novel.)

to get rid of the spectre of emptiness, void, for the preceding strength and intensity of faith must be replaced by something. The void must be filled in, and precisely the need to fill in and replace is the source of unrest and anxiety. Hemingway's heroes wander from bar to bar, from one place to another. In like manner those of Remarque vainly search for peace, and their life is full of restless wandering, just as is the case of the characters in *Mas'ūd's* novel, for whom to stop would mean to become fully conscious of their helpless situation.

The epic quality in the novel has functionally a secondary significance, conditioned by the author's above analytical design. The individual events of the fable constitute an ancillary element, a means of indirect characterization of the heroes, it helps to depict their way of perceiving, their mentality, morals, style of life and attitude towards it, with a strong accent on the social aspect.

IV. The choice of characters, their organic incorporation and functional utilization are likewise conditioned by the above analytical design. The heroes are characterized solely by a few external signs, an eventual deeper portraying being conditioned by the importance of the character for a more convincing realization of the author's design. Stress is laid on a portrayal of this part of Iranian generation as a whole, which is carried out at the expense of a more detailed psychological and sensual sketch of the various characters and explains why the characters are not analysed and reproduced in their life totality as individuals.

An efficient means for a more detailed characterization of the heroes is provided by their way of speech. A stylistic differentiation of the way of speech of the various characters embodies extensive characterizing features, signs, it enables a relatively exact judgment of their emotional and intellectual world, but in the present study no attempt will be made at an analysis of the language and stylistic devices: this will form the object of a further study.

The protagonists in the novel are five young men: the principal hero—the narrator in the novel (unnamed), his friend (likewise anonymous), typographer *Eskelet*, a shop-keeper *Gouje Farangī* and a clerk *Pakar*. They all possess various functional positions within the group and the different structuralization of relations one towards another, as well as towards the social context of the novel.

The dominant character is the principal hero who is a representative of the section of the generation referred to above. His individual characteristic is a minimum one: he finished school, is a teacher by profession, and these are all the concrete data on him. What is essential is not his individual fate, but the problem of the generation he represents, and therefore, as a concrete character he is portrayed within the scope of his function in the novel.

The remaining members of the group are functionally subordinated to the principal hero—the narrator. They are not called by their true name, but by a nickname which is motivated either by a salient external feature (e.g. in *Eskelet*—skeleton,

because of his height and lean appearance), or refers to the character's past (e.g. in *Pakar*).²³

A special place in the group is that assigned to *Gouje Farangī* (tomato) whose relationship and appurtenance to the group is given more or less by his participation in amusements and attempts of the group to compensate for their feeling of being outsiders by an exaggerated hedonism, rather than by an identity of a casual justification of existential problems. His specific function is that of an active initiator and organizer of the amusements in the group, while the other characters are more passive. But he has also the function of a contrasting pole of generation, portraying more saliently its special position in society. *Gouje Farangī* is without education, seels fancy goods in a bazaar, and a comparison of his way of speech in which vulgar and obscene words occur frequently, with that of the principal hero, depicts even more conspicuously the feeling of hopelessness of a generation which really does not belong among men of *Gouje Farangī's* type, but which has not found its place in society either.

Only one member of the group is portrayed in more detail with reference to his past. An unexpected meeting of the typographer *Eskelēt* with his former fiancée introduces his life history (pp. 45—57),²⁴ which motivates his present way of acting and his appurtenance to the group and where he passes under his own name—*Jahāngīr*.

A functionally relevant figure from among characters outside the group is that of the businessman *Hūshang*, a former schoolmate of the principal hero (pp. 82—87). The narrator's relationship and attitude towards *Hūshang* is a concrete evidence that the generation does not agree with *Hūshang*. (*Hūshang* left school and went into business. He thus escaped the influence of the school which further fostered qualities and ideals that found no implementation in real life, but at the same time he had to get even with the practical requirements of business enterprising.) His practical outlook and his taking up a place in society meant that he accepted those negative aspects of social reality which the generation refuses to accept and gives preference to being an outsider.

A man, older by at least four generations, indirectly belongs to the group, the *Philosopher*. This is some sort of a modern variant of "pīr"—a leader, who appears so frequently in classical Persian literature. The *Philosopher's* experience theoretically justified by age, should help the groping generation, but the fact is, that certain life experiences cannot be shared, and also the difference in age necessarily relativize the value and possible help of his counsels and instructions.

²³ *Pakar* (literally means afflicted, mourning). The bearer received this nickname from his associates at the time his girl-friend left him: for quite a time he went about sorrowful and pining over his loss.

²⁴ The page reference is to the text of the edition of *Tafriḥāt-e shab* used by us.

As against the male characters, only a single woman comes independently on the scene—the prostitute *Māhnūsh*. The case of *Māhnūsh* (pp. 111—124) is somehow related to that of *Eskelet* in a motivation sense. *Eskelet's* (i.e. *Jahāngīr's*) sweetheart had jilted him for the sake of a richer man and thereby took up the road to prostitution; *Māhnūsh* yearned only for a rich man and in punishment ended among prostitutes—in both cases then, woman's "moral transgression" results in her punishment and social degradation.²⁵

V. The fable of the novel is short with only a few episodes and a relatively well-defined time and space. The chronological sequence of the fable is made up of the time lapse including a night and the following day, and another day a week later. The space of the fable, following elimination of essential signs, is given by four units: (a) place of amusement—a bawdy-house and coffee-house; (b) the street; (c) the principal hero's flat, and (d) the school, i.e. the workplace of the principal hero.

Concrete time of events in the fable²⁶ proceeds chronologically through the principal hero's narrative in the first person (Ich-Erzählung) and creates quite a convincing illusion of a direct view on the course of events. Individual concrete events of the fable unfold in the given time span, but direct sequence is interrupted and retarded by retrospective glances and reflections of the hero, explaining individual episodes and motives. The narrator—the principal hero, not only recounts the actions and events, but also comments on them, reveals their motivation and ponders on their meaning. As will be shown later, compositionally the novel is built up precisely on the alternation of a chronological unfolding of events in the fable, i.e. the principal hero's narration, and his retrospective glances and reflections. For reasons of a practical analysis we have chosen the designation external and internal narrative line for the two contrasting poles.²⁷

The external narrative line is the vehicle for the concrete events of the fable in a chronological sequence, while the internal narrative line, which has a double functional role, intervenes into and interacts with it. The internal line carries statements on events from the characters' past, thereby also motivating their way of acting in the external narrative line, but is also and mainly the bearer of evaluative statements and reflections of the principal hero—the narrator.

The tension between the two narrative lines—the external (i.e. concrete events of the fable) and the internal (i.e. motivation and evaluative judgments and

²⁵ Such a possible interpretation is not explicitly stated, but neither it is excluded and might eventually point to a certain indebtedness of the author to the contemporary views on women.

²⁶ Cf. Wellek, op. cit., p. 218.

²⁷ Both the terms are auxiliary in nature, introduced for practical analytical reasons.

reflections) is created and maintained by a counterposition of two verbal tenses, the present and the past. The external narrative line is led in the present verbal tense which creates a complete illusion of the event being gradually unfolded without any sign of intimation of a subsequent turn of events in the fable. The other pole is the use of the past tense in the inner narrative line.

Exceptionally the present tense is also used in the inner narrative line, concretely in the case of *Eskelet's* episode and similarly also in that of the prostitute *Māhnūsh*, which motivate the behaviour of both the characters. The present tense which carries the temporal line of the character's growth and episode from his past is employed by the author for the purpose of evoking the episode and recounting it as a direct continuous course of an individual's life developing up to a certain break, which is a causative justification for the character's momentary way of acting and attitude in the external narrative line. This break is not the only motivation for the character's way of behaviour and acting, but rather a graded culmination, a climax (in *Eskelet's* case the motivational sequence starts from his poor circumstances, his father's death, existential struggle, the climax being his fiancée's betrayal). Both the episodes (i.e. *Eskelet's* and *Māhnūsh's*) are part of the internal narrative line and their present tense is functionally a past tense.²⁸ In order to reinforce the functional unity of the verbal tense in the internal narrative line, the author shifts the narration from the first to the third person (Er-Erzählung)—a more pertinent argumentation and explanation will be given elsewhere in our study.

An essential part of the internal narrative line is formed by the principal hero's evaluative statements and reflections by which he reacts to stimuli coming from the external narrative line and elucidates them: this involves monologues of the narrator's judgment and reminiscences, with emphasis being placed on his own evaluation and justification.²⁹ The narrator's reflections become connected and interrupt the external narrative line at a definite, actual moment in response to a concrete stimulus which is a signal triggering the evocation of judgments and reflections in the given phenomenon (for instance, the sight of pleasure-seeking guests amusing themselves in a luxurious café, induces in the narrator reflections on class stratification in society, pp. 13—15). In connecting both the lines, to have them

²⁸ In support of our interpretation of the functional use of tenses we refer to the discussed problems of relationship between grammatical tense and natural physical time in linguistic contexts.

²⁹ We leave aside any judgment as to the objectiveness of the hero's justification and motivation: this would require a deep and detailed study of the social context of the times. In addition to this problem a more important question has to be reconsidered: the relation of the author to the principal hero, i.e. how far are the hero's views interpretable as those of the author himself. This question may be judged only in a complex analysis of the whole trilogy and a study of *Mas'ūd's* total journalistic activity. Hence, we regard this point to be irrelevant to our present study.

cross and overlap each other, *Mascūd* makes sometimes use of rough naturalistic contacts and stimuli. Because both the stimuli, i.e. the input and output stimuli are elements of the external narrative line, their use is organic, as the external narrative line does not avoid even strong naturalistic descriptions. A case in point is, for instance, when he switches on to the internal narrative line in describing a revel in a bawdy-house (pp. 34, 39—40).

Evaluative judgments are also made by other characters besides the principal hero, but their statements and judgments are passed as dialogues, as an immediate part of the external narrative line, they derive from a concrete event which they immediately develop. These are dialogue statements with a direct participation of both the partners of this dialogue, eventually a monologue oriented to a passive listener.

VI. The basis of *Mascūd's* narrative technique is the "objective method".³⁰ The unfolding of the fable proceeds through the principal hero's narrative in the first person. The principal hero is the bearer of both the narrative lines. In the external narrative line the other characters of the novel are equal partners of the narrator who is not an "omniscient" observer of the events taking place in the external narrative line, but personally takes part in them. Only in the internal narrative line (i.e. on the motivational-reflexive plane) is he shifted to the foreground. Motivations of acts and attitudes are conveyed through him, but he accentuates his appurtenance with the others, thereby neutralizing any possible implication of his being extraordinary. The principal hero has a double function: (a) he is a direct participant of the events in the fable and from this, the carrier of the external narrative line (together with the remaining characters), and (b) he introduces, motivates and explains the attitude of his generation towards the world, i.e. he is the carrier of the internal narrative line (he alone).

Even the individual episodes of *Eskelet* and *Māhnūsh* are not related from a position of an omniscient observer, but are reproduced as a statement made the narrator and his associates by the hero and heroine themselves. The manner of their recounting formally differs from the narrative technique of the novel. The inclusion of episodes is part of the principal hero's narration, but to differentiate the formal independence of the episodic structure in the overall structure of the novel, *Mascūd* chose narration in the third person of the present tense.

In relation to the overall structure of the novel, the principal distinctions between the two episodes is the use of the present tense and the change of the narrating person. Both the episodes belong to the internal narrative line, both present the character's history and in view of the time shift between the concrete event of the novel when they are related and the time when the event took place, should be

³⁰ As regards problems of "objective" method, cf. Wellek, op. cit., pp. 222—224.

conveyed in the past tense. However, the episodes present the character's past in a strict chronological sequence and hence, the present tense is a more suitable means for creating a more perfect illusion of the unfolding event.³¹ For this reason, narration in the first person of the whole novel is counterbalanced by that in the third person which is chosen for a compositional reasons in order to avoid a logically unjustifiable conflict which would ensue if both these episodes were narrated in the first person of the present tense, because this verbal form is reserved directly for conveying along the external narrative line (i.e. events of the fable).

The formal alternation of the narrative from the first to the third person—precisely this alternation characterizes the independence of the structure of episodes—is an auxiliary and effective device for adhering to the narrative method, so as to prevent two narrations from crossing in the first person of the present tense and thus help avoid violating and disrupting the method selected for narration. (The independence of the structure of episodes, together with their symmetrical distribution in the structure of the novel—*Eskelet's* in the first and *Māhnūsh's* in the second part—might eventually be suggested by the purposeful use of the method of inserted short story, thereby taking contact with a current and frequently employed compositional procedure in earlier Persian prose literature. However, in our view, there is question simply of a conscious utilization of an existing compositional device in order to be able to adhere to the selected method of narration.) Both the episodes are connected with the external narrative line through a motivational link: *Eskelet's* episode is introduced on the occasion of his meeting with the woman who represented evil in his life (p. 45), that of *Māhnūsh* joins in at the moment when the heroine comes on the scene as a prostitute (p. 111).

VII. The novel is divided into two parts. The first part includes *Tafriḥāt-e shab*, which supplies the title to the whole novel, the second part comprises *Rūzhā* (Days). The external narrative line in the first part has a faster sequence of events, the short time lapse of the night is more dynamic and richer in dramatic happenings. In the second part the course of the external narrative line slows down and intersections with the internal narrative line are more frequent. The contrasting course of the narrative lines between the two parts reinforces the contrast between night and day, i.e. night as an attempt to enjoy in the fullest measure the pleasures of life, and day which shows in its full light the hopeless impasse. *Tafriḥāt-e shab* is a consequence of *Rūzhā*, which by its internal narrative line provide a motivation both to *Rūzhā* and to *Tafriḥāt-e shab*.

³¹ For narrating events in a chronological sequence, literature often employs also the past tense, but the latter implicitly embodies the possibility of its being used with an intimation of foreseeing and anticipating shifts in the events: hence, the present tense is a more perfect means for creating illusion of the unfolding event.

Furthermore, there is a difference between the two parts also from the aspect of the relationship of individual characters to the events of the fable and the principal hero. In the first part all the members of the group come on the scene, there is a certain equilibrium between them and the principal hero. In the second part this equilibrium is disrupted in favour of the principal hero and not all the characters are represented. *Rūzhā* has the function of presenting the motivation of the attitude and acting of the "lost" generation, and since this motivation is conveyed through the principal hero, in the foreground of the second part there is a narrator who frequently interrupts and crosses the external narrative line by his reflections and evaluative judgments in the internal narrative line.

VIII. The narration of *Tafrihāt-e shab* begins in the coffee-house where the principal hero sits together with his friend. The sight of a dancing woman who had succumbed to rhythm and feigned nothing by her dance, evokes in him an inner state of satisfaction and his thoughts revert to his childhood (p. 5). The dancing woman was a stimulus for interrupting the external narrative line and induced the internal narrative line of reminiscences. A reversion to the external line was brought about by a cat desirous of meat, which clawing at the narrator's foot, brings him back from his reminiscences into the atmosphere of the coffee-house:

"With weak movements something nudges my foot. I come back from my intoxication of fancies long since vanished into reality and see a grey cat scratching my foot with its claws and craving for food with its flashing eyes. In fact, it is right: a cutlet is more useful to its health than my poetic reverie, particularly if it's such a proper piece.

My visions of a joyful life were short-lived, fortune granted me but little time. They were like a little window which suddenly opens in the prison, reveals to the eyes a glance of the garden and immediately shuts to.

A dirty coffee-house, noisy squabbles and disputes, dishonest people, liars, hypocrites and swindlers are again before me" (pp. 5-6).

The crossing of the two lines proceeds in sequence: dancing woman (external narrative line)—memories of childhood (internal narrative line)—a cat (again external narrative line). A returning stimulus is one of the many naturalistic of which *Mas'ūd* makes use in engaging the two lines.

The principal hero together with a friend sets out for an ill-famed quarter to find prostitutes.³² The way through the quiet peaceful night and the inner restlessness of the principal hero provoke a tension which he attempts to moderate by his reflections and arguments in the internal narrative line (pp. 21-22). A meeting

³² It is not the design of the present study to present an exact enumeration of events of the external narrative line and its overlapping with the internal one. We mention only a few examples illustrating our principles for interpreting *Mas'ūd's* compositional method.

with further characters of the novel (*Pakar*, *Gouje Farangī*, *Eskelet* and the *Philosopher*) interrupts the internal narrative line of his reflections and induces again the external narrative line—introduction of the various characters and continuing on their way to the prostitutes. The narrator gives only a brief external characteristic of his companions with the least reference to their inner qualities and their past. This is done in the indicative mood of the present tense and represents a direct continuation of the external narrative line (pp. 23–27).

The entire party comes to the bawdy-house and amuses itself. The external narrative line becomes interrupted by the departure of *Gouje Farangī* who leaves the room with one of the women to go to an adjoining room. The *Philosopher's* remark not to forget the protective aid is again one of the naturalistic stimuli for inducing the internal narrative line—the principal hero's reflections motivating the behaviour of his peers:

“In the meantime *Gouje Farangī* goes out with that monkey of his. The *Philosopher* runs after him and advises him: Don't forget your condom!

This word is quite current to us, it has become common. How powerless and unhappy we really are, when hungry, we readily agree to use even poisoned food, and to prevent the poison from settling in our belly, we use antidotes.

Yes, we are good for nothing, we fit nowhere! We are wilted plants, stifled by the noxious atmosphere of the wrong kind of education and environment. Freshness and joy have left us and we find ourselves between nonexistence and ruin!” (p. 34).

Gouje Farangī's return to the group means simultaneously a return to the external narrative line. As they have no money to pay, *Gouje Farangī* suggests they disguise as comedians and amuse the guests. This disguise is a means adroitly to evade paying their bill, but simultaneously this also serves to introduce *Eskelet's* episode. The disguise does not exclude *Eskelet* from the group, but conceals his identity, he is one of them. The individual episode and thereby also the motivation of *Eskelet's* appurtenance to the group begins at the moment of unmasking. *Eskelet* without a mask comes face to face with the woman who had played an important role in his life: her betrayal had been a graded climax of his life's afflictions. The act of unmasking and the sight of the woman are stimuli for interrupting the external narrative line and taking up the internal narrative line of *Eskelet's* episode. The prostitute, *Eskelet's* erstwhile sweetheart, by her appearance on the scene at the instant of unmasking, interrupted the external narrative line and induced the internal one thanks to her specific traits as an element participating in both the narrative lines, naturally in a certain time interval:

“The show comes to an end, they take off our masks, *Eskelet* alone refuses to have it taken off. He puts out his hand to prevent them, but finally they tear it by force off his face. The woman who had just entered stands stock-still when she sees him! *Eskelet's* lips tremble, he turned completely pale, you wouldn't have

drawn a drop of blood from him. We look at him and soon everything is clear. That woman is *Eskelet's* former sweetheart and fiancée!

Every afternoon on returning from school *Jahāngīr* feels that the nearer he gets to his house the more wildly his heart beats. He has no mind to amuse himself with anybody, he doesn't care for companions or schoolmates. Nothing interests him on his way home and only endeavours to be home as soon as possible and prepare himself for his lessons and read books. But on coming home, he hardly reads two lines and puts aside his book and plunges into his musings" (p. 45).

As has already been mentioned, *Eskelet's* episode holds a special place in the structure of the novel. It is part of the internal narrative line—presents the character's past along with the motivation of his present way of acting; moreover, it is in itself a closed episode with an independent structure and manner of narration.

The amusement in the bawdy-house is interrupted by the approaching dawn, which is a natural transition from *Tafrihāt-e shab* to a new day from *Rūzhā*. The connection is underlined by a further link—the principal hero's dream. His dream is part of his external narrative line—the sleep is as if a normal continuation of events of the fable, and fills in the transition between night and day—as well as of his internal narrative line, for the dream content and the act performed in the dream motivationally supplement the image of the hero.³³ The dream is recounted in the present tense thus corresponding to the external narrative line. (Besides the above reasons, the physiological-psychological qualities of the dream also contribute to the parallel appearance of the two narrative lines.) This simultaneous run of

³³ The episode, and the act which the hero performs in his dream (The hero travels in his dream by bus to Teheran. He learns that his neighbour, an old merchant, has much money. During the over-night stop he does not resist the temptation and steals the money. The old man chases him and in the ensuing fight the hero stifles the man. He then jumps on to a lorry which soon has an accident, and this moment brings an end to his dream, pp. 62—72.), is evidence that a utilitarian view on life is also present in the hero's subconscious. He lays at rest his own conscience by the argument that the money had been acquired dishonestly and therefore, his act too is in relation with the original way of their acquiring. And this at the same time proves that the hero (for the present only in his dream) accepted the ways of the world about him. (The problem of the hero's dream is reminiscent of the "Napoleonian" problem of the young Raskolnikov in Dostoyevsky's *Crime and Punishment*. The essential difference between the two resides in that Raskolnikov, by his act truly carried out, wished to prove his thesis on the exceptional position of a strong personality and his right to act beyond the limits of what is allowed. What was important was the appropriation of the right to such an act without feeling any moral preventions, rather than its concrete content and benefit from it. That is why he prepared so long for it inwardly, gave himself the right to perpetrate it. Our hero acts in quite a contrary manner in his dream: his act came impulsively, without any long preparation, and in addition, the money was to serve solely as a means to his own material comfort.)

both the narrative lines is interrupted towards the end of the dream to allow the external narrative line of *Rūzhā* to go on:

“The car speeds forward along the narrow road and its noisy clatter and bumping shakes the bottles with soda water. One of them, under the gas pressure suddenly explodes like a bomb, the car skids, loses balance and goes tumbling down the slope.

The bottles burst with an ear-splitting din. I stop my ears with my hands and shout, I shout so loud that my throat nearly bursts. I tremble and yell till suddenly I plunge headlong into cold water and bits of glass tear my hands. I open my eyes and fixedly gaze about me.

For God’s sake, what a frightful dream that was! The wind has smashed the window in my room and a strong rain whips me in the face. My friend is still asleep and is aware of nothing” (pp. 71—72).

The awakening means the transition to the second part of the novel, the hero leaves for school. As already noted, the dominant in the second part is the internal narrative line which retards the progress of the external one. The latter evokes only a few events, the most salient of which is that relating to the prostitute *Māh-nūsh*. Her episode (pp. 111—124) has a similar structural pattern as *Eskelet’s* in the first part.

The individual intersections of the two lines are more frequently in favour of the internal narrative line, made up of extensive reflections striving to justify—in the principal hero’s apprehension—and find the roots of the hopeless situation of his generation.³⁴ The principal impulse through which he induces a crossing of the two lines is teaching, a conflict between the ideal and the narrator’s own experience.

Dismissal of the principal hero from employment, of which the school management informs him by registered letter (p. 148), is the last event in the external narrative line. His perplexity and helplessness lead him to ponder over his education. He turns over the pages of his manuals and books (p. 152) and thereby directly reminisces and judges.³⁵ It is the external narrative line, a direct reaction to the momentary lot and simultaneously also the internal narrative line commenting, reflecting and presenting the motivation of this situation:

“I cannot give it up! It’s not only papers and ink, it is twenty years of my life and effort. I am fond of it, all this affects my soul in the same way as a sweetheart’s body affects the feelings of her lover. I cannot renounce them and dissociate myself from them!

³⁴ We wish again to observe that our design involves the compositional method and hence, we leave aside any judgment on the suitability of the hero’s views.

³⁵ The extent and in some measure the instructive tone of these reflections probably emanate from “adab” tradition of classical Persian prose whose influence had not as yet disappeared from the consciousness of even those authors who otherwise strove to impart a modern orientation to their works.

Whatever they are, they are my life. They represent my efforts, my yearnings. I am bound to them and shall never separate from them. For a full twenty years I have breathed with them: how could I now suddenly forget all my preceding memories,

powerless and tired I bow my head. Slowly and calmly I lay it on books and my tears fall and wet the paper and leather binding of my books. My shoulders tremble, my heart beats violently. I do not know how long I have been in this state. Gradually my breathing slows down, becomes more regular, my hands lose their strength, my head inclines to one side, a growing darkness surrounds me and I fall into a deep sleep" (p. 173).

Both the lines which until now had appeared independently³⁶ and alternated, now meet at one and the same time interval.

The narrative method of the novel is built up on the principle of alternation of the external and internal narrative lines and their simultaneous appearance is a natural culmination of the compositional method which *Mas'ūd* employed in his first novel.

³⁶ The two lines appeared simultaneously also in the principal hero's dream. However, in the case of the dream there was question of a parallel appearance conditioned also by the physiological-psychological attributes of the dream, already spoken of, whereas now no parallel is involved that would be conditioned by anything else except the selected compositional method.

THE LEXICAL AND MORPHOLOGICAL IMPACT OF SANSKRIT ON MODERN INDONESIAN

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The problem of standardization and communicative optimization of a given natural language is closely connected with a steady improvement and accomplishment of its vocabulary, the creation of specified systems of terminology in the field of science, technology, economics, education, etc. In this respect, Sanskrit plays a similar role for the national language of the Indonesian Republic, the Bahasa Indonesia, as do both Latin and Greek for the whole intellectual world in East and West. Our investigations as to the impact of Sanskrit on Modern Indonesian are, on the whole, concerned with three major aspects: (a) Phonological correlations Sanskrit-Indonesian; (b) Lexicological aspects; (c) Morphological influence.

Phonological Aspects

The continuous intake of socially, culturally, scientifically, and economically important loan words as well as ever newly coined internationalisms into the system of a modern national language is of paramount interest for problems of language planning in general, and the modernization of national languages in particular. As has been shown by recent developments in African and Asian countries, the choice and subsequent modernization process of national languages, especially in these areas of the world, reveal a great complex of various theoretical and practical aspects. Once the selection of the national or official language-to-be has been made out of several languages or dialects of each country, there is the problem of standardization of the chosen official communication system. This problem of standardization—and we may add communicative optimization—of a given natural language is closely connected with a steady improvement and accomplishment of its vocabulary, the creation of specified systems of terminology in the field of science, technology, economics, education, etc.

As everybody knows, the cultural and linguistic history of European countries has been greatly influenced by classical Greek and Latin. The borrowing from these

ancient pools of lexical and word-formation elements continues to serve the whole intellectual world with ever new and well-defined, internationally accepted and standardized scientific and technical terms.

A similar role is played by Sanskrit in the national language of the Indonesian Republic, the Bahasa Indonesia. In many respects the growth and structure of Modern Indonesian may be compared, from its developmental point of view, with the history of English. The Roman, Scandinavian, and Norman invasions to England are in their cultural and linguistic effects a certain resemblance to the Indian, Islamic, Portuguese, Dutch and Japanese invasions to the Indonesian archipelago. The consequence for the Indonesians in our present time may be seen in a diverse bulk of loan words, including loan formations, mainly from Sanskrit, Arabic, Dutch, and English, not only in the local dialects, but also in that basic interinsular vernacular that has been developed from the original Malay language and officially come to be received as the unitary lingua franca, and been given the name of "Bahasa Indonesia". In his contribution to the Conference on "The Modernization of Languages in Asia", held in Kuala Lumpur in September 1967, the Indonesian novelist and philologist Sutan Takdir Alisjahbana made it clear that there is a passionate rivalry on the lexical field between Sanskrit, Arabic, Graeco-Latin and local languages and dialects in the standardization and modernization of the Indonesian language. In Sukarno's time there was even a noticeable tendency to screen off intruding Anglo-Americanisms by resorting to ancient borrowings or newly patterned forms from Sanskrit, using *pramugari* for stewardess, and *pra-sedjarah* (a Sanskrit-Arabic hybrid) for prehistory, *wartawan* for journalist, *wisatawan* for tourist, *swasraja* for self-service, *dwibahasa* for bilingual. Of late *konamatra* has been introduced in mathematics and engineering as a substitute for goniometry. Moreover, it should be noted from the sociolinguistic point of view that the general trend to apply pompous Sanskritisms in Modern Indonesian has at the same time a significant bearing on style in its social frame. In many cases the preference of a Sanskrit loan word or neologism to a simple-sounding vernacular word is meant to show that the speaker is an intellectual, educated person, saying *pria* and *wanita* instead of Malay *laki-laki* and *perempuan* for masculine or feminine or boy and girl respectively.

On the whole, there is a growing tendency to use Sanskritisms in the national language of Indonesia, whose very designation, *bahasa*, has been derived from Sanskrit "*bhāṣā*"—language. The fact that we have two forms in Indonesian—bisyllabic *basa* and trisyllabic *bahasa*—was of a certain difficulty for our computer experiments concerning an automatic phoneme transformation Sanskrit-Indonesian, where a number of hitherto disregarded or unknown phonematic irregularities could be discovered and analysed.

Phonematic correlations between the two languages under consideration have been drafted intuitively and empirically by J. Gonda in his book *Sanskrit in*

Indonesia, Nagpur 1952, in H. Kähler's *Grammatik der Bahasa Indonesia*, Wiesbaden 1956, and by G. Kahlo with his chapter on the sound changes of Sanskrit loan words in Malay contained in his booklet *Indonesische Forschungen—Sprachbetrachtungen*, Leipzig 1941. Their inventories of phonematic transformation rules between Sanskrit and Indonesian are far from being exhaustive and carry a certain amount of errors with them. In the case of the Indonesian homonym *bisa*, for example, we have to take into account two etymological traces, one coming directly from the native tongue and meaning as much as "can, may, possible", the other leading straight back to Sanskrit *viṣa*, which is "poison" (cf. Latin "virus"). That is why we decided to use quadruples consisting of a Sanskrit word, its Indonesian counterpart and their respective German meanings, each as one entry in our input format for the purpose of data processing. The German equivalents may serve as semantic markers in further investigations. Mohammad Zain's explanation of Indonesian *balai*—house, building from Sanskrit *valaya*—bracelet, circle, enclosure appears to be mistaken. We always have one reliable method at our disposal, by which to prove that a given item is of Sanskrit origin or not. This is the Polynesian matching test, because Sanskrit did not spread into the Pacific beyond the Philippines. Thus, if we find for our Indonesian word *balai* the form *balé* in Javanese, and *fale* in Samoan, as well as *whare* in Māori, all expressing the same meaning, we may be absolutely sure that we have not to deal with a Sanskritism. The same author's identification of the Indonesian word *meditasi*—meditation as of Sanskrit origin should not be considered as an error, but as a mere joke.

Our automatic phoneme transformation through Sanskrit-Indonesian word-matching yielded the following results.

From the given list of quadruples as described above we obtained:

- A complete set of transformation rules from Sanskrit phonemes to Indonesian phonemes.
- Alphabetically arranged word lists for each type of transformations.
- A series of tables, recording both the absolute and relative frequencies of the occurrence of the particular transformation types.

Our basic idea was a man-machine interplay, where man feeds the machine an empirically or otherwise gained initial set of transformation rules and the machine, as it were, is recursively "learning" more and more rules by which the whole batch of Sanskrit-Indonesian word-couples is filtered. There will always remain a residual amount of words not corresponding to the given rules from the inventory. Taking this fact into consideration, we formulated an algorithmic strategy, the main operations of which are:

- (1) Successively increasing the inventory of phonematic transformation rules.
- (2) At the same time, successively reducing the list of residual word quadruples.

The algorithm turned out to be slightly susceptible toward such cases, where the Sanskrit-Indonesian word-couples showed different lengths. This happens when the Indonesian syllabic glide vowel $|\partial|$ (spelled as an “e”) is inserted between consonant + $|r|$, e.g. Sanskrit *istrī* — wife → Indonesian *isteri* — wife, or when an aspirated consonant in Sanskrit either loses its aspiration in Indonesian or is transformed by insertion of a phoneme $|a|$ into a full syllable, such as in Indonesian *bahagia* corresponding to Sanskrit *bhāgya* — fortune, whereas in the case of Sanskrit *bhāṣā* we have, as already mentioned above, two corresponding forms in Indonesian, viz. *basa* or *bahasa*. Likewise, the Sanskrit suffix “ya” becomes either “ja” or simply “i” in Indonesian.

Apart from these cases, a great number of philologically interesting irregularities due to reduction, contraction, and syllable formation, have been revealed through our automatic transformation, and, furthermore, have been formulated as regularized correspondences between the two languages. In this respect, hitherto unnoticed cases of nasalization in Indonesian words, especially before dental consonants, are of particular interest to orientalists.

Besides this catalogue of phoneme correlations we tried to gain descriptive and numerical data for a phonomorphological typology of the two languages by means of a statistical contrastive analysis. These inquiries resulted in a table of the most frequent morpheme types in both languages as well as an index showing the degree of consonant clustering, which—as was to be expected—turned out to be significantly higher in Sanskrit than in Indonesian.

As Sanskrit has come to be known as a language relatively rich in consonants and Indonesian rather poor, just as the whole Malayo-Polynesian family, the difference between the extent of consonant clustering in Sanskrit and Indonesian may at the same time be regarded as an expression for the degree of adaptibility of foreign structures into the phonomorphological system of the Bahasa Indonesia.

As has been proved by the phonemic transformation rules in the first part of our phonological investigation and by the quantitative contrastive analysis in the second part, words of Sanskrit origin or pattern are easily and skilfully assimilated to phonomorphological standards of the Indonesian language and, not without a certain natural elegance and gracefulness, incorporated into the analytic-agglutinative system of its grammar.

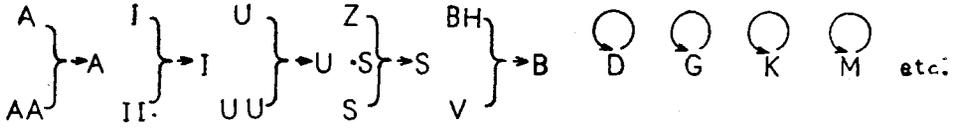
Trying to overcome the difficulties of Sanskrit spelling, we used a machine code developed by Bart van Nooten at the American Institute of Indian Studies from the Deccan College of Poona, India.

In order to illustrate the derivation of phonematic transformation rules, the following examples may be mentioned.

Phoneme Transformation by Computer

Sanskrit	Input Format	English Meaning	Indonesian	English Meaning
<i>āgama</i>	AA/G/A/M/A	LEARNING	A/G/A/M/A	RELIGION
<i>viṣa</i>	V/I/.S/A	POISON	B/I/S/A	POISON
<i>daśa</i>	D/A/Z/A	TEN	D/A/S/A	TEN
<i>bhūmī</i>	BH/UU/M/II	EARTH	B/U/M/I	EARTH
<i>kusuma</i>	K/U/S/U/M/A	FLOWER	K/E/S/U/M/A	FLOWER

Transformation Rules



II

Lexicological Aspects

As has been shown in our contribution on Sanskrit Loan Words in the Bahasa Indonesia, published in *The Journal of Oriental Research*, Vol. XXXVI, 1970, by The Kuppaswami Sastri Research Institute at Mylapore, Madras, a tentative semantic grouping of Sanskrit words in the Bahasa Indonesia displays the following fields of application:

- Religion and Philosophy
- Scholarship, Science, Numbers
- Abstract Words
- Man and Parts of the Body
- Family Relations
- Official Appointments and Titles
- Literary Terms and Notions
- Natural Phenomena and Geographical Expressions
- Animals and Plants
- Metals, Minerals, and other Materials
- Notions of Time
- Buildings and Institutions
- Trade and Business

In addition to the main stock of lexical items from both the nominal and verbal complex, there is a group of function-words (prepositions, adverbs, pronouns, and conjunctions) and prefixal as well as suffixal elements to be used in word formation, all of them equally derived from Sanskrit. There is a considerable number of undoubted Sanskritisms unrecognized and consequently not registered as such in Indonesian dictionaries, such as the *Kamus Modern Bahasa Indonesia*, Djakarta 1954, by Sutan Mohammad Zain, or the Indonesian-German dictionary by Otto Karow and Irene Hilgers-Hesse, published in Wiesbaden 1962. These two German orientalists, in fact, must have failed to know a Sanskritism when they saw one, otherwise they would have designated such evident items as *bahasa* — language, *bakti* — devotion, *bisa* — poison, *muka* — face, *prasangka* — prejudice, *sardjana* — scholar, *tjita* — idea (from the Sanskrit Past Participle *citta* — thought), and a great many others as genuine Sanskritisms.

After statistically checking different dictionaries as to their content in Sanskritisms we arrived at the following results:

- Karow and Hilgers-Hesse booked 545 Sanskritisms among 19,070 dictionary entries, which is 2.9 % as compared to 8.7 % Arabisms.
- Sutan Mohammad Zain records 565 Sanskritisms from a total of 13,182 entries, which is 4.3 % as compared to 8.4 % Arabisms.

Already from these numerical data we can infer a general agreement with regard to Arabisms and a considerable uncertainty when it comes to Sanskritisms. Our own file of Sanskrit loan words in the Indonesian Language, collected by hand in the traditional way from novels, scientific and technical publications, magazines and newspapers, private letters, together with those specimens found—if designated—in the dictionaries, amounts up to altogether 760 items, i.e. both borrowings and new formations with the help of Sanskrit implements. It is to be expected that the actual number of the Sanskrit share in Indonesian word usage is much higher, because our collection increases from day to day. As from our 760 Sanskrit words some 100 are still more or less doubtful in view of the shortcomings mentioned above, the need for an exact and complete solution of the problem becomes obvious. In order to arrive at an approximately accurate number, an automatic matching of an Indonesian word list with a Sanskrit dictionary, applying routine techniques of computer systems, seems to be inevitable. A given Indonesian word should, in accordance with a system of phonological transformation rules, be converted into its initially quite fictitious Sanskrit counterpart, a process which after a suggestion made by Hans Karlgren might duly be called a “translation into Quasi-Sanskrit”. The fictitious Sanskrit word, produced in this way, will then be looked up in the Sanskrit dictionary for a match, if successful, it will be stripped of its fictitious character and be turned into a genuine Sanskritism, if there is no match, the next Indonesian word has to be converted.

As may easily be guessed, the first step in the entire lexicological research scheme

has to be an automatic phoneme transformation Sanskrit-Indonesian, yielding the fundamental inventory of phonemic correlation rules between the two languages.

Yet another preliminary procedure to facilitate the dictionary comparison will be an automatic root analysis of current Indonesian text materials, because only root morphemes are to be finally matched so that the Sanskritisms among them can be selected by machine routines. Moreover, an automatic root analysis has to be regarded as indispensable for the preparation of dictionaries, thesauri, and word-frequency lists, which may then be subjected to various procedures of natural language data processing, and be further exploited in automatic documentation systems, as for instance, in key-word-in-context (KWIC) indexing, or in mechanized information retrieval with indexing, content analysis, abstracting, and—to some degree at least—for purposes of machine translation of telegraphic abstracts, again first and foremost in the field of information and documentation. Furthermore, it will become feasible, after all, to state the relative frequencies of Sanskrit words in actual usage of the Bahasa Indonesia covering all provinces of life, i.e. from newspapers, wireless broadcasting and television, from publications of any kind, political speeches, university lectures, bazaar slang, and so forth.

Trying to explain this by way of an example, let us take as input for our automatic text analysis on any medium-size computer just one sentence from the speech held by Sukarno on the occasion of the national ceremonies for the 19th anniversary of the Day of Proclamation on 17th August 1964. Incidentally, Sukarno's name is derived from a Sanskrit Bahuvrihi-Compound *su-karṇa* meaning as much as being provided with a nice ear, just as Suharto's goes straight back to *su-artha*, which had the meaning of showing nice endeavour, good property.

Sukarno said in his speech:

“Karena itulah maka pada permulaan pidato ini saja bitjara tentang pengalaman dimasa jang lampau, dan djurusan untuk masa jang akan datang”.

In English: “For this reason at the beginning of this speech I will talk about the experience drawn from the past and our tasks for the future.”

The output in the form of a string of root words after the procedure of automatic root analysis looks like this:

KARENA ITU MAKA PADA MULA PIDATO INI SAJA BITJARA TENTANG ALAM MASA JANG LAMPAU DAN DJURUS UNTUK MASA JANG AKAN DATANG.

Only in this form can any word be usually looked up in an Indonesian dictionary. It is this intermediary output which in its turn may be used for different processes of theoretical and practical analysis. If, however, we should want to get nothing else but merely an indication of the content in Sanskritisms, an automatic scanning of this small piece of text would print out the following words of Sanskrit origin

or pattern: *KARENA*, *MULA*, *SAJA*, *BITJARA*, *MASA* from *kāraṇa* — reason, *mūla* — root, *sahāya* — fellow, *vicāra* — consideration, *māsa* — month. That is to say that 23 % of all words in our selected sentence are Sanskritisms.

III

Morphological Aspects

Words in grammatical functions, such as prepositions, adverbs, pronouns, conjunctions, demonstrate in a rather convincing way the process of gradual incorporation of Sanskritisms into the system of the Bahasa Indonesia up to the final stage of their grammaticalization into pure function words. The following examples may be mentioned:

bahwa — that (introducing subordinate clauses) from Sanskrit *bhāva* — manner of acting, state of mind or body
atau, *atawa* — or from Sanskrit *athavā* — or
antara — between from Sanskrit *antara* — between
karena — as, because from Sanskrit *kāraṇa* — reason, cause
tatkala — when
sementara — meanwhile from Sanskrit *samāntara* — meanwhile
sarwa or *serba* — all, entire from Sanskrit *sarva* — all
purna — complete from Sanskrit *pūrṇa* — complete.

Among prefixes or quasi-prefixal elements in compound structures may be mentioned:

antar — inter-, as e.g. in *antar-pulau* — interinsular
maha — great. Prefixal *maha* — has become one of the most active word-forming morphemes in Modern Indonesian. We have discovered more than 20 specimens of word-formation with *maha*-. Among them there are *maharadja* — great king, *mahadjaja* — great victory, *mahadjana* — person of high rank, *mahaduta* — ambassador, *mahaguru* — professor, *mahamenteri* — high official, *mahamulia* — Excellency, *maharupa* — of grand shape or kind, *mahasiswa/-i* — student. For “God”, as pertaining to any theistic religion including Catholicism, Protestantism, and Islam, the Words *Mahadewa*, *Mahakuasa* — Almighty, or *Mahasempurna* — He who alone is entirely perfect, are in common use. Moreover, *maha* can be used in the function of an intensive adverb like very, extremely, exceedingly. Examples are: *mahabaik* — very good, *mahapenting* — very important, *mahabesar* — very great, all of them written in one word or with a hyphen, giving the feeling as if *maha* has to be considered as the first element in a compound. *eka*-, *dwi*-, *tri*-, *tjatur*-, *pantja*- etc. — mono-, bi-, tri-, tetra-, penta-, etc. Expressing

the simple, double, threefold, fourfold, fivefold, etc. meaning of the semantic content signalled by the second element in the compound. In other words, we have Sanskrit numbers in quasi-prefixal use: e.g. *dwiwarna* — in two colours, *dwiwibahasa* — bilingual, *triwulan* — three monthly, *tritunggal* — unity of three (referring to the Trinity of *Brahma*, *Viṣṇu*, and *Śiva*), *tjaturtunggal* — unity of local government consisting of four powers or forces: civil force, military force, the police, and jurisdiction, *pantjajindera* — the five senses. The famous *Pantjasila* and modernisms such as *Dwi-Dharma* and *Tjatur-Karya*, which can also be written in the form of compound words, have played an important role in politics. The *Pantjasila*, as propagated by the Indonesian Government after the Revolution of 1945, comprise the following five principles of statemanship:

- Belief in One Almighty God (*Ketuhanan Jang Maha Esa*)
- National Consciousness and Democracy (*Kebangsaan*)
- The Power and Sovereignty of the People (*Kerakjatan*)
- The Feeling of Unity and Mutual Estimation (*Peri-Kemanusiaan*)
- Social Justice and Common Welfare (*Keadilan dan Kemakmuran Sosial*).

Meantime the new government of the Indonesian Republic have contributed some new principles for political and economic orientation, also decorated with Sanskrit labels. In 1966 General Soeharto issued a political-economic emergency programme which was summarized under the brief codification *Dwi-Dharma* and *Tjatur-Karya*, both of which terms are Sanskrit in every syllable. *Dwi-Dharma* are the two basic preconditions for any further development of the Indonesian Republic, viz. political and economic stabilization, whereas *Tjatur-Karya* explicitly states the four necessary practical actions that had to be taken without any delay: to provide a livelihood for every citizen, to prepare general elections by 1968, to carry on a free and active foreign policy, and to continue the fight against imperialism and colonialism.

The word *Dwiwarna* together with the honorific article *Sang*, i.e. *Sang Dwiwarna* — The Two-Coloured is used as a euphemism for the national flag of the Indonesian Republic, exhibiting the two colours red and white.

swa — self, own, e.g. in *swasta* — individual, private, *swasraja* — self-service, *swatantra* — autonomy.

pra — before, pre-. This element has grown to be another most active prefix to form words in analogy to internationalisms beginning with the Latin prefix “prae-” as in “praehistoria”, or English “prehistory”, German “Vorgeschichte”, Indonesian pra-sedjarah. The word “pra-sedjarah” is a hybrid formation whose first element stems from Sanskrit and the second from Arabic. Other examples with *pra-* are: *prasaran* — preadvice, *pramugari* — stewardess, *prakarsa* — initiative, *prasangka* — prejudice, *prakata* — preface, and many others.

serba — all (Sanskrit *sarva*), e.g. *serbaguna* — multipurpose, *serbapikir* — mentalism (again a Sanskrit-Arabic hybrid).

purba — ancient (Sanskrit *pūrva*), as e.g. in *purbakala* — ancient time.
pari — Serving as an intensifying element, e.g. *paripurna* — very full, *paribahaja* — great danger. The Sanskrit, and with it also the general Indo-European meaning of “around, about” (cf. Greek “peri-”, Russian “pere-”, etc.) has been retained in *pariwarta* — all-round report, and especially in *pariwisata* — tourism, whereas tourist is *wisatawan* only, i.e. without the prefixed element *pari*.
su — good, nice, corresponding to Greek “eu-” as in “eu-angelion” — “Gospel, literally good news”, cf. also words like “euphemism” or “eulogy” in English. Innumerable proper names, such as “Sukarno, Suharto, Subadio, Sumadirana, Sutjipto, Sudarsono, etc. etc. are formed with the help of this morpheme which has remained active from ancient Javanese up to the modern times. Otherwise it occurs in formations like *susastera* — belletristic.

As productive suffixes, may be mentioned:

-wan/-wati — Expressing the faculties acquired for a given activity or profession, such as in *wartawan* — journalist, *wisatawan* — tourist, *tjendekiawan* — scholar (cf. *sardjana*). The feminine gender is formed by *-wati* respectively.

-man — Is of similar meaning as *-wan*, e.g. *seniman* — artist, its feminine counterpart being *seniwati*.

-bakti — service, e.g. *darma-bakti* — duty, *kerdja-bakti* — working-service, *pramubakti* — hotel servant.

-ta — In Sanskrit the ending *-ta* serves to form Past Participles from verbal roots, which may be nominalized into substantives, mostly of an abstract character. In the Bahasa Indonesia the suffix *-ta* is used in analogy to internationalisms ending in *-tas*, derived from Latin (e.g. “*facultas*”, “*universitas*”), in “*-ty*” as in English (“*capacity*, *quality*”), or in “*-tät*” as in the German language (“*Fakultät*, *Quantität*”). Indonesian examples are: *kapasita* — capacity, *legalita* — legality, *kwalita* — quality, *kwantita* — quantity, *fasilita* — facility, *fakulta* — faculty, *universita* — university. For the two latter, though, the original Latin forms “*fakultas*” and “*universitas*” are more frequent. Thus, we see that the suffix form *-ta* may have arisen from a contamination between Latin “*-tas*” and Sanskrit *-ta*.

Every lexical item adopted from Sanskrit is easily and elegantly incorporated into the agglutinative mechanism of Indonesian morphology. Thus, e.g. active verbs are given the prefix *me-* with concomitant prenasalization and elimination of the voiceless consonants $|p|$, $|t|$, $|k|$, and $|s|$. In accordance with this phonomorphological rule a verb “to like” is derived from the root *suka*: *menjukai*. It has attained the prefix *me-*, palatal prenasalization $|nj|$, and the suffix *-i*, which denotes orientation of action towards an unmoved object. From the root *pudja* the verb *memudja* — to adore, love, honour is formed, from *kata* — word the active verb *mengatakan* — to say with suffix *-kan*, denoting, as a rule, orientation of action towards a moved object. Abstract nouns are generated by embedding of the

lexical, basic root into the affixal frame *ke...an*. Thus from *sastera* — books, philology we form *susastera* — beautiful books, belletristic, and then by attaching both prefix *ke-* and suffix *-an*, we obtain *kesusasteraan*, which stands for literature.

The analytical-agglutinative character of the Malayo-Polynesian languages may be considered as the structural reason for the absence of any formal distinction of gender in the Bahasa Indonesia. As has already been emphasized in our introductory remarks, the modern Bahasa Indonesia is in its historical growth and structure more or less comparable to English, conspicuously so after the Norman conquest of the British Isles, or after the exportation and transplantation of the English language across the ocean to the American continent. Thus, the influence exerted e.g. by the French language upon the lexical structure of English with all this consequences as to an increased richness in synonyms, the enhancement of possibilities of word-formation and derivation, the occurrence of hybrid formations, greater varieties of style, connotative multiplicity etc., is, on the other hand, reflected through the role played by Sanskrit and Arabic in the Bahasa Indonesia. And much in the same way as English has adopted a few plural endings from Greek and Latin that have remained entirely unproductive within the whole language system (e.g. “phenomena, algae, fungi”, etc.) and some of which are even used for the singular number, because their original plural form and function are no longer to be felt by the English speakers (e.g. “visa, data”, etc.), so, likewise, in the national language of Indonesia we may hit upon petrified, and hence grammatically unproductive plural forms taken over from Arabic (such as *saladin*, *hadirin*), which, like their Latin and Greek equivalents in English, are no longer looked upon as true plural forms and, consequently, are often provided with the systematically and paradigmatically prescriptive plural marker *para* (originally—people, mass, crowd) in front of them. This is what we understand by the technical terms “lexicalization”. There is a similar case of adoption of formal means of gender discrimination between masculine nouns in *-a* and feminine ones in *-i* borrowed from Sanskrit, but equally unproductive within the whole system of the Indonesian language. In other words, these few cases should be treated as nothing else but an occasional retention of morphological differentiation markers that have not become paradigmatic.

Such Indonesian instances as e.g.

dewa — *dewi* — god — goddess

mahasiswa — *mahasiswa* — boy-student—girl-student

putera — *puteri* — son—daughter

saudara — *saudari* — brother—sister

have to be treated as part of the vocabulary and not of grammar. They have been lexicalized. This is a logical postulate, even though we might mention some rare example of analogy where the gender criterion is used with nouns of Malay origin, as in the case of *pemuda* — *pemudi* — boy — girl or *pembatja* — *pembatji* — reader,

masculine and feminine respectively. The latter, by the way, is an interesting example of etymologically hybrid nature: *batja* — to read goes back to Sanskrit *vac* — speak or *vācā* — “speech”, whereas the prefix *pe-* is typically Malay to indicate the actor of the verbal expression represented by the root of basis, the feminine suffix *-i*, after all, is again made use of in accordance with the Sanskrit pattern. How far the morphological neutralization of the *-a/-i* differentiation in Indonesian has actually advanced, may be illustrated by examples where the originally masculine form in “-a” may express both masculine and feminine gender. This is particularly the case in words of a generalizing meaning such as

mahasiswa — student (both masc. and fem.)

saudara — comrade (both masc. and fem.) etc.

This neutralizing process may also be illustrated by numerous examples from any other language—cf. the Russian words “kollega”—“colleague” and “tovarišč”—“mate, fellow, comrade”, both of which imply masculine as well as feminine gender in one and the same word-form.

From a general linguistic point of view, embracing all aspects of language development—the phonomorphological phenomena, the semantic dynamics, the syntactical conditions—the processes of lexicalization as in the cases of non-paradigmatic plural endings on the one hand, and of grammaticalization as illustrated in the process of semantic generalization of the words *saudara* and *saudari* up to their final desemantization into mere pronouns on the other, are of paramount interest for the documentation of extralinguistically conditioned effects of intralinguistic activities. On its long way of gradual loss in semantic content until finally gaining the function of a personal pronoun of the second and third person, the word *saudara*, and respectively its feminine counterpart *saudari*, exhibits a complete chain built up by the following semantic links: from “brother or sister” to “intimate friend” to “mate” to “formal friend” to “fellow” to “comrade” (as an equivalent to Russian “tovarišč”) to “colleague” (in the general sense of the word) to “Mr. and Mrs. or Miss” (as a manner of addressing other persons) and finally to the personal pronoun of the second person corresponding to English “you”, or German “du, ihr, Sie”. In postposition, as any other personal pronoun of the Bahasa Indonesia, *saudara/saudari* may be used in the function of a possessive pronoun: e.g. *rumah saudara* — your house, *suami saudari* — your husband. Occasionally the words *saudara* and *saudari* can also stand for the personal pronoun of the third person singular. As to plural formation in the pronominal sphere, the usual structural rules have to be applied, as there are

word-repetition: *saudara-saudara*

saudari-saudari

adding of *semua*, or *sekalian*, both of which meaning “all”

saudara/saudari semua
saudara/saudari sekalian } = you all.

Indonesian *saudara/saudari* is derived from Sanskrit *sodara* (m.)/*sodarī* (f.)—full brother/sister by kinship. As further Sanskrit forms of the same lexical item under consideration may be met with:

- adj. usage of *sodara*, e.g. ac. sg. *sodaram bhrātaram* — the full brother (as an object), where in the attribute the proper basic meaning of “stemming from one and the same womb” is inherent;
- adj. derivation *sodarya* — brotherly, sisterly;
- the latter substantivized: *sodarya* (m.)/*sodaryā* (f.) — *sodara/sodarī* as mentioned above;
- in addition to these, in compounds: *sodarasneha* or “*sodaryasneha* — love among brother and sister, also used symbolically, cf. *Śakuntalā* Act IV, line 5 (p. 47 in the edition by Cappler):
avaimi te tasyām sodara-sneham — I know your sisterly love to him. In Boehtlingk’s edition of *Śakuntalā* the *o* of the form *sodarya* has been changed into the diphthong *au*: . . . *saudarya-sneham*.
- subst. *saudaryam* (n.) with *Vṛddhi* |*o*| → |*au*| — brotherly resp. sisterly relation, as occurring in the texts of *Bhāgavata-Purāṇa* and *Daśakumāracarita*.

In line with suffixes *-mant*, *-vant*, *-in* expressing something like “having, being provided with”, also the suffix *-ya*—belonging to, may be considered as a derivational morpheme, used in Sanskrit to form adjectives from nouns, or, more generally speaking, nominal stems from nominal stems. Of paramount interest is, in this connection, the treatment given to the ancient forms *sodara* and *sodarya* in *Pāṇini’s Sūtras*, which have to be considered, in terms of modern linguistics, as the earliest documentation of programmed teaching and learning by means of logically arranged sets of rules and metalinguistic symbols. In this respect Leonard Bloomfield is scientifically justified calling the Sanskrit Grammar of *Pāṇini* as “one of the greatest monuments of human intelligence”. Thus, we too, feel justified throwing a glimpse into *Pāṇini’s Sūtras*, using the annotated edition by Otto Boehtlingk, Leipzig 1887.

Pāṇini, Sūtra 4, 4, 105: *sabhāya yaḥ*

This statement means that the suffix *-ya* is to be added to *sabhā*, resulting in the form *sabhāya* — being in community with.

Pāṇini, Sūtra 4, 4, 108: *samānodara śayita o codāttaḥ*

Denoting the meaning of “*-ya*” expressing “having lain, rested” after *samānodara*, the |*o*| in this case bearing the accent, e.g. *samānodaryo bhrātā* — “full brother”. The past participle *śayita*, meaning “having rested or slept”, is derived from the root form *śī* and, as a noun, determines the place, where somebody “has been lying”. Phonologically, there is a sandhi of *samāna* + *udara* → *samānodara*.

Pāṇini, Sūtra 4, 4, 109: *sodāradyaḥ*

Which says that in this same meaning of “has been lying” as shown in rule

4, 4, 108 -*ya* may be added to the word *sodara*, e.g. *sodaryo bhrātā*—brother by kinship or biological relation.

In a later section, *Pāṇini* describes a powerful algorithm for what in modern structural linguistics would be called “substitution technique”. Thus, for instance, *Sūtras* 6, 3, 84 till 89 are dealing with the substitution of *samāna* by monosyllabic *sa*—equal, identical, same, together, common, joint (cf. the same meaning of the word “same” in English, “zusammen” in German, and *sama* in Indonesian), as it occurred in rules 4, 4, 108 and 109 just mentioned above. *Pāṇini* formulates a clever alternative rule—within the total substitution algorithm—for using either *samāna* or *sa* according to *Sūtra* 6, 3, 88: “*vibhāṣodare*”, where he says that in the case of prefixation before *udara*—belly, cavity, womb, provided with the suffix -*ya*, substitution of *samāna* by *sa* is not obligatory, or, in other words, both forms are admitted: *samānodarya* and *sodarya*.

This is an interesting example of a so-called “Not Only But Also” rule as it is known to modern mathematical logic.

The sandhi rule for *vibhāṣā + udara* → *vibhāṣodara* is given in *Pāṇini* 6, 1, 87. The feminine noun *vibhāṣā* means arbitrary decision, alternative, free choice. The ending -*e* of *vibhāṣodare* denotes the locative case singular and the existence of -*ya* is to be inferred from the foregoing *sūtras*. Thus *Sūtra* 6, 3, 88 may literally be rendered into English by the following prescription: “Alternative is possible in case of *udara*”.

In quoting these few rules from *Pāṇini*’s programmed Sanskrit grammar, we have, at the same time, extracted the two basic elements *sa* and *udara* as they are necessary for an etymological understanding of our two Indonesian words *saudara* and *saudari*. Taken together, the Indian preconditions for the Indonesian word-couple *saudara/saudari* can best be explained by referring to a confirmation of the phonomorphological facts, as kindly given in an information by the Director of the Shri Lal Bahadur Shastri National Institute of Sanskrit Studies in Delhi, Dr. Mandan Mishra. He says that the Indonesian and Malay form *saudara* does not occur in Sanskrit, where we find *sodara* exclusively with *o*, both in adjectival and substantival usage.

As far as the opinion of Indian scholars goes, there is no explanation for the occurrence of the phoneme |*au*| in the Bahasa Indonesia. No tendency of a shift from *so-* to *sau-* may be traced in modern Hindī either. Moreover, Mandan Mishra makes it clear that in Sanskrit and Hindī the proper form for the feminine gender of the masculine counterpart *sodara* ought to be *sodarā* with a long ending vowel |*ā*| instead of *sodarī* with long final |*ī*|. In other words, the latter is to be explained by way of analogy to all the other feminine nouns of the *i*-class. Nevertheless, the general rule for feminine derivation from *akārānta*—words, i.e. words ending in -*a*, postulates the suffix -*ā*. This may be seen from examples like *kanya* (m.)—the smallest one and *kanyā* (f.)—girl, or *rāma* (m.)—“the dark one

and *rāmā* (f.) — the dark lady, who, incidentally reminds one of Shakespeare's famous lady-love to whom he addressed his charming sonnets. The form *rāmī*, also of feminine gender, however, has quite another meaning, viz. "night."

The modern Indonesian word *saudara*, and its feminine counterpart *saudari* respectively, has the basic meaning of brother (or sister), mate, fellow, comrade. Other meanings have been touched upon already. Originally, Sanskrit *sodara* from *sa* + *udara* pointed to the fact that brothers and/or sisters are stemming from "one and the same maternal womb". Owing to the amalgamation of these etymological elements expressing "togetherness" and "uterus" into one sandhi-form *sodara*, which phonomorphological phenomenon the American linguist Paul L. Garvin in his book *On Linguistic Method*, The Hague 1964, p. 25, very adequately described as a "morphemic overlap" where the phoneme produced by the sandhi acquires an ambimorphemic character, prevented the Indonesian borrowers of the word from realizing and comprehending the original semantic kernel of the compound. Thus, when the necessity should arise in communication to make it clear that not just "fellow, or mate", but rather "brother or sister by true kinship" is to be meant by the word *saudara* or *saudari*, the Indonesian speaker feels compelled to regenerate or recharge the loan word by a lexical manipulation that might linguistically be called something like a "resemantization process". The resemantization is brought about by introducing the Malay word *kandung* which has the same meaning as Sanskrit *udara*, viz. womb, or uterus: *Saudara kandung* — full brother. There is another form, *saudara sekandung*, where the prefixed element *se-*, though exactly corresponding to the grammatical meaning of Sanskrit *sa-*, is not at all etymologically identical with the latter. Indonesian "se-" is a reduced form of the numeral "satu"—"one" and, when used as a prefix, serves in the function to express comparison of equal degree as the syntactical construction "sama dengan", meaning literally "together with, along with, being of the same degree as". In this construction, of course, the grammatical function word "sama" is another case of borrowing from Sanskrit.

As a curiosity, we refer in our etymological and phonomorphological analysis, to a typical mistake that once occurred to the Indonesian philologist and lexicographer Sutan Mohammad Zain when trying to explain the etymology of the word "saudara" as used in the Bahasa Indonesia. In his *Kamus Modern Bahasa Indonesia* (Modern Dictionary of Indonesian), Djakarta 1954, he says about the historical development of our word: *terjadi dari sa + udara* — originated from *sa* (together) plus *udara* (air, atmosphere, sky), and then he goes on explaining: *bernapaskan udara yang sama dalam kandung ibu: adik, kakak; tetapi sekarang artinja bertambah luas dengan teman, sahabat*. In English: To breathe the same air—or having breathed the same air—within the mother's womb: younger or elder brother or sister; nowadays, however, in a broadened sense referring to mate or friend. The process of pronominalization, i.e. of gradually grammaticalizing the words

saudara and *saudari* into a personal pronoun, has not been mentioned at all. And, although Muhammad Zain quite correctly registers in his Indonesian dictionary the word *udara* (even with its meaning air, atmosphere, sky) as a Sanskritism and, contrary to the prefix *se-* mentioned before, the compository element *sa-* has also undoubtedly been taken over from Sanskrit, he feels inclined to consider the morphemic amalgamation *saudara* as peculiarly and virtually Indonesian and by no means derived from Sanskrit.

A lexicogrammatical analysis of the usage of *saudara/saudari* in the Bahasa Indonesia reveals the fact that from the lexical field of application in the sense of "friend, comrade, Mr., Mrs. or Miss" as a semi-grammaticalized lexeme in the function of addressing another person, the fully grammaticalized pronoun of the second or third person has developed. From linguistic processes of this kind, to which may easily be added further examples, certain interactions between semantic changes and functional shiftings, between lexicon and grammar, or more commonly speaking, among form, meaning, and function, may be concluded.

Summarizing our lexicological and morphological findings, we arrive at the following conclusion: For South East Asia, Sanskrit plays a similar role as ancient Greek and Latin do for Europe. It is to be considered as a rich source of root morphemes, prefixes, and suffixes, as well as morphological patterns for word formation in the development of national languages. Not only prepositions, adverbs, pronouns, and conjunctions, but also certain grammatical features, types of compounding and a great number of active pre- and suffixes have been collected to prove their incorporation into the agglutinative mechanism of Indonesian morphology.

From these linguistic findings a constant process of grammaticalization of Sanskrit words within the system of Bahasa Indonesia may be inferred. The conclusion is drawn that the influence of Sanskrit on the development of the national language of Modern Indonesia shows an increasing tendency at the present time. This general trend is most conspicuous in the field of lexicology, including word-formation, less effective in grammatical morphology, since the Bahasa Indonesia is a predominantly analytical language, and almost negligible in the syntactic sphere.

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TANE IN THE EASTER ISLAND SCRIPT

VIKTOR KRUPA, BRATISLAVA

The author discusses the distribution of the character 755 in the rongorongo tablets from the Easter Island. The character has been tentatively interpreted by Thomas Barthel as Tane. Since this deity plays an important part in Polynesian myths, the interpretation suggested by Barthel has been verified mainly from the point of view of mythology.

In most parts of Polynesia Tane ranks, together with Tangaroa, Rongo and Tu, among the most important deities. He was notable for a considerable polyfunctionality in the Polynesian pantheon, however, it is not difficult to find a common denominator for all of his various functions. The word tane signifies male, man, husband, and this meaning is known in all Polynesian languages. This makes it understandable why Tane represents the male principle in the Polynesian mythology.¹ As such he was considered to be the major fertilizer of the earth and the creation of the first woman (Hina-ahu-one) was ascribed to him.² Sometimes the latter deed is ascribed to Tiki but many scholars think that Tiki is but a personification of Tane's male organ.³ Tane as a fertilizer was identified with the sunlight. The poles of Tane (*toko*) are simply sunrays and his water of life (*wai ora*) is sunlight in which the moon (*Hina*) bathes in order to renew herself.⁴ Tane is, at the same time, the pillar of the sky (*toko rangi*) and the personage who has lifted the sky (*rangi*) to its present position.⁵ In view of Tane's identification with sunlight, as well as in view of his noble origin, it is far from surprising to find that he was addressed as ariki (*lord*) and referred to as red-headed or blond.⁶ His visible incarnation or adobe was *manu kura* fregatte bird (*kura* means precious, red). Tane as a general fertilizer

¹ Handy, E. S. C.: *Polynesian Religion*. Honolulu, Bernice P. Bishop Museum 1927, p. 98.

² Best, E.: *The Maori As He Was*. Wellington, R. E. Owen 1952, p. 40.

³ Handy, E. S. C.: *Polynesian Religion*. Honolulu, Bernice P. Bishop Museum 1927, p. 107.

⁴ Best, E.: *Some Aspects of Maori Myth and Religion*. Wellington, Dominion Museum 1922, p. 13.

⁵ Handy, E. S. C.: *Polynesian Religion*. Honolulu, Bernice P. Bishop Museum 1927, p. 100.

⁶ Handy, E. S. C.: *Polynesian Religion*. Honolulu, Bernice P. Bishop Museum 1927, p. 105.

also caused trees and herbs to grow and thus was a food provider, patron of trees and everything connected with them, i.e. patron of carpenters, house and boat builders.⁷

The important role played by Tane in Polynesian mythology led T. S. Barthel to look for this personage in the texts kohau rongorongo from the Easter Island. On the ground of analysis of the distribution, Barthel has selected as the probable symbol for Tane the character 755 and its modifications 752 and 756.⁸ Metro read the character 755 always as *tara* thorn, spike. Barthel points out that in Tahiti there was a deity Tara-pa'a who was always mentioned with Tane; another link is seen in the fact that *tara* might stand for *tarai* to carve and Tane was god of carpenters.⁹

However, of vital importance for the correct interpretation of the character 755 (as well as 752 and 756) is a careful analysis of its environments in the rongorongo texts. This has been done to a considerable extent by Barthel himself.¹⁰ The aim of this paper is to summarize the results achieved and to pinpoint some wider connections in the texts.

Tane's most important deed was raising the sky or supporting it. This motive occurs in several places, namely Er9, Ca1, Pr1, Hr1, Ra5, Sa7, Ev8, Br5, Ab3, Pr3, Hr4, and Pv1. It is the very first motive in texts C, P, and H. The pertinent sequences are listed below.

Er9 - Ev1: 1.9 - 755 - 50.10 - 5 - 37? - 45? - 1 - 561 - 700 - 280 - 1? - 7 - 22 - 2 - V34 - 2 - 1 - 2 - 34 - 306.3 - 70 - V521fys - 306.3 - 70 - 63? - 22f - 63? - 1 = *toko rangi - tane - hakahenua - tea - hotu? - rapa? - toko - manu rua po - ika - honu - toko? - rei - vaka - uri - kuru? - uri - toko - uri - kuru runga - avai koro maro - vai - kai hina ariki - avai koro maro - vai - kai? - tapa(iru) - kai? - toko.*

Ca1: 1 - V9 - 755 - 50.10.37 - 5.37 - 45 - 1.208.69 - 700 - 290 - V600 - 1 - 7 - 600 - 385y - 1 - 280 - 1 - 226.74f - 220.11 - 380.1 - 2. V34 - 2. V3 - 670 - 1?/4? - D604:42 - 40 - 605 - 380.V55b - 5 = *toko - rangi - tane - haka hotu henua - tea hotu - rapa - toko maori po - ika - atua - kura - toko - rei - kura - hakarongo? - toko - honu - toko - ? avai hua - ? papa - kohau rongorongo - uri kuru? - uri maro - moe - toko?/ahu? - hina? kura avai - hina - hakakura - rongo tai? - tea.*

Pr1: 1.200.9 - 755 - 50.10 - 5.37 - 1 - 577 - 700 - 280 - 1 - 7 - 260.1 - 280 - 1 - V65 -

⁷ Handy, E. S. C.: *Polynesian Religion*. Honolulu, Bernice P. Bishop Museum 1927, p. 100; Best, E.: *The Maori As He Was*. Wellington, R. E. Owen 1952, pp. 37, 40.

⁸ Barthel, T. S.: *Grundlagen zur Entzifferung der Osterinselschrift*. Hamburg, de Gruyter 1954, p. 254.

⁹ *Ibid.*

¹⁰ Barthel, T. S.: *Grundlagen zur Entzifferung der Osterinselschrift*. Hamburg, de Gruyter 1954, pp. 254—255; Barthel, T. S.: *Rongorongo-Studien*. *Anthropos*, 58, 1963, p. 406.

- 1 - 356.3 - 60?.3 - 306.3 = *toko tangata rangi* - *tane* - *haka henua* - *tea hotu* - *toko* - *maori rere po* - *ika* - *honu* - *toko* - *rei* - *kio toko* - *honu* - *toko* - *to'a?*/pou? - *toko* - *avai* ? *maro* - *va'e?* *maro* - *avai koro maro*.

Hr1 is almost identical with Pr1, except for the character 1 missing in the very beginning of Hr1 and for some minor stylistic variations.

Ra5 - 6: 1.200.1 - 1.9 - 755 - 50 - 5 - 2?/45? - 1? - V561 - 700 - 280 - 616 - 1 - 7 - 600 - 300.1 - 7 - 67.22f - 67.22f - 460 - 1t - 630.69 - 700 - 595 - 5t - 62.54 - 280 - 67 - ? : 59f - 569? - 1.9 : 5 - 40 - ... - 40 - 600? - 2 - 20 - 80? - ... - 48 - 40 - 5 - 600f - 20 - 20 - 80 - 4 - 1.9 : 5 - 215 - 7 - 2 - 20 - 80 - 4 - 610.700f = *toko toko tangata* - *toko rangi* - *Tane* - *henua* - *tea* - *rapa?* - *toko?* - *manu rua po* - *ika* - *honu* - *kura?* - *toko* - *rei* - *kura* - *koro toko* - *rei* - *niu tapa* - *niu tapa* - *u'i* - *toko* - *ako po* - *ika* - *tangata hakarangi* - *tea* - *ta'u pou* - *honu* - *niu* - *ha'u?* - ... *po?* - *toko rangi* - *tea* - *(ma)hina* - ? - *(ma)hina* - *kura?* - *uri* - *mata* - *hetu'u* - ? - ? - *ma'unga* - *(ma)hina* - *tea* - *huru kura* - *mata* - *mata* - *hetu'u* - *ahu* - *toko rangi tea* - *hapai?* *tangata* - *rei* - *uri* - *mata* - *hetu'u* - *ahu* - *kura huru ika*.

Sa7: 7 - 600 - 99 - 50 - 1.9 - 755 - 50 = *rei* - *kura* - *atariki* - *henua* - *toko rangi* - *Tane* - *henua*.

Ev8: 22 - 22 - 755 - 99 - 755 - 1 - 46 - 73.6 - 522f - 50 - 22f - 55b - 590.1 - 755 = *vaka* - *rua* - *Tane* - *atariki* - *Tane* - *toko* - *pu* - *rutu pahu* - *ariki* - *henua* - *tapa(iru)* - *tai* - *tangata toko rangi* - *Tane*.

Br5: 1 - 755 - 207 - 9 - 203 - 400y.63 = *toko* - *Tane* - *rere tangata* - *rangi* - *tangata toki* - *(manu) tara toki*.

Ab3: 752 - 360.1 - V9 = *ta'u Tane* - *hopu toko* - *rangi*.

Pr3: 752 - 360.1.260 - 9 - 1 - 752 = *ta'u Tane* - *hopu hopu toko* - *rangi* - *toko* - *ta'u Tane*.

Hr4: 755 - 260.1 - 260 - 591 - 5 - 1 - 755 = *Tane* - *kio toko* - *kio* - *ea rangi* - *tea* - *toko* - *Tane*.

Pv1: 2: 42 - 755 - 9 - 61.9.61 = *uri marama* - *Tane* - *rangi* - *hapai rangi*.
(*ma*)*hina*

As mentioned above, the act of supporting the sky with a prop by Tane is described as (1) *toko rangi Tane* (Er9, Ca1, Sa7), (2) *tangata toko rangi Tane* (Pr1, Hr1, Ev8), (3) *toko-toko tangata toko rangi Tane* (Ra5), (4) *toko Tane rere tangata rangi* (Br5), (5) *ta'u Tane hopu? toko rangi* (Ab3, Pr3, Hr4), (6) *Tane kio? toko kio? ea rangi tea toko Tane* (Hr4), (7) *Tane rangi hapai rangi* (Pv1). Here *toko* stands for pole, prop, support while *tokotoko* as a durative probably refers to the act of supporting the sky. Further, *tangata* may be regarded either as a determinative and thus superfluous in the interpretation or as a pronoun of the third person. *Rangi* denotes the sky while *rangi tea* (Hr4) might be compared with the Maori expression *Rangi-atea* meaning bright sky. The word *ta'u* has a complicated semantic structure and here it might be interpreted as a verb referring to labouring, setting up. *Hopu*

also refers to an activity although it is not clear whether it means to hold, to set up or something else. The same is true of *kio*; both *hopu* and *kio* occur in the durative form as well (*hopuhopu*, *kio-kio*), which agrees with their verbal character. *Ea* indicates that the sky has risen (Hr4) while in Pv1 Tane is quoted to have lifted (*hapai*) the sky in the era when light was dark (*uri marama*). Pv1 contains the most deviant description of Tane's propping the sky.

The description of Tane's supporting the sky is followed by a sequence interpreted in its fullest version as *hakahotu henua (a)tea hotu rapa* (Ca1). The other versions are shorter, i.e. *hakahenua (a) tea hotu rapa* (Er9), *hakahenua (a)tea hotu* (Pr1, Hr1), *henua (a) tea rapa* (Ra5), *henua* (Sa7). This sequence has been deciphered by Barthel¹¹ as referring to the primeval couple Hakahotuhenua and Atea-hoturapa where Hakahotuhenua refers to the earth (*henua*) and Atea-hoturapa to the space or sky (*atea*). In Polynesia, the earth is regarded as mother and space or sky as father. On the other hand, father should be mentioned before mother. Barthel¹² explains this contradiction through a sex exchange that took place in the mythology of the Society Islands. When trying to interpret a myth, one ought to keep in mind that there is always the possibility of a semantic ambiguity. The first sequence has the surface meaning "Tane has supported the sky, Tane is the pole of the sky"; besides, it has a deeper meaning in accordance with which Tane's poles are sunrays. The second sequence may be interpreted on the deep level as follows: The earth (*henua*) has been fertilized (*hakahotu*) by the fruitful (*hotu*), shining (*rapa*) light (*tea*). Thus Tane may be identified with light, which perfectly agrees with what is known about him from other parts of Polynesia.

The latter sequence is missing from Ev8, Br5, Ab3, Pr3, Hr4, and Pv1. In Er9, Ra5, Pr1, and Ca1 it is followed by a sequence the reading of which is far from unambiguous. For Er9 and Ra5 the reading *toko manu? rua po ika* is suggested, for Pr1 and Ca1 perhaps *toko maori (rere) po ika homu/atua kura*. Here *po* refers to the night, darkness, underworld and the preceding character is either *maori* i.e. master (Pr1, Ca1) or *manu* i.e. bird (Er9, Ra5). Is the personage in question a master of night (*maori po*), a bird in the abyss of night (*manu rua po*), and thus an antithesis to Tane, a deity identified with light (*tea*)? The name of the former personage is mentioned together with fish (*ika*) and, sometimes also with turtle (*homu*). The only mythical personage having relation to both night and fish (as well as reptiles) is Tangaroa, and "the master of night, fish, and reptiles" or "the bird from the abyss of night" might be his figurative description. In such a case Tane would be established as the pole of sky, light, and the fertilizer of the earth while Tangaroa would be characterized as the pole and master of night, fish, and reptiles. However, this is not the only interpretation possible. The next

¹¹ Barthel, T. S.: *Rongorongo-Studien*. Anthropos, 58, 1963, p. 406.

¹² See Note 11.

sequence in Er9-Ev1, Ca1, and to some extent in Ra5 - 6, seems to deal with the relation between Tane and Hina the first woman and moon. Another point of interest is that *honu* (280 = turtle) alternates with *atua* (290 = deity). The character 700 = *ika* (fish) might also refer to swimming and *honu* might be a rebus-like notation for *hohonu* deep, depth. In view of this, the sequence in question might be interpreted as the pole for the lady (or bird) of the night¹³ who, as the (new) moon swims in the shape of a fish (*ika*) in the depths (*hohonu*) and is in this stage fertilized by Tane, i.e. light of the sun. Elsewhere, this fertilization is explained as being carried out by Tiki. The latter personage is obviously a personification of Tane's procreative organ¹⁴ that is construed in the mythology of rongorongo texts as the descendant of Tane. This can be found in Er9 - Ev1; the character 34 (read by Barthel as *kuru* breadfruit) may simply refer to a tree and we know that Tane was identified with trees. Then the pertinent sequence 2 - 34 - 2 - 1 - 2 - 34 = *uri kuru? uri toko uri kuru?* (not only in Er9 - Ev1 but also in Ev6 and Ca1) i.e. the descendant of the tree, the descendant of the prop, the descendant of the tree obviously refers to Tiki, cf. the next sequence in Ev6:515 - 40 - 670 = *Tiki hara - (ma)hina - moe* i.e. *Tiki the tabu-breaker has married Hina*.

Tane's association with light appears also in 0 1: 755 - 5.37...5. ? = *Tane - tea hotu...tea hiki?*, i.e. Tane the fertile light...the rays of light.

Tane was also known as the patron of carpenters, which makes understandable the compatibility of character 755 with 63 (*toki* adze). In Pr4 Tane is mentioned very briefly as 755 - 1.63 = *Tane - toko toki* i.e. Tane the prop, the adze. In Br6 he is expressis verbis named the deity of carpenters, Br6: 290.63 - 755 - 63 = = *atua toki - Tane - toki* i.e. The god with the adze, Tane with the adze. The reference in the preceding line is even more informative, Br5: 1 - 755 - 207 - 9 - - 203 - 400y.63 = *toko - Tane - rere tangata - rangi - tangata toki - (manu) tara toki*. This sequence describes Tane as the supporter of the sky and at the same time as a person with an adze (*tangata toki*). The ligature 400y.63 could be read either as *manu toki* (bird with an adze) or as *tara toki* (literally sea swallow with an adze). Here the second reading, i.e. *tara toki* is chosen, however, not in its literal meaning but as an approximation for *tarai toki* i.e. to carve with adze.

In conclusion, it may be said that evidence collected in this paper does not contradict Barthel's suggested reading of the character 755 (as well as 752 and 756). The environments in which this character occurs in the tablets from the Easter Island agree essentially with what is known of Polynesian mythology.

¹³ Cf. the Maori term *Hine-nui-te-pō*.

¹⁴ See Note 3.

THE VOWEL SYSTEM OF EGYPTIAN COLLOQUIAL ARABIC

LADISLAV DROZDÍK, BRATISLAVA

In the present paper an attempt is made at surveying a number of alternative approaches to the phonological description of the vocalic inventory of Egyptian Colloquial Arabic. Special attention is paid to the treatment of emphasis, short mid vowels and vowel quantity.

1. While the three short and three long vowel phonemes of Classical Arabic are rather uniformly classified as elements of the simplest type of a triangular vowel system, the classification of the vocalic inventory of Colloquial Arabic presents a far more entangled picture. Besides quite natural divergences in the phonemic inventory of Colloquial Arabic, which may considerably vary from one colloquial variant to another, there is another set of divergences which are due to metalinguistic factors.

In the present paper an attempt will be made at surveying a number of the most interesting and methodologically most fruitful alternative analyses which have been applied to the phonological description of the vowel system of Egyptian Colloquial Arabic. Unless otherwise stated, Cairo Arabic will be understood by the latter. This variant has been selected for two reasons: (1) the phonological system of Egyptian Colloquial Arabic is relatively conservative and, consequently, rather closely related to that of Classical Arabic, and (2) this variant has been and, in fact, continually is subject to an extensive linguistic research involving a number of important descriptive techniques.

2. One of the most intricate questions of the phonological system of Arabic, no matter whether Classical or Colloquial, which brought into being a large scale of alternative solutions, relates to the phenomenon of velarization, currently known as emphasis. The impact of emphasis on the phonological system of Arabic is all the more important as it presents not merely an interpretational problem of the well-defined and classified phonemic entities, but largely contributes to the increase of divergences in defining and classifying phonemic units and is responsible, as it will be attempted to demonstrate in what follows, for the greatest deal of variability in the number of phonemic units which may be observed in an inter-systemic comparison. It is obvious that the impact of emphasis on the presentation

of the Egyptian Arabic vowel system may largely vary in accordance with the interpretation of emphasis adopted.

So far, emphasis has been presented in one of the following ways:

2.1. Segmentally, as one of the following alternatives:

2.11. Consonant-linked emphasis which, in turn, may appear

2.111. as a distinctive feature of the consonant system (and, at the same time, as a redundant feature of the vowel system). The classificatory result of this interpretation is the doubling of the original number of consonant phonemes (various etymologically, distributionally and otherwise motivated restrictions possibly occurring in some systems based on this interpretation of emphasis are beyond the scope of the present survey). Consonants, in this classification, appearing in emphatic—non-emphatic pairs and vowels, occurring in an emphatic consonant environment, exhibit emphatic allophones (unrepresented in the systems quoted in what follows).¹

Two systems may serve as illustrative examples:

(1) short vowels: /i u a/, long vowels: /ī ē ū ō ā/,² or

(2) short vowels: /i e u o a/, long vowels: /ī ē ū ō ā/,³ or

2.112. as a phoneme of emphasis occurring simultaneously with consonants. The classificatory result of this interpretation is the increase of the original number of consonant phonemes by one single phoneme. The number of vowel phonemes is unchanged. Vowels occurring within the domain of emphasis, mostly identified with the syllable initiated by an emphatic consonant,⁴ have emphatic allophones. As a redundant feature of vowels, emphasis is not represented in the inventory of vowel phonemes despite the fact that a prosodic notation of emphasis tends to be retained in transcriptions derived from this system.⁵

2.12. Vowel-linked emphasis may appear

2.121. as a distinctive feature of the vowel system (and as a redundant feature of the consonant system) with the same classificatory impact on vowels as that

¹ The problem of whether emphasis is a distinctive feature of consonants or that of vowels has not been satisfactorily solved. For interpretational difficulties imposed by emphasis in other colloquial variants of Arabic see Cantineau, J.: *The Phonemic System of Dimasrus Arabic*. Word 12, 1956, p. 117; Cantineau, J.: *Réflexions sur la phonologie de l'arabe marocain*. Études de linguistique arabe. Mémorial Jean Cantineau. Paris, 1960, p. 245, etc.

² Aboul-Fetouh, Hilmi M.: *A Morphological Study of Egyptian Colloquial Arabic*. The Hague—Paris, 1969, p. 12.

³ Mitchell, T. F.: *An Introduction to Egyptian Colloquial Arabic*, London 1960, pp. 9—11. The stock of emphatic consonants, however, is very restricted in Mitchell's presentation. For the difference between the three-unit short-vowel system of Aboul-Fetouh and the five-unit short-vowel system proposed by Mitchell see § 3.

⁴ Cf. Gamal-Eldin, Saad M.: *A Syntactic Study of Egyptian Colloquial Arabic*. The Hague—Paris, 1967, p. 11.

⁵ Cf. *ib.*

stated in 2.111 relatively to consonants. This approach, to our knowledge, has never been applied to the description of the Cairo Arabic vocalic system. As an alternative solution, however, it has recently been proposed for the phonological description of the Sa^ʿīdi variant of Egyptian Colloquial Arabic yielding the following picture:

short non-emphatic vowels: /i e u o a/,

short emphatic vowels: /ị ẹ ụ ọ ạ/,

long non-emphatic vowels: /ī ē ū ō ā/, and

long emphatic vowels: /ị̄ ẹ̄ ụ̄ ọ̄ ạ̄/.⁶

When applying this solution to the vowel system of Cairo Arabic, as that presented in 2.111 (1) for instance, the following arrangement would be obtained:

short non-emphatic vowels: /i u a/,

short emphatic vowels: /ị ụ ạ/,

long non-emphatic vowels: /ī ē ū ō ā/, and

long emphatic vowels: /ị̄ ẹ̄ ụ̄ ọ̄ ạ̄/.⁷ Or:

2.122. As a phoneme of emphasis occurring simultaneously with vowels. As far as we can judge, Sa^ʿīdi Arabic is the only variant of Egyptian Colloquial Arabic treated this way. The resulting system is the following:

five short non-emphatic vowel phonemes /i e u o a/,

a phoneme of length /-/, and

a phoneme of emphasis /-̣/.

Length, in this system, is classified as a co-vowel occurring sequentially only in post-vocalic position, emphasis as a co-vowel occurring simultaneously with syllabic nucleus.⁸

When applied, with some modifications,⁹ to the vowel inventory of Cairo Arabic, this approach leads to the following result:

three short vowel phonemes /i u a/,

five long vowel phonemes /ī ē ū ō ā/, and

a phoneme of emphasis /-̣/.

2.13. Segmental interpretation of emphasis is directly responsible for a number of alternative proposals to incorporate, into a unique system, both features, storable in terms of the 2.111 type of the consonant-linked presentation of emphasis, and

⁶ Cf. Khalafallah, Abdelghany A.: *A Descriptive Grammar of Sa^ʿīdi Egyptian Colloquial Arabic*. The Hague—Paris, 1969, p. 21. (Khalafallah's quantity symbol /:/ has been replaced by /-/ in accordance with the notation adopted in the present paper.

⁷ For the respective advantages and disadvantages of this interpretation of emphasis see Lehn, W.: *Emphasis in Cairo Arabic*. *Language*, 39, pp. 29—39 (1963).

⁸ Khalafallah, A. A.: *op. cit.*, p. 21.

⁹ Khalafallah's phoneme of length is presented here as merely a distinctive feature of the vowel system. As it will be shown in what follows, the separate phoneme presentation of vowel quantity is incompatible with the three short and five long vowel system of Cairo Arabic.

those which may be derived from the 2.121 type of the vowel-linked classification thereof. Since both these analyses treat alternatively emphasis as either a distinctive feature of the consonant system or as that of the vowel system, and never as a distinctive or a redundant feature of both, the resultant system, unless a new theory of emphasis is worked out in segmental terms, cannot be taken for either consistently phonemic or consistently allophonic. If we agree to consider, as allophonic elements, such heterogeneous units of these intermediate systems which occur in striking minority, these may be identified with units derived from the 2.121 analysis, that is, formally, with units marked by a subscript dash.¹⁰ Since these intermediate systems are, as a rule, either implicitly (see T. F. Mitchell in 2.131) or explicitly (see G. D. Selim in 2.132) treated as phonemic, we shall employ a phonemic notation throughout.

2.131. The six-unit system of short and long vowels $|i e u o \underline{a} a|$ and $|\bar{i} \bar{e} \bar{u} \bar{o} \bar{\underline{a}} \bar{a}|$ respectively, as presented by T. F. Mitchell,¹¹ may serve as an illustrative example. The inconsistency of this system, as far as emphasis is concerned, resides in the fact that only one out of three possible emphatics is recognized as a part of it, notably $|\underline{a}|$ and $|\bar{\underline{a}}|$. Non-emphasis with $|i e u o a|$ and $|\bar{i} \bar{e} \bar{u} \bar{o} \bar{a}|$ stems from the theoretical premises underlying the analysis of emphasis quoted in 2.111. Emphasis with $|\underline{a}|$ and $|\bar{\underline{a}}|$ is, on the other hand, compatible with 2.121.

Contrastive pairs of the type $|g\underline{\bar{a}}ri|$ —my neighbor vs. $|g\underline{\bar{a}}ri|$ —runner¹² imply nothing about the phonemic or allophonic status of $|\bar{\underline{a}}|$, in this case, since these pairs can easily be re-interpreted in other terms, e.g., $|g\underline{\bar{a}}ri|$ —my neighbor vs. $|g\underline{\bar{a}}ri|$ —runner (in accordance with 2.111) or even $|g\underline{\bar{a}}ri|$ —my neighbor vs. $|g\underline{\bar{a}}ri|$ —runner (in accordance with 2.2 in what follows).

2.132. The same approach to emphasis characterizes a somewhat different system proposed by G. D. Selim.¹³ Selim's system consists of four short $|i u \underline{a} a|$ and six long vowels $|\bar{i} \bar{e} \bar{u} \bar{o} \bar{\underline{a}} \bar{a}|$, all of which being quite explicitly treated as phonemes. Since the difference between this system and that of Mitchell has nothing to do with emphasis, it will be discussed in its respective place.

2.2. Emphasis has further been presented in suprasegmental terms as an attempt at obviating, in a sense, the crucial (and apparently unsolvable) problem of whether velarization has to be interpreted as a distinctive feature of vowels or as that of consonants. Since emphasis, in accordance with this interpretation, is not storable in segmental terms any longer, the definition of the minimum range of emphasis is

¹⁰ For an allophonic interpretation of other elements of these system, see § 3.

¹¹ Mitchell, T. F.: *Colloquial Arabic. The Living Language of Egypt*. London 1962, pp. 21 f.

¹² Cf. Selim, G. D.: *Some Contrasts Between Classical Arabic and Egyptian Arabic*. Linguistic Studies in Memory of R. S. Harrell, Washington, D. C., 1967, pp. 133—152 (p. 137). Transcription of these and still further other quotations is somewhat modified and unified.

¹³ Cf. *ib.*, p. 135 ff.

of primary importance.¹⁴ Harrell defines the latter as either V(:)C or CV(:)¹⁵ with the understanding that “usually emphasis is a function of the entire syllable”.¹⁶ Accordingly, in practical notation the spread of emphasis is usually noted by a continual underlining of the segment affected, as in /šarraʃtina/ — you (m. sg.) have honored us, /baʔarti/ — my cow,¹⁷ etc. Or, in the case of a strictly syllabic delimitation of the range of emphasis, the feature is noted by a dash under the initial consonant of the syllable affected, as in /xaragit/ — (she) went out,¹⁸ etc.

3. Another important problem which is responsible for a number of alternative solutions, relates to the classification of the Egyptian Arabic short mid vowels. As evident from the foregoing discussion, there is a striking feature of uniformity in classifying the Egyptian Arabic long mid vowels /ē/ and /ō/ as phonological elements of the system of long vowels as against the short mid vowels /e/ and /o/ which are alternatively treated as either phonemic or allophonic units.

The Egyptian Arabic long mid vowels /ē/ and /ō/, despite a very limited number of morphological patterns retaining the Classical Arabic diphthongs /ay/ and /aw/ respectively,¹⁹ may conveniently be presented as modern reflexes of the earlier diphthongs and, accordingly, as elements of the Egyptian Arabic system of long vowels occurring in contrastive pairs with any other element of this system. For the /ē/ — /ī/ and /ō/ — /ū/ contrast, at the very least, the following minimal pairs may be quoted: /dēn/ — debt vs. /dīn/ — religion,²⁰ /bēd/ — eggs vs. /bīd/ — plur. of /ʔabyad/ — white;²¹ /mūt/ — die (m. sg.) vs. /mōt/ — death,²² etc. So far, there are no noteworthy interpretational difficulties.

On the other hand, however, the treatment of the short mid vowels /e/ and /o/

¹⁴ For the evolution of this approach to emphasis and its theoretical background which is far too complex to be handled in the present survey, see especially Harrell, R. S.: *The Phonology of Colloquial Egyptian Arabic*. New York, 1957, pp. 69—82, as well as various reviews of this work. For an alternative prosodic interpretation of emphasis cf. Lehn, W.: op. cit., p. 37 ff.

¹⁵ Harrell, R. S.: *Phonology*, p. 78. Harrell's length symbol /:/ is here retained.

¹⁶ Cf. ib.

¹⁷ Cf. ib., p. 79. It is worthwhile noting that Harrell, in accordance with the V/:/C range of emphasis, quotes pairs one element of which is shorter than a syllable, as e.g. /so:t/ — voice vs. /so:t/ — whip (ib., p. 78, n. 24).

¹⁸ Hanna, H. Morcos: *The Phrase Structure of Egyptian Colloquial Arabic*. The Hague—Paris, 1967, p. 9.

¹⁹ E.g., /mawgūd/ — present, /ʔawhaš/ — worse, etc. For a more ample discussion of this problem cf. Ferguson, C. A.: 'Two Problems in Arabic Phonology'. *Word*, 13, pp. 460—478 (1957), pp. 460—465 (illustrated on Damascus Arabic). For Egyptian Arabic see Harrell, R. S.: *Phonology*, pp. 45—68.

²⁰ Harrell, R. S.: *Phonology*, p. 62.

²¹ Birkeland, H.: *Growth and Structure of the Egyptian Arabic Dialect*. Oslo, 1952, p. 48. /bēd/ is translated by Birkeland as “an egg” instead of a collective noun interpretation. Emphatic consonants are here noted by a subscript dot.

²² Harrell, R. S.: *Phonology*, p. 62.

is more problematic. At first glance, it is tempting to consider /e/ and /o/²³ as merely short correlates of /ē/ and /ō/ respectively and, indeed, several analysts have followed this way.

The inclusion of short mid vowels to the phonological system of short vowels is evidently due, as stated by H. Blanc,²⁴ "to phonemic misinterpretation of morpho-phonemic facts" as may be concluded from misleadingly contrastive pairs, obtained in this system, like *betna* — our house vs. *bitna* — we stayed overnight instead of a strictly phonemic /bitna/ in both cases. Since, as shown for the first time by H. Birkeland,²⁵ the shortening of the long mid vowels is morphologically fully predictable as a positional phenomenon, there is no phonemic opposition between /ē/ — [e] and /ō/ — [o]. Both short mid vowels are thereby defined as allophonic units. Accordingly, we can distinguish between two basic systems:

3.1. Phonemic system, consisting of three short and five long units: /i u a/ and /ī ē ū ō ā/, the one which is most currently used to date.²⁶

3.2. Morphophonemic system, consisting of five short and five long units: /i e u o a/²⁷ and /ī ē ū ō ā/.²⁸

3.3. Side by side with these two polar classifications which seem to exclude any other presentation of facts, as far as the Egyptian Arabic mid vowels are concerned, there are attempts at creating intermediate systems. Saad M. Gamal-El-din's four unit short vowel system /i e u a/ which is, to our best knowledge, proposed for the first time for the classification of the Egyptian Arabic short vowels, strangely contrasts with five long vowel phonemes /ī ē ū ō ā/.²⁹ Despite the fact that the author found it convenient to include /e/, explicitly marked as a phoneme, but not /o/, the only traceable occurrence, of this phoneme-said unit, as far as the

²³ Our phonemic notation here should be understood as merely reflecting one of the possible alternatives of classification.

²⁴ Blanc's H. review of Mitchell, T. F.: *An Introduction to Egyptian Colloquial Arabic*. Word, 13, pp. 535—540 (1957). The examples which follow are those of Blanc as well.

²⁵ Birkeland, H.: *Growth*, p. 47: "The two vowels (viz., e and o) have their origin in classical *ay* and *aw* and ought to be long in every case. In the colloquial they are shortened before two consonants and in every unstressed syllable. Consequently, this shortening is conditioned by the position and is of no relevance. We, therefore, still have only one e-phoneme and one o-phoneme. In the position where vowel quantity might be relevant, viz. in non-final open and stressed syllables, these two vowels are always long. Consequently any oppositions ē : ě and ō : ȝ does not exist."

²⁶ Cf. Harrell, R. S. (with minor exceptions, viz. the inclusion of the epenthetic /e/ and /o/), Aboul-Fetouh, H. M., Hanna, H. Morcos, etc.

²⁷ In view of the metalinguistic nature of the present paper, the phonemic notation of the five-unit short-vowel system has to reflect points of view of the authors quoted.

²⁸ Cf. Gairdner, W. H. T.: *The Phonetics of Arabic*. Oxford 1925, p. 40 and 42; Mitchell, T. F.: *Introduction*, pp. 9—11, etc.

²⁹ Gamal-El-din, S. M.: op. cit., p. 11.

author's examples go, can be defined positionally before two consonants, as in /*bettēn*/—two eggs or in unstressed syllables in general, as in /*bedāt*/—eggs".³⁰ As evident, the phonemic (with regard to the wording of the adherents of the five-unit short-vowel system) or allophonic (with regard to the classification adopted by the proponents of the three-unit short-vowel system) status of /*e*/ or [*e*] respectively, is absolutely equivalent to that of /*o*/ or [*o*] respectively, as it may be illustrated by the author's own quotations, e.g. /*yomħa*/,³¹ /*yomēn*/,³² etc.

4. Finally, there is another feature involving, although in a considerably lesser degree, alternative solutions in classifying the Egyptian Arabic vowels: vowel quantity.

4.1. The bulk of systems surveyed so far treat vowel length as a distinctive feature of vowels (hence, doubling the number of vowel phonemes along with the short—long pairs).

4.2. A high degree of predictability of the vowel length in terms of a length—stress correlation led some analysts to consider vowel length as the redundant element of this correlation.³³ Starting from this assumption, H. Birkeland, even if ultimately adopting a three short and five long vowel system for Egyptian Arabic, proposes a sort of phonemic transcription in which the vowel length is unnoted (being considered as predictable from the stress rules).³⁴

4.3. Another way of simplifying the classification of vowels consists in positing a separate phoneme of length. Although this alternative has recently been proposed for the presentation of the Sa'īdi Arabic vocalic system (see 2.122), it seems to be largely inadequate to the phonological description of Cairo Arabic for reasons stated in § 3.

5. Main descriptive features characteristic of the recent stage of the phonological treatment of emphasis, mid vowels and vowel quantity, in Egyptian Colloquial Arabic, may be summarized as follows:

5.1. Emphasis tends to be considered as a segmental phenomenon in the bulk of descriptive studies of the last decade, in spite of the retention of the prosodic notation. As a segmental phenomenon, emphasis tends to be related to the consonant system.

5.2. Short mid vowels tend to be definitely excluded from systems pretending to be phonemic.

5.3. Vowel length tends to be interpreted as a distinctive feature of vowels (rather than a separate phoneme) and is so noted.

³⁰ *Ib.*, p. 112.

³¹ *Ib.*, p. 111.

³² *Ib.*, p. 110.

³³ Birkeland, H.: *Growth*, p. 44.

³⁴ Cf. *ib.*, p. 50, e.g., /*wahid ša' wiš*/—a policeman, instead of the current /*wāħid šawīš*/, etc.

EINE QUELLE DER GESCHICHTE SILİHDARS

VOJTECH KOPČAN, BRATISLAVA

Bei der Vergleichung der *Silīhdār Tārihi* und *Cevāhir el-tevārih* ist klar zu ersehen, dass *Silīhdār* bei der Beschreibung des Feldzuges 1663 (*Uyūc seferi*) das Werk *Cevāhir el-tevārih* und weitere Quellen benutzte. Der Text der Vorlage wurde von *Silīhdār* neubearbeitet und in eine strenge chronologische Reihenfolge eingereicht.

Seit den schüchteren Anfängen im 15. Jahrhundert erreichte die osmanische Historiographie schon im 16. Jahrhundert entwickelte Formen in allen ihren Genren und im 17. sowie zu Beginn des 18. Jahrhunderts ihren Höhepunkt.¹

Eine der Formen der osmanischen Geschichtsschreibung war die Chronik, die ihre Wurzeln in der arabisch-persischen Tradition hatte. Die dynastische Geschichte, die seit Beginn der osmanischen Geschichte geführt wurde, wuchs während der Entwicklung der osmanischen Historiographie zu den Chroniken der einzelnen Zeitabschnitte hinüber. Ausser den offiziellen Chroniken, der *vak'a nūvīs*, die die einzelnen Zeitabschnitte der osmanischen Geschichte in chronologischer Folge erfassten, existieren auch parallele unoffizielle Chroniken. So neben *Na'ima*, *Rāšid* — den offiziellen Chroniken von Ende des 16. Jahrhunderts bis zu Beginn des 18. Jahrhunderts — besteht die Geschichte *Peçevīs*, *Kâtib Çelebis* sowie die Fortsetzung seiner *Fezleke* von *Fındıklılı Mehmed Ağa*, mit dessen Geschichte wir uns in diesem Artikel befassen werden.

¹ Über die osmanische Geschichtsschreibung im allgemeinen: Babinger, F.: *Die Geschichtsschreiber der Osmanen und ihre Werke*. Leipzig 1927. Babinger, F.: *Originea și fazele dezvoltării istoriografiei otomane*. Revista Fundațiilor, Regale V, 4 (April 1938), Bucarest, S. 94—107. Kramers, J. H.: *Historiography among the Osmanli Turks*. Analecta Orientalia I. Leiden 1954, S. 3—21. Bombaci, A.: *Historiography*. Fundamenta Philologiae Turcicae II. Wiesbaden 1965, LXVI—LXVIII. Bombaci, A.: *La letteratura turca*. Sansoni-Accademia (1969), S. 347—363, 390 ff. Aus den neueren Arbeiten über die Anfänge der osmanischen Historiographie: İnalçık, H.: *The Rise of Ottoman Historiography*. Historians of Middle East. Ed. by B. Lewis and P. M. Holt. London 1962, S. 152—67 und Ménage, V. L.: *The Beginnings of Ottoman Historiography*, ibid., S. 168—179 und seine Arbeit über *Neşri*, *Neshri's History of the Ottomans*. London 1964.

*Fındıklılı Mehmed*² wurde in dem Istanbuler Stadtviertel *Fındıklı* am 11. Dezember 1658 geboren. Ähnlich, wie ein grosser Teil der osmanischen Gebildeten, war auch er in seiner Jugend ein Diener im Sultanpalast, wo er eine gute Ausbildung erwarb. Als neunzehnjähriger wurde er Mitglied der *bostancı* (Gartenaufseher), dann der *zülüflü baltacı* (Holzfäller) und später der *seferli* (Reisigen). Bei dem erfolglosen Feldzug des Grosswesirs *Kara Muştafa Paşa* gegen Wien war er Mitglied des Hofpersonals im Begleitzug des Sultans *Mehmed IV.* auf seiner Reise nach Belgrad und zurück.³

Im Jahre 1688 wurde er Diener *Hâşş oda* (Innerste Pagenkammer). Während dieses Dienstes, also ungefähr in den Jahren 1688—1695, schrieb er die Fortsetzung des historischen Werkes des osmanischen Polyhistor *Kâtib Çelebi*, unter dem Titel *Zeyl-i Fezleke-i Tevârih* (Anhang zum Kompendium der Annalen), die die Ereignisse der Jahre 1654—1694 erfasst. Nach dem Antritt *Muştafa II.* auf den osmanischen Thron (1695) wurde er vom Sultan beauftragt, die Geschichte seiner Regierung unter dem Titel *Nusretnâme* (Siegesbuch) zu schreiben, das die ausführlichste Quelle zu dieser Periode ist. Unter der Regierung *Muştafa II.* begleitete er den Sultan auf seinen Feldzügen gegen Österreich und erlangte die Würde *dülbend aşası* (Turbanbewahrer) und später *çokadâr* (Leiblakei). Gleich nach dem Antritt *Ahmed III.* wurde er zum *silâhdâr* (Waffenträger) (1703) ernannt, und kurz darauf, nach Intrigen, in den Ruhestand versetzt. Jedoch setzte er die Eintragung der Ereignisse bis zum Jahr 1133 (1720—1721) fort und starb 1136 (1723—1724) in Istanbul mit 67 Jahren.

Wie schon *Ahmed Refik* bemerkte, hatte *Silâhdâr* bei der Beschreibung der Ereignisse bis 1688 ältere Quellen benützt, die er entweder in einer verkürzten Form oder wörtlich abschrieb.⁴ So ist es bekannt, dass er bei der Schilderung des Feldzuges auf Wien ein anonymes Tagebuch des Feldzuges verwendete, nach seinen Vorstellungen bearbeitete und durch weitere Quellen ergänzte.⁵ Die späteren Ereignisse, die in *Nusretnâme* enthalten sind, bearbeitete er als Augenzeuge bis zum Jahre 1720—1721 — die Jahre 1695—1703 besonders ausführlich.

Beim Studium des Feldzuges gegen Neuhäusel (*sefer-i Uyvar*) haben wir die Angaben mehrerer osmanischer Quellen zu diesem Ereignis verglichen und es zeigte sich schon beim flüchtigen Lesen, dass die Beschreibung der Ereignisse in der Geschichte *Silâhdâr*s und in dem Werk *Cevâhir el-tevârih* übereinstimmen.⁶

² Die Angaben über sein Leben schöpfen wir aus dem Vorwort *Ahmed Refik*s zu dem Werk *Silâhdâr Târîhi I.* Istanbul 1928, III—XII, ferner aus Babinger, F.: *GOW*, S. 253—254, *Brüsalı Mehmed Tahir*, *Osmanlı mü'ellifleri III.* Istanbul 1343 H., S. 69, *Mehmet Ağa Silâhdâr*, *Silâhdâr tarihi. Hazırlayan M. N. Özön. Akba Kitabevi*, s. a., S. 229—231, und *Kara Mustafa* vor Wien. Hrsg. von Richard F. Kreutel. Deutscher Taschenbuch Verlag (1967), S. 91—92, 126—127.

³ *Kara Mustafa* vor Wien, S. 91.

⁴ Vorwort zum *Silâhdâr Târîhi*, X.

⁵ *Kara Mustafa* vor Wien, S. 91—92.

⁶ Kopčan, V.: *Ottoman Narrative Sources to the Uyvar Expedition 1663.* Asian and African Studies, VII, Bratislava 1973, S. 98—99.

Das Werk *Cevāhîr el-tevārîh* entstand im Jahre 1669—1673 und schildert in fünf Teilen die Taten des Grosswesirs *Fâzîl Ahmed Köprülüzâde* seit seiner Wirkung als Statthalter in Erzerum und Damaskus bis zur Eroberung von Kandia (1669). Die Ansichten über die Autorschaft dieses Werkes sind nicht gleichlautend.⁷ Der zweite Teil des Werkes *Cevāhîr el-tevārîh*, *Üngürüs seferi* genannt, vermerkt den Feldzug des Grosswesirs gegen Österreich im Jahre 1663, sowie die Ereignisse bis dem Friedenabschluss in Eisenburg (10. 8. 1664) und die Rückkehr des Heeres nach Edirne.⁸

Da wir uns nur mit den Ereignissen von März bis November 1663 genauer befassten, beachten wir nur diese Teile in den beiden Chroniken.⁹

In den Kapiteln der Geschichte *Silihâdârs*, Der anfängliche Grund des Feldzuges nach Neuhäusel und des Feldzuges *Serdârs*, des Grosswesirs *Fâzîl Ahmed Paşa* nach Ungarn und die Ankunft des *Padişah* des Islam in die geschützte Edirne (S. 235—240), ferner Das Festmahl, das der *Padişah* des Islam in der Stadt Edirne bereitete und der Abmarsch des grossen *Serdârs Ahmed Paşa* nach Ungarn (S. 240—242) finden wir die Erzählung von den Vorbereitungen zu dem Feldzuge gegen Venezien (im langjährigen Krieg um Kreta), der auf dem Landwege zur dalmatinischen Küste führen sollte, sowie die Änderung der Entscheidung, auf Grund des Gemetzels an der Grenze und der Streitigkeiten um die neue, von Zrinyi gebaute Burg und hauptsächlich wegen der Frage von Siebenbürgen, den Feldzug gegen Österreich zu richten.¹⁰

⁷ Hammer von, J.: *Geschichte des osmanischen Reiches VI*. Pesth 1830, v-vi schreibt es eindeutig *Hasan Ağa*, dem Siegelbewahres des Grosswesirs *Ahmed Köprülü*, zu. *Brüsalı Mehmed Tâhîr*, *OM III*, 30 schreibt dieses Werk *Osman Dede* aus Erzerum, dem Lehrer des Grosswesirs, zu. Einwendungen gegen diese Behauptung erhob Babinger, F.: *GOW*, 217. A. S. Levend, *Gazavât-nâmeler ve Mihaloğlu Ali Bey'in Gazavât-nâmesi*. Ankara 1956, 121, der auf Grund der Analyse mehrerer Handschriften dieses Werkes in der Istanbuler Sammlungen behauptet, dass *Hasan Ağa* die Angaben sammelte und eine grobe Skizze des Werkes machte, jedoch die Endform von *Osman Dede* dem Werk gegeben wurde. Neuerlich wendet sich H. Wurm in seiner Arbeit *Der osmanische Historiker Hüseyin b. Ğafer, genannt Hezârfenn, und die Istanbuler Gesellschaft in der zweiten Hälfte des 17. Jahrhunderts*. Freiburg i.B., 1971, S. 54—55 der Autorschaft *Hasan Ağa*s, jedoch nicht eindeutig, zu.

⁸ Bei der Arbeit verwendeten wir Mikrofilme aus den Handschriften dieses Werkes — Paris, Bibliothèque Nationale, Suppl. turc 503 — Blochet, E.: *Catalogue des manuscrits turcs de la Bibliothèque Nationale I*, Paris 1932. Wien, Nationalbibliothek, Nr. 1071. Flüg el, G.: *Die arabischen und türkischen Handschriften der k.-k. Hofbibliothek II*, Wien 1865, S. 273. Ich danke den beiden Bibliotheken für die Gewährung der Mikrofilme.

⁹ Wir vergleichen den Text der Edition *Ahmed Refîks Silihâdâr Târîhi I*, Istanbul 1928, S. 235 ff. und die in der Bemerkung 8 zitierten Handschriften (P — Paris, W — Wien).

¹⁰ Uzunçarşılı, İ. H.: *Osmanlı Tarihi III*. 1. Ankara 1951, 411 ist im Grundsatz genommen nur eine Paraphrase auf den Text *Silihâdârs*. Danişmend, İ. H.: *İzahlı Osmanlı Tarihi Kronolojisi III*. İstanbul 1961², S. 430—431.

In diesen Teilen bearbeitet *Silîhdâr* frei die Angaben aus *Cevâhir el-tevârîh* und aus dem Text ist zu ersehen, dass er auch andere Quellen benützt hatte. Soweit es die übernommenen Teile betrifft, so ist es einerseits nur eine stilistische Bereicherung des verhältnismässig sachlichen und einfachen Stils der *Cevâhir el-tevârîh* mit Verwendung der phraseologischen Wendungen dieses Werkes; andererseits wird der Inhalt des Textes erweitert.

Zum Beispiel an der Stelle, wo das Ziel des Feldzuges gegen Venezien angeführt wird:

Cevâhir el-tevârîh, P 5b

Karadan sefer etmek murad olundu Kotor ve Şibenik ve İsplit ki Venedik kaleleri idi, bu zikir olunan kalelere sefer murad olunub...

Silîhdâr I, 235

Karadan dahi asâkir-i islâm derya misal ile hâlâ Venedik zabtında olan Kotor ve Şibenik ve İsplit kaleleri üzerine sefer-i zafermakrunum mukarrer...

Oder infolge der Beauftragung *Biko Ali Paşa's*, die Wege nach Dalmatien herzurichten:

Cevâhir el-tevârîh, P 6a

Lâkin Kotor semti ziyade sarblik ve sengistanlık olmağla bâzi yerlerinde bir atlu geçmeye havf ederken ol semtin yollarını düzetmek Biko Ali Paşa ta'yin olundu...

Silîhdâr I, 236

Lâkin ol serhad yolları sa'b el-murur ve yalnız ancak bir atlu uburına vüs'ati olub azîm-i dağlar ziyade sık ve sarb ve sengistan-i mahuf yerler olmağla... ol tarafın işgüzarlarından olub... Arnavud Biko Ali Paşa...

Die Konzeption der Chronik *Cevâhir el-tevârîh* kommt auch in einem weiteren Teil der Geschichte *Silîhdâr's*, in dem der Feldzug gegen Ungarn anstatt gegen die Venezianischen Besitzungen in Dalmatien begründet wird, zum Ausdruck.

Cevâhir el-tevârîh, P 6a—b

Hâlâ Nemçe çasarı olan bidin serhadlarda Müslümanları esir ve bunca Al-i Osman palankalarının ihrak edüb ve Al-i Osman memleketinde yeni kale ahdas edüb ve Erdel içinde Nemçe askerini düzüdüb Al-i Osmanile sulhi bozub...

Silîhdâr I, 236

Nemçe eşkıyası serhadlara ta'riz edüb ehl-i islâmi esir ve bir kaç palankaların ihrak ve Kanije karşusunda müceddeden bir kale yapmakla sulhi bozdu...

Aus den weiteren Teilen ist zu ersehen, dass *Silîhdâr* die Aufzeichnungsform des Werkes *Mühürdâr's* neubearbeitet und durch Angaben aus dem Tagebuch des Feldzuges (*rûznâme*) ergänzt hatte.

Sofya'ya karîb Halkalı nam menzilde hazinedar Ali Ağa padişah-i ru-yi zemîn hazretlerinden kılıç, kaftan ve semmur-i kürk ve cevâhîr-i hancer getirüb anda bir gün oturak edüb andan hazinedar Ali Ağa'ya azîm-i ihsan olunub Gürci Mehmed Paşa ve Kibleli Mustafa Paşa ve Defterdar Paşa her biri birer ikişer at verüb ol konakdan Ali Ağayı telhîs ile yine rikâb-i hümayuna göndürüb hazinedar Ali Ağa getürdüğü hatt-ı şerîf yarındaki gün okunub ve divan olub bu mefhumda Senki vezir-i azîm ve serdar-i ekremimsin sana bir murassa-ı kılıç ve bir hancer ve semmur-ı kürk ve sade-i kaftan gönderilmişdir istikbal edüb kılıcı koşanub ve hanceri dakınub ve kürki giyüb devam devletime dux edesin devletime lâyük ve ümmet-i Muhammada havañık ve nañi mesalihi görüb âkulâne hareket edesin...

...ve Halkalı Bınar¹¹ menzîlînde taraf-ı padişahîden serdar-i azîme mahzer-i iltifat iç hazinedar musahib Ali Ağa hatt-ı hümayun şevket-makrun kürki ve sade iki sevb-i hil'at-i fahire ve bir kabza-ı murassa-ı şemşir ve bir kabza-ı mücevher reşte ile gelüb azîm-i alay ile istikbal ve isal huzur-ı sipahsalâr-ı yar olub ertesi pazar gün meks-ü-divan olub ayan-ı asker bargâh-ı Asafige davet ve mahzarlarında hatt-ı hümayun saadet-makrun feth ve kiraat olundu Suret-i hatt-ı hümayun

Senki vezir-i azîm ve serdar-i ekremimsin Ahmed Paşasın sana bir murassa-ı kılıç ve mücevher-i hancer ve bir sevb-i serare-i kaplu semmur-i kürk ve bir sevb-i sade-i hil'at göndermişimdir istikbal ve i'zaz edüb kılıcı miyanına koşanub hanceri takınub ve kürki giyüb devam ömr-i devletime lâyük dua edesin ve ümmet-i Muhammada nañi olan mesalihi görüb âkulâne hareket edesin buyurulmuşdur. Ağayı müşarileyha memuldan ziyade in'am ve ihsan olunub Gürci Mehmed Paşa ve Kibleli Mustafa Paşa ve Kaplan Mustafa Paşa ve Defterdar Ali Paşa dahi her biri vüs'at hallarına gür üçer dörder kise akçe virüb telhîs ile yine gerü rikâb-i hümayuna avdet eйдirdi...

Einen ähnlichen Vorgang finden wir auch bei weiteren Kopien der Briefe, die in dem Werk *Silihîdârs* (I, 240—P 10a—b, W 12b—13a) vorkommen.

Auch in den Teilen, wo *Silihîdâr* die Formulierungen aus *Cevâhîr el-tevârîh* vollkommen umstilisierte, kommen übernommene Wendungen vor:

Cevâhîr el-tevârîh, P 7a, W 8b

Silihîdâr I, 239

*Herkesin gözi yaşları gözünden revan oldı...
Balık sudan çıkar misalidir*

*Herkes gözleri yaşın sel revan gibi akatdı...
Güya balık sudan çıkduğı misalidir*

Nach der Ankunft des osmanischen Heeres nach Belgrad wurden neue Friedensgespräche geführt, an welchen von kaiserlicher Seite von Goess, Beris und der

¹¹ P 7b führt Haleffi falsch an — es handelt sich wahrscheinlich um einen Fehler des Abschreibers. *Halkalı Bınar* heute Slivnica (Bulgarien) war die erste Station auf dem Weg aus Sofia nach Belgrad. Siehe auch die Itineraren des Feldzuges in dem Werk *Mehmed Necâti's, Uyvâr seferi*, Istanbul Revan Ktp., 1308, 2a und Wien, Nationalbibliothek, H. O. 46a, 124a.

Resident Reninger, unter der Teilnahme des Grosswesirs, teilgenommen haben.¹² Es ist evident, dass auch hier *Cevāhir el-tevārīh* als Vorlage diente, obwohl die Formulierungen *Silihdārs* umfangreicher sind und in logischen Zusammenhängen einander folgen (*Silihdār* I, 242—244 — *Cevāhir el-tevārīh*, P 9a—10a, W 11a—12a); ebenso bei dem Brief, den der Grosswesir an den Präsidenten des Hofkriegsrates, den Fürsten Lobkowitz, richtete:

Cevāhir el-tevārīh, P 10a, W 12b

Hâlâ Nemçe çasarının baş vekili dostumuz Leşte mukaddema sulh murad eylemişsiniz Âstâne'de iken bir iki defa kapu kethüdanıza havale etmiş iken ve hâlâ filân elçi ile dahi mektubun gelüb ve elçi-yi mezburun tekrar havale etmişsiniz herbarki biz sulhe yakın söylersek bunlar razı olmayub siz ise bunlara havale edersiniz hiç aslı olmayub ancak bizi yoldan alıkomak muradıdır sizin hileniz hayli zamandır ma'lûm oldu ya şu Kanije karşusunda ahdas eylediğünü kaleyi yıkarsız ve Erdel'de olan Nemçe'yi ihrac edersiniz işte sehl-i sulhe yakın olur mademki bunlar yerindedir yer gök kadar yakın sulh olmuş olur işte Belgrad'a yer götürmez asker-i islâm ile geldik ve yıldız sağışı Tatar askeri dahi geliyor...

Silihdār I, 244

Hâlâ di Safan çasarının baş vekili dostumuz Leşte edinmişsin Âstâne'de iken bir iki defa kapu kethüdanız yedile ve şimdi gelen elçileriniz ile mektubun gelüb sulh olmaklığı anlar üzere havale eyleyüb herbarki biz sulhe yakın cevap ederiz bunlar razı olmayub evvelki dualarından aşağı inmezler bu sözlerin ise zerre denlû aslı olmayub ancak muradınız bizi yoldan alıkomaktır sizin hile ve haddanız hayli zamandan berüdir ki had ve nihayeti yoktur eğer Kanije karşusunda müceddeden ahdas eylediğünüz kaleyi yıkub ve Erdel'den Nemçe askerini ihrac edersiniz sehl-i sulhe yakın olmuş olursuz mademki bunlar yerindedir sulh yer ile gök mabeyni kadar irakdır işte yer götürmez asker-i islâm ile şehri Belgrad'a geldik ve yıldız sağışınca Tatar askeri dahi geliyor...

Die selbe Art der Bearbeitung zeigt auch die Antwort Lobkowitz's an den Grosswesir (*Cevāhir el-tevārīh*, P 11a—b, W 13b—14b — *Silihdār* I, 245—246).

Bei der Beschreibung der Friedensverhandlungen, die zwischen den kaiserlichen Botschaftern und dem Grosswesir in Essek verliefen, ist die Abhängigkeit *Silihdārs* von seiner Vorlage noch mehr ersichtlich.

Auch das weitere Kapitel der Geschichte *Silihdārs* Sendung der Aufklärung einiger fröhlicher Nachrichten über die Grenzereignisse und über die Plünderung der Festung Wesprim durch den Ofener Statthalter *Hüseyn Paşa* (I, 247—249) beruht vollkommen auf den Informationen aus *Cevāhir el-tevārīh* (P 12b—13b, W 15a—16b), obwohl er bei den chronologischen Angaben und bei Beschreibung des Marsches aus Essek nach Ofen das Tagebuch des Feldzuges benützt. In diesem Kapitel finden wir auch eine umfangreiche Information über die Krim'schen Tataren, die zum

¹² Vgl. Hammer, von J.: *GOR* VI, 108—109, *Uzunçarşılı, İ. H.: OT III*, 1, S. 412—413, Huber, A.: *Österreichs diplomatische Beziehungen zur Pforte 1658—1664*. Archiv für österreichische Geschichte 85, 1898, S. 576.

Feldzug eingeladen wurden, an dem sie aus Vasallenpflicht teilnehmen sollten. Die Chronik *Cevāhîr el-tevārîh* vermerkt diese Ereignisse sehr ausführlich; sie führt die Kopie des Briefes des Tatarenchans an den Grosswesir, den Inhalt des Briefes des Sohnes des Tatarenchans *Ahmed Gerāy* an den Grosswesir und die Berichte der osmanischen Boten aus der Krim (P 13a—15a, W 16b—18b), an. *Silihîdār* bringt nur den kurz gefassten Inhalt des Briefes des Tatarenchans, der sich darin entschuldigt, dass er wegen des Einfalls der Kalmucken in die Nogajer Steppen und der Bedrohung der Krim an dem Feldzug nicht teilnehmen kann, und dass er seinen Sohn mit dem Tatarenheer und mit den Kosaken zur Hilfe schickt.¹³ Kurz wird auch der Brief des Sohnes des Krim'schen Chans *Ahmed Gerāy* an den Grosswesir erwähnt (I, 249).

Viel breiter nützt *Silihîdār* seine Vorlage in dem Kapitel Beratung der Versammelten und der Marsch auf die Neuhäusel-Festung (I, 249—251), in dem die Ergebnisse der Beratung in Ofen und die Entscheidung des Grosswesirs, gegen Neuhäusel zu ziehen, vermerkt sind, aus. Ähnlich, wie in den vorherigen Teilen, richtet *Silihîdār* den Text der Vorlage zu, an einigen Stellen fasst er ihn kurzer, an anderen ändert er die syntaktischen Verbindungen und schleift den Stil ab. Vergleichen wir die Rede des Grosswesirs auf der Tagung der Würdenträger des Reiches in Ofen:¹⁴

Cevāhîr el-tevārîh, P 15b—16a, W 19a—b

Silihîdār I, 250

Eğer Yanık (Raab) muhasarasına gidersek yolları dağistan ve etrafında asla bir yerde şenlik yok ve asker-i islâm dahi doymalık alacak varoşları ve köyleri yok ancak karada bir metin kale ve içi dolma ve hendeğinin suyu akar büyük sudur top ve tüfenkden gayri şey yok ve Hak Taalânın ihsan şerifleri ile alınurdu lâkin kale alış oluruz amma vilâyet almış olmazız. Amma Komran (Komorn, Komárno) üzerine gidersek Komran su içinde bir kale bukadur

Eğer Yanık muhasarasına gidersek yolları sa'b ve dağistan ve etrafında asla bir yerde şenlik yok ve asker-i islâmın doymalık varoş ve kuradan bir şey bulunmaz ancak karada bir metin kaledir divarı dolma ve hendeği vâsi ve suyu hod akıcı ve önüne bir nesne hail olmaz bir büyük sudur ve kale içi top ve tüfenk memlûdür ve Allahutaalânın avn ve inayetile alınur ancak kale almış oluruz vilâyet almış olmazız. Ve eğer Komran kalesi üzerine gidilse adada vaki bir müstahim kaledir

¹³ *Râşid* I², S. 33.

¹⁴ *Râşid* I², S. 34: „Eğer Yanık üzerine azimet eylersek yolları teng ve pârşenk olub etraf ve havası guzat-ı mücahidîne ganîmet alacak şenlikten hali ve deruni asker-i bîşimâr ve edavat-ı cenk ve peykâr ile malûdur feth ve tashîri azîm-i zahmet ve meşakkat-ı irtikâbına muhtac bir emr-i asîr olub zafer bulmak müyesser olduğı suretde dahi sade bir kale almış oluruz vilâyet almış olmazız. Komran üzerine gidecek olursak kale-i mezbur dahi etraf erbaası su ile muhat bir adada vaki olmak hırsbîle azîm-i cisirler bünyad etmekle muhtac olduğumuzdan gayri asker-i islâmî ol adaya kâpmaq dahi günâgân mahzurları mutazammın bir hâletidir. Lâkin Uyvar kalesi i'tinayasız Uyvar bir hisar-ı üstüvar ve çarşın ikinci vezirine ca-yı karar olub cevabı erbaası ana tabi kula ve kasabatla ma'mur ve azîm sim-ü-zer ma'denleri olmak üzere meşhurdur hem öyle bir kale bîcümle eyâletinde vaki kula ve palanka ve sair kura ve re'âyasile zamîme-i mülk padişah-i enam ve hem asker-i islâm cevabîb ve etrafından hiss-i yab-ı ictinam olmak ümid olunur...

asker-i islâm ol adaya kapanmak bir müşkil lâkin Komran'a gilssek cîsr-i binası iktiza eder öyle olucak Bari mütevekkilen ile Allahi Taalâ Uyvar (Neuhäusel, Nové Zámky) kalesine niyet edelim Uyvar bir muazzam kaledir ve çasarn ikinci veziri andadır ve Orta Macar'ın baş kalesidir ve ana tabi kale ve palanka yakın otuz olur ve sim-ü-zer ma'denleri var ve bunca varoşları ve köyleri var İnşallahu Taalâ hem metin ve müstahim kale almış oluruz ve hem asker-i islâm doymalık-ı fravan ve bir alay palanka dahi Allah'ın lûtfi ile alınur azîm-i vilâyet feth olmuş olur...

cîsr-i bina olunub geçmek iktiza eder bunca asakir-i islâm ol adada kapatmak bir müşkil hal münasib değil bunların her birinde âsiret çekilir. Amma Orta Macar tarafında Uyvar kalesi mütevekkilen ile Allahi muhasara olunsa bir azîm kaledir nice türlü menafi mülâhaza olunur ve Macar'ın baş kalesidir ve ana tabi nice kale ve palankaları otuzdan mütecavizdir bundan maada bi-had kura ve varoşları ve sim-ü-zer ma'denleri olub... mâldâr ve vasi vilâyetdir İnşallah hem metin ve müstahim kale almış oluruz ve hem asker-i islâm dilhahları üzere fravan ganîmete faiz olurlar ve bir alay kura ve palanka kale dahi Allah'ın lûtfi ile girüb bir eyâlet ve memleket feth olmuş olur...

In dem Kapitel Das dritte Gespräch mit dem deutschen Botschafter auf der Ofener Ebene, seine Hartnäckigkeit und der Marsch des grossen *Serdârs* gegen die Festung Neuhäusel (I, 251—253) entspricht inhaltlich in der Chronik *Cevâhîr el-tevârîh* dem Teil *Das Gespräch des Botschafters* (P 16a—17b, W 19b—21b) und befasst sich mit den erfolglosen Friedensgesprächen in Ofen im Juli 1663.¹⁵ Beide Texte unterscheiden sich voneinander nur durch stilistische Formulierungen.

Viel grössere Unterschiede finden wir zwischen dem Kapitel Die Beendigung der Brücke, der Übergang des islamischen Heeres und die nächtliche Niederlage des Kapitâns Forgách, des Befehlshabers der Festung Neuhäusel (I, 257—265) und dem Teil, der in *Cevâhîr el-tevârîh* unter dem Titel Die Erzählung über Forgách (P 18a—20a, W 22a—24b) bekannt ist. *Silihîdâr* bereichert bei Schilderung des Ereignisses nicht nur die Phraseologie — es ist ein Bruch im Stil bemerkbar, der plötzlich bilderreich wird — sondern auch durch den Inhalt. *Silihîdâr* gibt eine unterschiedliche Anzahl des Feindesheeres an, und erwähnt auch den Standort vor der Schlacht (den Berg Balan). Ebenfalls ist die Beschreibung des Kampfes unterschiedlich. Nur im Abschluss dieses Kapitels kehrt *Silihîdâr* zu den Angaben aus der *Cevâhîr el-tevârîh* zurück und gliedert in seine Erzählung auch den Teil Die Erzählung über den Marsch des *Serdârs Ali Paşa* und *Kaplan Paşa* auf Neuhäusel ein.¹⁶

Es ist interessant, dass *Silihîdâr* das Abfangen des Kuriers mit den Briefen aus Wien an Forgách und an verschiedene Offiziere der Grenzfestungen (P 21a—23a, W 25b—28a) überhaupt nicht erwähnt, obwohl die *Cevâhîr el-tevârîh* diesem Ereignis grosse Aufmerksamkeit widmet, und auch bei *Râşid*, der viel kürzer gefasst ist, diese Angelegenheit erwähnt wird.¹⁷

¹⁵ *Râşid I*, S. 35—37, *Uzunçarşılı, OT III. 1.*, S. 414—415.

¹⁶ *Râşid I*, S. 40—41.

¹⁷ *I*, S. 41.

Das Hauptereignis des Feldzuges — die Belagerung und Eroberung der Festung von Neuhäusel — lenkte in beiden Quellen grosse Aufmerksamkeit auf sich. Die Erklärung *Silihdār's* ist umfangreicher und zeugt von der Verwendung weiterer Quellen (das Kapitel Die Belagerung der Festung Neuhäusel I, 266 — *Cevāhir el-tevārīh*, P 23a, W 28a Die Erzählung von der Belagerung und Eroberung der Festung Neuhäusel). Vergleichen wir die Anfänge der beiden Kapitel:

Cevāhir el-tevārīh, P 23a, W 28a

Ol gün Uyvar kalesini muhasara eyledik Hicret-i nebevîye'nin bin yetmiş dört senesi mah-i Muharreminin on üçüncü gecesi mübarek-i cuma gecesi idi cevānib erbaası muhasara olundu bir kol vezir-i azim Ahmed Paşa Rumîli askeri ile ve bir kol serdar Ali Paşa kolu ve bir kol Yeniçeri ağası kolu ve bir kol dahi Anatoli kolu Yusuf Paşa idi ve bir kol Kaplan Mustafa Paşa idi...¹⁸

Silihdār I, 266

Ol gün cebehane açılıb kazma, kürek ihrac yeniçeri taifesine tevzi olundu ruz-ı mezburun ahşamısı şeb-i şenbe mah-i mesfurun on üçüncü gecesi idi orta koldan serdar-ı azim Fazıl Ahmed Paşa ve Rumîli beğlerbeğisi Biko Ali Paşa ve Yeniçeri ağası Salih Ağa ve kol ke-thüdası sekiz kut'a balyemez top ile ve sağ koldan dahi Bosna beğlerbeğisi Vezir Köse Ali Paşa ve Zağarcı başı yedi kut'a balyemez top ile ve sol kolda dahi Anatoli beğlerbeğisi Vezir Çerkes Yusuf namuz-ı keman-ı metanet... Sansuncı başı altı kut'a balyemez top ile ve bir koldan dahi mavera-ı kale-i merkûme Komran kapısı demekle mersûm mahalın canib-i eymininde... Karaman beğlerbeğisi Vezir Kaplan Mustafa Paşa üç kut'a balyemez top kale-küb...

Weitere Teile der Schilderung *Silihdār's* halten sich folgerichtig an ihre Vorlage fest, ob es sich schon um den Brief, in welchem Forgách aufgefordert wird, die Festung aufzugeben ob um die Abweisung dieses Vorschlages (*Silihdār* I, 267 — *Cevāhir el-tevārīh* P 23b—24a, W 28b—29a), oder um den Brief des Sohnes des Tatarenchans *Ahmed Gerāy* an den Grosswesir, wo über den Marsch zum Feldzug berichtet wird (*Silihdār* I, 268—269 — *Cevāhir el-tevārīh*, P 24b—25a, W 28b—29a), oder um andere Ereignisse während der Belagerung — die Eroberung der Bastion, die Abwässerung des Burggrabens usw. — handelt. *Silihdār* übernimmt sogar die Anekdote von dem Gefangenen, der den Türken geholfen hatte, das Wasser aus dem Burggraben abzuleiten (*Silihdār* I, 270—271 — *Cevāhir el-tevārīh*, P 26a, W 32a).

Ausser dem unterschiedlichen Datum (*Silihdār* 20. Muharrem — *Cevāhir el-tevārīh* 23. Muharrem) stimmt auch die Beschreibung der Ankunft des Sohnes

¹⁸ *Rāşid I²*, S. 41—42 ...*Mah-i mezburun on üçüncü cuma gecesi Uyvar kalesi muhasarasına ağaz olunub bir koldan Rumîli askeri ile binnefs serdar-i ekrem Ahmed Paşa hazretleri ve bir koldan serdar Ali Paşa ve bir koldan Yeniçeri ağası bülümle yeniçeri neferâtile ve bir koldan Yusuf Paşa Anatoli askerile ve bir koldan Kaplan Paşa...*

des Krim'schen Chans *Ahmed Gerāy* in das osmanische Lager unterhalb Neuhäusel vollkommen überein (*Silīhdār* I, 271—272 — *Cevāhir el-tevārīh*, P 26b—28a, W 32a—33a),¹⁹ das Kapitel die Ankunft des deutschen Heeres zur Festung, Ernennung des Heeres, seine Niederlage und Flucht (*Silīhdār* I, 273) — Die Erzählung von der Ankunft des Ungläubigen namens Montecuccoli mit dem Heer von dem verbrecherischen König zur Hilfe der Uyvār... (*Cevāhir el-tevārīh*, P 27a—b, W 33a—b)²⁰ und weitere Details aus der Belagerung (*Cevāhir el-tevārīh*, P 29b—32b, W 35a—38b). *Silīhdār* erzählt ausführlicher nur von der Hinrichtung des *Reis efendi Şamizāde* und seines Schwiegersohnes *Kađızāde İbrahim Paşa* und nennt einige Personen, die in der Chronik *Cevāhir el-tevārīh* nicht erwähnt sind (Ernennung von *Kara Mustafa Ağa* zum Statthalter von Rumelien nach dem Tode *Biko Ali Paşas*).

Silīhdār beginnt die Beschreibung der Eroberung der Festung mit einer panegyrischen Einleitung (I, 279—280) und führt erst dann, auf Grund der Informationen aus der *Cevāhir el-tevārīh* (P 32b—38b, W 35b—41b) konkrete Angaben an.²¹ Im weiteren Vergleich beschränken wir uns auf die Konkordanz der beiden Texte: Die Entsendung des *Serdārs* Kaplan Mustafa Paşa zu der Festung Novigrad (I, 283 — C., P 37a, W 43a—b), Die Eroberung der Festung Neutra durch die Hand des Wesirs Sarı Hüseyin Paşa (I, 284—285 — C., P 37b—38b, W 43b—44a),²² Die Ankunft des ungläubigen Heeres zur Hilfe der Stadt Komorn (I, 286—288 — C., P 40b—41a, W 46b—47a), Die Kopie Hatt-ı hümayun (I, 288—289 — C., P 41b—42a, W 47b—48a),²³ Das Gespräch Forgách's mit dem Kapitän auf der Versammlung der Befehlshaber in Komorn (I, 289—290 — C., P 39a—b, W 45a—b), Die Ankunft des Königs von Siebenbürgen, Michal Apaffy, in das kaiserliche Lager (I, 290—291 — C., P 43a—b, W 49b—50a),²⁴ Die Belagerung der Festung Novigrad (I, 291—292 — C., P 38b—39a, W 44b—45a), Die Beendigung der Reparaturarbeiten auf der Festung Neuhäusel und der Abmarsch des grossen *Serdārs*, um die Festung Lewenz und die umliegenden Palanken zu erobern (I, 292—295 — C., P 43b—45a, W 50a—51a),²⁵ Die Sendung des Briefes *Serdārs* und das Gesuch, die Festung zu übergeben, die Hartnäckigkeit der Ungläubigen, die Belagerung und die Eroberung der Festung Lewenz (I, 295—96 — C., P 45a—46a, W 51a—52a),²⁶ Die Beschreibung der Festung Lewenz (I, 296—297 — C., P 46a—b, W 52a—b), Die Eroberung der Festung Novigrad durch die Hand des Wesirs Kaplan Paşa (I, 297—299 — C., P

¹⁹ *Rāşid* I², S. 43—44.

²⁰ *Rāşid* I², S. 44—45.

²¹ *Rāşid* I², S. 45—48.

²² *Rāşid* I², S. 48—49.

²³ *Rāşid* I², S. 51—52.

²⁴ *Rāşid* I², S. 49—50.

²⁵ *Rāşid* I², S. 50.

²⁶ *Rāşid* I², S. 53.

46b—47b, W 52b—53b),²⁷ Beschreibung der Festung Novigrad (I, 299—300 — C., P 47b—48a, W 53b—54a).

Mit dem Abmarsch des Grosswesirs in das Winterlager in Belgrad endete das erste und erfolgreiche Jahr des Feldzuges gegen das Habsburger Kaisertum.

Zu den angeführten Vergleichen bringen wir einige Bemerkungen:

1. Aus der Konkordanz der beiden Texte ist klar zu ersehen, dass *Silihdār* bei der Beschreibung des Feldzuges 1663 das Werk *Cevāhīr el-tevārīh* und weitere Quellen, besonders das Tagebuch des Feldzuges (*rūznāme*), vor allem bei den chronologischen Angaben, als Grundlage benützte.

2. Der Text der Vorlage wurde neubearbeitet, da seine Einfachheit den literarischen Ambitionen *Silihdār's* nicht entsprach. Die eingetragenen Ereignisse reihte *Silihdār* in eine strenge chronologische Reihenfolge ein, liess einige aus, bzw. erweiterte den Text der kurzgefassten Eintragungen und ergänzte sie durch neue Ereignisse.

3. Die Verwandtschaft des Textes der Geschichte *Rāšid's* mit den beiden verglichenen Quellen ist unbestreitbar. Den Beweis über die Verwendung der *Nusret-nāme* von *Silihdār* in der Geschichte *Rāšid's* brachte *Orhan F. Köprülü*.²⁸ Der *Cevāhīr el-tevārīh* diente *Rāšid* als Grundlage, obwohl aus seinem Text klar hervorgeht, dass ihm auch die Bearbeitung *Silihdār's* bekannt war.

²⁷ *Rāšid* I, S. 53.

²⁸ *Rāšid tarihinin kaynaklarından bir: Silāhtar'ın Nusretnāmesi*. Belleten XI, 1947, S. 473—481.

REVIEW ARTICLES

RECENT STUDIES ON ANCIENT CHINESE HISTORY

EMA BAYERLEOVÁ, PRAGUE

Among the periods of ancient history of China much interest has been recently focused on the crucial four centuries of the Han dynasty, a time when the foundations of the Empire were laid down. It is hardly surprising that it was especially the State as such and its administration which was evoking such attention.

We wish to recall here some of the important studies: Michael Loewe, *Records of Han Administration. Volume I: Historical Assessment. Volume II: Documents*, Cambridge, University Press, 1967. The same author contributed a general outline, theoretically destined for a non-specialist, but interesting also to sinologists: *Everyday Life in Early Imperial China During the Han Period 202 B. C. — A. D. 220*, London 1968.

Official titles as listed by H. H. Dubs in his *History of the Former Han Dynasty*, were indexed by Rafe de Crespigny, *Official Titles of the Former Han Dynasty. As translated and transcribed by H. H. Dubs*, Canberra, Australian National University Press, 1967. It might be remarked, on this occasion, that Professor A. F. P. Hulsewé and M. Loewe, in their work on the chapters dealing with the Western Regions in the *Shih chi*, *Han shu* and *Hou Han shu* respectively, try to establish another, more adequate system of translation of Han official titles. Another handbook on official titles was published by Chen Tsu-lung, *Index du Han-kouan ts'i tchong*, Paris 1962, being an index to seven ancient treatises on Han administration and officials as edited by Sun Hsing-yen (1753—1818).

Among more general studies there is the controversial book by Ying-shih Yü, *Trade and Expansion in Han China. A Study on the Structure of Sino-Barbarian Economic Relations*, Berkeley 1967. However important and interesting the theme of the book may be, its author was criticized for his too sinophile approach to the "Barbarians" who were depicted by him from the standpoint of the Chinese sources.

A book-length study of the Han-period Chinese, making an efficient use of uncommon historical methods, was published by Hans Bielenstein, as the third volume of his series *The Restoration of the Han Dynasty III. The People*, Bulletin of the Museum of Far Eastern Antiquities 38 (1967), pp. 1—202. Among the problems

treated in Bielenstein's book are the social analysis, the role of the aristocracy, the barbarians and the northern regions of the Han Empire.

There are also two important contributions to the history of culture. It is the first volume of the very important handbook by Käte Finsterbusch, *Verzeichnis und Motivindex der Han-Darstellungen, Band I, Text*, Wiesbaden 1966. We have yet to describe the second volume of the *Verzeichnis*. Highly personal and stimulating is the account by J.-P. Diény, *Aux origines de la poésie classique en Chine. Études sur la poésie à l'époque des Han*, Leiden 1967. We should also mention the article by M. J. Künstler, *Activité culturelle et politique des différentes régions de la Chine sous les Han Orientaux*, *Rocznik Orientalistyczny* XXX (1966), 1, pp. 7—29 which is further elaborated by the author in his other studies on Cheng Hsüan, Ma Jung, etc. (see below).

A collection of texts translated from the relevant parts of the *Shih chi* and *Han shu*, richly annotated, has been prepared by V. S. Taskin, *Materialy po istorii Syunnu. Po kitaiskim istochnikam* (Materials on the History of the Hsiung-nu. According to Chinese sources), Moscow 1968. Taskin's book is somewhat complementary to the above-mentioned studies of Ying-shih Yü and Bielenstein.

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After having briefly mentioned the main studies on the Han, published mostly in 1966 and 1967, we may pay more attention to later publications.

A much welcome bibliographic basis, if only for texts in Chinese, was provided by Hsien-hsing Ma, *A Classified Catalogue of Articles and Books on the History of the Han Dynasty (Han shih lun-chu lei-mu)*. It was published in four instalments in the journal *Chinese Culture. A Quarterly Review* X (1969), 3, pp. 103—170; 4, pp. 105—157; XI (1970), 1, pp. 124—178; 2, pp. 69—187. The catalogue is divided into three parts: (1) Articles from modern periodicals (the two first instalments), (2) Items from anthologies, essays and miscellaneous writings through the ages (the third, and one half of the last instalment), (3) Books.

Several bibliographies have already been available for the period covered in the first part and therefore the two other parts are more valuable. The short third part, on the books, covers entirely the Ch'ing and later periods while the second part generally lists items from the Sung period and later, occasionally also of earlier periods. The items listed in the second part are less important in relation to the history of the Han as such, than in their bearing on the controversies raised later by some Han issues, such as the Old and New Texts schools, the role of Liu Hsin and many other problems. Therefore, this part may be used with profit by those studying Chinese ideas on history and historiography.

An indispensable tool for anyone concerned with the end of the Han was presented in the translation by Rafe de Crespigny, *The Last of the Han* being the

chronicle of the years 181—220 A. D. as recorded in chapters 58—68 of the *Tzu-chih t'ung-chien of Ssu-ma Kuang*, Canberra, Centre of Oriental Studies, Australian National University, Monograph 9, 1969. XXXIII + 558 pp., two maps. This is not the first example of a large translation from the general history of China, the *Tzu-chih t'ung-chien*. The chapters 69—78, i.e. a continuation of de Crespigny's work for the years 220—265 had already been translated by A. Fang, *The Chronicle of the Three Kingdoms*, Cambridge, Mass. 1952 and 1965. Thus, the full eighty five years of the second and third centuries A. D. are covered by a detailed, if traditional and purely chronological account, translated accurately with annotations by both scholars.

While A. Fang was mostly interested in the history of the text and in its sources, de Crespigny concentrates upon history proper. He also gives, in his introduction, a lucid account of Ssu-ma Kuang as a politician and a historian, of the nature of the *Tzu-chih t'ung-chien* in general, as well as of the relevant chapters devoted to the tragic events at the end of the Late Han dynasty. It is very illuminating to observe how Ssu-ma Kuang based his concept of history on the deeds, ideas and chivalries of eminent men without distorting the account of previous sources which had been of a broader nature.

The large book of de Crespigny includes copious notes, three indexes, a bibliography and two maps. It is an indispensable guide for any historian of the Han period.

Also concerned mostly with the second century A. D. is the book by Anna K. Seidel, *La divinisation de Lao tseu dans le taoïsme des Han*, Publications de l'École Française d'Extrême-Orient, Volume LXXI, Paris 1969, 171 pp. The theme is clear-cut: not any futile study on the dates of Lao-tzu nor an examination of his divine statute in late Taoism but the process of his passage from pseudo-history to divinity. The principal text of the book is the inscription *Lao-tzu ming* from 166 A.D., while most of the interest of the authoress is concentrated on the information on this period of transition between the quiet times of the first half of the second century to the rebellions in its eighties. Although the authoress does not study the social history, her explanation, precisely from this point of view, of a seemingly almost simultaneous rise of different cults, is quite convincing.

In a similar way, the examination of various later traditions, patently of a hagiographic nature, helps indirectly towards a better understanding of the earlier legends concerning Lao-tzu, such as his meeting with Confucius mentioned in the *Shih chi*, etc. We may verify once again the well-known thesis that the later historians "know" more about antiquity than the earlier ones. The example concerning Lao-tzu is the addition of the name of Po-yang which made it possible to identify him with the Grand Astrologer Po-yang Fu of the 8th century B.C. and thus endow him with a life of several centuries.

Other important problems are also studied or touched upon by the authoress

such as the possible influence on Buddhism by early Taoism. Although her account bears on a relatively short period only, it is relevant in one way or another for any student of ancient philosophy.

The book includes also a translation of *Lao-tzu-ming*, its original text as well as that of *Lao-tzu pien-hua ching*. The bibliography is not long but well selected. We should add that the review article by M. Kaltenmark, *Les Tch'an-wei* was not published in *Mélanges de l'Institut des Hautes Études Chinoises I*, Paris 1957, pp. 366—370 but in *Han-hiue II* (1949), 4, pp. 363—373. *Mélanges publiés par l'Institut des Hautes Études Chinoises II* (1960), pp. 559—588 included another article by the same author, viz. Ling-pao, *Note sur un terme du taoïsme religieux* (cf. pp. 22, 139).

Another book devoted to the Late Han period is that by M. J. Künstler, *Ma Jung. Vie et œuvre*, *Rozprawy Uniwersytetu Warszawskiego* 35, Warszawa 1969, 223 pp. Ma Jung (79—166; the year 166 is given on p. 16, but 161 on p. 36, note 1) died by chance just in the year when the inscription *Lao-tzu ming*, studied by Miss A. Seidel, was engraved.

Ma Jung belonged to a type of scholars not uncommon in Han times—a Confucianist with some flavour of Taoism, deeply learned, highly cultured and in constant conflict because of his outspoken sincerity. The account on Ma Jung's life, based mostly on his biography in the *Hou Han shu* (60 A or 90 A), is presented very exactly and soberly by Künstler in the first chapter, while the second one is devoted to an annotated translation of all biographical material pertaining to Ma Jung.

The greater part of the book deals with the *Kuang-ch'eng sung*, which should in fact read *Kuang-ch'eng yüan sung*, a Hymn on the Imperial Park of Broad Perfection, since it is not concerned with the prefecture of Kuang-ch'eng or with the "Taoist" Kuang-ch'eng-tzu of remote antiquity.

Künstler states that Ma Jung's poem was meant to serve primarily political aims, i.e. to present his criticism of the ruling Teng family and thus, indirectly, of the emperor; the artistic value was not in the centre of the author's interest. This is one of the reasons why Künstler gives only a summary judgment on the literary value of the hymn and concentrates almost entirely on a philological and linguistic analysis of the vocabulary, structure, rimes, etc. The author presents in his other studies a broader social and political analysis of the officials of the Later Han, and it is especially their behaviour patterns which help him to differentiate between historical reality and tradition. See, e.g. his *Lettré a kariera urzędnicza* (A *lettré* and his official career), *Przegląd Orientalistyczny* 1967, No. 61, pp. 17—28. Most recently Künstler published a general account on the political and cultural history of the Han period entitled *Pierwsze wieki cesarstwa chińskiego* (The first centuries of the Chinese empire), Warszawa 1972, 273 pp.

We may add only one note to the book which will be used as a reliable guide by the historian, linguist and student of literature. Künstler states (p. 23) that the

original writings of Ma Jung were studied according to the well-known edition of pre-T'ang texts by Yen K'o-chün, *Ch'üan shang-ku San-tai Ch'in Han San-kuo Liu-ch'ao wen*. Although everybody has to use this monumental collection of texts, it may sometimes prove an unreliable guide. Yen did not try to establish a critical edition but a "full" one; this means, e.g., that he sometimes combined several versions of one text or fragment in such a way that his text became more extensive than the original one.

An important set of peculiar documents on the artists' ideas of the Han period was published by Käte Finsterbusch (cf. above) as the second volume of her *Verzeichnis und Motivindex der Han-Darstellungen, Band II, Abbildungen und Addenda*, Wiesbaden, O. Harrassowitz 1971, VI + 18 pp., 257 tables with 1019 (and 98 additional) pictures. The intention to study those ideas as well as the artistic components is shown already in the title of the last, not yet published volume *Motivgruppen und Darstellungsschemata der Han Zeit (ein Beitrag zur Ikonographie)* written by the authoress already in 1969. In fact, both the published volumes of *Verzeichnis* and *Motivindex* represent a very rich material basis for the study proper which will present undoubtedly most interesting results for the understanding of the unofficial ideas.

The second volume of *Verzeichnis* includes also addenda to the first one relating to findings in nine provinces, as described in three scholarly journals during the years 1965 and 1966. The bulk of the present volume consists in reproductions or redrawings of pictures from different provinces with a partial exception of Shantung, for which the book *Corpus des pierres sculptées Han*, Peking 1950, is held to be sufficiently exhaustive. The only but serious trouble is that the *Corpus* is not always easily accessible in European libraries and a reprint would be welcome.

Some of the pictures had to be redrawn because of their size or other circumstances. The authoress complains about the quality of some of the reproductions which she would have preferred to be removed but, in general, the quality of reproduction is good.

The bibliography refers to the study by T. Żbikowski, *On Early Chinese Theatrical Performances*, Rocznik Orientalistyczny 27 (1962), pp. 65-84. In this connection, a reference on the relevant discussion between A. Bulling and A. Soper on the supposed pictures of artists might now be added: (1) A. Bulling, *Historical Plays in the Art of the Han Period*, Archives of Asian Art XXI (1967-1968), pp. 20-38; A. Soper, *All the World's a Stage: A Note*, Artibus Asiae XXX (1968), pp. 249-259; (3) A. Bulling, *All the World's a Stage: A Note. A Rebuttal*, Artibus Asiae XXXI (1969), 2-3, pp. 204-209.

The reviewer has not as yet seen the book by Wilma Fairbank, *Adventures in Retrieval: Han Murals and Shang Bronze Molds*, Cambridge, Harvard University Press, 1973.

At the beginning of these notes we have already mentioned V. S. Taskin's translations from the *Shih chi* and we may now turn to other translations, studies and bibliographies on this masterpiece of ancient Chinese historiography.

A classic but partial translation of the *Shih chi* was published by E. Chavannes, *Les Mémoires historiques de Se-ma Ts'ien*, Paris 1895—1905, Vol. I—V which represented an invaluable translation of 47 chapters of the *Shih chi*. It was almost unknown that Chavannes had translated all the 130 chapters of the *Shih chi* in a first draft, never published. It took sixty four years before another volume was published: *Les Mémoires historiques de Se-ma Ts'ien*. Traduits et annotés par É. Chavannes. Tome sixième: Traduction des chapitres XLVIII—LII, compléments et index général. Collection UNESCO d'œuvres représentatives, Série chinoise. Paris, Librairie d'Amérique et d'Orient, A. Maisonneuve, 1969, 308 pp.

Besides the introduction by Professor Paul Demiéville, the VIth volume includes an annotated translation of three chapters by Chavannes (48–50), as well as of two others by M. Kaltenmark (51–52); there follows a bibliography of translations from chapters 48–130 into seven European languages by T. Pokora. A full annotated French translation of all the twelve Basic Annals, ten Chronological Tables, eight Treatises and twenty-two Hereditary Houses is now accessible.

As for the remaining 78 chapters, many were translated by B. Watson (see below) and others. The bibliography in the VIth volume includes 340 items of translations published between 1828 and 1966 and may be used as a critical guide through the numerous translations of different qualities. The volume also includes a reprint of Chavannes' originally handwritten notes to his translation and errata of all the five volumes; in both those appendixes the mistakes and misprints could of course not be listed fully. A large part of the VIth volume is devoted to a much welcome general index of all the six volumes, i.e. to the 52 chapters of the *Shih chi*.

A new useful index to the whole *Shih chi* is that by F. F. Wong, *Shih chi so-yin*, Hong Kong 1963 which is the first of the index series to the Twenty Four Dynastic Histories and somehow complementary to the Harvard-Yenching index entitled *Combined Indices to the Shih chi and the Notes...*, published in 1947 in Peiping. Wong's index is somewhat broader than the Harvard-Yenching one since, besides proper names, it includes—in a traditional arrangement known i.a. from the *T'ai-p'ing yü-lan*—also references to human affairs, earthquakes, etc. What is needed now is a concordance like the Japanese *goi shūsei*, index verborum, compiled i.a. for the *Hou Han shu*.

Burton Watson's large translation *Records of the Grand Historian of China*. Translated from the *Shih chi of Ssu-ma Ch'ien*, Vol. I—II, New York 1961 is too well-known to be described here. A partially complementary and smaller volume of the same translator was published under a slightly different title: *Records of the Historian. Chapters from the Shih chi of Ssu-ma Ch'ien*, Columbia College Program of Translations from the Oriental Classics, New York 1968, 356 pp. While the

57 chapters translated fully in the first book were devoted exclusively to the Han period, five chapters (61, 66, 82, 85, 88) of the second book bear on the previous period of the history of China. Thirteen "Han" chapters are common to both books.

Watson's translation is of the usual high quality, but usual likewise is his almost total lack of annotation which will surely be regretted by some of its numerous users.

It is somewhat surprising to find that some chapters of the *Shih chi* have not as yet been translated fully or at all. Nevertheless, this rich source is now relatively easily accessible in numerous translations. Chapter 126 was translated (not yet published in English) as well as studied by T. Pokora: *The Etymology of ku-chi*, *Zeitschrift der Deutschen morgenländischen Gesellschaft* 122 (1972), pp. 149—172; *Ironical Critics at the Ancient Chinese Courts (Shih chi 126)*, *Oriens Extremus* 20 (1973), 1, pp. 49—64.

Although much has been done also for the study of the *Shih chi*, reliable book-length studies are rare: the classic introduction by Chavannes to his first volume and the monographic study by B. Watson, *Ssu-ma Ch'ien. Grand Historian of China*, New York 1958 are two exceptions. We have therefore to welcome and appreciate highly a new large contribution in Russian entitled simply *Ssu-ma Ch'ien—the Historian*: J. L. Kroll, *Syma Tsyen—istorik*, Moscow, Nauka Publishing House 1970, 446 pp.

Kroll's book is not simply a third one. Its scope is more limited, being chronologically devoted to some decades around the fall of the Ch'in and the rise of the Han, but the author's intentions are at the same time rather broader. Besides the large introduction of a general character, the book consists of two parts dealing with Ssu-ma Ch'ien's philosophy of history and with the way the historian makes use of his sources. Those are undoubtedly the two most important, if not the only, domains through which we may safely enter the immense field of facts and ideas recorded in the *Shih chi*.

In the period selected by the author we meet many colourful and important personalities of very different social strata, such as the peasant-leader of the anti-Ch'in uprising Ch'en She, the chivalrous aristocrat and pretendent to the throne Hsiang Yü, or the clever member of gentry, and finally Emperor Kao. It goes without saying that an analysis and a contraposition of those and many other personalities may bring in a rich and fruitful harvest of relevant data.

Kroll greatly appreciates Ssu-ma Ch'ien, but he is also quite critical of the historian. Kroll finds in him a somewhat double attitude of a Confucianist with a rather strong Taoist inclination. Ssu-ma Ch'ien accepted the necessity and usefulness of the type of State as he found it in the second century B.C., but he also opposed, sometimes ambivalently, the State's efficient and harsh officials. Patently, Ssu-ma Ch'ien was a critical historian but: while rejecting some legends,

phantasies or superstition based upon his critical acumen, he accepted others of the same quality, simply because they fitted the established pattern of his ideas.

It would be very difficult to explain in detail all the ideas of Kroll's book, based on a very rich documentation; instead, it may be stated that his book is indispensable for anyone studying the *Shih chi*, ancient Chinese historiography and the reliability of the ancient traditions in general. As stated above, Kroll's account is limited chronologically but it is most inspiring methodologically.

We may only regret that at the time of writing the present review article the latest contribution of Soviet sinologists is accessible only partially: I have in mind a Russian translation, in two volumes, of the Basic Annals of the *Shih chi* with very rich annotation, concentrated—in a way similar to that by Kroll—on the sources of Ssu-ma Ch'ien. It is evident that this translation by R. V. Vyatkin and V. S. Taskin: *Syma Tsyun, Istoricheskie zapiski*, of which the first volume was published in 1972 at Moscow in the series Pamyatniki pismennosti Vostoka, XXXII/1, 439 pp. will have to be dealt with in a special review.

Another contribution in Russian is devoted to the literature and culture of the Ch'in and Han periods: I. S. Lisevich, *Drevnyaya kitaiskaya poeziya i narodnaya pesnya. Yuefu konca III v. do n.e.—nachala III v. n.e.* (Ancient Chinese Poetry and the Folk Song. The Yüeh-fu between the end of the 3rd century B.C. and the beginning of the 3rd century A.D.), Moscow, Nauka Publishing House 1969, 285 pp. Lisevich's book treads over much of the ground already covered by Diény (see above) whose book could have been seen by Lisevich only too late (cf. p. 22).

Lisevich deals mainly with the relation between the folk and literary *yüeh-fu* and with its relevance for the further development of Chinese poetry. He also treats the problems of other genres like the aphoristic (*yao*) and military songs (*nao-ko*), the relation between authorial and anonymous poetry and his book is not only a summary of the previous findings of other, especially Chinese scholars, but also a basis for any future research on the subject.

Finally, we have also to regret that, similarly as with the translation of the *Shih chi pen-chi* into Russian, the present reviewer could only too late get hold of the undoubtedly very substantial book by T'ung-tsu Ch'ü, edited by Jack L. Dull, *Han Social Structure*. Far Eastern and Russian Institute Publications on Asia. Han Dynasty China, Vol. I. Seattle, University of Washington Press 1972, 656 pp. This is the first of several volumes of the Han Project to be published in Seattle and it will be necessary to evaluate it when more of it will be available. Here we may state that the forthcoming volumes dealing, e.g. with Han literature (H. Wilhelm and D. R. Knechtges), roads (J. P. Lo), the "prophetic" texts *ch'an* and *wei* (Jack L. Dull), the administrative unit *hsien* (Jack L. Dull), Western Regions (A. F. P. Hulsewé and M. Loewe) will represent rather the personal interests of the authors in the mentioned subjects and not a systematic study of all the pertinent data and features of the Han period.

A COMMENT ON RECENT BOOKS ON CHINESE LITERARY CRITICISM

MARIÁN GÁLIK, BRATISLAVA

The aim of this review article is to introduce three following books to the readers. The first of them *Genre Theory in China in the 3rd—6th Centuries (Liu Hsieh's Theory on Poetic Genres)* was written by Ferenz Tökei and published by Akadémiai Kiadó, Budapest 1971. The second one *Teoriya izyashchnoi slovesnosti v Kitae (The Theory of Literature in China)* was written by Kirina Ivanovna Golygina and published by Nauka, Moscow 1971. And the third one *The Introduction of Western Literary Theories Into Modern China, 1919—1925* was written by Bonnie S. McDougall and published by the Centre For East Asian Cultural Studies, Tokyo 1971.

1

A monograph study (177 pp.) has at least been devoted to the greatest work of ancient Chinese literary criticism. Its author Dr. Ferenz Tökei, former director of the Philosophical Institute of the Hungarian Academy of Sciences, need not to be introduced to the sinological public. He has established his reputation by his articles on Asian mode of production published in *La Pensée*, 114 (1964) and elsewhere, and by his book *Naissance de l'élegie chinoise. K'iu Yuan et son époque*. Paris 1967.

Mr. Tökei is a historian and philosopher. This may be noticed immediately on reading his book under review. His philosophical training is apparent already from the Introduction, pp. 9–39, and his historical orientation is conspicuous particularly in the second part called Beginnings of the Chinese Genre Theory, pp. 41–80. Philosophy is naturally closely associated with literary or artistic criticism and aesthetics, hence, it is only right that the scholar should approach such a work as *Wen-hsin tiao-lung* [1] (according to Tökei this book ought to be translated something like: *The Literary Heart and Its Carved Dragons*), as a philosopher. However, as to the second mode of approach, the present reviewer is of the opinion that it ought to be employed with caution. Mainly because a literary or artistic work is a specific reflection of reality and hence, it cannot be viewed only

as a result of socio-political factors and influences. This applies in a specific manner to the greatest works of various periods. K. Marx expressed himself quite clearly about this in his Preface to the *Critique of Political Economy* when speaking about great works of Greek art.

The author ought to have approached Liu Hsieh's [33] masterwork closer as a literary critic. Had he done so, he would not have made the statement, e.g. on p. 11 that it is "an absolute nonsense to speak of the artistic nature, poetic rank or value of a work of art without analysing the genre of the piece concerned". As a matter of fact, it is a specific feature of Chinese literary theory that it lays the principal stress on genres, while all other components of a work of art, the manner of their creation, criteria of their evaluation or appreciation are overshadowed precisely by this emphasis on genre. Further, Mr. Tökei frequently either calls Liu Hsieh a classicist or speaks of Liu Hsieh's classicism. In my view, caution should be exercised in the use of terms that have a relatively precise connotation when applied to European phenomena, but are foreign to Chinese literary tradition. I think that it is hardly possible to employ such terms as classicism, romanticism and realism in relation to old Chinese literature. Let us take the problem of classicism, for example. In studying the old European (Greek and Roman) classical theory and comparing it with the Chinese thought of Confucian orientation, we are struck by a certain similarity. "For what ought we to admire the poet", asked Aristophanes, and his reply was "because the poet makes better men". This is nothing else but *wen-tao ho-i*, i.e. unity of aesthetic and moral values which was spoken of by whole generation of Confucian critics. According to Aristotle, art is an imitation of nature. This premise is the foundation of all classical considerations on art. Professor W. J. Bate, one of the best authorities on the history of literary criticism, writes in the introduction to the first part of his book, *Prefaces to Criticism*: "To say that art is an imitation of nature at once implies the existence of something outside the artist's own mind which he is trying to imitate. This external reality is the primary concern: the classical attitude has always meant a comparative lack of interest, therefore, in the artist himself—in the psychological character of his imagination, for example, and especially in his own subjective feelings. In judging an imitation of something, the first and last consideration is the success with which the imitation is able to duplicate what is most essential and important in its original model. Hence art should be objective."¹

Until the time of the vehement expansion of Buddhist philosophy in China (4th to 5th cent. A.D.) Chinese philosophers were not conscious of the difference between subjective ego and objective non-ego. This of course had an influence on Chinese men of letters and on the critics. A classical ideal requires, as has just been seen, that art should be objective. Since the Chinese failed to be

¹ Bate, W. J.: *Prefaces to Criticism*. New York 1959, pp. 3—4.

adequately conscious of the difference between subject and object even under the influence of Buddhism, no classical ideal could ensue in them, for such an ideal presupposes a consciousness of that difference. Chinese literary ideal is a bipolar one, as will be shown in the second part of this review article: the didactic—Confucian—ideal is directed more towards literature coloured objectively, the personal, autostylistic ideal inclines more towards literature coloured subjectively.

The first part of the book under review which constitutes in fact the greater part of the book (up to p. 98), is an extensive introduction into the problems of Chinese society, literature and literary criticism between the 3rd and 6th century. The main part of the work begins with a brief analysis of the Preface of *Wen-hsin tiao-lung*. Then follows a detailed chapter dealing with poetic genres. The heading of the chapter Liu Hsieh on the History of Poetic Genres is not quite appropriate for it deals with genres that are fairly remote from poetry, and served practical goals. But of course they are part of the literature in Chinese conception:

The principal contribution of the whole work is in the last chapter entitled Principle of T'ung-pien. The author has solved the enigma of this word and gives a detailed analysis of the principle hiding behind it. In addition, he translates the entire chapter and his translation is more reliable than that of Vincent Yu-chung Shih in the book *The Literary Mind and the Carving of Dragons (A Study of Thought and Pattern in Chinese Literature)*, Columbia University Press 1959, pp. 165–169. The less attentive readers should be warned that Tökei's translation begins on p. 145, as the author or editor (or typesetter?) have failed to insert inverted commas, or at least to indicate the translation by suitable words. The reader might be under the impression that there is question of Tökei's analysis, and might not realize that perhaps the deepest and wisest words Liu Hsieh has ever written, are involved! *T'ung* [2] in Tökei's interpretation means universal, *pien* [3] means changing. Literary rules do exist, but only within the framework of a literary genre, hence in a domain more or less universal. Individual works are encompassed within the second part of the above mentioned principle, i.e. *pien*, and here there are no fixed rules. The principle of the universal and changing characterizes not only the mode of literary creation, but also the possibilities of its evaluation. Liu Hsieh's words: "It is changing, and hereby makes itself lasting, it is universal and therefore without deficiencies" which we shall quote once again later, represent one of the possible characteristics of the immortality of a literary or artistic work.

It is a pity Dr. Tökei failed to utilize also other possibilities provided by *Wen-hsin tiao-lung* in an investigation of old Chinese literary criticism and aesthetics. He might have shown his views on style, organization of a literary work, the use of poetic devices, etc.

Dr. Tökei has likewise failed to utilize the investigation Chinese scholars had done in studying *Wen-hsin tiao-lung*. He failed to utilize it, because as he says, "Chinese scholars are rarely capable of evading the influence of subsequent

'literary criticism', the first ever to interpret these early texts, which... was onesided, shallowy, allowing the most significant achievements to fail into oblivion." Mr. Tōkei is under the impression that "the majority of Western sinologists and Chinese scholars tried to approach the problem of literary theory by using methods which, being inadequate, are bound to end up in a failure." Even J. R. Hightower's work, which the present reviewer considers to be outstanding in its field, bears, according to Mr. Tōkei, marks of the author's methodological uncertainty.

I think that this attitude is not quite correct and justified.

The book was probably written in a hurry. There is no glossary, index, and bibliography is indicated only in references in the text. The glossary is inadequately replaced by Chinese characters which are listed not consistently. Sometimes very frequently used characters are given, e.g. *yu*—existence, or *wu*—non-existence (p. 69), but the very rare *pin-pin* [4], balanced, is not given (p. 16). Several such examples could be quoted.

Dr. Tōkei's book, despite the critical remarks, is a good introduction into the study on Liu Hsieh's work and his epoch. It would prove profitable to the readers if, following this work, elucidating the principal traits of Chinese literary theory and its excellent processing of the chapter on *t'ung-pien*, they could have access to some more generally-oriented treatise, trying to show up the real and rich history of literary criticism of this period.

2

The work of the young Soviet sinologist K. I. Golygina is the first book devoted to the history of old Chinese literary criticism in one of the world languages. This I mean the history of literary criticism as an entire complex of problems in various epochs, not the processing of partial aspects.

Mrs. Golygina has chosen the final stage of this history, in particular the 19th century and the beginning of the present one, though she deals also with the 18th century. It seems that she began her studies at the end of her book, i.e. with young Lu Hsün and Wang Kuo-wei, and from thence proceeded to pay attention to earlier issues.²

The material of the book (290 pp.) is presented in chronological sequence.

At the beginning of her Introduction, Mrs. Golygina characterizes the specificity of old Chinese literary theory in these words:

² Golygina, K. I.: *Iz istorii esteticheskikh uchenii v Kitae v nachale 20. v.* (From the History of the Aesthetic Teachings in China at the Beginning of the 20th Century), In: *Kratkie soobshcheniya Instituta narodov Azii*, 84, Moscow 1965, pp. 83—108.

“The literary thought of China, reflecting the genre character of medieval literature, developed within the framework of the theory of individual genres which are part of the so-called high literature (*wen*) created in old literary language. The traditional theory of literature embodied within it the theory of genres and comprised likewise judgments on the value of works of a given genre, i.e., it was simultaneously also literary criticism. The basic form of expressing literary and critical thoughts were works containing various notes on poets, poetry and classical plot-free prose. Poetry and fiction in the traditional theory of literature were not understood as literary branches. Literature used to be traditionally determined by genres: (in this theory poetry was designated only as poetry of the genre *shih*, or *tz'u*). This is the principal trait of literary criticism of medieval China” (p. 3).

Mrs. Golygina was faced with difficult task. This is due to the special character of Chinese literary theory and criticism, and also to the relatively complex issues that arose when China came into the range of action of European impact. She had to become familiar with the traditional Chinese thought, but also with European currents, particularly German 19th century aesthetics.

The study begins with a brief characteristics of Confucius' relation to literature and an analysis of Confucian relation towards it. Without this relation and its explication in subsequent epochs, it is not possible rightly to comprehend the critical development in China. Mrs. Golygina underlines the cognitive, moral and practical function of Confucian apprehension of literature. According to her, the views of Confucius in literature “laid the foundations of the intellectual trend in Chinese literary criticism...” (p. 10). This trend is usually classified as didactic, and it was best characterized by the very current phrase: *Wen i tsai tao* [5] (*Literature is meant to convey the Tao*). Tao, a frequent word with manifold implications in old Chinese philosophy, meant in this case “the road of old sages and holy men”, ethical norms and rules apt to regulate people's behaviour. In Confucian theory and criticism of literature there was no room for personal freedom. And this applied also to the work itself. The writer or critic could only be a certain commentator of what the old recognized authorities had created. He himself could not be the “creator”.

The old Chinese interpretation of literature differed from that current in modern Europe. On pp. 12-57 Mrs. Golygina characterizes the various genres of Chinese literature. She assigns them to three large groups: first, genres of philosophical character and purely literary forms of classical prose; second, epistolary prose and genres for official use; third, genres associated with the carrying out of civil and ceremonial functions. She characterizes them in their evolution and simultaneously points out the significance the T'ung-ch'eng School or its individual adherents had in their characterization.

The author devotes special chapters to four of the prominent representatives of the T'ung-ch'eng School, i.e. Fang Pao, Liu Ta-k'ui, Yao Nai and Lin Shu.

She takes a closer view of Fang Pao [6] (1668—1749) because of his *i-fa* theory. She translates this term as “the principle of delineating and style”. Fang saw in it the method of historical prose.

In the case of Liu Ta-k’ui [7] (1698—1749) she analyses his theory of classical prose, enumerates the qualities of this prose, traits that should be proper to it. This prose should be *ch’i* [8], i.e. wonderful, because “people like above all unusual objects” (a conviction of the philosopher and critic Han Yü from the T’ang dynasty). It should be also *kao* [9], i.e. noble, should abound in a wealth of thought, but also of simplicity. These qualities were frequently referred to by Chinese critics of all generations.

We are interested in the last property *pien* [3]. Mrs. Golygina translates it by the word change and explains it as follows: “‘Change’ in this system of views is understood as an evolution of the forms of literature” (p. 74). The idea of change was firmly anchored in the literary thought of the adherents of the T’ung-ch’eng School in the middle of the nineteenth century. Further on, Mrs. Golygina places the sign of equality between the idea of change and evolution (p. 87). Is this right? In a certain sense, yes! But it should be added that the issue involved in China differed from that in Europe. The idea of “evolution” was usually interpreted there differently. To the Chinese, particularly to the Confucian critics, the old literature was “the only valuable model”. However, over the centuries, a large quantity of other excellent works were collected which attracted the attention of the students of literature. Among Chinese critics we find some who, like Ko Hung [10] (4th century A.D.), or Kuo Sung-t’ao [11] (1819—1891), were convinced that the new literature was better than the old one. These, however, are rather the exception than the rule. Along with passionate defendants of everything old, obstinate adherents of tradition, we find most frequently critics who, like Mei Tsen-liang [12] (1786—1856) felt convinced that “literature changes with time” (p. 87). Such had been a few centuries earlier, for instance, Yüan Hung-tao [13] (1568—1610), Fang Tung-shu (1772—1851), and such was also Hu Shih [14] (1891—1962), one of the founders of modern Chinese criticism.

The Chinese in the history of their literary thought have no such precedent as Aristotle and his statement: “From its early form tragedy developed little by little as the authors added what presented itself to them. After going through many alterations, tragedy ceased to change, having come to its full natural stature.”³

This statement exercised an influence on the development of European literary criticism and literary scholarship until the end of the 19th century. It was not a beneficial influence. It is characteristic of this interpretation, that was subsequently altered many times and passed through considerable development, that the

³ The translation is taken from R. Wellek, *Concepts of Criticism*, New Haven and London, Yale University Press 1967, p. 38.

evolution of individual forms, genres and movements in literature should be apprehended, in essence, as a sequence of birth, development and desintegration, then an eventual rebirth, and so on. In China, evolution was not understood in this manner. There it was usually understood as a series of changes of literary genres only.

It is to the detriment of Chinese literary criticism that it had not pondered more deeply over Liu Hsieh's words which he wrote in the chapter T'ung-pien of his *Wen-hsin tiao-lung*: "It is changing (i.e. literature and its laws, M.G.) and hereby makes itself lasting, it is universal and therefore without deficiency... Looking at the present, it creates outstanding (beauty), and learning from the past, composes (new) laws." (See Tökei's translation in op. cit., p. 151.)

Liu Hsieh's words do not conceal any cheap or optimistic evolutionism. They embody a dialectically-expressed relation of that "changing" and "constant" (universal) magnitude in literary entities. And it is precisely the "changing" that enables this literature to persist, and the "constant" that is a guarantee of its value. According to Liu Hsieh the changing is what alter with the time and the author, and it is an art to discern what is to be altered and what should be followed. Decidedly, not everything can be followed, not even that which is the most outstanding, for then it becomes an imitation. On the other hand, neither is it possible "to strive for what is new and ignore that which is old" (also Liu Hsieh), for that too fails to be of profit to literature. How then can great works be created? Liu Hsieh is of the opinion that this can be done by one who knows the problems around the literary genres, their specific traits and the rules that are proper to them. It was precisely this demand (among others) that led Liu Hsieh to study individual genres and made of this study the most important part of Chinese literary scholarship. The "changing" was noted rather frequently in old Chinese literature, but its essence failed to be studied. The "universal" was studied and much time and effort was devoted to it, but it was a study relatively narrowly oriented. It would have been of great profit for Chinese theoreticians had they elucidated the specific features of that "changing" or "change", of the incessant rebirth and development of literary forms in view of the constantly changing conditions. It would likewise have been very useful had they taken note of the "universal" in connection with what Liu Hsieh had called *pu-fa*—without deficiency, what forms the value of a literary work. The Chinese had their evaluating categories, for example, *p'in* [15], but these were too normative. The concept of value as such was not elucidated any deeper.

Mrs. Golygina does not devote a special chapter to Tseng Kuo-fan [16] (1811—1872), but gives him an adequate space. His literary criticism was not remarkable in any way, though he himself has indisputable merits in the literary world. He was the first among literary scholars of T'ung-ch'eng School to recognize that the parallel style (*p'ien-wen*) [17] possessed literary value, and thus opened, at

least for a short lapse of time, the way to new development of Chinese literature.

Lin Shu [18] (1852—1924) has until lately been known to students of Chinese literature only as a translator of numerous European works into the old Chinese literary language wen-yen, and as an opponent of the new Chinese literature that was created after the May Fourth Movement of 1919. Lin Shu was a Confucian-oriented writer and critic. As is generally known, the orthodox criticism did not recognize drama and the novel (nor the short story either). As a critic, Lin Shu ignored them also, but as a translator he did translate European literary genres—drama and the novel—although he imparted to them Chinese forms. The genre hierarchy in Chinese literature began to undergo a change, although literary criticism practically failed to notice it. As a critic, Lin Shu did not excel in any way. He came up with some new ideas, but otherwise he was very traditional and dogmatic. In contrast to Fang Pao, who saw the method of historical prose to reside in the “principle of delineating and style”, Lin Shu proposed the concept of *i-ching* [19] “the principle of idea and delineating”. He evidently intended thereby to underline the cognitive and didactic function of a literary work. According to his teaching, as presented by Mrs. Golygina, “the reflection of the Confucian ideas is a condition of the value of art. Lin Shu is opposed to a direct reflection of reality. Evidently, the artist should make the idea clear and this requires: a knowledge of Confucian classics, human-heartedness, righteousness, life experience” (p. 108).

In the next part of her book Mrs. Golygina is concerned with the critics of Chinese poetry of the 19th and the beginning of the 20th century.

Fang Tung-shu, an insignificant theoretician of prose of the T'ung-ch'eng School, an adherent of the traditional Confucian orientation, creates a theory of poetry *shih* which substantially differs from the traditional Confucian theory. At this occasion Mrs. Golygina quotes one of the best known statements of Yen Yü [20] (12th century). Those words exercised a great influence on the subsequent generations: “Poetry presupposes other abilities than those which are related to books, presupposes another interest than that which is related to the principles (*li*) [21].” It is quite possible that these words left an impression on Fang Tung-shu who wrote: “Poetry *shih* and classical prose presuppose a special character of abilities and are not bound (to elucidate) the principle and law of being (*i li*) [22] (p. 119). This is a deviation from the Confucian interpretation, according to which, the role of literature (and therefore of poetic genres also) was to comment social and political events, to explain the principle of Tao and to lead the people to moral life.

Mrs. Golygina devotes considerable attention to the critic Kuang Chou-i [23] (1859—1926), who in the view of the present reviewer has created the most noteworthy Chinese poetic theory of the Ch'ing period, as far as the traditional theories were concerned.

According to K'uang Chou-i: “One's heart should be considered to be the principal, and erudition is an auxiliary” (p. 158). K'uang Chou-i linked up with

Yen Yü and his words: "However, without reading many books, without a thorough penetration into the principles, it is not possible to attain the peak. That which is termed 'not to walk stubbornly on the road of principles, not to fall into the net of words'—that is the best." And also with another, relatively well-known creed of the poet and critic Yüan Mei [24] (1716—1797), who had written: "Poetry expresses human nature and emotions. One need not look any further except into oneself. If the words of poetry move the heart, its colours strike the eye, its taste pleases the palate and its sound rejoices the ear, then it is good poetry."

Mrs. Golygina considers K'uang Chou-i to be an adherent of self-expression (*samovyrazhenie*). This is a less frequent though in the history of Chinese literary criticism not an exceptional view of poetry. I choose to call it a personal view. Professor James C. Y. Liu in his book *The Art of Chinese Poetry* terms it "individualistic" which is probably not quite correct within Chinese relations. As a matter of fact, the existence of individualism in the old Chinese society is questionable. The view that poetry is above all an expression of personal, subjective emotions, is the counterpart of the didactic (orthodox Confucian) view from the very beginnings of Chinese poetry. The term "self-expression" is also not very convenient. It is a concept of modern times. It is a concept associated with modern individualism, with the concept of creation. It reached China only with the generation of the May Fourth Movement.

The history of Chinese literary criticism speaks also of another view which is called contemplative. The originator of this system of views on poetry is Yen Yü. As shown by Professor G. Debon, there is nothing new in Yen's *Ts'ang-lang shih-hua* [25] (*Ts'ang-lang's Poetics*).⁴ What is original about him, is that he made use of Buddhist (Ch'an) terminology for this poetry. This contemplative view of poetry is an offshoot of the above-mentioned personal view. A point worthy of note, as stated also by Debon in *Ts'ang-lang's Gespräche über die Dichtung*, is that the Buddhist vocabulary in Yen Yü's theory is "ablösbar" and that which remains "may be designated as Taoist or generally Chinese".⁵

Thus, for instance, K'uang Chou-i took over from Yen Yü, and before him from Ssu K'ung-t'u [26] (837—908), the concept of *ch'en-cho* [27] which Mrs. Golygina translates as immersion (*pogruzhennost*) and Debon as "versunken-konzentriert".⁶

K'uang Chou-i deserves attention on the part of investigators also because his views contain the nucleus of the theory which in English is called empathy (p. 167). According to Mrs. Golygina this theory has its roots in Buddhist "gnoseology".

⁴ Debon, G.: *Ts'ang-lang's Gespräche über die Dichtung*, Wiesbaden 1962, p. 29.

⁵ *Ibid.*, p. 23.

⁶ *Ibid.*, p. 126.

The critic and aesthetician Liu Hsi-tsai [28] (1813—1891) is Mrs. Golygina's discovery—at least as far as European sinology is concerned. None of the scholars whose views and attitudes are analysed in this book is given as much space as Liu Hsi-tsai. Liu Hsi-tsai was a Confucian theoretician and critic, but in numerous points of his teaching he deviated considerably from Confucian orthodoxy. He was much taken up with the personality of the writer and the poet, though Confucian criticism was not interested at all in the person of the writer or poet. This criticism “levelled out the literary process and lowered the role of the individual, thus considering literature as a means of propagating ideas which are thus handed over in a constant relay of thought from the remotest ages” (p. 172).

Liu Hsi-tsai, too, was one of the few theoreticians in whom the differences between genres became effaced in some measure; he endeavoured to see literature as the only “kind of art” (p. 200). But this process in him remained only in its incipient stage.

The last and major part of Mrs. Golygina's book refers to those aesthetic and critical theories from the beginning of the 20th century which arose after the contacts had been established with European or at least European-oriented criticism and aesthetics. The principal contribution of this work is in the passages that analyse Wang Kuo-wei [29] (1877—1927) and the young Lu Hsün [30] (1881—1936). Wang Kuo-wei's views are dealt with in great detail.

This scholar was the first to acquaint China with European aesthetics. Evidently, with this end in view, Wang began to study Kant, but unable to understand him he took up the more easily comprehensible A. Schopenhauer. Schopenhauer's aesthetic influence was short-lived in China, which cannot be said of Kant's. In particular his idea of “purposiveness without purpose” and “disinterestedness” became very popular in the twenties.

Lu Hsün's views might have been given greater attention, for in his first works which were philosophical essays of high standard, he expressed noteworthy ideas.

The book is provided with a detailed glossary. Only some characters, such as *kang* [31] and *jou* [32] (p. 77) or *p'in* [15] (p. 99) are missing. The references include 192 bibliographical entries, mostly books. It is a pity that no index has been appended.

This book constitutes an excellent début. It is to be hoped that Kirina Golygina will devote herself further to the problems of old Chinese literary criticism.

3

The work by Dr. Bonnie S. McDougall from the University of Sydney, Australia, a new member of the large family of sinologists, is truly remarkable. The literary comparatist would assign this book among reception-studies. The authoress takes notes in it of translations from European, American and Japanese writers, of

Chinese articles on various literary problems insofar as they were written within the radiating focus of Chinese literature and were concerned with foreign literatures, reviews and diverse other topics. In the book under review (368 pp.) the authoress was primarily concerned with research on "the awareness shown by Chinese writers of Western literary theories" and intends "to present some idea of the range of ideas available to them in various publications" (p. 200).

This kind of research is evidently of the utmost importance. We find that in the area of modern Chinese literature we are often unaware of even the most fundamental material. As regards the problems dealt with in this book, besides a certain range of material connected with a study of the works of Shen Yen-ping [34], i.e. Mao Tun [35] (born in 1896) and the reception of the German theory of expressionism, very little was known of it until now. Dr. McDougall has truly accomplished a great deal in this field and extended our knowledge to encompass practically the entire area of the sphere of activity of members of the Literary Association (*Wen-hsüeh yen-chiu-hui*) [36] and those of the Creation Society (*Ch'uang-tsao-she*) [37]. She writes also about other literary societies and their journals, or literary supplements, but here her research is less exhaustive.

Attention in this book is concentrated predominantly on external contacts, in particular on bio-bibliographic data on various literary relationships and affinities, and on a bio-bibliographic sorting of the data. In this lies the fundamental contribution of this book which will undoubtedly be highly appreciated especially by those who, because of an inadequate supply of material in libraries, mainly from Anglo-American or Japanese literary production from the end of the last and the beginning of the present centuries, are unable to develop similar studies.

As regards these bio-bibliographic data, we must say that they are very thorough. They include particularly data on C. T. Winchester and his *Principles of Literary Criticism*, on Bliss Perry and his books *The Study of Poetry* and *The Study of Fiction*, on Oscar Wilde and translations of his works into Chinese. In this connection, McDougall complains that "the date of publication" of the translation of Wilde's *Decay of Lying* "is not recorded" (p. 66). The translation of the collection in which the article in question—probably Wilde's most significant piece of criticism—is found, was published in 1926.⁷ The section concerning Oscar Wilde might be supplemented by the observation that for a short time (until 1923) one of his admirers was also Liang Shih-ch'iu [39] (born in 1902), a leading critic of the later Crescent Moon Society (*Hsin yüeh-she*) [40]. Yü Ta-fu was also among his admirers, that is to say, he was an admirer of Wilde's individualistic morality and his spirit of opposition to accepted conventions. We do not know what actually Yü Ta-fu read from Wilde. It is

⁷ See *Tung-ching ta-hsüeh wen-hsüeh-pu Chung-kuo che-hsüeh Chung-kuo wen-hsüeh yen-chiu-shih tsang-shu mu-lu* [38] *The Catalogue of Books of the Department of Chinese Philosophy and Literature of the Tokyo University*. Tokyo University Press 1965, p. 234.

true that he translated Wilde's Preface to *The Picture of Dorian Gray*, but he decidedly refused to agree with all of Wilde's assertions embodied in this preface, for instance with the idea that art is useless.

It was highly appropriate to include Arthur Symons among those who exerted an influence in the domain of modern Chinese literary criticism and maybe even literary creation. Besides those whom McDougall mentions, again Yü Ta-fu read very attentively Symons' work during the period between 1919 and 1925. E. Dowson, of whom Symons writes, became Yü Ta-fu's preferred poet and his works Yü Ta-fu's "best guide in times of ennui and loneliness".⁸ For a time, sentimentally inclined Yü Ta-fu found in Dowson his double. Huang Chung-tse [42] (1749—1783), the principal hero in the short story *Ts'ai-shih-chi* [43] was, according to Yü Ta-fu's words, written under the influence of his reading Dowson's poetic work and knowledge of his character.⁹

Passages of the book introducing bio-bibliographic data dealing with B. H. Clark, F. W. Chandler, W. L. Phelps, R. G. Moulton, W. H. Hudson, T. W. Hunt, will prove an excellent aid to students of modern Chinese literary criticism.

In the case of Brandes, McDougall's data could suitably be supplemented with biographical study by Christian Hermann Jensen from the year 1967 entitled *Georg Brandes På Kinesisk (Georg Brandes in Chinese)*, which evidently was unknown to the authoress.¹⁰

The chapter Modern Literary Movements and Criticism in the West which embodies all the bio-bibliographic data of Western authors, is concluded in the book under review by passages devoted to Tolstoy and Zola. Dr. McDougall ranks them among those whose works helped in the creation of modern Chinese literary criticism or at least were in the consciousness of modern Chinese critics, yet evidently she does not consider them to be any great figures in European criticism. The authoress probably did not intend to include great figures in this chapter. Zola and Tolstoy, however, belong among the greatest and the most original in the history of world literary criticism. If we do find them in this chapter, then we should find there also at least Aristotle, I. Babbitt, A. France and H. Bergson!

Furthermore, this chapter might have contained more than a mere mention of the book *Russian Literature: Ideals and Realities*. Its author, Peter Kropotkin made really a marked impression on the intellectual life of Chinese youth of that time. And this not solely by his *Mutual Aid* which became the Bible of Chinese anarchists, but also by his book on Russian literature. That, which McDougall mentions should be supplemented by a reference to Shen Tse-min [44] (c. 1899—1934) in particular, who

⁸ *Ta-fu ch'üan-chi* [41] *The Complete Works of Yü Ta-fu*, vol. 5. Shanghai 1928, p. 93.

⁹ Loc. cit.

¹⁰ Fund og Forskning i Det kongelige Biblioteks samlinger, XIV, pp. 91—100. For English summary see p. 161.

translated the passage on Russian literary criticism precisely from this book and published it in *Hsiao-shuo yüeh-pao* [45] *The Short Story Monthly*, a special issue devoted to Russian literature, from the year 1921. In that same issue he also published an article entitled *K'o-lu-p'ao-t'o-chin O-kuo wen-hsüeh lun* [46] *Kropotkin on Russian Literature*. Yü Ta-fu also liked to read Kropotkin's work, especially about the year 1923. He wrote his first article on Russian literature, devoted to A. Herzen, a great revolutionary and publicist, on the basis of Kropotkin's book on Russian literature, but made use also of another of Kropotkin's books, *The Memoirs of a Revolutionist*, then very popular among European anarchists. He must have read the latter with great concentration, for there are few references in it to Herzen, and these are in various places of the book.

Dr. McDougall does not deal with the problem of the introduction of Japanese literary criticism into China in this chapter, but takes up this issue elsewhere in the book. Quite rightly she devotes major attention to Kuriyagawa Hakuson [47] (1880—1923) and to Shimamura Hogetsu [48] (1871—1918). Kuriyagawa was the most translated foreign critic into Chinese during the first half of the twenties. He was the speaker of the romantic and even more of the so-called neoromantic literature. Shimamura, on the other hand, was the most prominent speaker of the naturalistic literature. Perhaps, one misses here also Homma Hisao [49] whose book was translated into Chinese under the title *Hsin wen-hsüeh kai-lun* [50] *An Outline of Modern Literature*.

If we consider the introduction of Western literary theories into modern China, then we find that Japanese literary criticism has played here the role of a mediator. As a rule, Japanese critics were not original, but conveyed essentially the thoughts of European literary critics. For instance, if we find that Lu Hsün uses in his story a certain implication, a hint of Freudian device in describing a certain reality in art, it would not be quite right to deduce that Lu Hsün had read Freud;¹¹ or when Yü Ta-fu embodies into his system of criticism something that is clearly "élan vital", we cannot conclude that he was acquainted with H. Bergson's work. In all probability the second one has it from Kuriyagawa Hakuson, who more than anyone else served to Chinese critics as mediator.¹² He vehicled European critical opinions to young Chinese writers and poets.

From what has been said up to now, and of course from what McDougall states in her book, it ensues that in the field of literary criticism in China, the greatest influence was exerted by second-rank authors. Great figures of literary and art criticism were less known there. What might be the reason? Certainly, it is not due

¹¹ *Lu Hsün ch'üan-chi* [51] *The Complete Works of Lu Hsün*, vol. 2. Peking 1956, p. 303.

¹² Cf. Kuriyagawa Hakuson, *K'u-men-ti hsiang-cheng* [52] *The Symbols of Sorrow*. In: *Lu Hsün i-wen-chi* [53] *Lu Hsün's Translations*, vol. 3. Peking 1958, pp. 8—9 and Yü Ta-fu, *Wen-hsüeh kai shuo* [54] *Outline of Literature*. Shanghai 1927, pp. 2—3.

to pure chance. It is the rule rather than the exception—and not solely in China, but likewise in other Asian countries. Members of the Literary Association set themselves explicitly the task of introducing the works of Western and Japanese literary criticism to Chinese readers in an intelligible and comprehensible manner. They started from their own and their readers' intellectual receptivity. This receptivity could not have been developed to any very high degree, when we consider that those who endeavoured to introduce their theory, were no more than literary beginners who refused to take the traditional Chinese criticism into account, or refuted it entirely, and could in no way come up to mastering the confused and heterogeneous European and American criticism. During the early twenties of this century, the Chinese could become acquainted with the great works of world literary criticism in a small measure only. The few exceptions were Tolstoy and Aristotle. They could know the others solely on the basis of a few more or less fortuitous quotations.

Many readers of the book under review will certainly be interested in the chapter *Avant-garde Literary Theories*. Up to now, very little has been written on the affinities between the new Chinese literature and avant-garde movements in China and that they were the object of reports and controversies. In the first place, mention should really be made of expressionism—as does Dr. McDougall. Kuo Mo-jo [55] (born in 1892) was indeed closest to German expressionists—and not only as a critic, for his views agreed with those of certain German expressionists and activists. But perhaps also as a writer he was an expressionist. This was asserted by D. T. Roy.¹³ The authoress of the book is right when she says that “there is no evidence to show that Kuo Mo-jo read Bahr's short account of the movement, *Expressionismus*” (p. 199), nor is it certain that Kuo read the study by Franz (not Fritz as found repeatedly in the book, p. 196, 253) Landsberger, called *Die neue Stellung zur Natur*, which was published in the book *Impressionismus und Expressionismus*. The first to write about this study in China was Yu Hsiung [56], hence, the critic who probably published the first Chinese article on dadaism. It is plausible to assume that Kuo read Yu Hsiung's article and not that by Franz Landsberger. As a matter of fact, both make the same mistake. They both ascribe the quotation: “Kunst ist Gabe, nicht Wiedergabe” to Landsberger, although from the latter's study it is quite clear that it comes from Herwarth Walden.¹⁴ Yu Hsiung made this mistake first.

Yü Ta-fu never came any closer to expressionism even though he speaks of expressionists with enthusiasm in his article *Wen-hsüeh shang-ti chieh-chi tou-cheng* [57] *The Class Struggle in Literature*. This was an anarchistic protest which Yü Ta-fu felt in his words full of wrath. Personally, he felt more sympathy towards English and French decadents than towards German expressionists. The former, that is to say, suited better his artistic taste.

¹³ Roy, D. T.: *Kuo Mo-jo: The Premarxist Phase, 1892—1924*. Papers on China, 12, Harvard University 1958, p. 106.

¹⁴ Landsberger, F.: *Impressionismus und Expressionismus*. Leipzig 1920, p. 29.

What has been spoken of until now—with the exception of Kuo Mo-jo's and Yü Ta-fu's relation to expressionists—was obtained by the authoress through the external-contact procedure. She has processed here contacts in the field of modern Chinese literary criticism which, however, have no evident direct significance for the literary process as such. They are nor reflected clearly in Chinese literary thought. In the case of Kuo Mo-jo and Yü Ta-fu, we witness an attempt at an internal-contact examination, i.e. one that investigates certain aspects of those contacts in which one find—in their individual expressions—mutual points of concurrence. This research procedure is the most demanding. A study of facts of “introduction” does not suffice any more. Here, both the literary structures must be known thoroughly, the recipient and the source, their individual components. Dr. McDougall went about it better in the case of Kuo Mo-jo than in that of Yü Ta-fu. In the former she correctly judged that an expressionist was involved—even though for a short time only. A similar characteristic, however, is unsuitable with the latter, for any laudatory words on behalf of expressionists are nothing but a random expression of the relation. They do not fit into his overall literary and critical system.

What the author writes about the introduction of dadaism into China, likewise belongs to the field of research of external contacts. She refers to only one article in which dadaism is dealt with. For the reader's information we observe that a second one was written by Shen Yen-ping. Originally the latter appeared in *The Short Story Magazine*, 6, 1922, pp. 2—4.¹⁵ Yu Hsiung's second-hand translation of R. Huel-senback's booklet *En Avant Dada. Die Geschichte des Dadaismus* shows the initial stage of dadaism; Shen Yen-ping's report on dadaism deals with the situation prevailing among French dadaists at the beginning of 1920, when this movement was at the peak of its expansion; shortly after, a decline set in leading to its complete disintegration. Shen Yen-ping points to this period in February 1920 when Parisian dadaists convened in the Salon des Indépendants and read there their seven manifestoes. From among the more notable participants, mention should be made of F. Picabia, A. Breton, P. Eluard, L. Aragon and Tristan Tzara. Shen Yen-ping's report, just as that by Yu Hsiung, was a “scornful comment” (p. 210). Yu Hsiung (rather a pity we do not know who he was), showed sympathies rather with expressionism, while Shen Yen-ping was at that time much inclined towards naturalism (realism), but their attitude towards dadaism was similar. True, Shen Yen-ping does not explicitly condemn the dadaistic movement: all he does is to let Tristan Tzara and his manifesto full of nihilism, speak, and this alone must have totally discredited this movement in the eyes of contemporary Chinese readers. In reality, dadaism could be applied in art and literature uniquely in connection with undue efforts at destroying existing values without any attempt whatsoever at their

¹⁵ Later it was published in Mao Tun, *Hsien-tai wen-i tsa-lun* [58] *Notes on Contemporary Literature*. Shanghai 1929, pp. 1—8 under the title *Ta-ta-chu-i* [59] *Dadaism*.

reconstruction, without any optimism, and of course, without knowing a way out. In China of the early twenties a diligent search for "the instrument for action" was a typical trait of intellectual life and hence, it was hardly possible that anyone should take a serious note of dada, which in the view of its own creators was meant to signify "nothing" (cf. *Manifest Cannibale Dada*, by Francis Picabia).

Yü Ta-fu's article *Shih-lun* [60] *On Poetry*, one of the best studies on poetry of that time, also belongs to the field of research of external contacts. The views of imaginalists, futurists and expressionists fulfill here only an "informative" function. Yü Ta-fu speaks of expressionists, among whom Dr. McDougall has assigned him, with a relative disappointment. He writes about their works as follows: "In the first place, their works are bizarre, they contain many passages that are difficult to understand, ordinary people cannot appreciate them equally; in reality that which is spoken of therein, turns its back to the taste of the masses."¹⁶

These words speak for themselves. The present reviewer has shown elsewhere why the avant-garde movements failed to take root in China.¹⁷ Further very important reasons were briefly pointed out by Dr. D. Fokkema of Utrecht University.¹⁸

As regards the relationship between modern Chinese literature and the avant-garde, it would be useful if all the accessible materials were subjected to an investigation; first of all, in the field of literary criticism, and later also in that of literary creation itself, in particular in drama and poetry. Only then could the question, so vehemently put forward by Dr. McDougall, be objectively resolved.

A further issue of like importance to which attention will have to be devoted is that of literary evolution. This is a weighty concept and should be studied. As regards ancient Chinese literature, the specific features of the Chinese literary evolution may be elucidated. In the case of modern Chinese literature, such a study may explain, among other things, also the readiness to accept or refute avant-garde literature, to analyse the essence of the extremely heterogenous process in literature then taking place, etc. From R. Wellek we know that R. G. Moulton was one of the last in the West to apply the concept of the literary evolution to literary studies.¹⁹ On the other hand, he was one of the first to have helped Darwinian concepts of evolution to be extended to literature in China. Naturally, he was not the only one. Shen Yen-ping in his apprehension of literary evolution was greatly influenced by another American, F. W. Chandler. A question in point will be, for instance, when does a European interpretation of evolution begin in Chinese literary criticism and scholarship, how was it modified, eventually when does it come to an end and what is its substitute?

¹⁶ *The Complete Works of Yü-Ta-fu*, vol. 5, p. 206.

¹⁷ Gálik, M.: *Mao Tun and Modern Chinese Literary Criticism*, Wiesbaden 1969, pp. 108—109 and *Über die kritische Auseinandersetzung Chinas mit dem deutschen Expressionismus*. Nachrichten der Gesellschaft für Natur- und Völkerkunde Ostasiens, 103, 1968, pp. 57—59.

¹⁸ T'oung Pao, LVII, pp. 242—244.

¹⁹ Wellek, R.: op. cit., p. 42.

Favourable conditions existed in China for the concept of literary evolution. It was made possible in part by old literary traditions, and by widespread interest in social Darwinism. Since the concept of literary evolution in China (just as in the West) was far from unified, we witness not only various interpretations of literary evolution itself, but also of various literary movement, romanticism, neoromanticism, naturalism and realism, and a host of avant-garde attempts, endeavours, or at least inquisitiveness.

The chapter called Romanticism and Neoromanticism is the longest in the book, and together with the preceding one on modern literary movements and criticism in the West, is also the most valuable for present day research in the field of Chinese literature. There are several passages that are particularly attractive, such as one about T'ien Han [61] (born in 1896) which is processed with delicacy, likewise the one about romanticism in the Literary Association which is a novelty, or the one dealing with Kuriyagawa Hakuson. Readers will also be interested in those that treat of Kuo Mo-jo. Their only drawback is that McDougall analyses in them also articles which Kuo Mo-jo wrote from a position of expressionism, for instance, *Wo-men-ti wen-hsüeh hsün yün-tung* [62] *Our New Movement in Literature*, or *I-shu-chia yü ko-ming-chia* [63] *Artists and Revolutionaries*.

The chapter Realism and Naturalism presents the most complete account concerned with an introduction and discussion about these -isms. Besides Shen Yen-ping, who was their very important propagator, the authoress analyses also the views of Li Chih-ch'ang [64], Hu Yü-chih [65] (born in 1897), and makes a brief notion also of others.

The closing chapter of the book Literary Criticism, in the view of the authoress herself, "lies outside the scope" of the book (p. 220). It is in fact a mere outline, a sketch, an attempt at a critical "portrayal" of the various critics: Shen Yen-ping, Kuo Mo-jo, Ch'eng Fang-wu [66] (born in 1897). The chapter opens with an analysis of Hu Yü-chih's critical attitude, who was the first, as time goes, but simultaneously the least important among those just mentioned. Modern Chinese literary criticism as the one of the most important branches of modern Chinese intellectual history will have to be subject of a very thorough study. In her book Dr. McDougall has brought up materials that will have to be closely scanned before this task is attempted. Relatively extensive portraits of outstanding critics of modern Chinese literature of the twenties have appeared and still appear in the present yearbook—Asian and African Studies.

Several minor deficiencies or errors have crept into the book. Thus, for example, the authoress frequently speaks of "influence" without being conscious of the specific meaning this word conveys in the terminology of comparative literature. Even though she states that for advice "on the method of comparative literary studies" she had consulted the book *Comparative Literature: Method and Perspective* (p.vi), she probably did not read with sufficient concentration the article by J. T. Shaw entitled

Literary Indebtedness and Comparative Literary Studies where the term "influence" is very clearly defined.

The successor to *Literature Ten-daily* (Wen-hsüeh hsün-k'an) [67] was not *Literature Weekly* (Wen-hsüeh chou-k'an) [68], but *Hsüeh-teng—Wen-hsüeh* [69] *Lantern of Study—Literature*. The data on p. 48 are not correct.

Yü Ta-fu in his article *On Poetry* makes use of the book by Robert Riemann, *Von Goethe zum Expressionismus*, from the year 1922 and not 1920. Nowhere in his book does Riemann write what, according to the authoress, Yü Ta-fu quotes (cf. pp. 212—213.). Yü Ta-fu merely expresses Riemann's view in his own words. According to Riemann: "Ich halte es für verkehrt, aus einzelnen Sonderbarkeiten Hasenclevers, Unruhs und Werfels zu schliessen, eine Steigerung sei unmöglich, so könne es nicht weitergehen. Erfahrungsgemäss bezeichnen solche Gewagtheiten und Verirrungen vielmehr die Gärungszeit einer Stilrichtung; auf sie folgt erst die Abklärung."²⁰ The authoress has omitted to verify the quotation and relying on Yü Ta-fu she translated the relevant passage from Chinese into English as follows: "There is now more confusion among contemporary literary circles in Germany than ever before. From past experience, we could say that this is an age of fermentation (Gärungszeit). Only the future can reveal the outcome!"

But the deficiencies of this book can truly be counted on the fingers of one hand. On the other hand it deserves praise for much new material which it has brought into the study of modern Chinese literature. To many it will have opened up an entirely new field of investigation, and even those who feel at home in this area will find much that is stimulating and instructive. It will be an important source of reference in the years to come.

The book is very interesting and useful. The notes are thorough, the indexes exemplary and the bibliography fittingly rounds up the entire work.

And Dr. McDougall has written this work at an age when even Confucius did not "stand firm". As a rule, similar books are written later.

²⁰ Riemann, R.: *Von Goethe zum Expressionismus*. Leipzig 1922, p. 445.

1. 心雕龍 2. 通 3. 變 4. 栩栩 5. 文以
載道 6. 方苞 7. 劉大櫟 8. 奇 9. 高 10. 葛
洪 11. 郭嵩燾 12. 梅曾亮 13. 袁宏道
14. 胡適 15. 品 16. 曾熙 17. 馬叙文 18.
林紓 19. 意境 20. 嚴羽 21. 理 22. 義理
23. 况周頤 24. 袁枚 25. 滄浪詩話 26.
司空圖 27. 沈蕙 28. 劉熙載 29. 王國維
30. 魯迅 31. 剛 32. 柔 33. 劉勰 34. 沈雁冰
35. 茅盾 36. 文學研究會 37. 創造社 38. 東
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45. 小說月報 46. 克魯泡特金的俄國文學論
47. 廬山白村 48. 島村抱月 49. 本間久雄
50. 新文學概論 51. 魯迅全集 52. 苦悶的
象征 53. 魯迅譯文集 54. 文學概說
55. 郭沫若 56. 幼雉 57. 文學上的階級鬥爭
58. 現代文藝雜論 59. 大大主義 60. 詩論
61. 田漢 62. 我們的文學新運動 63. 藝術
家與革命家 64. 李之常 65. 胡應文 66.
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10 JAHRE DER „URALIC AND ALTAIC SERIES“ DER INDIANA UNIVERSITY PUBLICATIONS

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Die 10 Jahre der im Jahre 1960 gestarteten Reihe der Indiana University (Bloomington) lassen sich durch die erreichte Veröffentlichungszahl von 100 symbolisieren. Die runden Zahlen ergeben sich durch Zufall, trotzdem sind sie sehr charakteristisch für die Beweglichkeit und das Tempo dieser grossangelegten Reihe, die in den letzten Jahren eines der bedeutsamsten, aber auch umstrittensten Unternehmen der ural-altaischen Studien geworden ist.

Der Jahrestag der Reihe und die oben angeführte eindrucksvolle runde Zahl veranlassen den aussenstehenden Fachmann, eine Bilanz zu ziehen.

Obwohl die uralischen Bände in der Reihe mit einem geringen Unterschied die Mehrheit vertreten, sei es uns als Turkologen gestattet, unsere Bemerkungen im Grunde genommen auf den altaischen Teil der Reihe zu beschränken. Mit Ruhe können wir aber behaupten, dass diese Beobachtungen auch die andere, d.h. die uralische Sparte zu betreffen scheinen.

Die Reihe, für die das bekannte Projekt des *American Council of Learned Societies* ein reiches Startmaterial lieferte, hat sich in verschiedenen Richtungen ausgedehnt und weist heute eine grosse Vielfalt von Veröffentlichungen auf.

Ohne Anspruch auf Vollständigkeit lässt sich die Reihe auf folgende Teilgebiete oder Publikationssphären aufteilen.

An erster Stelle stehen die verschiedenen Grammatiken und Sprachlehrbücher, die mit Bezug auf eine Reihe von Sprachen — vom Osmanischen bis zum Tatarischen und vom Tschagataischen bis zu den Idiomen des Mongolischen — nützliche Handbücher für die Universitätsstudenten, aber auch für die Fachleute bedeuten. Wir können hier als Beispiel die ausgezeichneten Handbücher von J. Eckmann, J. R. Krueger, N. N. Poppe, T. Tekin, A. Tietze usw. erwähnen.

Es wurde auch solchen Darstellungen Platz eingeräumt, die manchmal absichtlich ein methodisches Novum anzuwenden und Uralisten bzw. Altaisten bekannt zu machen versuchten. Wir denken hier u. a. an die Bücher von R. B. Lees, A. F. Sjoberg, L. B. Swift, J. C. Street usw., die als Bannerträger der strukturellen oder generativen Methode dann in das Kreuzfeuer der Diskussion geraten sind. Ihre Fehler wurden schon in verschiedenen Besprechungen kritisiert, Bedenken und

Gegenmeinungen angekündigt. Für den kühnen Versuch, mit dem eine fruchtbare Diskussion ausgelöst worden ist, gebührt aber diesen Gelehrten, besonders denen, die von der allgemeinen Methode her mit diesen Studien in Kontakt kamen, der Dank der Fachleute.

Es fehlen in der Reihe natürlich auch nicht ethnographisch-ethnologische Monographien. Sie werden durch die Bücher von L. Krader, V. Riasonovsky und den Sammelband von V. Diószegi repräsentiert. Insgesamt kann aber festgestellt werden, dass die Linguistik in der Reihe eine viel grössere Rolle spielt als die anderen Disziplinen.

Der Gründer und langjährige Herausgeber der *Uralic and Altaic Series*, der hervorragende Uralist, Prof. Dr. Th. Seboek, der seine Eigenschaften als Wissenschaftsorganisator und Verlagsexperte hier wiederum bewiesen hat, ergriff eine Reihe von Initiativen, die sich im Laufe der 10 Jahre als sehr nützlich erwiesen. Die Redaktion der Reihe wurde 1970 von Prof. Dr. J. Krueger übernommen.

Das Reprint-Programm der Reihe ermöglichte die Veröffentlichung von solchen klassischen Werken dieser Fachgebiete wie die Proben von Radloff, die jakutische Grammatik von Böhtlingk, das tschuwassische Wörterbuch von Ashmarin, oder die Zeitschrift Keleti Szemle (Revue Orientale). Hier muss auch der Sammelband der turkologischen Artikel der *Bolšaja Sovetskaja Ėnciklopedija* erwähnt werden. Ein origineller Versuch, der für den Benutzer dieses Werkes eine grosse Erleichterung bedeutet.

Die Reihe enthält relativ wenig Sammelbände, obwohl es sehr wünschenswert wäre, wenn einige, wie z. B. die *American Studies in Uralic Linguistics* oder die *American Studies in Altaic Linguistics*, eine periodische Gestaltung bekämen.

Und damit sind wir eigentlich bei den Wünschen, die ein Fachkollege bei einem solchen Anlass vielleicht äussern kann.

Es ist sehr erfreulich, dass die Linguistik in den ersten 100 Bänden der *Uralic and Altaic Series* besonders gut zu Wort kam. Das bedeutet eine gute Grundlage für das Weitere. Die Zukunft würde aber eine weitere Systematisierung der Aufgaben der deskriptiven und historischen Linguistik in diesen Sprachbereichen verlangen, wobei die noch vorhandenen Lücken einen starken Akzent bekommen sollten. Es gibt in allen Sphären der Sprachuntersuchung viel zu tun. Man kann an weitere deskriptive Studien, an systematische Veröffentlichungen der Sprachdenkmäler usw. denken. Man sollte die Nachfrage der Forschung mit dem Angebot der Forschungskräfte und mit ihrem Interesse in ein gesundes Gleichgewicht bringen. Es ist klar, dass die Erfüllung dieses Wunsches eine organisatorische Überschreitung der gewöhnlichen Bewegungsgrenzen dieser Reihe und ihres Herausgebers mitbringen würde.

Die Ausdehnung des Interessenkreises in anderen Disziplinen — und hier wären besonders die Geschichte und Literatur zu nennen — scheint auch eine aktuelle Aufgabe zu sein.

Nach dem erfolgreichen Start erwartet man mit Recht die Fortsetzung des Nachdruckprogramms, das vielleicht auch auf Sammelbände einzelner Forscher ausgedehnt werden könnte. Jeder Forscher leidet unter der riesigen Verstreutheit der Publikationen, die bei den eminenten Vertretern des Fachgebietes besonders bemerkbar ist. Sammelbände in der Art "Gesamtwerte" oder "Ausgewählte Schriften" könnten diese Schwierigkeit sehr mindern.

Was die oben angeregten Periodika betrifft, sei es uns gestattet, noch einen weiteren Gesichtspunkt hinzuzufügen. Es wäre sehr wünschenswert, wenn diese Periodika (man denkt an die Fortsetzung der vorhandenen Sammelbände) auch die Aufgabe der Dokumentation übernehmen könnten. Jeder Wissenschaftler, der von dem Mangel an den entsprechenden Dokumentationsorganen betroffen ist und beim Sammeln und Systematisieren der Informationen mit der Zeit kämpft, wäre äusserst dankbar, wenn er — eventuell nicht unbedingt in den erwarteten Periodika — über die Leistung der amerikanischen Uralisten und Altaisten einen jährlichen Überblick bekommen könnte.

Der Gesamtindex zu den ersten 100 Bänden ist ein ausgezeichnetes Hilfsmittel für die Wissenschaftler. Diese Methode und besonders die schnelle Veröffentlichung dieses Bandes kann man nur loben und anderen wissenschaftlichen Reihen wärmstens empfehlen.

Wie in jeder Reihe, erschienen auch in der *Uralic and Altaic Series* gute und mittelmässige Werke. Einige haben eine gute Kritik bekommen, andere wurden von Kritikern sogar „zerrissen“. Das ist der normale Gang der Diskussion, der Herausbildung eines Urteils über ein bestimmtes wissenschaftliches Produkt. Viele Fehler könnten aber in der Zukunft vermieden werden, wenn die einzelnen Bücher auch von einem zuständigen Fachmann des Fachgebietes redigiert, d. h. geprüft werden könnten. Anders gesagt: die Diskussion sollte schon vor der Veröffentlichung beginnen. Der Herausgeber hat natürlich zu Recht das Prinzip der Alleinverantwortung des Verfassers vertreten. Ein gut durchdachter wissenschaftlicher Meinungsaustausch würde unseres Erachtens die Souveränität des Autors keinesfalls beschränken. In einer Reihe, die sich auf einer so grossen Skala bewegt, kann die Einführung einer solchen Methode nur von Nutzen sein.

A COMMENT ON TWO SLOVAK BOOKS ON THE THEORY OF COMPARATIVE LITERATURE

MARIÁN GÁLIK, BRATISLAVA

In Professor U. Weisstein's book *Einführung in die vergleichende Literaturwissenschaft*, Kohlhammer 1968, which, at least until the beginning of the seventies, represented the most comprehensive and one of the most prominent studies on the theory of comparative literature written in a western language, no mention whatever is made of Slovak endeavours in this field. From among Czech comparatists references are found in the bibliographical section but not in the text of the book itself, of works by F. Wollman, J. Dolanský and H. Jechová.¹

And yet, it is precisely among Slovak comparatists that we find Dr. Dionýz Ďurišin (born in 1929), a scholar of Slovak and Russian, who until the end of the sixties devoted himself in an unusually intensive measure to the theory of comparative literature. His first efforts resulted in his book *Slovenská realistická poviedka a N. V. Gogol* (*Slovak Realistic Short Story and N. V. Gogol*), from the year 1966. It was evidently about this time that the idea occurred to him to devote himself to the most diverse aspects of the theory of comparative literature and to construct some sort of a working model of comparative investigation. The outcome of his efforts was his book published in 1967 under the title *Problémy literárnej komparatistiky* (*Problems of Comparative Literature*). His next book *Z dejín a teórie literárnej komparatistiky* (*From the History and Theory of Comparative Literature*) published in 1970, carried on the idea from his preceding works further, endeavouring to gain a deeper insight into, or illustrate the issues raised therein.

1

The book *Problems of Comparative Literature* is made up of three parts dealing in turn with theoretical premises of comparative investigation of literature, basic types of literary relations and affinities, and problems of comparative analysis in the field of literary study.

¹ Weisstein, U.: *Einführung in die vergleichende Literaturwissenschaft*, p. 235, 242 and 232.

The second book, *From the History and Theory of Comparative Literature*, is a collection of studies and is likewise divided into three parts, viz. the history of comparative literature, the theory of comparative investigation of literature, and some actual theoretical problems relating to an investigation of translation from the comparative aspect.

Let us begin with the latter book—its first part. Three studies from this section are of special interest to us. The last one deals with the development of comparative investigation of literature in Slovakia only.—The first study is entitled *Incentiveness of A. Veselovsky's Historical Poetics*. However, since Veselovsky's concepts, in so far as they may be applied to a study of comparative literature, are at least partially known in the West, we shall not take them up in this review.² The second study is called *Comparative Experiments of the Russian "Formalist Method"*. This, and the following study, *Structural Roots of Modern Study of Comparative Literature*, deserve attention, for they represent some sort of an introduction to Ďurišin's theory of comparative literature, even though this introduction was written after the outline of his comparative study had been completed.

Russian Formalists V. Shklovsky and V. Zhirmunsky drew on Veselovsky's concepts, Zhirmunsky in particular, strove to work out the so-called theoretical and historical poetics. He belonged to those adherents of the "Formalist Method" who devoted attention to comparative practice almost from the very beginnings of the formation of the Formalist school. The subsequent rehabilitation of comparative literature in the U. S. S. R. was likewise connected with the personal efforts and work of this prominent literary scholar, enjoying great esteem in international comparatist circles. The basis of Ďurišin's theoretical system, too, emanates mainly from Zhirmunsky's concept of a historico-genetic and historico-typological comparison. On the basis of an abundant material Y. Tynyanov proved that the act of final moulding, overcoming, the differentiating act, is dominant in every process of reception of literary values.³ A historical continuity of literary phenomena where moments of taking-over—also in interliterary relations—are inevitable, is not an unbroken one, is not a picture of a literary relay, but rather a struggle in which the old entity becomes disrupted and the new one is formed. There is no straightforward continuance, but rather an upsurge, a reflection off a certain point—a struggle.⁴ Tynyanov further goes to prove on an equally rich material, that the functions of artistic procedures change when the work or its part passes from one environment to another. This applies likewise to international relations. Tynyanov has also formulated a determining role of the recipient phenomenon in the process of reception of foreign values. This is indeed a meritorious and a grandiose

² Ibid., pp. 84—85 and 219.

³ Ďurišin, D.: *Z dejín a teórie literárnej komparatistiky*, p. 48.

⁴ Ibid., p. 47. The quotation is from Tynyanov.

discovery, if correct. If this is really true, then the basic premises whether of the French or the American comparative theory are wrong: the concept of "effect" or "influence" is fairly superfluous, and acquires rather the significance of an auxiliary term.

In his article dealing with structural roots of modern comparative theory, Dr. Ďurišin takes note first of Mukařovský, the founder of Czechoslovak literary structuralism. Mukařovský had a negative attitude towards the old theory and practice of comparative literature. He established no contact either with Veselovsky, or with the endeavours of the adherents of the "Formalist method". And he did not mean to do anything at all in the field of comparative literature—nonetheless, his theoretical thesis on the variability of assessment of a literary work, has become (in an altered form) one of the fundamental premises in Ďurišin's theory. According to Mukařovský, the role of literary history is "to investigate in the first place, the evolutionary value of a literary phenomenon".⁵ This is the value which determines "in what measure a certain work has participated in the dynamics of literary evolution in a concrete historical situations".⁶ Since this concrete historical situation may intervene in interliterary moments, considerations on the evolutionary value of a literary work may be useful also to comparative literature. If that evolutionary value is judged from the aspect of contemporary needs, one may speak of an actual value of the phenomenon. This value is then important in judging the interliterary process. The actual value serves as a criterion of selection in these cases. Ďurišin analyses this thesis in the first of his two books reviewed here. This stimulus of Mukařovský's finds an application also in one of the basic premises of the theory worked out by Ďurišin: in the so-called artistic value in the new structure.

Even though Czech structuralists had expressed some of the theoretical premises, they never applied them in practice. The situation among Slovak investigators in this area of comparative literature was somewhat different. Slovak literary scholarship often required a comparative approach within the framework of interliterary affinities. Dr. Ďurišin made a careful reading of some of M. Bakoš's and K. Rosenbaum's works and went on theoretically to develop the stimuli or conclusions found therein.

2

We shall approach the theory proper as expounded by Ďurišin in his books, by his formulation of the object of comparative literature. According to Ďurišin, "comparative literature is in fact an extension of the traditionally apprehended field of the history of national literature, its organic part, tending to a knowledge of the process

⁵ *Ibid.*, pp. 73–74.

⁶ *Ibid.*, p. 74.

of higher literary entities".⁷ Comparative literature is not, therefore, an independent discipline in the system of literary scholarship. This is contrary to the traditional tenet of the French school (Van Tieghem, Guyard, etc.), but also contrary to the view of the American school.

With such an interpretation of comparative literature as an organic part of literary history, it is not correct to look at comparative investigation as at an independent subject of study, but as an integral part of literary history. It was quite in order that comparative literature should have endeavoured to win for itself independence within the framework of a study of literature, but this, only in the initial stages of its existence, at the time of collecting and classifying materials, when methodical questions had not been sufficiently resolved. At that time, comparative literature existed together in conjunction with the history of national literature and its object of investigation was: to study and know the literary phenomenon in the context of broader interliterary and international affinities. Later, there came about tendencies at differentiation which are strikingly evident even today in French and other comparatists, for whom comparative literature exists in parallel with the history of national literatures, and has its relatively clearly defined object of investigation.

If, however, we take a closer view of individual literary processes, phenomena, we fail to note any essential differences between these processes and phenomena, whether of an intraliterary (or nationally literary), or interliterary character. Both are an expression of "structures" whether national or supranational, in the literary sphere, mutually supplementing and internally conditioning each other. Both, the one and the other should be investigated, and this investigation will have a deep sense only if it helps to elucidate the phenomena and processes in national literature, without losing sight of the laws of the supranational literary development.

Dr. Ďurišín does not oppose only the endeavours of the French and American comparatists, but is also against those theorists and practitioners of comparative literature in the socialist countries who, in some measure, fail to appreciate at their just value the facts of interliterary coexistence by "declaratively underlining an equivalence of literary phenomena which participate in the process of reception". These scholars, with a well-intentioned endeavour to set into a more favourable light the "lesser" or "younger", or "the less developed" literatures, do not solve correctly the outstanding issues between the "recipient" and the "source" literatures. The fact remains that there exist "more differentiated" and "less differentiated" literatures and no comparatist may bypass this problem. He can take no sides in this matter, either for the one, or the other.

Despite this reservation, Dr. Ďurišín consciously takes contact with the efforts of scholars from socialist countries in this area, and together with the three sources referred to above, these efforts prove to be the most important reservoir of his views.

⁷ Ďurišín, D.: *Problémy literárnej komparatistiky*, pp. 28–29.

As regards the relation between comparative literature and literary theory, Ďurišín takes up a similar stand as in the case of the relation between comparative literature and literary history. Here too, comparative literature only helps the theory of literature. Intraliterary relations “by character provide smaller possibilities of a theoretical generalization.”⁸

From what has been said so far, it follows quite organically, that comparative literature comprises partially the problems of national literature, but above all, those of supranational entities and of world literature, and that it is superfluous to draw a dividing line between comparative literature and the other disciplines of the literary scholarship.

Dr. Ďurišín in his studies and books avoids using the term “general literature”. On the other hand, his terminology includes one that is not employed by French or American comparatists: supranational literary unit. Dr. Ďurišín does not characterize this “unit” or “units” by means of more or less concise definition, but from what he writes about them it is evident that he has thereby in mind literatures that are close one to another because of ethnic appurtenance, belonging to the same State formation, or through geographical propinquity. As examples for this we might advance the case of Slovak and Czech literature, Russian literature and Slavonic literatures in general, Far Eastern literatures influenced by old Chinese literature, modern Asian literatures from somewhere at the turn of the present century, and also modern African literatures, etc. Ďurišín characterizes the expression “world literature” as “literary phenomena showing mutual affinities, and consequently being in some way evolutionally conditioned”.⁹ He refutes the view according to which world literature is “literature of the whole world”, or “a selection of the best that has been created by individual literatures...”

Comparative literature then embodies all problems relating to supranational literary units and to world literature, partially, however, also problems of national literature.

3

For instance, according to Professor Weisstein, “influence” is in fact “Schlüsselbegriff aller komparatistischen Forschung”; it is definitely not so in Mr. Ďurišín’s view.¹⁰ The latter does not use the term influence in his terminological system. He speaks about the forms of influence. But this only in his first book. In the second book, in which he makes his views more precise on the basis of his study of Mukařovský’s work, he asserts that the category of influence is in fact superfluous, because not the “giving” but the “receiving” context is of importance to the value of a literary phenomenon.

⁸ Ibid., p. 33.

⁹ Ibid., p. 35.

¹⁰ Weisstein, U.: op. cit., p. 88.

These forms of influence are a result of genetic (or contact) relations. Ďurišín divides these contacts in different ways. They are primary contacts that have no noticeable impact on the literary process proper. Secondary contacts are those that already result in concrete manifestations in the literary field. Similarly as Joseph T. Shaw, Mr. Ďurišín too, speaks of direct and mediated contacts.¹¹ Direct contacts reflect a direct relation to foreign literary values and presume a contact with the original, while indirect contacts always presuppose the existence of an indirect agent—a mediator. An investigation of these latter contacts is more complex.

As the simplest form of these mediated contacts, Dr. Ďurišín mentions “various published reports, beginning with simple news reports and ending with scientific studies.”¹² A more complex form of mediation are, in his view, translations of works of art, and the most complex, works of art as such. And these need not be works of foreign literature. Works from home literature, too, may play this role.

When there is question of relation towards a literary work itself, Dr. Ďurišín prefers to use the terms internal and external contacts. External contacts usually are “conditioned in a higher measure by external realities”,¹³ than internal ones. What he includes among external contacts (for example, bibliographical data on literary relations, various reports, references, literary and critical or theoretical studies of foreign literatures, or literary phenomena, reviews, etc.), American comparatists subsume under the term reception. Dr. Ďurišín highly appreciates these studies, but decidedly does not prefer them to internal-contact works, as does, for instance, Jean-Marie Carré.¹⁴ He mentions them mainly in view of the needs of individual national literatures where in the past, positivistic methods failed to be efficient and where even the fundamental materials are often unknown. As an example he cites Slovak literature. But many more such examples could be given. Almost all the Asian and African literatures and many, many others would come in here.

External-contact studies are a condition *sine qua non* for an internal-contact study. According to Dr. Ďurišín, it is a research procedure which endeavours “to discover the laws of relations through a confrontation of the ideo-artistic process itself of the compared phenomena”.¹⁵ At the same time, this comparison of artistic movements, genres, authors, works, etc. must consistently take into account the socio-historical affinities. It is incompatible with a purely mechanical, neither historically nor otherwise supported interpretation of similarities of an earlier, positivistically-oriented comparative literature.

¹¹ Shaw, J. T.: *Literary Indebtedness and Comparative Literary Studies*. In: N. P. Štallknecht and H. Frenz (Ed.); *Comparative Literature. Method and Perspective*. Carbondale 1961, pp. 61—62.

¹² Ďurišín, D.: *Problémy literárnej komparatistiky*, p. 60.

¹³ *Ibid.*, p. 48.

¹⁴ Weisstein, U.: *op. cit.*, p. 93.

¹⁵ Ďurišín, D.: *Problémy literárnej komparatistiky*, p. 54.

Under internal-contact studies Dr. Ďurišín understands something that American comparatists do under "influence-studies", with the difference that the latter emphasize, whether consciously or not, the aspect of influence, while in Ďurišín something like influence is presumed, but is not specially underlined. The author of the present review article is of the opinion that Dr. Ďurišín's theoretical system *in toto*, but also in this part, is better thought out than those proposed thus far by representatives of either the French or American school. The American comparative scholar Anna Balakian wrote in 1962: "One is sometimes led to wonder whether any study of influence is truly justified unless it succeeds in elucidating particular qualities of the borrower, in revealing along with the influence, and almost in spite of it, what is infinitely more important: the turning point at which the writer frees himself of the influence and finds his originality."¹⁶ The quotation implies that Anna Balakian comes to the idea which had been more generally formulated by the Russian Formalist Tynyanov towards the end of the twenties. This idea consists in the determining role of the recipient structure in the reception process of foreign values. "Influence" is then nothing else but a certain type of a successful stimulus. If it is unsuccessful, then the American comparative theory estimates it as reception, while the theory proposed to those interested in comparative literature by Ďurišín, ranks it among external contacts.

What are then those forms of "influence" which a comparatist usually encounters in his work? Ďurišín cautions that his system has the character of a working hypothesis, that he does not mean it to be of a norm-forming nature, for the forms of "influence" may be very disparate. Truly, we find in Dr. Ďurišín's works evident traces of a real development. In his recent articles, for example *Literary Communication and Comparative Literature* he writes that "the term 'influence', or 'effect' will have to be unequivocally eliminated from comparative theory"¹⁷ and subsequently does not speak any more of "forms of influence", but of "forms of reception".¹⁸ As to these forms of influence or forms of reception, Dr. Ďurišín divides them first into "integrating" and "differentiating". Among the former he assigns reminiscence, stimulus, coincidence and filiation. He then divides coincidence into borrowing, imitation, adaptation, similarity and paraphrase. Among the latter (differentiating) he counts parody, travesty and others. Under reminiscence, or most recently allusion, Dr. Ďurišín implies "calling for a certain artistic procedure, motif, idea, etc., for the most part by known authorities in world literature."¹⁹ An investigation of reminiscences (allusion) is not a complex problem.

A more complex one is that of studying literary stimuli. In contrast to reminis-

¹⁶ Quoted according to U. Weisstein, op. cit., p. 93.

¹⁷ Ďurišín, D.: *Z dějin a teorie literární komparatistiky*, p. 191.

¹⁸ Ibid., pp. 193–194 and *Problémy literární komparatistiky*, p. 191.

¹⁹ Ďurišín, D.: *Problémy literární komparatistiky*, p. 74.

cence, a stimulus cannot be supported by concrete striking similarities, a delineation and evaluation of its sphere of influence lays relatively great claims on the investigator.”²⁰ The latter often has to have recourse to a literary-typological investigation in its social, literary and psychological component. Dr. Āurišin deals with the stimulus in a review article *Two Conceptions of Comparative Literature*, first published in 1969. He is conscious of its amorphous and hard-to-define form, its unusual breath of content.

Borrowing involves “various forms of taking over of themes, artistic images, various artistic approaches.”²¹ Literary borrowing, naturally, need not show a passive relation to the received phenomenon, quite the contrary, it may imply an active unfolding of what an author borrows from another or other authors. Dr. Āurišin compares the functionality of borrowings with that of prefabs in the building industry, out of which an architect can set up an original building according to his own idea.

Dr. Āurišin does not characterize similarity as concisely as the other forms of “reception”. Similarity usually involves “an enrichment of customary procedures, a differentiation of form and genre, and an expression of a positive evaluative relation to the model”.²² Examples of such a relation in literary history are similarities with popular creation. For example, similarities were much employed by old Chinese literature.

There remains for us but to characterize adaptation. This is a type of literary coincidence encountered in translations of foreign literature. The translator is not concerned with preserving the properties of the original, but transforms them in terms of his own ideo-aesthetic conception.

Dr. Āurišin devotes considerable attention in his last studies to translation, because it represents an important form of mediation among various literatures.

4

While devoting considerable attention to genetic-contact relations, American comparative investigation seems to have overlooked what V. Zhirmunsky calls “a historico-typological comparison”, and Dr. Āurišin “typological affinities”. The theoretical efforts of American comparatists seem to have ended somewhere at the point at which it was noted that “influence” ceases and “originality” begins.²³ True,

²⁰ Ibid., p. 77.

²¹ Ibid., p. 81.

²² Ibid., p. 83.

²³ Weissstein, U.: op. cit., pp. 243–244.

analogies and parallels were spoken of (e.g. 'Parallelenjagd', in a pejorative sense), but these remained for the most part outside the scope of work of investigators in the field of comparative literature.

A study of comparative literature without an investigation of typological analogies or differences, is one-sided and incomplete. A study of typological affinities is far more difficult than that of the genetic-contact area. This is because typological affinities represent a far looser form, are not conditioned by any direct relation. Hence, in comparative studies they represent a harder nut than do genetic-contact relations.

According to Ďurišín, typological affinities are threefold: literary-genetic (or structural-genetic), socio-typological and those conditioned psychologically.

The first of these, literary-typological are specifically of a literary character. They are "a result of the laws of development, for example, of literary styles, movements, and ultimately, of the most detailed elements of a work of art."²⁴ These affinities are a valuable source for the theory of literature in almost its entire range. A literary-typological investigation embraces exclusively research in the field of literary movements, genres, types, character building, composition, plot, images, etc.

Socio-typological analogies and divergences are conditioned by a similar or a different socio-political development and ideological atmosphere. A relevant example for this analogy is supplied by literatures of the nations of the Soviet Union. And such were also literatures of the old Far East at the time prior to the advent of European impact. And such were also European literatures of the period of classicism or romanticism.

Dr. Ďurišín touches on the problem relating to psychological-typological affinities, but does not deal with it any further.

In general, he devotes less attention in his works to typological investigation than to genetic-contact studies. Here perhaps resides a drawback of Ďurišín's works and it would be advisable if in future he directed his efforts precisely towards these questions. However, the fact that he "places this topic on the agenda" with such insistence, is in itself a commendable and praiseworthy effort.²⁵

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The present reviewer sees a priority of Ďurišín's theory of comparative investiga-

²⁴ Ďurišín, D.: *Problémy literárnej komparatistiky*, p. 98.

²⁵ While this article was to press, a revised German translation of *Problémy literárnej komparatistiky* appeared under the title *Vergleichende Literaturwissenschaft*, Berlin, Akademie Verlag 1972, where new materials are added and some issues, e.g. that of influence, are treated in a different way.

tion in its solid, well-founded philosophical background, and in that it treats far more than other studies stimuli, and makes accessible efforts of comparative scholars from the socialist countries. It is less traditional than similar French and American theories, does not wish to be exclusive, or norm-forming, but always an open system that may always be supplemented, altered and improved.

BOOK REVIEWS

Henrik Birnbaum, *Problems of Typological and Genetic Linguistics Viewed in a Generative Framework*. The Hague, Mouton 1970. 132 pp.

The present book incorporates three independent papers dealing with various aspects of the comparative study of language. One of them (*Deep Structure and Typological Linguistics*, pp. 9—70) is published here for the first time, while the other two (*On Reconstruction and Prediction: Two Correlates of Diachrony in Genetic and Typological Linguistics*, pp. 71—91; *Internal Reconstruction, Order of Synchronic Rules in Generative Grammar, and the Problem of Early Balto-Slavic Relations*, pp. 92—122) have appeared in print before. This leads inevitably to a certain amount of duplication (cf. pp. 52—53 with pp. 82—83).

In his first and most important study, the author pays considerable attention to the role of the semantic component in the generative model of grammar. It is the semantic component that is assigned the central role in the new and modified model of generative grammar, while the syntactic component is reduced to a far more moderate position. It turns out that the dichotomy *deep structure—surface structure* requires a specification since there may be several deep structure levels in a language. Birnbaum distinguishes, somewhat arbitrarily, three such levels (pp. 25—30): *infrastructure* (deep structure of least depth), *typological deep structure*, and *profound structure*. The infrastructure involves a variety of traits specific to a particular language, being thus the least generalized of the three. The typological deep structure represents a set of features characteristic of a group of typologically related languages and is thus of the greatest relevance for linguistic typology. It is the profound structure that is truly universal and the most generalized. However, various languages differ not only in terms of their deep structure, but also as far as the transformational component is concerned. This fact should also be utilized for purposes of typology.

Birnbaum discusses the relation between genetic and typological relationship in several places (e.g. pp. 35—37). Unlike Hjelmslev, he believes that a typological approach can be considered legitimate even when applied to genetically related

languages (p. 41). However, this fact has been recognized before. The language type is defined as a language group sharing a significant number of structural features (p. 47).

In his second paper devoted to reconstruction and prediction, Birnbaum views the inquiry into the past and into the future as two main aspects of diachrony (p. 90). He sees a correlation between genetic linguistics, concerned primarily with reconstructing lost protolanguages and studying language relationship and divergence, and typological linguistics focusing on problems of language affinity and convergence areas and rendering possible prediction of future language developments (p. 90). It might be added that a valid reconstruction cannot be achieved without the aid of typology and that the predictive power of typology (into future) is negligible.

In the last paper (pp. 92—122), three basic types of reconstruction are distinguished: (1) comparative, based on a juxtaposition of both synchronic and diachronic data from two or more languages; (2) internal, based on synchronic data from only one language; and (3) external, based on extraneous linguistic elements (p. 97). Birnbaum uses Russian and Latvian data to illustrate the generally accepted assumption according to which the rules of synchronic descriptive grammar frequently mirror diachronic, primarily phonological changes which a language has earlier undergone (pp. 100—102).

Birnbaum's book raises a variety of problems involved in the comparative (genetic and typological) study of languages and this is the chief merit of his effort. However, his approach is not so markedly generative as might be indicated by the title of the publication.

Viktor Krupa

Wallace L. Chafe, *Meaning and the Structure of Language*. Chicago, The University of Chicago Press 1970. 2nd Impression 1971. 360 pp.

In recent decades, linguistic research has been dominated first by various types of structuralism and later by the rising tide of generative grammar. Although criticism could be heard from various corners, few interesting alternatives are available. However, the methodological development in the field of linguistics is notable for a growing awareness of the essential similarity of all the various languages of the world, as well as of the urgent need to pursue the study of semantic questions.

The present publication is the result of an attempt to provide an alternative to the transformational model of language. As Chafe puts it, his work "arises out of a deep and prolonged dissatisfactions which the author has felt with both past and present theories of the structure of language" (p. 1). A deeper understanding of Chafe's theory

of language might be aided by a survey of the moments that led him to reject both structuralism and transformational generative grammar. As a reaction to the formalism of structuralism, he regarded morpheme as a unit oriented wholly in the semantic direction. In the componential analysis of meaning he has found a tool enabling him to interpret morphemes as intersections of several semantic dimensions. Instead of stressing the infinite variability of languages, he prefers to focus attention on the essential and deep similarity of the various languages. Chafe also makes use of the distinction deep structure versus surface structure that was lately so current in the transformational generative grammar. At the same time, the deep structure is identified with semantics, which is not the case in the transformational generative grammar. The backbone of semantic structure in the sentence is formed by the verb in relation to nouns in its environment. The distinction old information versus new information is also of vital importance for Chafe's theory. In view of these and other moments, Chafe has decided to write a work that might "... provide a different and productive direction in which further investigation of language structure can proceed" (p. 11). A brief sketch of his model of language structure will be given below.

Language is defined as "... a system which mediates, in a highly complex way, between the universe of meaning and the universe of sound" (p. 15). Chafe stresses that language enables to transform configurations of meaning into sound and also to transform back the sound configurations into meaning. However, the path from semantic configurations to surface structures is rather complicated. Semantic configurations are subject to what Chafe terms postsemantic processes. The latter yield surface structure which, however, is different from surface structure in the transformational generative grammar. Then the surface structure is converted into a series of phonological configurations; as the outset there is a morphophonemic representation, and at the end a phonetic representation. Thus, Chafe rehabilitates the idea of morphophonemes and phonemes. To sum up, three kinds of processes are distinguished, i.e. (1) processes of formation by which a semantic structure is constructed at the outset, (2) processes of transformation by which a semantic structure is transformed into surface structure, (3) processes of symbolization by which surface structure is converted into phonetic representation (cf. p. 55). It is not yet clear to what extent the first type of processes lies within the scope of linguistics. It rather seems to lie at the intersection of brain physiology, psychology, and linguistics.

Although Chafe uses terms partly known from the transformational generative grammar (surface structure, transformation) and an analogous notation of rules, the similarities between the two models are rather superficial. While the transformationalists stressed the syntax, Chafe uses semantics as the true basis of an adequate language description. The transformationalists used to identify the surface structure with the phonetic representation, while Chafe inserts the symbolization processes

between these two since, according to him, the surface structure is just a linearized, distorted reflection of the (deep) semantic structure.

It is true that the early versions of the transformational generative grammar treated semantics as a sort of a refuse basket for everything that could not be included in the syntactic component, but it must be admitted that later development took place in the direction towards semantics and away from pure syntacticism. And Chafe's work might perhaps best be understood in this perspective.

Although Chafe has but formulated the elements of a coherent language model that needs further elaboration in many respects (e.g. the selectional categories of the verb, compound and complex sentences, formation processes), it shows nevertheless new directions in the linguistic research and as such deserves serious attention on the part of all linguists.

Viktor Krupa

E. Coseriu, *Die Geschichte der Sprachphilosophie von der Antike bis zur Gegenwart*. Eine Übersicht. Teil I. *Von der Antike bis Leibniz*. Romantisches Seminar der Universität Tübingen 1969. 162 S.

Es scheint, dass es schon lange Zeit für nicht ganz angemessen gehalten wird, über die sprachwissenschaftlichen Fragen in der Antike und im Mittelalter zu schreiben. Darum wirkt die Arbeit E. Coserius als eine angenehme Ausnahme. (Es geht eigentlich um eine autorisierte Version von Vorlesungen, gehalten durch E. Coseriu im Wintersemester 1968/69 an der Universität Tübingen.)

Man muss aber ausdrücklich sagen, dass es sich eher um die Vorarbeit für eine erschöpfende Publikation handelt. Die Orientierung E. Coserius auf rein philosophische Probleme der Sprachwissenschaft (und in diesem Zusammenhang die Weglassung methodischer und technischer Fragen der Sprachbeschreibung) ermöglicht, ein plastisches Bild über die Stellung einzelner klassischen und mittelalterlichen Autoren zu geben.

Bei dem gründlichen Studium dieser Autoren ist dem Verfasser vom grossen Nutzen seine hervorragende Kenntniss des Griechischen und Lateinischen. Die angeführten griechischen und lateinischen Stellen werden nämlich nicht nur übersetzt, sondern auch sehr scharfsinnig erörtert, sehr oft auch gegen bisherige Deutungen dieser Stellen. Es ist eigentlich ein typisches philologisches Verfahren, bei E. Coseriu durch Beherrschung von sprachwissenschaftlichen Theorien fundiert. Die vorgeführte Interpretation ist systematisch, mehrmals auch graphisch, schematisch dargestellt.

Ein grosser Verdienst Coserius ist, seine Bemühung zu zeigen, dass die alten

Sprachphilosophen überraschend grosse Aufmerksamkeit den Fragen der Semiotik, besonders aber den Problemen des sprachlichen Zeichens gewidmet haben. Es zeigt sich, dass schon bei Augustinus die grundlegenden Ideen einer umfassenden Theorie des sprachlichen Zeichens zu finden sind.

Es ist selbstverständlich, dass Coseriu seine Bemerkungen auch polemisch gegen einige moderne Theorien richtet, besonders aber gegen die Transformationsgrammatik. Man muss aber sagen, dass es unseres Erachtens nicht denkbar ist, ein Modell als einen Bestandteil der Tiefenstruktur zu halten, als es E. Coseriu (S. 87) macht. Besser wäre es zu behaupten, dass auch die Tiefenstruktur, beziehungsweise die Erscheinungen der Tiefenstruktur, irgendwie modelliert werden können. Ausserdem, wie es scheint, wird hier der Begriff Modell auf eine graphische Darstellung von Beziehungen eingeschränkt. Es ist auch schwer zu begreifen, wie es eigentlich möglich ist, eine Präposition in die Tiefenstruktur, aber ihre semantischen Merkmale in die Oberflächenstruktur zu legen, wenn es genug bekannt ist, dass die Semantik im Allgemeinen in die Tiefenstruktur gehört.

In den einleitenden Paragraphen versucht E. Coseriu, den Begriff der Sprachphilosophie zu definieren und die Sprachphilosophie selbst als eine selbständige wissenschaftliche Disziplin zu konstituieren. Solche Stellungnahme müsste aber eine Trennung der Sprachphilosophie von der Sprachwissenschaft und auch von der Theorie der Sprachwissenschaft zur Folge haben. Man muss aber dazu bemerken, dass keine Wissenschaft eine Existenzbegründung hätte, wenn sie keine eigene theoretische (und auch philosophische) Fundierung hätte, oder sich um solche Fundierung bemühte. Diese Bemühungen bilden eben einen wichtigen Grund, der dazu führt, dass man solche Trennung der Sprachphilosophie von der Sprachtheorie nicht für notwendig halten kann.

Vom Standpunkt der Wissenschaftslehre aus, scheint auch die Einteilung der Wissenschaften in die Naturwissenschaften, Kulturwissenschaften und mathematische Wissenschaften als nicht ganz angemessen. Es gibt vernünftige Gründe für eine andere Dreiteilung der Wissenschaften, und zwar in die physikalischen, biologischen und sozialen Wissenschaften, die ein geschlossenes Weltbild darstellt, das durch die materielle Einheit der Welt fundiert ist.

Schliesslich scheint es uns bemerkenswert, dass E. Coseriu in der Liste von Autoren auch marxistische Philosophen einreicht, ohne aber ihre Ansichten in Bezug zu nehmen. Es fehlt hier das Buch von M. Cornforth, *Marxism and the Linguistic Philosophy* (1967).

Ján Horecký

New Horizons in Linguistics. Edited by John Lyons. Harmondsworth, Penguin Books Ltd. 1970. 367 pp.

In the second half of the 20th century linguistics has established itself as a mature scientific discipline with its own methodology and its own criteria of relevance. Linguists gradually cease to insist on the principle of autonomy as indispensable for linguistics and look for points of contact with other kindred disciplines. A growing interest in linguistics is apparent also among psychologists, philosophers, ethnologists and literary critics. Some scientists are of the opinion that the time is not far away when it will be possible to embody linguistic theory into the wider synthesis of science and philosophy. The primary aim of Lyons' book is to point to novel trends in contemporary linguistic research. Seventeen studies by various British, American and German linguists present a complex view of the state of research in the most important branches of general linguistics.

In the introductory study (*Introduction* pp. 7—28), J. Lyons deals mainly with the definition of linguistics, the origin and essence of language, and explains certain key terms current in modern linguistics.

D. B. Fry (*Speech Reception and Perception*, pp. 29—52) states that speech perception cannot be described from the purely acoustic aspect, for we are under the influence of a phonological system and our perception is affected by the process of language acquisition.

J. Laver (*The Production of Speech*, pp. 53—75) is concerned with the criticism of articular phonetics and underlines the more dynamic "parametric" approach which also takes into account nervous control systems capable of coordinating the complex movements of speech organs during speech production. Research into the functional aspects of nervous control systems involved in speech production belongs, according to Laver, into the sphere of "neurolinguistics".

Although phonemes are considered to be basic speech units, they are defined in several different ways. E. C. Fudge (*Phonology*, pp. 76—95) analyses and explains the issue in which various phonological schools are at variance and emphasizes the fact that phonology, similarly as syntax and semantics, has been significantly influenced by generative grammar.

P. H. Matthews (*Recent Development in Morphology*, pp. 96—114) constructs the theory of morphology within the framework of generative grammar, considering the following three aspects as being of importance: (1) What are the basic *units* of a morphological structure and what are their mutual relationships, (2) How are these units signaled or realized in the phonological structure of the sentence, (3) What criteria are used in a morphological analysis of language.

Generative syntax is dealt with in J. Lyons' study (*Generative Syntax*, pp. 115—139). In the first part the author presents a brief characteristic of the principles of

generative grammar for beginners, while in the second part he concentrates on the most recent works criticizing Chomsky's original model.

M. A. K. Halliday (*Language Structure and Language Function*, pp. 140—165) differentiates three grammatical relevant functions of language, viz. ideational, interpersonal and textual. The first refers to the cognitive signification or expressive content of sentence, the second to modality and the third to relationships of sentences in consistent texts and situations. Halliday's interpretation of the ideational component of grammatical structure shows numerous signs in common with Anderson's and Fillmore's comprehension of "depth" cases. It should perhaps be added that Halliday considers differentiation between competence and performance as unnecessary, and even harmful.

In recent years, generative grammar has led to an increased interest in semantics, with componential analysis being frequently employed in semantic works. M. Bierwisch (*Semantics*, pp. 166—184), too, makes use in his contribution of the decomposition of meaning into simpler components, although he also makes mention of another procedure which Carnap has called "meaningful postulates".

J. P. Thorn (*Generative Grammar and Stylistic Analysis*, pp. 185—197) endeavours to embody stylistics into the framework of generative grammar and refers most frequently to the terms "deep structure" and "selectional restrictions". He is of the opinion that many impressionistic terms, current in stylistics can be related to formal properties of language as described by generative grammar. A statement worth noting is that stylistic judgments refer for the most part to deep structure.

J. D. Fodor (*Formal Linguistics and Formal Logic*, pp. 198—214) deals with the interesting question—in what measure can deep structure of sentences be identified with their "logical form". Although not impossible in principle, nevertheless, this raises numerous problems in practice, for different logical systems assign different forms to sentences.

J. B. Pride (*Sociolinguistics*, pp. 287—301) goes out to stress that sociolinguistics is not an amalgamation of linguistics and sociology. He is concerned also with the antithesis between a sociolinguistic and a psycholinguistic approach to language. These two approaches are not mutually exclusive and only the future will show whether generative grammar is capable of explaining linguistic competence in its full range.

P. Kiparsky (*Historical Linguistics*, pp. 302—315) points to a possibility of conciliating synchrony with diachrony, two apparently opposite approaches in the theory of generative grammar. He confines himself in the first place to "sound change" and "analogy" and explains how they can be formulated in terms of generative grammar.

J. Lyons included in the collection also studies devoted to machine translation (M. F. Bott: *Computational Linguistics*, pp. 215—228), animal and human communication (J. C. Marshall: *The Biology of Communication in Man and Animals*,

pp. 229—241), to the process of language acquisition (E. Campbell—R. Wales: *The Study of Language Acquisition*, pp. 242—260), perception of sentences (P. N. Johnson-Laird: *The Perception and Memory of Sentences*, pp. 261—270) and verbal associations (H. H. Clark: *Word Associations and Linguistic Theory*, pp. 271—286).

The book is conveniently supplemented with a glossary of linguistic terms (pp. 316 to 328), a relatively comprehensive bibliography (pp. 329—358), an author index (pp. 359—362) and a subject index (pp. 363—367).

Viktor Krupa

Ernesto Zierer, *The Theory of Graphs in Linguistics*. The Hague, Mouton 1970. 62 pp.

The theory of graphs, or at least its elements, is being more and more frequently applied to language description. The theory of graphs in general has been discussed, e.g., by N. Chomsky and G. Miller and by S. Marcus; on the other hand, J. Horecký has applied it to the morpheme structure of Slovak and L. Hřebíček to his description of Turkish grammar.

However, few attempts have been undertaken to give an exhaustive treatment of the theory of graphs to linguists. Zierer's book is one of the first such attempts.

The theory of graphs stands close to the set theory and to matrices. Its special value to linguistics consists in the simplicity of representation. Since a graph comprises two types of units (vertices and edges), it suits well the conception of linguistic system as consisting of inventory and structure. The set of vertices of a graph may represent a set of language units (= inventory), while the set of edges linking the vertices represents a set of relations (= structure) holding among the units. The theory of graphs is extremely helpful also when grammar is conceived of as a set of rules.

Zierer has divided his book into several sections titled *Basic Concepts* (pp. 9—16), *The Theory of Graphs and Set Theory* (pp. 17—34), *Graphs and Matrices* (pp. 34—39), *More Concepts with Respect to Graphs* (pp. 40—48), and *More Examples of the Application of the Theory of Graphs in Linguistics* (pp. 49—60). A short *Bibliography* (pp. 61—62) complements the volume.

Viktor Krupa

Countries and Peoples of the Pacific Basin. Summaries of Articles by Soviet Scholars. For the XII International Congress of the Pacific Science Association

(Canberra, August 1971). Compiled and edited by Y. V. Maretin. Moscow, Nauka Publishing House. Central Department of Oriental Literature 1971. 151 pp.

The present booklet is in fact a collection of extended English summaries of articles that are to be published in Russian in extenso in a special volume. The contributions have been written by members of both the Oriental Commission of the Geographical Society and the N. N. Miklukho-Maklai Institute of Ethnography of the U.S.S.R. Academy of Sciences—the Soviet centres engaged in the study of the Pacific area.

The subjects discussed cover almost the entire Pacific basin (naturally, with the exception of Central and South America). Particular papers are devoted to the northern part of the Pacific basin (East Siberia, the Aleutian Islands, Sakhalin), its central and southern parts (China, Japan, the Philippines, Indonesia, Brunei, Malaya, Cambodia), and various parts of Oceania. A good deal of attention is also paid to problems common to the whole area.

The book under review discusses four basic problems: (1) Pacific ethno-cultural ties (e.g. G. A. Menovshchikov, *A Similar Folklore Plot of the Eskimos, Yukaghirs, Japanese and Vietnamese*; R. F. Its, *The Yüeh and the Ethnic History of the Malayo-Polynesians*; A. M. Roshetov, *The Ethnic Adaptation of the Chinese in Oceania*), (2) questions of social organization (e.g. Y. V. Ionova, *Some Problems of the Social History of Ancient Korea*; D. I. Tikhonov, *Features of the Social Organisation of the Mountain Peoples of Luzon Island*; S. A. Maretina, *The Long-House of the Dayaks of Kalimantan As a Social Institution*), (3) questions of contemporary ethnic and national development and culture (e.g. Ch. M. Taxami, *Festivals of the Native Peoples of Sakhalin*; Y. V. Maretin, *On the National and Ethnic Development of Indonesia Today*; I. G. Kosikov, *The Role of Education in Shaping a Cambodian National-Political Unity*), and (4) the history of geographic and ethnographic investigation in the area (e.g. E. V. Revunenkov, *Historico-Geographic and Ethnographic Themes in the Medieval Malay History "Sejarah Melayu"*; B. A. Valskaya, *Unpublished Material on Miklukho-Maklai's Voyage to New Guinea in 1871 and the Sailing of the "Skobelev" in 1833*; I. K. Fedorova, *Folklore Didactic Texts from Easter Island*).

The booklet is helpful as an information for scholars engaged in the study of problems of the Pacific. It is useful that its summaries are not only mere extracts of the papers, but some of them have been prepared specially for this issue. All summaries supply the reader with a good idea of the contents of the main papers.

Jozef Genzor

Okeaniya. Spravochnik (Oceania. A Survey). Moscow, Nauka Publishing House 1971. 300 pp.

The reviewed book has been written by a group of research workers of the Oriental Institute of the U.S.S.R. Academy of Sciences, Institute of Ethnography of the U.S.S.R. Academy of Sciences and M. V. Lomonosov Moscow State University. It covers the whole territory of Oceania, except for New Zealand, because of its special historical, political, and economic development. The same group of research workers intends to prepare a survey devoted exclusively to New Zealand.

The book is divided into four parts. Part I—*General Survey* (pp. 5—114) deals with physico-geographical characteristics, useful minerals, climate, inland waters, soils, flora, fauna, population, languages, religion, and the history of colonial division of Oceania.

Parts II—IV are devoted to separate regions of the area under discussion. Thus Part II deals with *Melanesia* (pp. 115—215), Part III with *Micronesia* (pp. 216—243), and Part IV with *Polynesia* (pp. 244—298).

As to the deficiencies of the book, the reviewer believes, that religion is treated in a somewhat simplified manner; data about the population of Oceania are a little obsolete. Unfortunately, there are no maps and registers which are indispensable for a book of this kind. As far as Magellan is concerned, he was not a Spanish navigator (p. 216) but a Portuguese in the Spanish services and he arrived in the Micronesian area not in 1519 but in 1521. Despite these and some other minor deficiencies the publication is a useful and informative handbook on Oceania.

Jozef Genzor

Samuel H. Elbert, *Spoken Hawaiian*. Honolulu, University of Hawaii Press 1970. 252 pp.

Samuel H. Elbert is notable not only for his linguistic activities in the field of Polynesian studies, but also as an author of several remarkable textbooks of Hawaiian. The present publication is based upon two decades of his experience in teaching Hawaiian. The author pursues two objectives with his book: To present the principal conversational and grammatical patterns, and to enable the student to read the rich Hawaiian traditional literature in the vernacular language.

The author reminds the readers of the fact that the Hawaiian language is not dead and it will not be so for many years to come. The textbook consists of sixty-eight lessons. Most of them include conversational materials that are to be memorized, besides grammatical explanations. New lexical items are not entered

at the end of the lessons but are expected to be learnt by the students in their linguistic context. The vocabulary used in the textbook has been limited to some eight hundred frequently occurring words because the author is of the right opinion that the student should first master all the various sentence patterns of a language. Memorizing new lexical items is of secondary importance only. In addition to conversations, there are quite a few traditional texts (stories, songs, and chants). The volume is also furnished with a Hawaiian-English and an English-Hawaiian vocabulary (pp. 221—245), with a selected bibliography (pp. 247—248) and with three indices (pp. 249—252). The textbook is an excellent piece of work, suitable both for autodidacts and for the classroom.

Viktor Krupa

Albert J. Schutz, *The Languages of Fiji*. Oxford, Clarendon Press—Oxford University Press 1972. 120 pp.

Right at the beginning it ought to be stressed that the title of the present book is somewhat misleading. Schutz does not deal with all the languages spoken in Fiji nowadays. He is interested neither in the languages of Indian immigrants, nor in Rotuman or other Oceanic languages spoken by small groups of recent settlers. The book is devoted to the Fijian language, to be more precise, to its history. Schutz traces the description of Fijian from 1809 to the present. To quote the author, "the present study is a discussion of the extent to which the languages of Fiji fit that classical mould, and the assorted reactions of a series of linguists to the features that did not fit" (p. 2). The Fijian language posed quite a few unexpected problems, both in phonology and in grammar. It took over a century to solve them in a satisfactory manner. One of the first problems that have been solved as early as the last century is the Fijian orthography. This writing system is based on phonological principle and suits the language very well.

In addition to historical problems, Schutz discusses also normative questions and the language diversity.

The publication is supplemented with an extensive bibliography including both manuscripts and printed works (pp. 110—115), an index (pp. 117—120), several illustrations and maps. Schutz's book is a welcome contribution to the study of Fijian, one of the most important languages of Oceania.

Jozef Genzor

Stuart A. Schlegel, *Tiruray-English Lexicon*. Berkeley—Los Angeles—London, University of California Press 1971. 294 pp.

Tiruray, one of the so-called minor languages of the Philippines, is spoken by 26,344 speakers (according to the 1960 census) in the Cotabato province of Mindanao.

The first Tiruray-European and European-Tiruray dictionaries appeared at the end of the nineteenth century when the Spanish succeeded in penetrating into the Tiruray area. But Spanish presence was relatively short-lived, and significant outside influences became evident only with the Americans' arrival and their occupation of the Islands at the beginning of the twentieth century.

Most isolated Tiruray speakers are monolingual. As far as others are concerned, many men and some women have a little knowledge of Maguindanao, used for trade purposes; most acculturated people in the northern section have learned Tagalog, and many have mastered English as well.

The author lived among Tiruray from 1960 to 1963, but he recorded most of the data during 1966—67, when he conducted field research of the traditional Tiruray legal system.

As for phonology, Tiruray is notable for three interesting anomalies that are unknown within the Austronesian area: (1) a six-vowel system, (2) no voiceless bilabial stop, and (3) an inherent bilabial fricative. A phonological sketch of Tiruray is given in the *Phonetic Key* (pp. 6—8) based on the analysis by Ursula Post (*The Phonology of Tiruray*, Philippine Journal of Science 95 : 563—575, 1966).

The greater part of the book is devoted to *Tiruray-English dictionary* (pp. 15 to 216) which contains over 6,000 entries. Loan words are indicated where known. There is also an *English-Tiruray Word Finder* (pp. 216—290). An *Appendix* contains Tiruray personal and place names.

Jozef Genzor

Yazyki Kitaya i Yugo-vostochnoi Azii. Problemy sintaksisa (Languages of China and Southeast Asia. Problems of Their Syntax). Moscow, Nauka Publishing House 1971. 298 pp.

This volume contains papers by Soviet linguists engaged in the study of the languages of Southeast Asia and China. It consists of three main sections, i.e. *Phrases* (pp. 13—148), *Simple Sentence* (pp. 149—258), and *Complex Sentence* (pp. 259—298).

A considerable part of the present publication is devoted to the study of what

is usually termed phrase. The verbal phrase is described by Y. A. Gorgoniev, I. M. Tagunova, and S. V. Kologrivova. Y. Kh. Sirk and V. D. Mazo discuss the nominal phrase. The questions of classification of auxiliary elements within the phrase are dealt with by I. S. Bystrov who uses the transformational approach to Vietnamese language data. S. B. Yankiver has devoted his paper to the ever interesting problem of homonymy and polysemy in Chinese. L. N. Demidyuk analyses various types of reduplication that plays an important part not only in Indonesian but also in other Austronesian languages.

The second part of the book includes contributions devoted to the description of various types of sentences. Most papers (N. V. Solntseva, N. I. Tyapkina, S. Y. Yakhontov) discuss the problems of simple sentence in Chinese. N. F. Alieva deals with the segmentation of sentence in the Indonesian language.

The compound and complex sentences have, naturally, attracted far less attention so far and only some fourty pages are devoted to them in the present publication. L. N. Morev has sketched a preliminary classification of complex sentences in Thai and Lao while V. I. Gorelov treats the peculiarities of hypotaxis and use of relative elements in Chinese. The last paper by I. E. Aleshina discusses some problems of complex sentences in Vietnamese.

This interesting collection of papers can be recommended to all scholars engaged in the study of Burmese, Vietnamese, Indonesian, Khmer, Tagalog, Thai, Chinese, etc., as well as to linguists engaged in the typological and comparative study of languages in general.

Viktor Krupa

N. I. Nikulin, *Vietnamskaya literatura. Kratkii ocherk* (Vietnamese Literature. Brief Sketch). Moscow, Nauka Publishing House 1971. 343 pp.

N. I. Nikulin's book appeared in the well-known series "Literatura Vostoka", edited by L. Z. Eydlin. In a brief preface the editorial council writes that these traits about Vietnamese literature are destined for a wide circle of scholars who are not experts in this literature and for further pedagogues, philosophers and historians and others interested in the subject. But the very fact that this is the first attempt in Soviet—and one of the first significant attempts in European literary science to present a picture of the development of the relatively little known Vietnamese literature as a whole, should be positively appreciated even among experts. N. I. Nikulin's work is comprehensive and betrays a richness of original material scanned and studied, in the processing of which the author succinctly and logically makes use of the evolutionary principle of assessing literature as part of the ideology in the socio-political status of society. In this sense N. I. Nikulin shows himself to

be more consistent than M. Durand in his study *Introduction à la Littérature Vietnamiennne*, even though the latter had been written with a different end in view and consequently cannot be evaluated from the sole aspect of comparison.

N. I. Nikulin's book comprises six basic chapters, subdivided further into several minor independent thematic entities, bibliography, author and subject index and a list of titles of literary works and various periodical publications.

In the first chapter *Ancient Popular Poetry* the author is concerned with the "Dong-son culture" (5th-2nd century B.C.) and totemism in the cultural traditions of the Kinh clan. He points out similarities between this culture and the material cultures of the highland national minorities of Vietnam (linguistically they belong to the Mon-Khmer and Indonesian group). In my view, this fact may also be considered as one of the arguments in favour of the primacy and originality of the "Dong-son culture", for even though this culture acquired certain signs of Chinese culture in the first half of the 1st century A. D. (during the Ma Vien period), it had been an original Vietnamese culture before the arrival of the Chinese. N. I. Nikulin presents numerous legends from the *Collection of Miracles and Secrets of the Viet Country* (Linh-nam trich quai, 2nd-1st millennium B.C.), that are thematically similar to those of the Sedan, Ede, etc. nationalities.

In the second chapter *Literature of the Middle Ages*, the author points to the unsolved problem, that is, whether the Vietnamese had had their own writing before the coming of the Chinese, for their first written records date back to the 10th century only. In the early Middle Ages the Vietnamese culture absorbed important elements which influenced in a large measure its subsequent development: in the 6th century a Buddhist sect spread in the Viet State of Giao-chau (from the Chinese school of Ch'an, Japanese Zen), towards the end of the 9th century Confucian teaching appears in Vietnam, the Medieval Chinese language Ven-yan begins to be used, Confucian temples are built, a system of State examination is introduced, artistic poetry draws on Chinese poetry of the T'ang period (7th—10th cent.), epigraphics develop in Buddhist temples together with instructive poetry, and finally, the influence of India penetrates there through the intermediary of Champa (Ramayana).

N. I. Nikulin divides Vietnamese literature of the medieval type into Confucian, Taoist and Buddhist in connection with local cults. A characteristic development was that of the rhythmic prose *fu* usually ending with a poem in the Ven-yan language. The second half of the 14th century witnesses a strengthening of Confucian tendencies and socio-utopian ideas in Vietnamese literature (Nguyen Trai). During the "golden age" of medieval Vietnam, in the reign of Le Thanh Tong (1440—1497), poetry and prose achieved great progress, though the output of the latter was small. It consisted principally of chronicles written either according to the model of Chinese historiography, or according to folklore. Here belong also the origins of the narrative prose (Ly Te Xuyen).

Nikulin calls the 17th century "a century of rhythmic prose". In connection with the origin of Vietnamese national poems, he cites Riffin's view according to which poems document the difference between Vietnamese on the one hand, and Chinese and Japanese on the other, (the latter wrote at that time only short poetic forms) and bring the Vietnamese closer to the remaining nations of South-East Asia (Thai, Khmer, Lao, etc.). This period also marks the birth of classical musical drama *tuong* (Dao Duy Tu), and in the lower peasant strata, a popular musical theatre *cheo* similar to the Japanese medieval farce *kyōgen*, or the Chinese comic pieces *ch'ou*.

Contact taking with European culture (Alexandre de Rhodes) proved at that time to have, according to Nikulin, a one-sided character and failed to disturb the existence of the traditional cultural reservedness.

The third chapter *Literature in Modern Times* is subdivided into four parts: the 18th and first half of the 19th centuries, the second half of the 19th century, the turn of the present century, and Vietnamese folklore. The 18th century was a time of incessant uprisings (the largest being that of Tay-son), and a period when Confucian scholars in their Enlightening resolutions based their criticism of the social order on positions of Confucian ideals. The scholastic method (Phan Huy Chu) began to be cautiously ushered in together with a lively interest in European science associated with attempts at its synthesis with Confucian dogmas (Le Qui Don). In literature, an orientation towards man's individuality comes to the foreground, his destiny, feelings and yearnings. To these endeavours there corresponds, in the area of genre, the epic poem (*truyen*) and lyric poem (*ngam*), in close association with the popular song. Interest in family themes, the position of the woman and the topic of social environment generally becomes stronger. A characteristic feature of these works is their lack of a positive ideal (they usually carry a happy-end, or some inevitable cliché). Besides artistic poems, poems were written on the basis of folklore (*Thach San*) or on topics from Chinese literature (The Plum-tree Blossoms Twice—*Nhi do mai*).

Nikulin calls the first half of the 19th century a "period of Confucian Reaction", whose intention was to reinstate the authority of Confucian ethical principles. On the other hand, however, a reformation movement begins to appear as the harbinger of a new era in the history of Vietnamese literature (Cao Ba Quat). This movement became fully unfolded in the second half of the 19th century and was oriented to a criticism of Confucian scholastics and a taking-over of values from European culture (Truong Vinh Ky). A general trend is felt towards a democratization of literature and a return to rhythmic prose. A differentiation in literature takes place, determined by a socio-political attitude of the writers and their relation towards colonizers and the liberating movement. Naturally, in view of the complexity of the situation, a renaissance of Confucianism in antithesis to Christianity also finds a place in this dynamic reality. A proof to the intricate

nature of the issues of the period is the appearance of satirical poetry (Nguyen Khuyen) as a reaction to the national subjugation of Vietnam, but also of the poetry of the "Epicureans" with a cult of amusement, lack of interest in, indifference to the social present, with individualistic tendencies.

N. I. Nikulin characterizes the beginning of the 20th century as "the road of civilization" which the Vietnamese bearers of Enlightenment set themselves. They were primarily concerned with a strengthening of the State, modernization of the army, promoting national consciousness and achieving national independence. Their endeavour had an all-national character. They took as their starting point the works of French Enlighteners—Descartes, Montesquieu, Voltaire. The first journals began to appear (*Dong duong tap chi*—Indochina Journal, *Nam Phong*—Southern Wind), which carried translations of Western (mainly French) literature (e.g. Hugo, Balzac, Molière, Dumas-père, La Fontaine), but partly also of Chinese classics. Who these are, Nikulin does not say. Poetry still predominated in literature and its principal topics were patriotism and a new ideal of educated man in the European style. A particular place in the literature of this period is taken up by the works of Phan Boi Chau and Phan Chu Trinh, outstanding figures in the national-liberating movement, but also the first work of the new prose from Tan Da (*Giac mong con*—A Little Dream), betraying the influence of European Utopians. As regards the penetration of European literature into Vietnam at this period, even though reading of French literature (particularly among the young) spread rapidly, we can only agree with N. I. Nikulin when he writes that "Vietnamese literature at the beginning of our century was more influenced by the social, scientific and philosophical thinking of the West, than by its art". Perhaps one of the factors acting in this sense was that, in the field of art, Vietnamese classical literature found less points of contacts with European classical literature, than was the case in the field of philosophy and thinking.

The fourth chapter *Literature of the More Recent Times* comprises roughly the period from the end of World War I, until the year 1945, hence a period during which modern Vietnamese literature was born and took shape. The "truyen" genre and poem die out and the most characteristic feature of literature is the rapid development of prose. The first Vietnamese prose works of Pham Duy Ton betray the influence of the French realist novel of the 19th century (Daudet, Maupassant); while Nguyen Ba Hoc's prose shows a great inclination towards moralizing and instructive pronouncements. The first attempts at spoken drama (plays) were full of an idealization of Vietnamese patriarchal life (Vu Dinh Long, Nam Xuong). Popular musical plays *cheo* were reformed (Nguyen Dinh Nghi) and classical aristocratic opera *tuong* experienced a severe crisis.

In 1925 the first novel of Vietnamese literature appeared, *To Tam*, by Hoang Ngoc Phach, who is considered as the founder of romanticism in Vietnamese literature: but, as Nikulin states, it should be kept in mind that the term "ro-

manticism" in Vietnamese literature does not correspond to the romantic movement in European literatures. In the twenties the leading genres in prose and dramaturgy became stabilized, while in poetry this was achieved some years later (Tan Da, To Huu).

In legal literature of the period 1930—1945 there existed roughly two opposite attitudes which may be characterized in the most general traits as romantic and realistic movement. Adherents of the former were grouped in the association *Tu luc van doan* (By Our Own Strength), their conception embodied idealistic patriotism, social reformism, poeticizing of life, subjectivism and a hyperbolic approach to the problem of Europeanization. There was no adequate literary association of writers-realists, and their works were often published and rewarded by the association of romanticists (e.g. the novel *Bi vo*—Pickpocket by Nguyen Hong). This again testifies to the complexity of Vietnamese literary life of that period, when different elements of romantic and realistic tendencies interacted and overlapped.

In addition, N. I. Nikulin refers in this chapter to the polemics between the group of critics sharing Marxist views, with Hai Trieu at their head, and adherents of the bourgeois-idealistic thesis of "pure art", headed by Le Trang Kieu. Here, the author writes in detail about the influence of Russian and Soviet literature (Dostoevsky, Chekhov, Gorky), mentions also the influence of Chinese literature (Lu Hsün, Tsao Yü), but investigates relatively little the influence of French prose on Vietnamese prosaic creation of the thirties (e.g. E. Zola and others), although in our view this involves, if not a dominant then one of the most important influences.

Nikulin characterizes the poetry of the beginning of the thirties by considerable qualitative and formal changes which took place under the influence of French romanticists (Lamartine, de Vigny), and the "Parnassians" (Baudelaire, Verlaine). This involved the movement of "The New Poetry" (*Tho moi*) which stood up against the canons of Vietnamese classical prosody. It was predominantly lyrical poetry with an enormous range of feelings and an ability to express individualism. Later, the movement "The New Poetry" reached some sort of "a powerless self-realization", an inert view on reality, egocentricism and subjectivistic psychoanalysis. Nikulin writes: "The New Poetry solved the question of relationship between society and personality so that personality eclipsed the whole world". The causes of this phenomenon were complex, but they may possibly have ensued from an inadequate understanding of the poet as a creative subject by the critique and the milieu that surrounded him. In a wider context, probably the consequences became manifest here of the deep-rooted and extensive problem of apprehending personality and society in Vietnamese thinking and philosophy. The hierarchy of the "common" over the "individual" had its justification here, gnoseologically emanating from a material base (irrigation system) and conditioning the very existence of society in which the role of the individual was considerably reduced.

Nikulin characterizes the development of drama at this time as slow, with an absence of original dramatic production (for the most part topics from popular prose were taken over). The *tuong* plays were parodies of sentimental-bourgeois plays and the popular plays *cheo* were on the decline (there was no interest in them).

The entire fifth chapter *Literature of Democratic Republic of Vietnam* presents a wide and colourful picture of the development of literature following liberation. Characteristic traits of this new literature are a social engagement and a search for new forms of artistic expression. At the time of the August revolution and immediately after, the first post in the literary life was occupied by poetry, reacting to all the changes and turns in social life. The influences of Soviet post-October poetry are manifest here (mainly Mayakovsky). In connection with the political-economic changes, a socio-ideological aspect begins to predominate in literature, but this carries with it also concomitant negative features, such as unilinearity and primitivity of images, schematism, oversimplification of issues, tendency towards documentation with a reappearance of novel inevitable socio-political clichés which contrast with reality (e.g. in the novel *Mua chiêm*—Spring Crop, by Dao Vu).

In general it may be said that in the literature of this period poetry stands at a higher artistic level than prose and even the works of pre-revolution realists show a lack of richness of artistic expression proper to them.

A noteworthy and interesting chapter is the last one *On the Literary Life of South Vietnam* which N. I. Nikulin has divided into two parts: Literature in the Occupied Towns, by which is meant the legal literature of the Saigon régime, and The Young Literature of the Republic of South Vietnam. Both these headings make it clear that contemporary writings are meant in the two cases. The former is characterized by its being affected by Western literature (e.g. Remarque-like motifs in Van Quang's novel, *Chan troi tim*—Violet Horizon), existentialistic ideas on the absurdity of being (the novel *Vong tay hoc tro*—In the Embrace of One's Pupil, by the authoress Nguyen Thi Hoang), psychologically extreme individualism and often even a weakly disguised Hollywood standard in the compositional structure of the work (Van Quang's novel *Nguoi yeu cua linh*—Soldier's Sweetheart). Frequent topics of the other part of South Vietnamese literature are national heroism Phan Tu's novel *Gia dinh ma Bay*—Mother Bay's Family), love of one's country (Anh Duc's novel *Hon dat*—Holy Cave), maternal devotion, while civic lyricism predominates in poetry.

As has been stated earlier, N. I. Nikulin wrote for a wide range of readers and he probably subordinated his thematic content to them. However, as regards the development of more recent Vietnamese literature, it is known to have proceeded amidst complex polemics and discussions. The book under review speaks of only one of them—that between Hai Trieu and Le Trang Kieu. In my view, however, not even a work of this type should completely side-step such weighty factors as was, for instance, in the first half of the thirties the polemics between Pham

Quynh and Huynh Thuc Khang about the well-known epos Kieu, or in the second half of the fifties the problem of the literary group Nhan Van Giai pham (Phan Khoi, Truong Tu, Lan Khai, etc.).

Finally, to enable the reader (mainly a non-sinologist who is not familiarized with Russian transcription of Chinese) to find his bearings in the references to Chinese sources, it would have been helpful if they had been secondarily entered in Chinese characters.

N. I. Nikulin's book is written in a pithy, vigorous and clear style, with an ease of expression and a sense for the logic of development. It is a work of a solid professional and scientific standard, which a layman will read with interest, and to which the professional will return again and again.

Ján Múčka

Marianne Bastid, *Aspects de la réforme de l'enseignement en Chine au début du 20^e siècle* (Aspects of the Education Reform in China at the Beginning of the 20th Century). Paris—La Haye, Mouton 1971. 321 pp.

Marianne Bastid's book complements the works by Wolfgang Franke, *The Reform and Abolition of the Traditional Chinese Examination System*, and by Samuel C. Chu, *Reformer in Modern China: Chang Chien 1853—1926*. It is an extension, in particular of the latter, which it supplements in some very important points. As a matter of fact, Madame Bastid was able to make use of materials inaccessible to Mr. Chu.

Chang Chien occupies a very firm position in the economic history of modern China. The same applies also to what is at present called intellectual history. His domain was in the educational area. The book under review takes note mainly of the latter aspect of his activity. He thus enriches our knowledge from this field to which European sinologists have not devoted adequate attention so far.

The book proper is made up of two parts. The first is an extended introduction (pp. 7—102), analysing pedagogical and kindred problems from the years 1900—1911, that is, at the time of the Boxer Rising and the founding of the Chinese republic. It shows the development in the educational policy of China, from the time when the highest Chinese authorities began to realize the necessity of training talented people, for they were needed for State management, and no such task was possible without new schools. The year 1912 is decisive in this respect, for a republican school system was then successfully substituted for the one 'fundamentally different' that had been in vigour under the imperial system.

The principal contribution of this book is in its translations from Chang Chien's writings, representing his petitions, letters and essays relating to various pedagogical

issues. To each translation is appended a facsimile of the Chinese text which will be especially appreciated by students, or by those who wish to check on the translations.

An index, an extensive list of references and glossaries are provided.

The book reviewed here may be of great help to those who intend to follow up more closely the pedagogical problems of China—as a research-guide, eventually as one of the models of the way they can be dealt with.

Marián Gálik

Anna Doležalová, *Yü Ta-fu: Specific Traits of his Literary Creation*. Bratislava, Publishing House of the Slovak Academy of Sciences; London, C. Hurst and Company; New York, Paragon Book Reprint Corporation 1971. 238 pp.

This book by Dr. A. Doležalová, produced under the auspices of the Slovak Academy of Sciences, is the first comprehensive study of the modern Chinese writer Yü Ta-fu to appear; the fact that it is published simultaneously in Britain and the U.S.A. underlines its importance. Dr. Doležalová has analysed the work of Yü Ta-fu from three angles: I. *Various Methods of Self-Expression in Yü Ta-fu's Artistic Prose Works* (pp. 12—75); II. *Certain Specific Qualities of Yü Ta-fu's Creative Method* (pp. 76—103); III. *Yü Ta-fu's Theoretical Views and Literary Creation* (pp. 104—134); a detailed life of the author in chronological order follows as a *Supplement* (pp. 135—205), with an Index of names and titles in Chinese characters and in transcription (pp. 207—227), Notes on the text (pp. 229—235) and a *List of Literature Quoted in the Work* (pp. 236—237) are appended.

This can indeed be described as an exhaustive study, presenting the author's personality in all its aspects and full range. The analysis is supported by numerous quotations, allowing us to reassess their values and at the same time to see right into the author's creative method and into the specific situation obtaining in the modernization process within Chinese literature—a process in which Yü Ta-fu played a leading role. During this time Chinese literature began to free itself from the traditional aesthetic norms, and under the influence of trends in Western thought and literature strove for emancipation both in subject and in form. The process was beset with conflicts, for the whole complex of scientific, philosophical and artistic theories which had developed gradually in the West in a logical sequence, impinged suddenly and all at once on China, which had not been adequately prepared for such an impact. The whole situation was more difficult because in China traditional thought and literature were exceptionally deeply rooted, having been vital for almost two thousand years, and had achieved works of the highest value. When we remember that the change-over to modern ways of

thought was compressed into a relatively very short period of time in China (practically from the last years of the 19th century), while works of great literary value were already appearing in the twenties of this century, the outstanding talent of the writers concerned cannot fail to impress us. One of these was Yü Ta-fu.

It is by no means easy to assess objectively the work of a writer who was influenced by so varied and disparate trends; to make it more difficult, Yü Ta-fu was in many ways unique among his contemporaries. Whereas the majority writers of this time saw the didactic function of literature in terms of a scientific scrutiny of reality in order to "depict life as objectively as possible", Yü Ta-fu chose a very different approach. He tried to depict the problems of the day by turning in upon his own soul, analysing his own mind, and "giving a truthful picture of life" through this reflective confession of personal experience. For "it is the expression of individuality, which is the most precious quality in the work", as he said (cf. p. 108). It is clear that of all the European influences on Yü Ta-fu, Romanticism was the strongest, stressing as it did the emancipation of the individual, the freedom of the artist and his personal responsibility to art, and truth in art as a purely subjective matter, dependent only on personal experience, the only reality. In this sense Yü Ta-fu could also draw on his native tradition, whose canons of art declared that only what is experienced is real and therefore truthful in art, "full"; all that is invented, fictive, is "empty" and has no place in real literature (cf. p. 108 et al.). He could find direct models in Japanese literature, in the "watakushi-shôsetsu" (cf. pp. 132, 133), in pessimistic confessions where the writer reveals his soul in order "to give a truthful account of his authentic experience and events in his life". Naturally Yü Ta-fu drew only on those principles which suited him, adapting or deforming them according to his own needs and intentions (cf. p. 117 et al.).

All these features can be traced in the author's first work, a volume of stories entitled *Sinking*, which also expresses the essence of the literary creed to which he held throughout his life as a writer. It also reflects his uncertainty about how best to combine the theoretical advance and the demands of the time with his own subjective method of self-expression. The method is often naive and forced, e.g. the conclusion of the story *Sinking* shows the hero after a night in a brothel mingling self-reproach for his sins with sorrowful meditation on his unhappy humiliated country "which causes so much suffering to its children" (viz p. 13). In later stories, too, surrealist verism is mingled with a morbid masochism, self-destruction, sentimental trivial pathos and philanthropical considerations of helpless human suffering, social oppression and other injustices of this world. The author's uncompromising candour, neither glossing over, nor idealizing, but endeavouring to reveal himself completely, to stand by his version whatever the cost, called for considerable courage, especially in the conservative atmosphere of China,

weighed down as it was with prejudices. It is this outspokenness, almost provocative, that not only reveals his refusal to conform, his revolt against the conventions, but also ranges him in the modern progressive trend which declared there were no "forbidden subject" in art and literature: the material on which art drew must be life in all its complexity, its beauty and its ugliness, and therefore even subjects previously regarded as taboo must be allowed their place in literature. Unlike the classical Chinese subjective writers, who dealt only with noble and elevating experiences projected on to an impersonal plane, Yü Ta-fu puts himself in the dock, revealing his negative experiences, extremely intimate, unsavoury, and according to the traditional code of behaviour inadmissible.

Dr. Doležalová has borne all these aspects in mind in her analysis of Yü Ta-fu's work. The first part of her study deals principally with the degree of autobiographical fact in the different works, how far they are based on actual events in his life and to what extent they serve only as the starting-point for fictional episodes. She traces the role of the hero and the extent to which the author identifies with him, the function of the other characters, etc. She analyses the author's methods in different stories and shows that fundamentally he is always concerned with "self-expression" (cf. pp. 80 et al.). Even his fictional heroes remain close to the author himself communicating his personal experience to the reader and often introducing authentic incidents from his life. Yü Ta-fu handles his real-life material very freely, transposing it in time and space, and interspersing in with fictional material. This leads Dr. Doležalová to the conclusion that his work is not autobiographical in the true sense of the word; he does not intend to give a consistent account of his life although his personal experience forms the nucleus of his work. It serves merely as raw material, subordinated to the author's purpose and to the structure of the work in question. The same is true of his of the "Ich Form"; it is not tied to the autobiographical element; on the contrary, it is used often in fictional episodes in order to give them a greater appearance of authenticity.

Part Two is devoted to a detailed analysis of the literary treatment: characterization, description of nature, milieu, etc. Dr. Doležalová uses the results of her analysis of these different aspects do draw up the specific features of Yü Ta-fu's literary approach and of his style. She considers that the main reason for his subjective approach lay in himself, in the highly emotional and tragic bent of his mind; the direct personal confession was the form which suited him best. The fact that the underlying theme of all his work is personal confession in literary guise, causes a certain monotony in it, a lack of gradation, dramatic impetus, and momentum in the action; there is a tendency to over-simplify the composition, to use stereotyped techniques, etc. On the other hand, this emotional mood gives full play to the lyricism which is one of the functional elements in Yü Ta-fu's work and makes it unusually moving (cf. pp. 93 et al.).

In the third part of her study Dr. Doležalová analyses Yü Ta-fu's theories and

compares them with his actual literary practice. As she shows, in most of his remarks on the subject he sets out to justify his method, which he regards as the only one which can give consistent form to the principle of authenticity, because it is the only method which allows the author to identify himself with his hero completely and the work with life itself in complete unity. Even in his theoretical comments, however, the author's subjective approach prevents him from being objective as a critic and theorist. His opinions are narrowly personal, his judgments impulsive and categorical and often not well thought-out. For example, he vehemently opposes the realist school in literature, rejecting objective description which he sees as a mere record, a mechanical reproduction of reality "for which the author need not exist at all", i.e. where there is no personal experience and elaboration of the basic material. The writer (cf. p. 117) should select from the vast amount of material which life offers him, and should judge it from his own subjective point of view, for everything that he writes should pass through the prism of his personality and bear its mark. According to Yü Ta-fu "literature is the product of a genius... the work of a genius is extraordinary, eccentric, and has even nonsensical spots which cannot be understood by the ordinary man..." (viz. quotation on p. 110). The writer differs from the average man in that he has a special talent, the ability to penetrate deeper into life and live it more intensely, for "his psyche is delicate and his sensitivity sharp, at a time when ordinary people do not as yet feel sadness, opposition, dissatisfaction, the artist senses them decades earlier than they do..." (viz. quotation on p. 111). Yü Ta-fu therefore regarded the writer as "the pioneer of revolution", for he becomes the "representative, the speaker, who in his work reflects the lives of those who do not create literary works..." (cf. p. 110). It is of interest that Yü Ta-fu, a notable member of the Creation Society which at that time (1927) proclaimed the goal of revolutionary proletarian literature, found himself in agreement with the views of the Crescent Moon Society, which represented its most reactionary and counter-revolutionary opposition. His weakness in rational analysis often led him to formulate contradictory judgments, and Dr. Doležalová gives many examples where his theories are not in accord with the literary form he has given them. I would like to suggest here that in view of Yü Ta-fu's clearly subjective approach, it is difficult to regard some of his works as satirical (cf. p. 103); an objective critical attitude is after all the prerequisite for satire. In his stories it is rather a question of embittered ridicule, the outpouring of personal disgust and scorn (in *Blood and Tears*), or of rebellious defiance in the form of bold allegory, directed against the "white terror" (in *Legend*), which called for considerable courage at that date (1928). These stories may have been more effective in their impact than "cold satire" would have been; we know what the response was later, during the war against Japan, to the historical plays of Yü Ta-fu's friend fellow-writer Kuo Mo-jo, which had a similar tendency. The question is merely one of precise definition of the genre concerned.

The theoretical writings of Yü Ta-fu are particularly interesting since they help to complete the picture of his literary personality and above all, since they give us an insight into his political ideas, which his literary work does not reveal; we thus have a much more comprehensive, an all-round view of his thought. He often discusses, for instance, the question of proletarian literature. In accordance with his firm belief that an author can only write well of what he has actually experienced, he concluded that proletarian literature can only come from the pen of a writer of proletarian origin (cf. p. 105); the same applies to peasant literature. The reason why so little of the latter was written, he thought, was that there were too few peasants able to write about their life, while writers who had never lived in the country could not do it either. He therefore thought that writers should go and live among the peasants in order to give their work an authentic ring (cf. pp. 113 ff.). It is worth noting that these ideas, put into practice in China only many years later, were already put forward by Yü Ta-fu in 1927. It is no less interesting that, as Dr. Doležalová says, "by his theoretical views Yü Ta-fu denied nearly everything that he himself has sporadically written about farmers and the countryside... his envious laudation of the idyllic rustic life... is identical to what he calls incomprehension, idealization of the countryside in Chinese classical poetry..." (cf. p. 114). On many occasions Yü Ta-fu proclaims that literature should be socially committed, and he himself felt that he was committed to the proletarian cause (cf. p. 112). The grim and hopeless situation of the individual led him to take a radical revolutionary view of the mission of literature: "If it be true that literature is a reflection of the times, then we ask at present an impetuous literature and violent as the storm, strong and profoundly moving..." (written in 1927; viz. p. 113), for "the literature for which we long at this time is not that type of revolutionary *avant-garde* literature which only calls forth feelings of resistance or shouts about suffering," as he had written just before, without apparently realizing that he was to a great extent criticizing himself. This conflicting attitude is certainly not derived from a lack of principle; it is rather the result of his excessively emotional temperament which prevented him from assessing things soberly. His theoretical conclusions are a faithful expression of his convictions, and he remained faithful to them throughout his life. In 1932 he wrote: "Through literature we must agitate the world revolution, to oppose a second great bloodshed brought about by imperialists and capitalists. Finally through literature we must speed up the setting up of the most rational, the most progressive society (viz. quotation on p. 113).

Such remarks show Yü Ta-fu in a very different light from that thrown by his stories. Although the decadent pessimistic features in them derived from his personal attitudes, they were at the same time an expression of the tragic social situation of the day, from which he was trying to find a way out. "Yü Ta-fu never became a practical revolutionary, but neither did he remain a disinterested

writer, gazing only into himself” (cf. p. 124), as Dr. Doležalová rightly concludes. For in his work “he expressed his opposition to the conditions in which he lived and where he tried openly to provoke changes, both in theory and by portraying tragedy in his writings” (cf. p. 125).

The last section of the book is also of great value, presenting as it does the author’s biography and a concise bibliography of his literary work; this author’s life and work are closely bound up together “and a collection of his artistic prose in its entirety has not been so far reported anywhere, while at the same time many of his works were published in collections and journals that are difficult of access” (cf. p. 10).

Dr. Doležalová has devoted many years to a study of this writer; since this is the first complex study of his works, the book is naturally accompanied by a great deal of documentary material, causing a certain disproportion. As, however, she aimed at encompassing the whole range of the subject, and elaborating a critical assessment of it, it was difficult for her to adopt other approach. It could also be objected that certain ideas are repeated more than once in the course of Dr. Doležalová’s study; this is due to her treatment of Yü Ta-fu’s work from various aspects and could not entirely be avoided; nevertheless, some passages might better have been shortened to avoid redundancy.

Dr. Doležalová’s book can truly be said to be breaking new ground, and in many ways it reveals new horizons both for sinologists and for literary critics and theorists. Since she is also interested in the other writers of the Creation Society, we may perhaps hope that a further study from her pen will throw even more light on Yü Ta-fu’s work and his times by comparison with the work of his fellow-writers, in as successful a manner as in the book under review.

Berta Krebsová

The Legacy of China. Ed. by Raymond Dawson. London—Oxford—New York, Oxford University Press 1971. 392 pp.

The book under review was originally published in 1964 as a publication of Clarendon Press. This is its first paperback edition.

In the second half of the sixties, important sinological publications began to appear as paperbacks. This is undoubtedly very welcome to readers, but there is a drawback to it. It often takes several years before this paperback edition reaches the consumer after the original, normally bound edition.

The present book belongs among the more successful works. It carried on in the tradition of books devoted to the problem of the so-called legacy or heritage in the

field of European culture. The title of the book is not a happy one. That is to say, in so far as modern culture is involved, it can hardly be said that we Europeans are the legatees of Chinese legacy—although the purpose of the series in which this book appears is precisely to point up this fact. And the present contributors make no attempt either to do that.

The authors of the book R. Dawson, A. C. Graham, P. D. Hanan, D. Hawkes, G. F. Hudson, E. A. Kracke, Jr., J. Needham, E. G. Pulleyblank, M. Sullivan and E. Zürcher, are clearly conscious that Europeans are in a very small measure only the legatees of Chinese culture and consequently they present a popular-scientific treatment of their respective subjects, concentrating on issues that might be useful to European readers, or where Chinese legacy could at least partially be implied or referred to. Thus, for instance, E. Zürcher in his contribution dealing with Buddhism, has concentrated on Ch'an (Zen) Buddhism whose "anti-rational and iconoclastic attitude" as well as "its ideal of direct and intuitional perception of Truth" have their impact on present day cultural life in the West. Towards the end of the sixties and the beginning of the seventies this impact of Zen-Buddhism was even greater and more evident. D. Hawkes in his article *Chinese Poetry and the English Reader* makes note of translation problems, difficulties, etc. of which the English reader should be aware if he wishes to enjoy and rightly appreciate Chinese poetry. A similar aim is followed by Mr. Hanan's study, entitled *The Development of Fiction and Drama*. The study by Mr. Sullivan *The Heritage of Chinese Art*, together with the one that follows, J. Needham's *Science and China's Influence on the World*, are the most comprehensive, and the latter is a truly pioneering work. By his erudition and his deep insight into the problems of Chinese and European science, J. Needham points out the enormous impact of Chinese inventions in Europe and simultaneously their slight effect in China. This is the only article fit for a publication purporting to show up the legacy of China in Europe. The study by E. A. Kracke, Jr., *The Chinese and the Art of Government* follows the development of Chinese methods of government, their specificity and efficacy, and their echo in Europe in the century preceding the French Revolution and later.

The book under review is concluded by two articles. One comes from G. F. Hudson, author of the well-known book *Europe and China* from the year 1931, and is called *China and the World*. The other by Mr. Dawson is entitled *The Value of the Study of Chinese Civilization*. Precisely this last study shows that the problem of legacy or legatee is not of much importance: the main thing are values which a study of Chinese civilization is to reveal, and make accessible to Europe and the world.

The reviewer of the present book wonders whether, following the books and other works dealing with the cultural and other impact of China on Europe, at least a few studies should not be devoted to the European impact on China—excepting of course political impact on which historians have already written a great deal.

Here one could safely speak of a legacy! For modern Chinese are in a far greater measure the legatees of European culture than are modern Europeans of Chinese culture.

Marián Gálík

Joseph R. Levenson, *Revolution and Cosmopolitanism. The Western Stage and the Chinese Stages*, with a Foreword by Frederic E. Wakenan, Jr. Berkeley, University of California Press 1971. XXXI + 64 pp.

This tiny little book with a long title came out three years after the tragic death of its author. It consists of three lectures that were to have been read at the University of Northern Illinois in 1970.

The foreword to the booklet points up Levenson's philosophy of history and his relation toward Judaism, reveals traits in Levenson not apparent to readers of his well-known trilogy *Confucian China and Its Modern Fate* or of his other works.

The part written by Mr. Wakenan is of more value than that coming from Levenson's pen. The three lectures were to have been "the embryo" of a further trilogy; however, they have remained only in an unsatisfactory outline. In all probability, Levenson would have altered many of the formulations.

In my review I shall refrain from taking up Levenson's philosophico-historical considerations both because I have not been concerned with history and philosophy to the extent of being competent to challenge a man who had devoted the major part of his life to these disciplines, and also because in my view, neither Levenson nor his followers have succeeded in refuting Toynbee, discrediting Marx, or defending Judaism as something most creative, most humane, as a "choice of life".

To me as reviewer, the lectures were of interest as literary studies, as a document in the field of the history of modern Chinese literature, or as one of European impact on this literature. Mr. Levenson is known to have been a hunter of "contradictions and dichotomies" in the study of Chinese history. His three lectures purporting to document "revolution and cosmopolitanism" show that he made use of this stylistic device and form to astound his audience and readers also in his study of literature.

How did the late Professor Levenson go about his research in the field of the Western stage and Chinese stages? In a very simple and incomprehensibly slipshod way. He took up various translations of European works (mostly dramas) into Chinese, and having read the forewords to these translations, picked out certain ideas that suited him to illustrate his conceptions of cosmopolitanism and revolution.

Thus, for instance, he mentions that in 1922 Cheng Chen-to translated *The Pale Horse*, a novel by the Russian terrorist B. Savinkov (Ropshin). Ch'ü Ch'iu-pai, a member of the Communist Party "wrote an appreciative preface to his friend's

translation, a tribute to the great 'Russian spirit', embodied in Russian literature, whose history was inseparable from the history of revolutionary thought" (p. 9). The preface by Ch'ü Ch'iu-pai was appreciative indeed, but critical, too. Ch'ü Ch'iu-pai as a communist condemned the method, the aims, the organizational principles of Social Revolutionaries of Russia and their terrorist essence. However, he did not condemn Ropshin's novel as a literary work for at that time communists were wont to look at literary works in a different way from what it came to later. Not the contents message of a work, but its literary value was decisive in its appraisal: Ch'ü Ch'iu-pai did not condemn this work because his literary creed would not allow him to do so. What was his literary creed? In his introductory and his closing part of this Foreword Ch'ü Ch'iu-pai stated a few principles, prerequisites for setting up a literary work. The first of these conditions is the writer's soul (hsin-ling) which is to fuse with the social life or milieu. It should mould and transfuse "the beauty" of this life and endeavour genuinely, sincerely and disinterestedly to describe it from every aspect. It was rather sympathetic that Ch'ü Ch'iu-pai should mention "beauty" in this connection, a term not frequently met with in a similar context in other Chinese critics. Disinterestedness which he likewise stressed, subsequently came to be replaced in his later Marxist criticism by "party spirit". According to Ch'ü Ch'iu-pai, literature is, in addition, an expression of "social moods" which, together with "beauty" of life, constitute the third prerequisite of literature. It is only natural that these moods should be of various kinds, as are also artistic trends. In Ch'ü Ch'iu-pai's view, the history of Russian literature was always closely related to the history of revolutionary thinking, regardless of whether this thinking was "decadent or progressive" (see Ch'ü Ch'iu-pai's Foreword to the Chinese translation of *The Pale Horse*, 3rd ed., Shanghai 1931, p. 2). This literature or thinking has always been connected with real life. It is in this that Ch'ü Ch'iu-pai sees the greatness of Russian literature and its "artistic reality". A deeper investigation of the relation between Cheng Chen-to nad Ch'ü Ch'iu-pai reveals in fact that it was not the "communist Ch'ü" who aided the "noncommunist Cheng" (as Levenson would have us believe—here, as everywhere else he shows his dexterity in hunting up dichotomies and contradictions), but rather that one man of letters aided another holding similar views on this particular work. Noncommunist Cheng was also aided in propagating the work of Ropshin by yet another communist, Mao Tun, who extolled even more the artistic qualities of this novel. This was also supported by the noncommunist Yü P'ing-po in his epilogue to the book edition. It should further be observed that no communist cosmopolitanism was involved either in the case of Ch'ü Ch'iu-pai, or in that of Mao Tun: both were guided here by purely artistic aspects.

It is highly improper, and inadmissible in a scientific work, to pick out from facts only such as smack of the sensational or fit the specific design the author may have in view in his work.

On p. 42 of the book under review Professor Levenson states that O. Wilde "was a champion of art for art's sake, but was offered to China for his social significance". This statement is characteristic of Mr. Levenson. In it Professor Levenson adroitly conveys to the reader the idea that O. Wilde was entirely distorted in China. He makes this statement on the strength of a single preface to O. Wilde's tragedy—*Salome*. Wang Hung-sheng, one of some four Chinese translators of this work, may in fact have presented Wilde as a fighter for a certain social reality, but this cannot be taken to mean that Wilde was received in China solely because "of his social significance". It is not easy to conceive how Wang Hung-sheng who, according to T'ien Ch'in, *Chung-kuo hsi-chü yün-tung (Chinese Dramatic Movement)*, Shanghai 1946, p. 115, had translated only this one play, and is otherwise an unknown and insignificant figure in the history of modern Chinese literature, would command such authority and carry such weight. It is probably known of Mao Tun that he was an outstanding man of letters and a brilliant critic. In 1935 this man published a book *Han-i Hsi-yang wen-hsieh ming-chu (Great Works of Western Literature Translated into Chinese)*, dealing, as the title specifies, with translations of eminent works in Western languages. The last article in this book analyses the "l'art-pour-l'art" works, including Wilde's *Salome*. In *Salome*'s figure Mao Tun sees the image of an aesthete, a hedonist, an individualist.

Mr. Levenson is right when asserting that O. Wilde was a champion of l'art-pour-l'art, but this applies predominantly to his critical writings and views, and only to some of his creative works. The great majority of his works are socially or morally engaged, even though considerably disjoined from the reality of the times. During the period shortly before the May Fourth Movement until about the time of the outbreak of the Anti-Japanese war (1937), O. Wilde belonged among the most translated foreign authors. According to W. Bauer, *Western Literature and Translation Work in Communist China*, Berlin 1964, containing data on translation activity in the literary field even prior to 1949, O. Wilde was among the most translated Western authors in China between the years 1910 and 1935. Together with his contemporary and fellow-countryman G. B. Shaw, he shared 5th—6th place. The statistics do not include Russian authors, otherwise the rank order would certainly have to be altered. Nonetheless, this is a very good placing in this constellation, following that of G. de Maupassant, H. C. Andersen, U. Sinclair and J. W. Goethe. Those who propagated O. Wilde, particularly at the time close to the May Fourth Movement, do not seem to have been too conscious of his l'art-pour-l'art attitude. Ch'en Tu-hsiu, one of the fathers of Chinese literary revolution, recommended him as early as 1916 to the attention of young Chinese readers, because he was a modern (or fashionable) author. He ranked him with Ibsen, Turgenev and Maeterlinck. The translation of *An Ideal Husband* began to be published in Ch'ing-nien tsa-chih (*La Jeunesse*) as early as 1915. It is plausible to presume that this translation probably exercised an influence there by its social and moral mes-

sage. Some of the other translations, for instance, *Lady Windermere's Fan*, *A Florentine Tragedy* and *A Woman of No Importance* played their role in the movement for the emancipation of women. As pointed out by Professor Ch'en Yüan in one of his essays in the book *Hsi-ying hsien-hua (The Idle Talks by Ch'en Yüan)* called *Fei-li-shih-ti-en (Philistines)*, the authorities of Yen-ching University in Peking banned the presentation of *Lady Windermere's Fan* in T'ien Han's translation on moral grounds.

As evident from what has been said, our arguments are not in favour of Mr. Levenson, nor do we support his statements. We rather wish to indicate that O. Wilde was received in China differently. When his *Decay of Lying* reached his readers in Chinese translation, it could not be understood otherwise except as a work of aesthetic criticism. When these readers reached out for *The Picture of Dorian Gray* as an outstanding work of "l'art-pour-l'art" creation, and for the Preface to this work as a defence of aesthetic criticism and aesthetic attitudes, they could apprehend them only as works of the champion of art for art's sake, even though these attitudes and criticism might not have been familiar to the Chinese critic. Our reference to *The Pale Horse* and *Salome* was intended to show that literary criticism or literary history requires a deeper knowledge than that acquired by a quick superficial study, in the present case by a perusal of a few introductions to translations of literary works. Literary judgment is not and cannot be an "epitheton ornans" or "constans" in which the principle of *pars pro toto* would be essentially valid. Literary phenomena, like all other phenomena—including historical and philosophical—must be studied in their full complexity and their widest affinities. The author of the book under review would certainly have benefited had he been acquainted with works that had already been written about translations into Chinese, for example, those referred to above. Dichotomies and contradictions might be very effective as rhetoric devices, but their scientific value becomes doubtful if they are not founded on a sufficiently wide and deep knowledge of the issue in question.

Marián Gálík

Lawrence A. Schneider, *Ku Chieh-kang and China's New History. Nationalism and the Quest for Alternative Traditions*. Berkeley, University of California Press 1971. 337 pp.

Those who had read Mr. Schneider's study *From Textual Criticism to Social Criticism: The Historiography of Ku Chieh-kang*, in the *Journal of Asian Studies*, 28, pp. 771—778, certainly reached out for this book in the hope that it would be a supplement to this unusually valuable work, much needed in the field of Chinese

history. This hope has not been fulfilled, for this pattern of study is carried on in only one of the six chapters, and that a weaker one, too. The book would certainly have profited if its author had taken better note of those historians whom he calls Social historians. The latter represented an essentially different trend in Chinese historiography from that of Ku Chieh-kang. However, Mr. Schneider concentrated too fixedly on Hu Shih's circle—which helped him to become thoroughly familiar with the efforts of those standing for the so-called National Studies and who were concerned with “a reassessment of the heritage” (cheng-li kuo-ku) and took little note of Marxist historians who formed the core of Social historians.

One of the points of interest of the book under review is the question of folk studies and the so-called popular culture. The author's attention was drawn to this interesting and so far unprocessed topic by Professor Wolfram Eberhard, one of the witnesses of this meritorious endeavour of Ku Chien-kang's and his associates in the twenties and thirties of this century. Of course, this constitutes a very important part of Ku Chieh-kang's activity, but in the opinion of the present reviewer, the processing of these problems should have stood at the margin rather than constituting the core of the author's effort, as in the case in this book.

The author proceeds in a chronological order. Bibliographical data are to him some sort of a network into which he weaves a large number of interesting facts relating to Ku's historical, folklore work, political events and numerous other data on people who were in some way or other close to him.

The book is divided into 4 parts and 8 chapters.

The first part gives the historical setting which was Ku Chieh-kang's starting point, as a historian. It analyses the period of the so-called National Essence (kuo-ts'ui) which was concerned with the preservation of Chinese culture under conditions of a powerful western impact and imperialistic oppression. In addition, it includes the period of the May Fourth Movement of 1919 and its impact on historical production, and the following years which were the most pregnant for National Studies.

The second part is devoted to questions of folklore and popular culture.

The third part, called Counterfeiters deals with historical issues. The first chapter of this part is a variant of the study referred to at the beginning of this review. The second chapter analyses Ku Chieh-kang's views on weighty themes of old Chinese history, e.g. Mo-tzu and the abdication myth, Emperor Yü, the five virtues Cycle, Wang Mang, Liu Hsin.

The last part is entitled The Barbarians and in it the author analyses the problems related to the question of barbarians in old Chinese history and of the so-called national minorities in modern China. Just as Ku was very serious in other aspects of his study, so he is least critical and unduly idealistic as regards problems connected with barbarians and national minorities. He was convinced that the future of China is bound up with the utilization of “primary forces”, e.g. physical, but also cultural

ones of these minorities which “permitted a periodically moribund Chinese culture to resuscitate itself and persist”. This was of course a naive faith. Neither did the barbarians bring in much new blood into the veins of ancient Chinese, nor could the national minorities save China. The future of China could be determined above all by a new politico-economical organization.

The book is a valuable contribution to a knowledge mainly of old Chinese history and problems connected with Chinese folklore. But the author might have devoted more attention to the historiography of the twenties and thirties in China. Chinese history needs a new Gardner who would follow also the evolution after the year 1911. The study of Chinese history would thus be considerably facilitated.

Marián Gálik

Tai Chen's Inquiry into Goodness. A Translation of the Yüan Shan, with an Introductory Essay by Chung-ying Cheng. Honolulu, East-West Center Press 1971. 176 pp.

Tai Chen (better known in the West under the name of Tai Tung-yüan) (1723—1777) was a prominent scholar and philosopher. As he was not orthodox, he did not command any great attention in Confucian China. As in the case of e.g. Wang Ch'ung (27—91 A.D.), his time came only with the May Fourth Movement in 1919 when interest of a relatively large number of researchers was focused on him. Hu Shih (1891—1962) devoted an entire monograph to him, and on the occasion of the two hundredth anniversary of his birth, a number of sinologists among the Chinese evaluated his uncommon contribution in the field of philosophy, mathematics, astronomy and psychology.

Professor Cheng translated one of the most significant of Tai Chen's works *Yüan Shan (Inquiry into Goodness)*. In the literature on Tai Chen mention is made of his “nearness to Western thought” (cf. Fang Chao-ying in Hummel's *Eminent Chinese of the Ch'ing Period*). To the reviewer of the present book Tai Chen appears rather as a philosopher close to Confucian-oriented philosophy of the pre-Ch'in epoch. His indebtedness to Mencius is very evident indeed. Tai Chen was an eminently ethical philosopher—an ethical theoretician. If we look on him from the aspect of the history of Chinese philosophy and ethical theory, we cannot help admiring his dauntless courage, determination and fearlessness in getting even with the very weighty issue of “human nature” (*hsing*) and “desires” (*yü*). It is in some sort a pity that he was so very rationalistic and self-restrained. His considerations on “human nature” and “desires” are really of a high level! Had he relaxed just a little in his ethical severity and rigidity he might have agreed quite well with his great English contemporary Dr. S. Johnson (1709—1784), according to whom “human nature”,

or as he used to term it "general human nature" (*Rasselas*) is best reflected in passions (which is in fact the same as desires). Since he failed to do this, and moreover was in other ways pushed into the background, his ethical theory remained a dead letter and made no impact whatever.

The book under review is the first attempt at interpreting Tai Chen's philosophical message. Those interested in the theoretical aspects of Confucian ethics will certainly find in it food for thought.

Marián Gálík

Linguistics in South Asia. Ed. by Associate Editors: M. B. Emeneau and Ch. A. Ferguson; Assistant Editors: G. B. Kelley and N. H. Zide; Assistants to the Editor: M. Zueppritz and T. Glover (Vol. 5 of *Current Trends in Linguistics*. Ed. by Thomas A. Sebeok). The Hague, Mouton 1969. 814 pp.

The present volume is one of thirteen volumes the aim of which is to give a representative survey of what has been achieved in linguistics. The best and most competent scholars have been invited to contribute, regardless of their origin or knowledge of English. The contributors of the present volume come not only from the Indian subcontinent but also from U. S. S. R., Czechoslovakia, England, France, The Netherlands and the United States.

The publication consists of four main parts. Part 1 is devoted to Indo-Aryan languages (pp. 3—306), Part 2 to Dravidian languages (pp. 309—408), Part 3 to other language families (pp. 411—477). Each of these three parts contains a series of articles dealing with particular languages. The articles furnish the readers with a reliable survey of research concerned with various aspects of the language description and are complemented by a bibliography of relevant publications.

Part 4 (pp. 481—759) is different from the previous three parts and is concerned with a wide range of topics, e.g., state of linguistic research in South Asia, typology, semantics, official languages.

The volume is complemented by biographical notes on the contributors (pp. 760—770), an index of languages (pp. 771—788), and an index of names (pp. 789—814). It may warmly be recommended to all linguists interested in both Indo-European and non-Indo-European languages of South Asia.

Jozef Genzor

J. Duncan M. Derret, *A Critique of Modern Hindu Law*. Bombay, M. N. Tripathi Private Limited 1970. 460 pp.

The author is a well-known expert on Hindu law and has already written several works on this topic, perhaps the most eminent being his *Introduction to Modern Hindu Law* (1963).

European juridical comparative practice which has sorted valid legal systems in the world into four main groups, has assigned Hindu Law into the family of the so-called religious-traditional laws alongside that of Moslems, the Japanese, Chinese and laws of Africa and Madagascar (René David, *Les grands systèmes de droit contemporains*, IV. Edition. Paris, Dalloz 1971, 505 pp.). Besides these there exist several great legal systems, such as the Germano-Roman, Socialist and the Common Law.

This book concentrates on Hindu law valid today in India, where it is best preserved and least affected by foreign influences, of course, excepting that of British occupation. Hence, it is not concerned with Hindu Law in Pakistan, Burma, Malaysia, Singapore and East Africa (including Aden).

The work is of interest in that it examines critically attempts at summarizing Hindu law for the needs of a new codification in India, with the Indian law as opposed to Hindu law, being already a secularized law, free of religion. In addition, the book points also to the effect of the English Common law in India, which again is of interest in that Common law does not set up rules of conduct, but concentrates solely on resolving conflicts in virtue of so-called precedents. India, however, does not try to keep out foreign influences in the shaping of its new law code, and to bring closer together the thoughts in these disparate law systems in precisely the object of the book under review.

Leonard Bianchi

Dariusch Bayat-Sarmadi, *Erziehung und Bildung im Schahname von Firdousi*. Eine Studie zur Geschichte der Erziehung im alten Iran (Islamkundliche Untersuchungen, Band 4). Freiburg, Klaus Schwarz Verlag 1970. 240 S.

Als ein wichtiger kulturhistorischer Faktor der Geistesgeschichte des iranischen Volkes hat Firdousis Schahname einen ungeheuren Wert. An die zahlreichen Arbeiten, die sich mit verschiedenen Aspekten des Schahname befassen, kam ein neuer Titel hinzu. Zweifellos wegen des grossen Wertes, den der Autor des Schahname auf die Erkenntnis legt, wählte D. Bayat-Sarmadi das Problem der Bildung und ihrer Erlangung zum Objekt seiner Forschung.

Wie der Autor selbst anführt, ging er bei seiner Arbeit von einer dreifachen Über-

legung aus: einen Teil der iranischen Erziehungsgeschichte zu erklären; die Weltgeschichte der Pädagogik um die alte Geschichte der Pädagogik der orientalischen Länder, konkret des alten Irans (bis zum Islam), zu erweitern; die iranische Geistesgeschichte um eine systematische Abhandlung ihres weiteren Bestandteiles zu ergänzen. Der Autor verfolgt kritisch den Text des Schahname und bildet aus dem gewonnenen Material eine systematisch klassierte Zusammenfassung der Kenntnisse auf dem Gebiet der Erziehung und Bildung, wie sie in den Versen des Schahname dargestellt sind.

Die ersten zwei Kapitel enthalten die Charakteristik der Geist- und Lebenswelt des Schahname und den Aufsatz über die Erziehbarkeit des Menschen. Die Grundbegriffe aus diesen zwei Kapiteln werden durch weitere Begriffe (*honar, gouhar* und *nežād*) aus dem Kapitel *Voraussetzung und Ziel der individuellen Erziehung* (S. 53—65) ergänzt. Diese Begriffssprache bildet den Ausgangspunkt zu den Aufsätzen über spezifische und konkrete Fragen der Erziehung in den nächsten Kapiteln. Der Autor widmet allmählich der Frage des Erziehers und seines Zöglings sowie ihrem Verhältnis seine Aufmerksamkeit (Kapitel IV) und erörtert die Formen der Erziehung (Kapitel V). Da es sich im Schahname um eine Klassengesellschaft handelt, wird die Weite und der Inhalt der Erziehung und Bildung der niederen Klassen (Kapitel VI) und des Adels (Kapitel VII) differenziert. Die Rolle der Mobāds und ihre wissenschaftliche Tätigkeit ist der Gegenstand des VIII. Kapitels, wo der Autor auch die Begriffe Verstand, Wissen, Wissenschaft und Weisheit erklärt. Das vorletzte Kapitel (Kapitel IX) ist der Technik und Kunst gewidmet.

Es ist selbstverständlich, dass ein poetisches Werk keine eindeutige faktographische Unterlage zur Beurteilung eines gewissen Aspekts des Gesellschaftlichen Lebens sein kann. Deshalb arbeitete der Autor mit zahlreichen primären und sekundären Quellen und verglich sie gegenseitig. Wir können mit D. Bayat-Sarmadi (Kapitel X, Schlussbetrachtung) voll übereinstimmen, dass in der Reihe der persischen Lehrdichtung Firdousis Schahname den ersten und wichtigen Höhepunkt bedeutet hat. Das didaktische Moment bildet seinen organischen Teil.

Kamil Baňák

Walther Hinz, *Persisch, Praktischer Sprachführer*. 5., völlig neubearbeitete und vermehrte Auflage. Berlin, Walter de Gruyter and Co. 1971. 297 S.

Die deutschsprachigen Kreise, die sich für das Studium der persischen Sprache interessieren, können sich über einen Mangel an Lehrmitteln wirklich nicht beklagen, im Gegenteil, sie haben sogar die Möglichkeit Arbeiten zu benützen, die vom Gesichtspunkt der Methodologie und des Zweckes spezifisch orientiert sind.

Zu solchen Arbeiten gehört auch die neue, der Reihe nach schon die fünfte Aus-

gabe des Handbuches von Walther Hinz, *Persisch, Praktischer Sprachführer*. Das Buch wurde vom Autor neubearbeitet und erweitert, um die Forderungen des sich stets entwickelnden gesellschaftlichen Kontexts Irans zu erfüllen. Das Handbuch ist keine Art von Lehrbuch, das die Grundlagen der Sprache in Lektionen bringen würde, in welchen grammatikalische Regeln allmählich erklärt und durch Übungen erlernt werden. Das Ziel des Handbuches ist, dem Interessenten die Grundwendungen der Konversation in kürzester Zeit eines Lehrprozesses beizubringen, damit er sich bei seiner Reise nach Iran einfach verständigen kann. Die Schönheit der persischen Sprache liegt in ihrer reichen Bildphraseologie und im Wortschatz, da aber das Buch andere Ziele verfolgt, und unter Berücksichtigung, dass die persische Grammatik sehr einfach ist, und dass der Autor die Umschrift anstatt der arabischen Schrift benützt, ist diese Art auch vom methodologischen Gesichtspunkt aus anwendbar. Die Umschrift und das System der ergänzenden diakritischen Hilfszeichen sind so zusammengestellt, dass sich ihr Anwender die richtige phonetische Form vorstellen kann, und gleichzeitig sehen das Bestreben eventuellen Interessenten voraus, sich auch die schriftliche Form der einzelnen Wörter (in arabischer Schrift) anzueignen, da die verwendete Umschrift ermöglicht, die einzelnen Wörter in die arabische Schrift leicht zu übertragen. Es konnte aber vom methodologischen Standpunkt aus beanständet werden, dass die diakritischen Zeichen, obwohl sie die phonetische Form nicht beeinflussen, an den Anwender einen psychischen Einfluss ausüben könnten. Diese Schwierigkeit kann aber leicht beseitigt werden, wenn sich der Lernende ins Gedächtnis einprägt, dass die diakritischen Zeichen eine ausschliesslich behelfsmässige Funktion haben.

Das Handbuch besteht aus sieben Abschnitten, aus welchen die ersten drei eine kurz gefasste Übersicht der Laut-, Schrift- und Sprachlehre der persischen Sprache beinhalten. Der vierte Abschnitt bringt Gesprächswendungen und Sätze aus verschiedenen Situationen des täglichen Lebens, aber das Kriterium des Fremdtouristen in Iran ist bei der Auswahl der Situationen und Wendungen entscheidend. Der fünfte Abschnitt (*Eine Reise nach Iran*) enthält in Form eines Dialogs die Situationsreise nach Iran, die Besorgung von Visa, der Flug nach Teheran, die Unterkunft, die Verpflegung und das Wandern durch Iran. (Die Bedürfnisse der Motoristen werden dabei auch nicht ausser Acht gelassen, da auch der Text der meisten Verkehrszeichen angeführt ist.) Der Autor dieses Abschnittes ist Dr. Parwiz Radschabi: der deutsche Tourist spricht hier das Hochpersische, wobei sich sein persischer Partner der Umgangssprache bedient. Der ganze Abschnitt ist in dem übernächsten, dem siebenten Abschnitt noch einmal in arabischer Schrift (leider an einigen Stellen schlecht lesbar) wiederholt. Den nächsten, sechsten Abschnitt bildet ein kleines deutsch-persisches Verzeichnis der wichtigsten persischen Wörter.

Einige Druckfehler: S. 6 — die Umschrift der Buchstaben *šād* soll *š* sein; S. 67 — richtig *taqšîr* und nicht *taqsîr*; S. 129 anstatt *garmân-sândsch* ist richtig *garmâ-sândsch*; S. 136 — anstatt *gamâm* ist richtig *gamân*.

Es besteht darüber kein Zweifel, dass es dem methodologischen Vorgang und dem gewählten Textmaterial zu danken sei, dass das Handbuch seinen Zweck erfüllt und dem Reisenden nach Iran das Grundlegendste für die einfache Verständigung bietet.

Kamil Baňák

Angelo Michele Piemontese, *Storia della letteratura persiana* (History of Persian Literature), 2 vols. (Letteratura Universale, Vols. 39 and 40.) Milano, Fratelli Fabbri Editori 1970. 191 + 158 pp.

Within the short span of some thirteen years Piemontese's *Storia della letteratura persiana* is already the fourth attempt to present a history of Persian literature to the Italian-speaking public. (The previous works were written and published as follows: F. Gabrieli, 1957; A. Pagliaro—A. Bausani, 1960 and 2nd Edition 1968; G. Scarcia, 1969.)

Iran has become famous for its immense literary treasures and the book under review is an attempt at proving and demonstrating this fact to the general reader. This aspect forms the basis of the author's approach to the subject, for his book is not an academic contribution to the history of Persian literature as are, e.g. those by E. G. Browne or J. Rypka. To achieve his aim the author sets the treatment of his subject-matter on three supporting principles: (a) brief explanatory comments on the historical-social context; (b) a clear formulation, unburdened by academic disputes and arguments, of the most relevant data and facts on the history of Persian literature; (c) many poems by and passages from the works of all the authors discussed. It should be emphasized that in this conception lies the principal value and success of the book. Everyone must appreciate those many pieces of poetry and extracts of prose here quoted, nearly all of them translated by Gianroberto Scarcia and the author himself, respectively. The proportional balance of literary-historical parts and parts of quoted literary works imparts to the work the characteristic of a rather special kind of anthology and enhances its merit.

Naturally, in a work of this kind, the course of the literary development cannot be traced in an extensive and satisfactory way. It is up to the author to decide on the manner of presenting particular men of letters and the extent of their works. Mr. Piemontese has organized and arranged his treatment of the subject in accordance with historical-social criteria, a precedence of which is constituted by J. Rypka's *History of Iranian Literature*. It should be noted that though Persian classical prose has not reached the height attained by Persian classical poetry, the author has not ignored prose literature and devotes an appropriate place to it, which only increases the value of the work.

Mr. Piemontese regards the subject of Persian literary history as literary production written in Persian, and hence, includes in his treatment also Persian literature that has flourished outside Persia. There is no objection to this as far as the classical period of Persian literature is concerned. But when the modern period is dealt with, we find it methodologically unjustifiable to include in the chapter on *L'Età contemporanea* (Vol. I, pp. 91—141) also poets of Soviet Tajikistan and Afghanistan. This applies with all the more reason when we consider Mr. Piemontese's own statement: "il persiano (*fārsi*) si può dividere, perciò, in tre lingue distinte: di Persia, ispirato principalmente al dialetto della capitale (*tehrāni*), di Tajikistan, basato sulla parlata locale tagica (*tājiki*), di Afghanistan, influenzato dal dialetto della capitale (*kāboli*), ma ufficialmente ritenuto erede della prima lingua letteraria neopersiana e perciò chiamato dari" (Vol. II, pp. 91—92), not speaking of the different historical development of the countries concerned. We think they ought to have been omitted, or at least discussed in a separate chapter. Our further objection concerns the treatment of modern literature of Iran, for this period ought to have been discussed more extensively, namely poetry.

There are some errors: Vol. I, p. 8—the picture is upside down; Vol. I, p. 9—incorrect translation, not "Il libro delle gesta di Papak" but "Il libro delle gesta di *Artakhšēr*, figlio di Papak" (Book of the Deeds of *Ardashūr*, son of *Pāpak*); Vol. I, p. 61 and following—correctly Sanjar, not *Sanjār*; Vol. I, p. 171—notes 3 and 4 are interchanged.

In conclusion, we wish to emphasize once more the great value of Mr. Piemontese's idea to present Persian literature in a way where the constituent part of demonstration lies on the poets' creative ability; the publishers, too, should be congratulated for the exemplary care they have taken to produce a really attractive lay-out of both the volumes.

Kamil Baňák

Hans E. Wulff, *The Traditional Crafts of Persia, Their Development, Technology, and Influence on Eastern and Western Civilizations*. Cambridge, The M.I.T. Press 1966. 404 pp.

The skill and inventiveness of Persian craftsmen are demonstrated and documented in many fine products of their traditional crafts. Unfortunately, available monographs on Persian art have, as a rule omitted to discuss and describe the astounding variety of techniques, technology and technical equipments used by the craftsmen. This neglect is all the more detrimental to the subject as present-day Iran's rapid modern industrialization makes us face the fact that these traditional crafts are not likely to survive.

Therefore, we owe a great deal to Hans Wulff who has written a learned and interesting history of Persian technology. The author is the best qualified man to perform this task: trained in Germany as an engineer, he came to Iran in 1937 and for five years was the Principal of the Technical College at Shiraz, where classes for training in traditional crafts were established. Of course, in order to be able to integrate the crafts into the curriculum of the college, he had to seek out among the craftsmen, tribesmen, and peasants in their tents, villages, and bazaars. Their information, the technical terms given by them, and many photographs of them showing their skill and technique, helped the author to record all the crafts that were and still are alive among Persians.

For centuries Iran was a cultural crossroads of East and West, the medium between the Hellenistic and European cultures, on the one hand, and those of the East, particularly of India and China, on the other. During this time it not only adapted and borrowed the best of both the worlds but also influenced and enriched them. The author is fully aware of this, for his approach to the subject is strictly historical and he gives a short history of the evolution of the particular crafts and technology, both in the pre- and post-Islamic period, being careful to indicate the ways and trace of the influence of this complex structure over many centuries and thorough many cultures. All his historical discussions are based on a thorough knowledge of secondary sources. The most relevant and also extensive dealing with the present situation is founded on the author's own observation and experience during his stay in Iran and this fact constitutes the principal value of his work.

The book consists of five extensive chapters dealing with the following crafts: metalworking (pp. 1—73), woodworking (pp. 74—101), buildings crafts and ceramic (pp. 102—171), textile and leather (pp. 172—239), agriculture and food-treating crafts (pp. 240—302). Each chapter contains material covering various technology, equipment, techniques, and products of the particular craft. The author points out in details all historical and up-to-date innovations and refinements of the technological process due to skill and invention of the Iranian craftsman, as well as to the recent influence of Western technology. On every page the reader finds many relevant and interesting items of information on materials, tools, different professions, working methods, etc., all given also in Persian.

It should be emphasized that Mr. Wulff's book is equally relevant and valuable from the purely philological aspect. The author has collected a vast treasury of technological terms relating to all the main crafts of Persia, which are presented both through the text, as well as compiled into a *Glossary of Technical Terms* (pp. 331—385), and his effort has undoubtedly preserved many of them from falling into oblivion. Future generations interested in Iranian philology will owe a great deal to the author.

The book is illustrated with 423 drawings and photographs, and supplemented by a Bibliography, Review of Relevant Literature, and an Index. Mr. Wulff has paid

great and laborious attention to the development of Persian crafts and their technology: it will certainly be rewarding to him to know that his book is henceforth indispensable as a basic work to anyone interested and doing research in the domain of Persian craftsmanship and its evolution.

Kamil Baňák

Studia Turcica (=Bibliotheca Orientalis Hungarica XVII). Edidit L. Ligeti. Budapest, Akadémiai Kiadó 1971. 498 S. + [10] Taf. 8°.

Der vorliegende Sammelband wurde anlässlich eines besonderen Jubiläums herausgegeben. Die Verfasser der Beiträge sind der Einladung der ungarischen Turkologen gefolgt, mit ihren Festschriftstudien den 100. Jahrestag der Gründung des turkologischen Lehrstuhls an der Budapester Universität zu würdigen.

Im Herbst 1970 haben nämlich die ungarischen Turkologen den 100. Jahrestag der Berufung von Á. Vámbéry zum Ordinarius an der Pester Universität gefeiert. Hier war er schon seit 1863 als Dozent tätig und hier hat er dann diese Studien bis 1905, d. h. insgesamt mehr als 4 Jahrzehnte, vertreten und geleitet. Vámbéry konnte damals durch seine bahnbrechende Tätigkeit sowohl für die ungarische als auch für die internationale Turkologie unbekannte Forschungsbereiche entdecken und neue Perspektiven zeigen, und sein Name symbolisiert auch die „offizielle Geburt“ der turkologischen Studien an der Budapester Universität. Durch die wissenschaftliche Bedeutung und die seit 1870 vollzogene Institutionalisierung — die Entstehung eines der ältesten Zentren in Europa — hat auch für die internationale Turkologie eine bestimmte Bedeutung: In der Geschichte der Turkologie, in der der Kampf für die Selbständigkeit dieser Studien einen wichtigen Platz einnimmt, ist dies als ein bedeutender Meilenstein zu sehen; es ist weiterhin ein aktuelles Warnsignal für die Länder, wo die Turkologie ihre Selbständigkeit auf der institutionell-organisatorischen Ebene bis heute nicht erringen konnte.

Die grosse Anzahl eminenter Turkologen, die in diesem Sammelband vertreten sind, zeigt die Anerkennung der fruchtbaren Tätigkeit der ungarischen Turkologie durch die internationale Wissenschaft. Die einzelnen Beiträge repräsentieren wichtige Bereiche der türkischen Studien, die mit den traditionellen Arbeitsgebieten der ungarischen Turkologie zumeist in enger Beziehung stehen.

Der lehrreiche Überblick¹ von S. Kakuk über Vergangenheit und Gegenwart des Lehrstuhls führt den Band ein.² Es ist eine nützliche kurze Skizze der turkologischen Studien in Ungarn.

¹ *Cent ans d'enseignement de philologie turque à l'Université de Budapest* (pp. 7—27).

² Der Lehrstuhl wurde nach der Emeritierung des hervorragenden Turkologen, Prof. Dr. J. Németh, der mehr als 4 Jahrzehnte lang Direktor dieses Instituts war, von dem bekannten Mongolisten Prof. Dr. L. Ligeti als Kurator verwaltet. Gegenwärtig wird der Lehrstuhl von Dr. S. Kakuk geleitet.

Von den weiteren 38 Studien sind die meisten (16) der Erforschung der Probleme der alttürkischen Sprachen und Kulturen gewidmet.³ Interpretation der verschiedenen Sprachdenkmäler, Probleme der Lehnwortforschung und Beiträge zur Geschichte bzw. Kulturgeschichte der einzelnen alten Türkvolker stehen im Mittelpunkt dieser Aufsätze.

Den Ausgangspunkt für einige Beiträge (6) bildet die Problematik der früheren bzw. mittelalterlichen Kontakte der Ungarn mit den türkischen Sprachen und Völkern.⁴ Die Erörterungen selbst gehen aber weiter und werden in einen all-gemeintürkologischen Rahmen eingebaut.

Viele von den Beiträgen sind osmanistische Studien, die in der ungarischen Turkologie eine hervorragende Rolle spielen (9).⁵ Darunter nimmt die Erörterung der Fragen der türkischen Botmässigkeit in Ungarn (Quelleninterpretation, wirtschaftsgeschichtliche Probleme usw.) einen bedeutenden Platz ein. Weitere Studien beschäftigen sich mit Problemen der osmanisch-türkischen Sprachgeschichte.

³ Aalto, P.: *Iranian Contacts of the Turks in Pre-Islamic Times* (pp. 29—37); Bazin, L.: *Note sur *angyirt, nom turco-mongol d'une variété de „canard“* (pp. 55—59); Bodrogligeti, A.: *A Grammar of Mameluke-Kipchak* (pp. 89—102); Bombaci, A.: *The Husbands of Princess Hsien-li Bilgü* (pp. 103—123); Clauson, G.: *Some Notes on the Inscription of Toñuquq* (pp. 125—132); Czeglédy, K.: *Pseudo-Zacharias Rhetor on the Nomads* (pp. 133—148); Eckmann, J.: *Eastern Turkic Translations of the Koran* (pp. 149—159); Gabain, A. v.: *Frühe Zeugen der Scherengitter-Jurte* (pp. 169—173); Kljaštornyj, S. G.: *Runičeskaja nadpis' iz Vostočnoj Gobi* (pp. 249—258); Köhalmi, K. U.: *Drei alte innerasiatische Benennungen des Waffengürtels* (pp. 267—279); Ligeti, L.: *Autour du Säkiz yükmäk yaruq* (pp. 291—319); Šöerbak, A.: *Zamečanija o tekste i jazyke Tašašuk-näme* (pp. 431—440); Tezcan, S.—Zieme, P.: *Uigurische Brieffragmente* (pp. 451—460); Tryjarski, E.: *A Note on the Relations between the Pechenegs and Poland* (pp. 461—468); Vásáry, I.: *Käm, an Early Samoyed Name of Yenisey* (pp. 461—482); Yamada, N.: *Four Notes on Several Names for Weights and Measures in Uighur Documents* (pp. 491—498).

⁴ Bárczi, G.: *Le traitement de š et č dans les mots d'emprunt turcs du proto-hongrois* (pp. 39—46); Györfy, Gy.: *Der Aufstand von Koppány* (pp. 175—211); Németh, J.: *Noms ethniques turcs d'origine totémistique* (pp. 349—359); Pais, D.: *A propos de l'étymologie de l'ethnique oğur* (pp. 361—373); Palló, M. K.: *Ung. gyúl „sich entzünden“ und gyújt „anzünden“ und ihr türkischer Hintergrund* (pp. 375—383); Róna-Tas, A.: *On the Chuvash Guttural Stops in the Final Position* (pp. 389—399).

⁵ Blaskovics, J.: *Türkische Quellen, das Wort kuruc betreffend* (pp. 73—88); Fehér, G. jr.: *Recent Data of the Turkish Campaign of 1543* (pp. 161—167); Halasi-Kun, T.: *Unidentified Medieval Settlements in Southern Hungary. Ottoman: nām-i diğér* (pp. 213—230); Hazai, G.: *Zur Frage der historischen Entwicklung der Personalendungen im Osmanisch-Türkischen* (pp. 231—234); Horváth, A.: *The Cattle Trade of a Hungarian Town (Szolnok) in the Period of Turkish Domination* (pp. 235—240); Káldy-Nagy, Gy.: *The Effect of the Tīmār-System on Agricultural Production in Hungary* (pp. 241—248); Korkmaz, Z.: *Wer ist der Übersetzer des Qābūs-nāme und des Marzubān-nāme?* (pp. 259—266); Schütz, E.: *Jeremia Čelebis türkische Werke (Zur Phonetik des Mittelosmanischen)* (pp. 401—430); Vass, E.: *Éléments pour compléter l'histoire de l'administration des finances du vilayet de Budı au XVI^e siècle* (pp. 483—490).

Die anderen Studien im Band (7) erörtern Fragen der Geschichte der türkischen Sprachen und Literaturen oder liefern wertvolle Beiträge zur Erforschung der modernen türkischen Sprachen.⁶

Der inhaltsreiche Sammelband ist eine Bereicherung der wissenschaftlichen Literatur der Turkologie. Er ist zugleich ein Ausdruck der Selbständigkeit dieser Studien.

Der vielfältige Sammelband, der als Anerkennung der hundertjährigen Tätigkeit des turkologischen Lehrstuhls in Budapest dargebracht wurde, wird den ungarischen Turkologen gewiss zahlreiche Anregungen geben. Er gibt Hinweise, in welchen Bereichen die ungarischen Turkologen ihre Studien zu erweitern haben; in welchen Bereichen sie auf gewisse Traditionen zurückgreifen und gewisse Disziplinen erweitern bzw. in das Forschungsrepertoire als Novum einführen sollten. Es besteht kein Zweifel daran, dass diese indirekten Anregungen offenen Ohren begegnen werden. Mögen sie zur weiteren erfolgreichen Tätigkeit der ungarischen Turkologie beitragen.

Georg Hazai

Hadży Mehmed Senai z Krymu, Historia Chana Islam Gereja III. Tekst turecki wydał, przełożył i opracował Zygmunt Abrahamowicz. Uzupełniający komentarz historyczny Olgierd Górka i Zbigniew Wójcik pod redakcją naukową Zbigniewa Wójcika (Hadży Mehmed Senai aus der Krim, Geschichte des Chans Islam Gerej III. Türkischer Text herausgegeben, übersetzt und bearbeitet von Zygmunt Abrahamowicz. Ergänzender historischer Kommentar von Olgierd Górka und Zbigniew Wójcik unter der wissenschaftlichen Redaktion von Zbigniew Wójcik). Warszawa, PWN 1971. 202 + 71 S.

Es ist eine der Aufgaben der polnischen Orientalistik, die Quellen zu den Beziehungen zwischen Polen (Rzeczpospolita), dem Osmanischen Reich, der Krim sowie Persien herauszugeben. Diese Aufgabe hat nicht nur den heimatkundlichen Zweck, den Reichtum der orientalistischen Quellen den eigenen Forschern zugänglich zu machen, sondern es gebührt ihr auch vom allgemeinen Gesichtspunkt der Orientalistik aus eine besondere Aufmerksamkeit. Die Probleme des europäischen Ostens, besonders der einige Jahrhunderte lange Kontakt zwischen der slawischen und

⁶ Baskakov, N. A.: *Priroda i funkcionalnoje značenije svjazki v sostave predloženiya v tjurkskich jazykach* (pp. 47–54); Bicari, H.: *Fuzulinin allegorik eserleri* (pp. 61–72); Laude-Cirtautas, I.: *Uzbek Matrimonial Forms of Address* (pp. 281–289); Lőrincz, L.: *Parallelen in der mongolischen und altaitürkischen Epik* (pp. 321–330); Mándoky, E.: *Chants šing des Tatars de la Dobroudja recueillis en Bulgarie* (pp. 331–348); Reychman, J.: *Tschuwassisch salygaj = Nachtigall (luscinia luscinia)?* (pp. 385–387); Tenišev, E.: *K istorii tjurkskogo uslovnogo nakloneniya* (pp. 431–449).

slamischer Welt, sind nämlich nicht so bearbeitet, wie sie es sich mit Rücksicht auf die Bedeutung verdienen würden. Eine weitere, keine unbedeutende Tatsache ist der aktuelle wissenschaftliche Bedarf, die alten, oft entstellten, aus der einseitigen Quellenbasis hervorgehenden Ansichten über die Kontakte Europas mit dem Orient, in diesem Fall über die polnisch-türkisch-tatarischen Beziehungen, zu überwinden. Diese, oft auch durch eine bewusste Tendenz der europäischen Quellen verursachte Tatsache hatte manchmal zur Folge, dass viele Aspekte der politischen, kulturellen und wirtschaftlichen Entwicklung der islamischen Nachbarländer falsch aufgefasst wurden.

Die besprochene polnische Edition der tatarischen Chronik von Mehmed Senai, *Historia Chana Islam Gereja III.*, die sich mit dem Zeitabschnitt 1644—1651 befasst, ist das Werk des Turkologen Zygmunt Abrahamowicz aus Krakau. Z. Abrahamowicz ist der Editor des Textes, sein Übersetzer ins Polnische und sein Kommentator, sowie der Autor des umfangreichen Vorwortes. Der Teil der historischen Kommentare wurde von Z. Wójcik bearbeitet, der auch der wissenschaftliche Redaktor der Edition ist. Einige historische Bemerkungen stammen aus der Feder des verstorbenen Professors O. Górka, des Entdeckers dieser Quelle für die polnische Geschichte und des Initiators der Edition.

Die Edition der Chronik geht von der Kopie aus, die im British Museum, London (Add. 7870) erhalten ist, und die als bisher einziges Exemplar dieses Werkes bekannt ist. Die allgemeinen Angaben über die Chronik und die Grundsätze der Transkription werden in dem *Vortwort* (S. 9—12) von Z. Abrahamowicz angeführt.

Die Arbeit an der Edition und der Übersetzung, besonders der orientalischen Quellen, bringt eine ganze Reihe von Problemen, textologischen, philologischen und auch historischen Charakters mit sich, die mit dem Text eng verbunden sind, wo oft eine tiefe Kenntnis der in der Quelle besprochenen Ereignisse erforderlich ist, um diese zu verstehen. Deshalb ist es zu begrüßen, dass der Herausgeber Z. Abrahamowicz ausser der reich kommentierten Übersetzung auch Einleitungsaufsätze veröffentlicht, die die Persönlichkeit und das Werk des Autors der Chronik dem Leser annähern, toponymische und topographische Probleme aus dem Gebiet der Krim und der Ukraine lösen, und auch einige Informationen der Chronik kritisch einschätzen. Der erste Aufsatz unter dem Titel *Der Autor und das Werk* (S. 13—21), bringt in drei Teilen, auf Grund sehr bescheidener Angaben des Autors selbst, das Bild des krim'schen Chronisten, seine Quellen, die Komposition der Chronik und die Zeit ihres Entstehens. Es handelt sich um sehr wertvolle Bemerkungen, die nicht nur als festgestellte Tatsachen, sondern auf eine gewisse Art auch als methodologischer Beitrag von grosser Bedeutung sind. Ähnliche Probleme kommen bei einer ganzen Reihe osmanischer Historiker vor, die weder in der damaligen *tezkere*, noch in späteren Arbeiten über die osmanische Historiographie erwähnt werden, und es wird notwendig sein, bei ihrer Bearbeitung von den Angaben der Autoren selbst, soweit diese natürlich solche Angaben enthalten, auszugehen.

Bei der Analyse der Quellen der Chronik *Senā'īs* gelang es Z. Abrahamowicz, die Grundquellen des Werkes festzustellen. Da das Werk auf Bestellung von Chan entstanden ist, nimmt Abrahamowicz richtig an, dass einen Teil des geschriebenen Materials, wie die Tagebücher der drei tatarischen Feldzüge gegen Polen in den Jahren 1648—1649, oder andere Notizen aus der Kanzlei des Chans, der Autor direkt vom Chan, durch seinen Wesir bekam. Er hält es auch für wahrscheinlich, dass *Senā'ī* auch mündliche Informationen ausnützte. Eigene Eintragungen des Autors sind schwer festzustellen und nach der Meinung von Z. Abrahamowicz nicht gross.

Seine Betrachtungen über die Entstehung der Chronik und ihre Komposition schliesst Abrahamowicz mit der Vermutung ab, dass das Werk in den Monaten Mai—Juli 1651 geschrieben wurde.

Ein verhältnismässig umfangreicher Aufsatz unter dem Titel *Ausgewählte Probleme der Geographie und der Geschichte in der Chronik Senā'īs* (S. 22—77) ist der Analyse der örtlichen Benennungen und Ereignisse aus der polnischen und der Kosakengeschichte in der Chronik *Senā'īs* gewidmet. Abrahamowicz ging nach den Tagebüchern der tatarischen Feldzüge vor und identifiziert die in ihnen enthaltenen Lokalitäten mit Hilfe der historischen Landkarten und versucht auch die Etymologie der einzelnen Toponyma aufzuzeigen. Die Eingliederung dieses Teiles in das Vorwort erfolgte offenbar daraus, dass der Editor den Bemerkungsapparat zum Text nicht überlasten und die geographischen sowie topographischen Probleme nicht in einen Teil zusammenfassen wollte. Unserer Ansicht nach, wäre es sehr geeignet gewesen, diesem Teil eine übersichtliche Landkarte beizufügen.

Einer besonderen Analyse unterzog Z. Abrahamowicz auch die Angaben der Chronik *Senā'īs* über Polen und die Kosaken. Er stellt fest, dass die Chronik die allgemeine Meinung über Polen in der Krim zum Ausdruck bringt. Weiter konfrontiert er einige Berichte der Chronik mit den polnischen Quellen und führt eine ganze Reihe von Korrekturen älterer Ansichten und Bemerkungen, die die Übersetzungen tatarischer Dokumente betreffen, an. In dem Teil über die Berichte der Kosaken ist B. Chmelnicki, besonders seinem Übertritt zum Islam während der türkischen Gefangenschaft, die grösste Aufmerksamkeit gewidmet. Abrahamowicz widerlegt diesen Bericht des osmanischen Historikers Na'ima als unwahr und ununtergelegt.

Der letzte Aufsatz *Die gesamte Einschätzung der Chronik Senā'īs* (S. 78—85) geht von dem Kontext der Historiographie der krim'schen Tataren aus. Wenn auch dieser Absatz dem Zweck dient, es dem Leser zu ermöglichen, das Werk *Senā'īs* besser zu begreifen, so bringt er auch einige allgemeine Erscheinungen der islamischen Historiographie zum Ausdruck.

Die polnische Übersetzung bemüht sich, das osmanische Original genauestens zu interpretieren und ihr Wert wird noch durch die umfangreichen philologisch-historischen Bemerkungen (S. 138—198) erhöht. In den Bemerkungen sind islamische Termine erklärt, die Ereignisse der Chronik auf Grund der reichen

Literatur kommentiert und es fehlt auch nicht an Übersetzungsbemerkungen. Der Teil der historischen Bemerkungen stammt aus der Feder Z. Wójciks. Der Wert dieses Bemerkungsapparates kann von vielen Seiten hoch geschätzt werden.

Die Bibliographie (S. 199—203) führt nur die wichtigsten Arbeiten, die in dem Vorwort oder in den Bemerkungen zitiert sind, an.

Der osmanische Text (S. 3—63), da es sich um eine Edition auf Grund einer Handschrift handelt, bringt keine ausserordentlichen Editionsprobleme mit sich. In den Bemerkungen zum Text weist der Editor vorwiegend auf die Fehler des Abschreibers hin und fügt noch andere textologische Bemerkungen hinzu. Die Seiten 64—71 enthalten das Faksimile der Handschrift.

Die Herausgabe der Chronik *Senā'is* ist ein wertvoller Beitrag der polnischen Orientalistik nicht nur zur eigenen Geschichte, sondern auch zum Erkennen der Vorstellungen der Nachbarwelt und dies durch eine Edition hohen Niveaus.

Vojtech Kopčan

Ferenc A. Váli, *Bridge across the Bosphorus. The Foreign Policy of Turkey*. Baltimore and London, The John Hopkins Press 1971. XIV + 410 pp.

An inquiry into modern history is not a very rewarding undertaking. Researchers engaged on work along this line are handicapped by an insufficient lapse of time liveliness of the material and also by a lack of adequate information. They know that their judgements are often relative and sometimes already out of date when the work is being published. This is especially evident in works dealing with foreign policy. The information being given to the public is so much retarded. That is the cause why we are in short on the good works about the Turkish foreign policy.

The professor of the University of Massachusetts, Ferenc A. Váli undertook such a difficult task. He chose the comparative method to avoid simplification of problems and to enable various explications of the basic issues to be given.

In the 1st chapter—*From Empire to Nation State* the author is interested in the Ottoman past, the Kemalist revolution and transformation in social thinking. Then comes to *Foundations of Turkey's Foreign Policy* in the 2nd chapter. He is interested in the geopolitical, ethnical and ideological rudiments of the foreign policy, in nationalism and secularism.

The 3rd chapter deals with a description and analysis of the Turkish political parties and public opinion and effects of the former on relations between internal and foreign policy. In the 4th chapter Prof. Váli describes the presence of Americans in Turkey after World War II, Turkey's entrance and membership in NATO and the consequences this entailed for Turkish foreign policy.

Chapter 5 describing the Turkish-Soviet relations, problems about the Straits,

and relations between Turkey and the socialist countries in the Balkans follows logically. The sphere of the Turkish-Greek relations and the question of Cyprus is also of great interest, especially the contradiction between Turkey and Greece and both their nationalities on Cyprus. Equally actual are also the problems dealt with in chapter 7—relations between Turkey and Middle Eastern States, and Turkey's membership in CENTO.

In the last two chapters the author makes attempts at a synthesis. He describes goals and problems of Turkish foreign policy, the influence of economy, Turkish participation in the integrated alliances and regional co-operation. Finally, the author deals with ambitions and possibilities of Turkey's foreign policy and appends a list of useful references.

The overall impression one gathers from a perusal of this book is that it is a work trying to judge present-day foreign policy against a historical background. The author makes use of published material, but he utilizes especially consultations with the leaders of Turkish policy, journalists and intellectuals to get to the roots of Turkish political thinking. A great deal of the material he acquired also from the U.S. State Department, The British Foreign Office, from NATO's and Common Market's institutions.

A positive trait is that the work tackles the turning-points which have affected Turkish foreign policy in an essential manner, such as the nationalities problem and nationalism, the attitude towards the Middle East and its problems, Turkey's position in World War II and the arrival of the Americans to Turkey, Turkish-Soviet relations, Turkey's membership in NATO, etc.

Váli judged the Turkish programme of national development, efforts to approach the advanced European countries, and the question why transformation of Turkey from a traditional Islamic country into a modern national state is a unique process in this part of the world, unique also as regards its intensity.

Váli characterized efforts of the "sick man on the Bosphorus" for the full recognition of his rights by the European States. He analyses attempts by Turkish leaders to exploit with this and in view of Turkish participation in the West-European integrated alliances, e.g. in NATO and Common Market. There are the efforts which made the strong association of the Turkey's fate with the western strategy and mainly with the policy of the United States.

He is less concerned with Turkey's development in more recent years when Turkish leaders decided to identify the aims of their country with the interests of the United States and the Soviet Union began to participate in the affairs of the Middle East. That period of the shakes in this part of the world evoked disgust of the Turkish population against the one-sided foreign policy. Turkish foreign policy has begun to change: the government tries to improve its relations with the Soviet Union and its Balkans neighbours; it has limited Turkey's participation in NATO, keeps up relations with Israel but also with Arab countries. The changes are slow

and careful, but they are speeding up a growth of nationalism and lead to a more consistent defence of national interests.

The author has only hinted at these three problems, he refrains from going into details. His advance is probably caused by a shortage of available documentary materials about the situation which is still changing, as well as by the anxiety of avoiding premature judgements. In spite of these facts Professor Váli's work is a valuable one and represents comparative research in a field which is of great interest but is a little studied.

Jozef Braun

Heidrun Wurm, *Der osmanische Historiker Hüseyin b. Ğäcfer, genannt Hezärfenn, und die Istanbuler Gesellschaft in der zweiten Hälfte des 17. Jahrhunderts*. Freiburg im Breisgau, Klaus Schwarz Verlag 1971. 214 S. Islamkundliche Untersuchungen. Band 13.

Wie die Autorin bereits im Vorwort sagt, ist die besprochene Arbeit „eine Untersuchung zur osmanischen Kulturgeschichte des 17. Jahrhunderts und befasst sich mit der Person des 1691/2 gestorbenen Historikers *Hüseyin b. Ğäcfer*, genannt *Hezärfenn*, über dessen Leben und Werke bisher wenig bekannt war“. Und weiter setzt sie fort: „In der Fachwelt ist man sich schon seit längerem bewusst, dass *Hezärfenn* in den kulturellen Beziehungen zwischen Osmanen und Europäern eine besondere Rolle gespielt hat: eine genauere Untersuchung der Quellen lag jedoch bisher nicht vor. Die Feststellung dieser Quellen, ihre Auswertung und die Beantwortung der Frage nach der Stellung *Hezärfenns* im geistigen Leben seiner Zeit war die Aufgabe, die wir uns mit dieser Arbeit vorgenommen hatten“.

Die Ergebnisse ihres Studiums fasst die Autorin in sieben Teilen zusammen: I. *Einleitung*; II. *Hezärfenn und die osmanische Gesellschaft*; III. *Hezärfenns Leben*; IV. *Hezärfenns Werke*; V. *Hezärfenns Interesse für Europa und die Europäer*; VI. *Persönlichkeit Hezärfenns*; VII. *Zusammenfassung*.

In der Einleitung (S. 4-6) charakterisiert Heidrun Wurm die Zeit, in der *Hezärfenn* lebte, besonders das Abbild des untergehenden osmanischen Staates in den intellektuellen Kreisen des Imperiums, die sich für Europa interessierten. Die Autorin kritisiert mit Recht Heinz und Berkes, die während sie sich in ihren Werken mit der Tulpenzeit befassen, von der Entwicklung im 17. Jahrhundert absehen und die Orientierung gewisser Kreise auf Europa nur mit der Tätigkeit Ahmed III. und Damad Ibrahim Paschas verbinden. Von den vorherigen Feststellungen ausgehend, stellt die Autorin die Gestalt *Hezärfenns* in den Mittelpunkt ihres Studiums, um an dessen Leben und Werk das Bild des Lebens der gebildeten Gesellschaft in Istanbul in der zweiten Hälfte des 17. Jahrhunderts zu zeigen.

Das zweite Kapitel (S. 7–72) ist der umfangreichste Teil des Buches. Heidrun Wurm schätzt hier die allgemeinen Möglichkeiten des Kontaktes verschiedener Gruppen der osmanischen Gesellschaft mit den Europäern ein. Sie hält sie, vor allem in den intellektuellen Kreisen der osmanischen Gesellschaft, für grösser, als es auf Grund der kurzen Berichte aus den Quellen vorkommen könnte, wie immer sie auch motiviert sein mögen. Sie weist auf die Hauptpersönlichkeiten, um die sich die osmanischen Literaten, Wissenschaftler und Künstler jener Zeit gruppierten, hin.

Die Übersicht beginnt mit dem kulturellen Leben am Hofe des Sultans Mehmed IV. An dem Beispiel verschiedener Künstler und Wissenschaftler zeigt die Autorin die kulturelle Initiative des Sultans, die weder Kontakte mit Europa, noch den europäischen kulturellen Einfluss ausscheidet, ebenso wie seinen Anteil an der kulturellen Entwicklung des Landes. Weiter verfolgt sie den Kreis des Lieblings des Sultans, *Muṣahib Muṣtafa Pascha*, sowie auch die Gruppe, die die Grosswesire aus dem Geschlecht *Köprülü*, *Ahmed* und *Muṣtafa*, *Şeyhülislam Yahya*, *Vişnezâde Mehmed el-‘Izzeti* und *Şeyhülislam Anqaravi Mehmed* umringte. Der Autorin gelang es, die intellektuellen Kreise, die in der osmanischen Kultur der zweiten Hälfte des 17. Jahrhunderts eine wichtige Rolle spielten, sowie Einzelne, die aktive Beziehungen zu den Europäern hatten, plastisch darzustellen. Sie bringt Beweise über Kontakte dieser Menschen mit den Europäern und ist bestrebt zu zeigen, in welchen Kreisen sich *Hezârfenn* bewegte.

Der Beschreibung des Lebens *Hezârfenns* ist das dritte Kapitel gewidmet (S. 73–84), das hinsichtlich der kleinen Anzahl von Quellen, verhältnismässig kurz gefasst ist. Auch hier ist dem Zeitabschnitt, der im Hinblick auf die literarische Tätigkeit *Hezârfenns* und die Kontakte mit den Europäern, vom Gesichtspunkt seiner Persönlichkeit am bedeutendsten ist, nämlich den Jahren 1670–1686, grosse Aufmerksamkeit gewidmet.

Mit dem Lebenslauf *Hezârfenns* ist das Kapitel, das seine Werke behandelt (S. 85–121), sehr eng verbunden. Heidrun Wurm bringt 13 Werke *Hezârfenns* mit Hinweisen auf ihre Erhaltung und ihren kurz oder länger gefassten Inhalt. Es ist die bisher kompletteste Übersicht der Schöpfung *Hezârfenns* mit wertvollen Notizen über die einzelnen Handschriften, Übersetzungen und Feststellungen, was die Autorschaft *Hezârfenns* im Bezug auf das Werk *Tarih-i Sefer-i Beć* anbelangt.

Den konkreten Beziehungen *Hezârfenns* zu den Europäern ist das fünfte Kapitel (S. 122–149) gewidmet. Die Autorin bemüht sich zu erklären, aus welchen Gründen sich dieser gebildete Osmane für Europa und die nichtislamische Welt überhaupt interessierte. Sie sieht den Grund eher in der einheimischen Anregung und seinen Freunden, mit *Katib Ćelebi* an der Spitze. Im persönlichen Kontakt sind es überwiegend Franzosen und Venezianer, in deren Berichten sich auch die meisten Erwähnungen über *Hezârfenn* befinden. Ihren Berichten nach, versucht Heidrun Wurm, einige Ansichten *Hezârfenns* über Europa zu interpretieren.

Die Ansichten auf die Persönlichkeit *Hezârfenns* auf Grund der europäischen

Berichte und seines eigenen Werkes, bringt die Autorin im sechsten Kapitel (S. 150–160). Sie analysiert die Motivierung der Interessen *Hezārfenns* für die Erkenntnis der Prinzipien des osmanischen Staates und der Umwelt, in seiner aufrichtigen Bestrebung, die Ursache des Untergangs des Osmanischen Reiches zu finden und Massnahmen vorzubereiten, um den Untergang zu verhüten. H. Wurm befasst sich mit dem Einfluss der Philosophiegeschichte Ibn Chalduns auf *Hezārfenn* und mit den neuen Elementen in *Hezārfenns* Entwürfen über die Reformationstätigkeit.

In der *Zusammenfassung* (S. 161–166) vergleicht H. Wurm die drei grossen Gestalten *Katib Čelebi*, *E. Čelebi* und *Hezārfenn* im Gesamtkontext der osmanischen Kultur des 17. Jahrhunderts und betont wiederholt die geistige und kulturelle Verbundenheit des 17. Jahrhunderts mit der Tulpenzeit, in der die Zeichen dieser Entwicklung mehr zum Ausdruck kamen.

Über übersichtliche Tafel der Kontakte der Europäer mit den *Hezārfenn* nahe stehenden Kreisen, und eine reiche Bibliographie ergänzen das Buch.

Das Buch von Heidrun Wurm bringt ausser dem reichen Material über die Gestalt *Hezārfenns* auch einen wertvollen Blick in die kulturelle Entwicklung einer wichtigen Periode der osmanischen Geschichte.

Vojtech Kopčan

Moderne türkische Lyrik. Eine Anthologie. Herausgegeben von Yüksel Pazarkaya. Tübingen—Basel, Horst Erdmann Verlag 1971. 251 S.

Ein Repräsentant der jüngsten türkischen Dichtergeneration, *Yüksel Pazarkaya*, der seit dem Jahr 1958 in der Bundesrepublik Deutschland lebt, unternahm eine sehr wichtige und lobenswerte Tat. Er verfasste und übersetzte eine umfangreiche Auswahl der türkischen Dichtung dieses Jahrhunderts, versah sie mit einem wertvollen Einführungssessay, das die Entwicklung der modernen türkischen Poesie mit allen ihren Bewegungen und Richtungen verfolgt.

Das umfangreiche Einführungssessay des Herausgebers (S. 9–44) beginnt mit dem Rückblick auf die historische Entwicklung der alten türkischen und osmanischen Poesie, von welcher die modernen türkischen Lyriker ausgingen. Der Leser kann sich über die gegenwärtige türkische Lyrik, die eine fruchtbare Synthese orientalischer Traditionen, europäischer Anregungen und eigener schöpferischer Impulse darstellt, ohne zumindest ihre Grundrisse kennenzulernen, kaum ein geschlossenes Bild machen.

Das Einführungssessay wird mit einer kurzen Charakteristik der vorislamischen Periode bis zum 11. Jahrhundert eröffnet. Nach der Annahme des Islams entsteht in der Entwicklung der türkischen Poesie eine Dualität, der sich nach der Entstehung

des Osmanischen Reiches noch ausprägte. Die Entwicklung der Lyrik geht in zwei parallelen Richtungen vor. Auf der einen Seite ist es die höfische Diwan-Dichtung in der klassischen islamischen *Aruz*-Form, in der sog. osmanischen Künstlersprache geschrieben, die zu 80 Prozent persische und arabische Wörter enthält, auf der anderen Seite ist es die Volkslyrik, die auch dem heutigen Leser verständlich ist. *Pazarkaya* hält bei dem grossen Volksdichter und Mystiker *Yunus Emre* an, dessen 600 Jahre altes poetisches Werk noch immer auf die türkischen Leser wirkt.

In der weiteren Entwicklung wird der Einfluss der Volkspoesie auf die Diwan-Dichtung immer deutlicher. Die osmanische Sprache, wie es *Pazarkaya* ausdrückte, stellt sich wie eine unüberschreitbare Barriere zwischen die Dichter und das Volk und verzeichnet mit dem Verfall des Osmanischen Reiches auch ihren allmählichen Untergang. Die Sprachartistik wurde von anderen Themen, die von der westeuropäischen, besonders der französischen Literatur beeinflusst waren, abgelöst. Ein kurzer historischer Exkurs endet mit der Hervorhebung der Bedeutung der Literatur des *Tanzimat* und *Servet-i Fünun*.

Yahya Kemal Beyatlı und *Ahmet Haşim*, als letzte Repräsentanten der Diwan-Dichtung, eröffnen den Überblick der Entwicklung der türkischen Lyrik des 20. Jahrhunderts. Dann folgt eine kurze Erwähnung der Gruppe der sog. *Fünf Dichter der Silbe* (*Hecenin Beş Şairi*, 1914) und der Bewegung *Sieben Fackelträger* (*Yedi Meşalacılar*, 1928). Mehr Aufmerksamkeit widmet der Verfasser der dichterischen Schöpfung der dreissiger Jahre, die vor allem von *Tanpınar*, *Dranas* und *Tarancı* repräsentiert wird. Sie haben es offensichtlich geschafft, die poetischen Dimensionen des silbenzählenden Metrums zu erweitern und den eintönigen, oberflächlichen Eindruck von den ersten Versuchen ihrer Vorgänger überzeugend zu beseitigen. Nach *Pazarkaya* war es ihr Verdienst, dass *Aruz* aus der türkischen Lyrik definitiv beseitigt wurde und dass das silbenzählende Metrum breit zur Geltung kam. Die Symbolik ihrer Gedichte dient zum Ausdruck der täglichen Realität in ihrer ständigen Wandlung. Der Autor des Essays bezeichnet *Cahit Sıtkı Tarancı* als den Dichter, der bei der Wegbereitung für die Bewegung *Garip* eine wichtige Rolle spielte.

Ein selbständiger Abschnitt des Einleitungssays ist der Bedeutung der Tätigkeit *Nazım Hikmets* gewidmet. Der Autor hebt die Vielschichtigkeit und den Polyperspektivismus der Tätigkeit *Hikmets*, seine poetische Konzentrierung und Humanität hervor.

Ein grosses Interesse der breiten Schichten von Lesern und aufgeregte Diskussionen in den literarischen Kreisen rief das dichterische Manifest der Dichter *Orhan Veli Kanık*, *Oktay Rifat* und *Melih Cevdet Anday* hervor. Nach diesem Manifest wurde auch die dichterische Bewegung der vierziger Jahre—*Garip* (*Fremdartig*) benannt. *Pazarkaya* bewertet in der *Garip*-Lyrik das Neue, die Kriterien dieser Lyrik und den breiten Widerhall, den sie hervorgerufen hatte. Die Einfachheit, die durch die Beziehung der Dichter zur Volksdichtung gegeben ist,

die Spontanität und die Selbständigkeit bezeichnet *Pazarkaya* als Hauptkriterien dieser Bewegung. Dazu gehört noch die Vereinigung der Sprache und ihre weitgehende Reduktion, die anwachsende Vergesellschaftung und die soziale Engagierung ihrer Poesie. Darin ist auch der Einfluss der Poesie *Hikmets* auf die Bewegung *Garip* offenbar ersichtlich. So wie *Nazım Hikmet*, zogen auch diese Dichter die Problematik des Inhalts der Problematik der Form vor.

Weiter folgt eine Übersicht von Dichtern, die sich der Bewegung *Garip* angeschlossen hatten, oder ihr durch ihre Schöpfung sehr nahe standen und von Dichtern, die unter dem Einfluss *Nazım Hikmets* schufen.

In eine besondere Gruppe reiht *Pazarkaya* jene sechs Dichter ein, die er als unnachahmbare Individuen der modernen türkischen Lyrik, als ihre Elite, bezeichnet. Es sind *Asaf Halet Çelebi*, dessen Gedichte ein Manifest der Unruhe und Unsicherheit im Bewusstsein darstellen, *Fazıl Hüsnü Dağlarca*, der produktivste türkische Dichter, *Behçet Necatigil*, der von *Pazarkaya* als der eigenartigste sensibelste gegenwärtige Dichter der Türkei bezeichnet wird, *İlhan Berk*, der eine Synthese der türkischen dichterischen Traditionen mit der europäischen Moderne erreichte, *Cahit Külebi*, in dessen Gedichten der Lyrismus der tradierten Volksdichtung zu einem besonderen Aufschwung heranwuchs und *Attila İlhan*, der an die Diwan-Tradition anknüpfte.

Die Lyrik der fünfziger Jahre wird von der Bewegung *Die zweiten Neuen* repräsentiert. Sie wiesen das poetische Programm der Bewegung *Garip* ab, und versuchten ihr eigenes zu schaffen. Ihr Vorbild fanden sie in der westlichen Nonsense-Poesie. Ihre Gedichte sind durch Ablenkung von der Realität, durch Imagination der Sprache, durch Abweisung der Sprachnormen und durch das Suchen der neuen Strukturen charakterisiert. Von dieser Richtung weicht nur eine Poetin der vorgelegten Auswahl, *Gülten Akin*, durch ihre feine, leichte und doch sparsame Art des Ausdruckes, ab.

Die dichterische Generation, deren schöpferischer Anfang in die sechziger Jahre fällt, eignete sich verschiedene dichterische Aspekte an, schuf eine Menge von Strömungen, Stilen und Strukturen.

Die Anthologie wird durch die Auswahl der Schöpfung der sieben Repräsentanten der jüngsten türkischen dichterischen Generation abgeschlossen.

Die zweiundfünfzig Dichter, die in der vorgelegten Auswahl vertreten sind, werden in acht Gruppen eingeteilt: 1. Steig vom Diwan: *Yahya Kemal*, *Ahmet Haşım*, *Faruk Nafiz*, *Kemalettin Kamu*. 2. Silbenzählende Symbolisten: *Ahmet Hamdi*, *Ahmet Kutsi*, *Necip Fazıl*, *Ahmet Muhip*, *Cahit Sıtkı*, *Ziya Osman*. 3. Lyrik aus neuer Feder: *Nazım Hikmet*. 4. *Garip* — die Dichtung der Fremdartigen: *Orhan Veli*, *Oktay Rifat*, *Melih Cevdet*, *Bedri Rahmi*, *Orhon Murat*, *Celal Sülay*, *Salah Bırsel*, *Mehmed Kemal*, *Sabahattin Kudret*, *Rüştü Onur*, *Necati Cumalı*, *Özdemir Asaf*. 5. Die sozial und thematisch Engagierten: *Ercüment Behzad Lav*, *Rifat Ilgaz*, *Cahit Saffet Irgat*, *A. Kadir*, *Hasan Şimşek*, *Ceyhan Atuf Kansu*,

Nezhat Üstün, Ahmed Arif. 6. Poesie — Engagement und Wagnis der Einzelgänger: *Asaf Halet Çelebi, Fazıl Hüsnü Dağlarca, Behçet Necatigil, Cahit Külebi, İlhan Berk, Attila İlhan.* 7. Die zweiten Neuen: *Turgut Uyar, Metin Egoğlu, Edip Cansever, Cemal Süreya, Ece Ayhan, Ahmet Oktay, Gülten Akin, Ülkü Tamer.* 8. Aussichten: *Özdemir İnce, Yüksel Pazarkaya, Halkur Aker, Egemen Berköz, Atıf Behramoğlu, Süreyya Berfe, İsmet Özel.*

Der Herausgeber ergänzte die Anthologie mit einer Liste der zitierten Dichter samt Angaben über die Grunddaten ihres Lebenslaufes, sowie mit einem Überblick ihrer Schöpfung, nach Alphabet gereiht und mit Erklärungen zu den einzelnen Gedichten.

Die vorgelegte Publikation, die so alle formalen als auch thematischen Strömungen der modernen türkischen Lyrik aufgreift, bedeutet einen grundsätzlichen Beitrag zu ihrem Erkennen, ermöglicht den deutsch lesenden Kreisen, sich ein Gesamtbild über die Entwicklung und den gegenwärtigen Zustand der türkischen Poesie zu schaffen, die im Kontext der modernen Lyrik in der Weltliteratur bestimmt nicht vernachlässigt werden soll. Die Tat des Herausgebers ist umso wertvoller, da bis jetzt so eine umfangreiche und ungleichartige Auswahl der modernen türkischen Lyrik noch nirgends veröffentlicht wurde.

Xénia Celnarová

Cahit Öztelli, Yunus Emre. Yeni Belgeler — Bilgiler. Ankara, Ayyıldız Matbaası A. Ş. 1971. 60 S.

Obwohl mehr als 650 Jahre seit dem Tode des türkischen mystischen Dichters *Yunus Emre* verlaufen sind, bleibt seine Gestalt immer noch von Geheimnis umhüllt, das, trotz der fleissigen Forschung vieler Historiker und Literaturwissenschaftler, bis heute nicht gelungen ist, vollkommen aufzuklären.

In der von uns vorgelegten Studie bringt der Autor, *Cahit Öztelli*, der lange Jahre auf dem Gebiet der Volksliteratur tätig war (im Jahre 1971 gab er auch die gesammelten dichterischen Werke *Yunus Emres*¹ heraus) neue Tatsachen über das Leben und den Tod des berühmten Mystikers, die er auf Grund der bisher nicht veröffentlichten, im Laufe der letzten 15—20 Jahre in verschiedenen Archiven entdeckten Dokumente erworben hatte.

Einer der Schwerpunkte der besprochenen Arbeit liegt im Beweis, dass das gemeinsame Grab in *Sarıköy*, aus welchem die vermuteten sterblichen Überreste *Yunus Emres* herausgenommen und im Jahre 1949, unter der Teilnahme einer Festversammlung von zehntausenden Menschen, in einem neuen Grab mit Denkmal

¹ Cahit Öztelli, *Yunus Emre, Bütün Şiirleri.* Milliyet Yayınları, 1971.

untergebracht wurden, nicht der Ort der letzten Ruhe des grossen Mannes gewesen war und auch nicht gewesen sein konnte. Der Autor widerlegt die Behauptung, die auf Grund der bektaschier Legende von *F. Köprülü*, dem Autor des ersten seriösen Werkes über *Yunus Emre*, sowie von anderen Forschern, die ihm folgten, z. B. *A. Gölpınarlı* und *H. B. Kunter*, übernommen wurde, dass *Yunus Emre* in *Sarıköy* gelebt hat und hier auch gestorben ist. Eben auf Grund der neuentdeckten Dokumente beweist *C. Öztelli*, indem er sich auch auf die Arbeit des Historikers *İ. H. Konyalı*² und die Geschichte des Karamans aus dem 14. Jahrhundert, unter dem Namen *Şikârî Tarihi*³ bekannt, stützt, dass *Yunus Emre* in der Provinz *Karaman* (Larend) geboren ist, wohin sein Stamm aus *Horesan* unter der Führung seines Grossvaters, *Hacı İsmail, Kirişçi Baba* genannt, übersiedelt war. *Yunus Emre* verbrachte sein Leben in *Karaman*, war Scheich in einem Kloster, das seinen Namen trug. Auf dem Hof der karamanischen Herrscher war er eine hochgeachtete Persönlichkeit, wurde jedoch wegen der Teilnahme an einer gegen die Ortsmacht gerichteten Bewegung hingerichtet. Von seinem Leben in *Karaman* zeugen viele Ortsnamen, die seinen eigenen oder den Namen seines Grossvaters tragen.

Der Autor fasst seine Kenntnisse im Schluss der Studie in dreizehn Punkten zusammen. Der Arbeit ist eine Liste der Archive, in welchen sich die Dokumente befinden, sowie die Fotokopien der verwendeten Dokumente beigelegt.

Die neuen Kenntnisse, die in der besprochenen Arbeit veröffentlicht werden, sind ein wichtiger Beitrag zur Lösung des Geheimnisses um *Yunus Emre*.

Xénia Celnarová

S. Płaskowicka-Rymkiewicz, M. Borzęcka, M. Łabęcka-Koecher, *Historia literatury tureckiej*. Zarys (Geschichte der türkischen Literatur. Eine Übersicht). Wrocław, Zakład narodowy im. Ossolińskich — wydawnictwo 1971. 411 S.

In den, vom polnischen Verlag „Ossolineum“ herausgegebenen Zyklus der populären Geschichte der Weltliteratur wurde auch die Übersicht der Geschichte der türkischen Literatur eingereiht. An der Entstehung der Publikation nahmen drei polnische Turkologinnen teil — Stanisława Płaskowicka-Rymkiewicz, Münevver Borzęcka und Małgorzata Łabęcka-Koecher. Es ist ihr Verdienst, dass der polnische

² İbrahim Hakki Konyalı, *Karaman' daki Yunus Emre iddiaları, Vesikaları, Türk Yurdu — Yunus Emre Özel Sayısı*, 55. Yıl, Beşinci Cilt, Sayı 319, Ocak 1966. 145 S.

³ Wurden auf Grund des Befehls des karamanischen Beys *Alâeddin Ali Bey* (herrschte in den Jahren 1359—1398) von Yarcam geschrieben. Die ursprüngliche persische Fassung in Versen hat sich nicht erhalten. *C. Öztelli* hielt sich an die türkische Übersetzung von *Şikârî* vom 16. Jahrhundert fest.

Leser die Möglichkeit hat, sich mit der Entwicklung der türkischen Literatur, seit ihrem Entstehen auf dem Gebiet Kleinasiens bis zur Gegenwart, bekanntzumachen.

Der wissenschaftliche Redakteur der Publikation, T. Majda, ist der Autor des Vorwortes (*Wprowadzenie*, S. 5–19), das eine kurzgefasste Übersicht der Geschichte Kleinasiens enthält, und macht den Leser mit der geographischen, ökonomischen und politischen Situation der heutigen Türkei bekannt. In der Übersicht der Entwicklung der türkischen Literatur wird der Einfluss der karachanidischen, choresmischen und der tschagatai'schen Literatur auf die Entwicklung der osmanischen Literatur, d.h. der klassischen türkischen Hofliteratur, besonders hervorgehoben. Der Autor des Vorwortes bemerkt, dass die osmanische Literatur, als klassische Literatur, nur im Umkreis vom Nahen Osten anerkannt werden kann. Am Schluss denkt T. Majda über die Popularisierung der türkischen Literatur in Polen nach.

Der Inhalt der Publikation ist in zehn Kapitel gegliedert. Die ersten zwei Kapitel befassen sich mit der altanatolischen und osmanischen Literatur, weitere drei sind der neuzeitlichen, das sechste und siebente Kapitel ist der Volksliteratur und der Schöpfung der Volksdichter gewidmet. Die bibliographischen Angaben sind in das neunte Kapitel (*Bibliografia*, S. 375–378) eingereiht, das letzte Kapitel besteht aus Registern (*Skorowidze*, S. 388–407) und zwar aus dem Index der Autoren, Index der Titel und dem Wörterbuch der orientalischen Ausdrücke und Termine, der Übersicht von Zeitschriften, Literaturpreisen, Literaturgruppen und Richtungen.

Die Publikation wird durch 68 schwarz-weiße Illustrationen, die an den ganzen Seiten oder zwischen dem Text abgedruckt sind und meistens Szenen aus dem gesellschaftlichen und dem Klosterleben darstellen, ferner durch Muster der arabischen Zierschrift, durch Portraits der zeitgenössischen Schriftsteller usw. ergänzt. Die Liste der Illustrationen ist am Schluss der Publikation angeführt.

Wie schon erwähnt wurde, entstand das Buch unter Teilnahme von drei Autorinnen. Jede von ihnen wollte sich nicht nur mit der chronologischen Ausrechnung der zeitgemässen literarischen Schöpfung zufriedenstellen, sondern war bestrebt, die Entwicklung des literarischen Lebens im Rahmen der Zivilisationsentwicklung des Landes darzustellen.

Gleich am Anfang des ersten Kapitels (*Literatura turecka staroanatolijska — wiek XIII do 1453 roku*) bringt die Autorin S. Plaskowicka-Rymkiewicz die Übersicht der Seldschuker Dynastien auf dem Gebiet Kleinasiens mit einer kurzen Charakteristik der bedeutenden Herrscher, die zur Entwicklung der Kultur der anatolischen Türken beigetragen haben. Ein Teil dieses Kapitels ist der Einschätzung der Wirkung der islamischen Ideologie auf die Entwicklung und Gestaltung der türkischen Literatur gewidmet.

Die Geschichte der türkischen Literatur ist von den Literaturhistorikern schon

traditionell in einige Entwicklungsperioden gegliedert. Die Publikation hält sich an diese gebräuchliche Gliederung fest und so folgt nach der Übersicht der altanatolischen, im zweiten Kapitel (*Literatura osmańska*, S. 62–170) die Übersicht der osmanischen Literatur, die eine breite Zeitspanne von 5 Jahrhunderten — von der ersten Hälfte des 14. Jahrhunderts bis zur zweiten Hälfte des 19. Jahrhunderts — erfasst. Die Autorin dieses Kapitels ist ebenfalls S. Płaskowicka-Rymkiewicz.

Diese Passage der Publikation, die der Übersicht der Geschichte der alten türkischen und osmanischen Literatur gewidmet ist, ist sehr gründlich bearbeitet, man trifft hier Namen fast aller Schöpfer nicht nur der schönen, sondern auch der historischen, wissenschaftlichen und geographischen Literatur. Damit überfüllt die Autorin den Rahmen der Forderungen, die auf die populäre Geschichte der Literatur gestellt worden. Die Zitationen und Hinweise werden nicht angeführt — ausser dem Fall Bakis, wo die Autorin E. J. Gibb und A. Bombaci (S. 121) zitiert — was auf das populäre Niveau dieser zwei Kapitel deutet.

Gegenüber der alten Literatur, der 150 Seiten der Publikation gewidmet sind, kommt die neuzeitige Literatur etwas zu kurz. Ihre Übersicht umfasst 100 Seiten. Auf den ersten Blick scheint alles in Ordnung zu sein, besonders, wenn man bedenkt, dass die alte Literatur eine mehr als 500 Jahre lange Entwicklung repräsentiert und die neuzeitige, bis zur Gegenwart, nur etwas über 150 Jahre umfasst. Wenn wir jedoch die Bedeutung betrachten, die dieser oder jener Periode im Kontext der Weltliteratur zusteht, sieht es etwas anders aus. Während die sog. osmanische klassische Literatur heute daheim fast vergessen ist, und auch in der Zeit ihres grössten Aufschwungs in Europa keinen Widerhall gefunden hatte, meldet sich die zeitgenössische türkische Literatur immer mehr und deutlicher zum Wort. Mit den Werken der zeitgenössischen türkischen Autoren, übersetzt in verschiedene europäische Sprachen, kommen wir immer häufiger zusammen, und aus den neuesten Übersetzungen erwähnen wir nur die deutsche Anthologie, *Die moderne türkische Lyrik*, die in diesem Jahrbuch besprochen wird.

Diesen Teil der Publikation zusammenzustellen, war für die Autorinnen eine ziemlich komplizierte und anspruchsvolle Aufgabe. Die meisten literaturhistorischen und literaturkritischen Werke über die türkische Literatur schliessen mit dem Zeitabschnitt vor dem, oder knapp nach dem zweiten Weltkrieg. Aus diesem Grund muss das Bestreben der beiden Autorinnen hoch eingeschätzt werden. Während M. Borzęcka die Übersicht der Literatur aus der Zeit der Reformen bringt (III. *Literatura okresu reform. Poezja, Proza, Dramat*, S. 171–199) und den Leser auch mit der Entwicklung der modernen prosaischen Schöpfung in der Türkei bis zu den sechziger Jahren bekannt macht (IV. *Proza współczesna*, S. 200–244), verfolgt M. Łabęcka-Koecher die Entwicklung der zeitgenössischen Poesie und der dramatischen Schöpfung (V. *Poezja współczesna*, S. 245–284).

Wir widmen unsere Aufmerksamkeit einigen interessanten Beschlüssen, zu welchen M. Łabęcka-Koecher kam. Die Autorin stimmt mit den Kritikern, die eine

grosse Bedeutung dem Einfluss der Poesie Majakowskis auf die formale Seite der Schöpfung N. Hikmets beilegen, indem sie sich auf einige formale Elemente, die in Gedichten der beiden Poeten gleichlautend sind, berufen, nicht überein. M. Łabęcka-Koecher betont, dass diese Elemente in der Schöpfung N. Hikmets schon bevor er mit der Poesie Majakowskis bekannt wurde, vorzufinden waren (S. 253). Die Autorin widerspricht der oft angewendeten Ansicht, dass N. Hikmet als Dichter erst im Gefängnis reif wurde und erst dort seinen Stil fand und hebt die Bedeutung seiner dichterischen Tätigkeit in den Jahren 1921—1928, die zum Entstehen einer neuen literarischen Richtung in der Türkei führte, hervor (S. 254).

Dem wichtigen Bestandteil der nationalen Kultur der Türken, der Volksliteratur ist das VI. und VII. Kapitel, (*Literatura ludowa*, S. 285–325, *Twórczość poetów ludowych*, S. 326–369), das M. Łabęcka-Koecher schrieb, gewidmet. In der Einleitung zum sechsten Kapitel macht sie den Leser mit den bedeutenden Gestalten der türkischen Folkloristik, Mehmed Fuat Köprülü sowie Pertev Naili Boratav und mit dem polnischen Wissenschaftler, Tadeusz Kowalski, bekannt. Es folgt die Übersicht der Genres der Volksdichtung, der Formen der anonymen Poesie, der Märchen, Sprichwörter einschliesslich des Volkstheaters, dem die Autorin hinsichtlich der Bedeutung, die es im Leben der Türken hatte, die grösste Aufmerksamkeit widmet. Die Übersicht der Schöpfung der Volksdichter (Kapitel VII) ist breiter und umfangreicher konzipiert, als es die Bedürfnisse der populären Publikation erfordern.

Das VIII. Kapitel (*Zamiast zakończenia*, S. 370–374) fasst am Schluss, auf Grund der Ansichten der Schriftsteller M. C. Anday, Demir Özlü, Orhan Duru, des Kritikers Doğan Hizlan und der Literaturwissenschaftler Konur Ertop und Önay Sözer die aktuellen Probleme der zeitgenössischen Literatur zusammen und macht den Leser auf den spezifischen Charakter ihrer Geschichte aufmerksam.

Die Publikation ist keine erschöpfende und vollkommene Analyse der Geschichte der türkischen Literatur, es fehlen auf ihren Seiten manche Autoren und Titel. Jedoch haben sich die Autorinnen dieses anspruchsvolle Ziel auch nicht gestellt. Sie wollten nur ein übersichtliches Bild der Entwicklung der literarischen Schöpfung des türkischen Volkes bringen, und dies ist ihnen auch in vollem Masse gelungen. Den polnischen Studenten der Turkologie und denjenigen, die sich für die türkische Literatur interessieren, steht ein wertvolles, in der Muttersprache geschriebenes und für jeden erreichbares Handbuch zur Verfügung.

Xénia Celnarová

K. E. Bosvort, *Musulmanskije dinastiji*. Spravočnik po chronologiji i genealogiji. Perevod s anglijskogo i primečanja P.A. Grjazneviča. Moskva, Nauka 1971. 323 S.

Das vor kurzer Zeit herausgegebene Buch von E. C. Bosworth, *The Islamic Dynasties*, Edinburgh University Press 1967, wurde vom ähnlichen Schicksal betroffen, wie das erste Handbuch dieses Genres, *The Mohammadan Dynasties* von S. Lane-Poole, das am Ende des vorigen Jahrhunderts (1894) in London erschienen war. Das Buch Lane-Pooles wurde nämlich nach fünf Jahren von V. Barthold (St. Petersburg) in russischer Übersetzung mit mehreren Ergänzungen herausgegeben, und diente dann lange Jahre der russischen Orientalistik, als einziges Handbuch dieser Art. Aus ähnlichen Gründen trat auch P. A. Grjaznevič an die Übersetzung des neuesten englischen Handbuches der Chronologie und Genealogie der islamischen Dynastien von E. C. Bosworth heran. In die russische Übersetzung wurden so die neuen Bemerkungen des Autors, die die Angaben der englischen Ausgabe korrigieren oder ergänzen, wie auch eine Reihe von Bemerkungen des Übersetzers, die den ursprünglichen englischen Text ergänzen und präzisieren, einbezogen. Ausserdem wird in der Neubearbeitung von Grjaznevič die Bibliographie der einzelnen Kapitel um Werke, die in russischer Sprache herausgegeben wurden, sowie um die neuesten Werke, die nach der Herausgabe des englischen Originals erschienen sind, erweitert.

Nicht nur der Textteil des Buches, sondern auch die chronologischen Angaben erforderten einige Verbesserungen und Ergänzungen. Grjaznevič überprüfte alle, auf die christliche Jahresberechnung überführten Angaben der Hidjra und korrigierte die fehlerhaften Daten.

Die russische Übersetzung des Buches Bosworths wird eine nützliche Hilfe für alle Islamisten sein, die die russische Sprache beherrschen.

Vojtech Kopčan

H. L. Gottschalk—B. Spuler—H. Kähler, *Die Kultur des Islams*. Handbuch der Kulturgeschichte, hrsg. von E. Thurher. Zweite Abteilung: Kulturen der Völker. Frankfurt a. M., Akademische Verlagsgesellschaft, Athenaion 1971. 480 S. mit 164 Abbildungen und 3 Farbtafeln.

Die Kulturgeschichte des Islams wird in diesem Buch nicht nur als Ausdruck der materiellen und geistigen Kultur der islamischen Völker, sondern auch als ein organisches Ganze im Kontext der Weltkultur aufgefasst. Das Buch enthält also in einem notwendigen Masse die politische und soziale Geschichte der islamischen Staaten und weitere Komponente sozialen und wirtschaftlichen Charakters, die die Entwicklung der islamischen Kultur bedingt haben.

Die Kultur des Islams ist das Werk der drei Spezialisten, H. L. Gottschalks, der die Kultur der Araber behandelt (S. 10—205), B. Spulers, der sich mit der Kultur des islamischen Ostens (Persien, Afghanistan, Mittelasien, Indien, Türkei) befasst (S. 209—329) und H. Käblers, der über die Kultur des Islams in Indonesien und Malaysia (S. 333—437) und über die Kultur der Kapmalaien in der Republik Südafrika (S. 439—466) schreibt.

Bei der heutigen Explosion von Kenntnissen und der Spezialisierung der Fachleute ist bei der Bearbeitung von breiteren Themen, wie es bei der islamischen Kultur der Fall ist, solche Zusammenarbeit unvermeidbar. Die Zusammenstellung der Beiträge B. Spulers und H. Käblers setzt das Studium des Einleitungsteiles H. L. Gottschalks, der die Grundinformationen über den Islam und seine Terminologie anführt, voraus.

Der von Gottschalk bearbeitete Teil ist der Kultur der Araber gewidmet und nimmt den grössten Raum ein. Der Autor verfolgt den Zeitabschnitt vom Entstehen des Islams bis zum Verlust der Unabhängigkeit der arabischen Staaten — konkret bis zu ihrer Eingliederung in den Rahmen des Osmanischen Reiches. Jedoch nimmt der klassische Zeitabschnitt des Islams, bis zur Hälfte des 13. Jahrhunderts den grössten Teil ein. Weitere Ereignisse verfolgt der Autor nur nebenbei und die kulturelle Entwicklung der arabischen Welt, die sog. arabische Renaissance, ist in seinem Aufsatz überhaupt nicht enthalten.

Der Aufsatz Gottschalks ist sehr gewissenhaft bearbeitet und zeugt von breiten Kenntnissen des Autors auf dem Gebiet der reichen islamistischen Literatur. Er geht nicht bis ins einzelne, sondern versucht, die übliche Summe von Kenntnissen zu bieten, die dem breiten Kreis von Lesern, sowohl den Laien, als auch der Bearbeitung nach, den Spezialisten dienen kann.

Die Einheit der Religion und des Staates im Islam setzte den Charakter der Auslegung voraus. Die Organisation des Staates ist mit der Auslegung der islamischen Realien, sowie seine Grundlagen und seine Entwicklung mit den Erscheinungen des geistigen Lebens und der Kultur, eng verbunden. Davon zeugt auch die Struktur des Teiles, der vom H. L. Gottschalk bearbeitet wurde: *Vorislamische Kultur* (S. 10—19), *Das „Reich“ Muḥammads* (S. 20—28), *Die Verwaltung des muslimischen Reiches* (S. 29—45), *Bildung und Erziehung* (S. 46—61), *Die Gesellschaftsordnung des muslimischen Reiches* (S. 62—78), *Theologie und Recht* (S. 69—101), *Die Familie* (S. 102—109), *Die Literatur* (S. 110—118), *Die Wissenschaften* (S. 119—133), *Die Sekten und ihre Bedeutung für die arabische Kultur*, *Die Šī'a* (S. 134—141), *Der Asketizismus und die Mystik* (S. 142—149), *Die Stadt* (S. 150—169), *Die Wirtschaft* (S. 170—185), *Die Baukunst und das Kunstgewerbe* (S. 186—199). Diesem Teil ist eine Zeittafel der wichtigsten Ereignisse (S. 200—203) und ein Literaturverzeichnis (S. 204—205) beigelegt.

Da der vorstehende Beitrag Gottschalks eine gründliche Auslegung der islamischen Realien und die zuständige Terminologie enthält, konnte sich B. Spuler in seinem

Beitrag, *Die Kultur des islamischen Ostens* (S. 209—329) fast ausschliesslich mit der Kultur des gegebenen Gebietes befassen. Der Einleitungsteil seines Beitrages ist der Frage des Durchdringens des Islams in die östlichen Gebiete gewidmet und behandelt derartige spezifische Probleme, wie *šū'ūbīya*, die Frage der Sprachkonfrontation und des Glaubenssektenwesens. Da es sich um ein ethnisch verschiedenartiges Gebiet handelt, befasst sich der Autor mit den kulturellen Ausdrücken der einzelnen Völker — ihrer Literatur, Kunst und Musik — in selbständigen Studien. Es ist ein Vorteil des Beitrages Spulers, dass er die Entwicklung der einzelnen Gebiete (Türkei, Iran, Afghanistan, Pakistan und Mittelasien) bis zur Gegenwart erforscht. Die Zusammenfassung in grössere Abteilungen erlaubte Spuler, seine breiten Kenntnisse in vergleichenden Verallgemeinerungen zur Geltung zu bringen. Vielleicht wäre es geeignet, in den Teilen, die die Kultur des Osmanischen Reiches betreffen, auch den Anteil des Balkans zu erwähnen. Genau so wie der vorangegangene Teil, ist auch der Beitrag Spulers durch eine Zeittafel und ein Literaturverzeichnis ergänzt (S. 321—329).

Der dritte Teil des Buches — *Die Kultur des Islams in Indonesien und Malaysia* und *Die Kultur der Kapmalaien in der Republik Südafrika* — von H. Kähler bearbeitet, geht von ganz anderen Kriterien als die letzten zwei Teile aus. Es war notwendig, besonders auf das Spezifikum des Islams im Festland und in den Inseln Südostasiens, auf die unterschiedlichen geographisch-historischen Verhältnisse und die verwirrte Sprachfrage hinzuweisen. Dies beeinflusste die ganze Auslegung, die über das Religionsleben, die Ideen und die Kulturaktivität dieser islamischen Randgebiete übersichtliche Informationen bietet. Dieser Teil ist reich illustriert, was die Auslegung reichlich ergänzt.

Die Kultur der Kapmalaien in der Republik Südafrika ist eher ein ethnographischer Entwurf des Lebens der ethnischen und Religionsminderheit unter den Bedingungen des entwickelten Staates; ein einzig dastehendes und wenig bearbeitetes Thema. Vom Gesichtspunkt der Kulturgeschichte des Islams aus, bleibt es jedoch ein Randthema, besonders wenn wir bedenken, dass das Buch anderen islamischen Minderheiten in verschiedenen Teilen der Welt keine Aufmerksamkeit widmet. Beide Teile, die von H. Kähler bearbeitet sind, ergänzt eine Zeittafel und die Bibliographie (S. 461—466).

Ein Register der Personen- und Ortsnamen sowie der Fachausdrücke (S. 467—480) ermöglicht eine bessere Benützung des Buches.

Das musterhaft gedruckte und illustrierte Buch aus der Feder der besten deutschen Fachleute gehört zweifellos zu den hervorragendsten Handbüchern der Kulturgeschichte.

Vojtech Kopčan—Kamil Baňák

Heinz Grotzfeld, *Das Bad im arabisch-islamischen Mittelalter. Eine kulturgeschichtliche Studie*. Wiesbaden, Otto Harrassowitz 1970. Broschiert, 159 S., 11 Tafeln.

Eine der vielen Legenden um Schachname und seinen Schöpfer Firdousi erzählt, wie sich der Dichter gerade im Bad befand, als zu ihm der Bote des Sultans Mahmud von Ghazna kam und anstatt des versprochenen goldenen Dinars für einen jeden Vers seines Epos, ihm nur silberne Dirhamen überbrachte. Der Dichter wurde zornig, scheidete die Dirhamen in drei gleiche Teile und verteilte sie sofort an Ort und Stelle unter den Überbringer, den Badhalter und den Verkäufer von erfrischenden Getränken. Da schon in solchem Kontext das Bad und zwei Personen, die zu seinem Gang gehören, vorkommen, begrüßen wir den interessanten Beitrag Heinz Grotzfelds auf dem Gebiet der Kulturgeschichte der islamischen Länder, der gerade dieser wichtigen Einrichtung gewidmet ist.

Gleich am Anfang muss die ungeheure Anstrengung und Begeisterung gewertet werden, mit welcher der Autor das verschiedenartige Material, das das Bad und das Leben in demselben nur im geringsten betraf und das von vielen arabischen Quellen, Literaturdokumenten, Märchen aus Tausendundeiner Nacht und Beschreibungen europäischer Reisender ausgehend bis zu seinen eigenen Erfahrungen reicht, sammelte. Diese Menge vorbereiteten Materials ermöglichte dem Autor, das Bad konkret und belehrend, von den verschiedensten Aspekten aus zu besprechen.

Der Autor betont richtig die Verbundenheit des Bades mit der Entwicklung der Stadtzivilisation und macht auf die Anknüpfung an die antischen und christlichen Bäder aufmerksam. Ein Beweis dafür ist z.B. die zweckmäßige architektonische Gliederung der einzelnen Räume und die Bemühung um eine innere Ausschmückung (Mosaik, Bilder und Statuen — alles im Gegensatz zu den offiziellen Verboten der Theologen).

Das Buch bringt eine Detailbeschreibung der technischen Ausstattung und Einrichtung des Bades — die Fragen der Heizung, der Verteilung des warmen und kalten Wassers, des Abfalls und der Beleuchtung. Ähnlich ausführlich bespricht der Autor den Vorgang der Badeprozeduren und der ergänzenden „Verschönerungsprozeduren“ wie z.B. Haarschneiden, Epilation, Abraspeln der Fusssohlen und Kosmetik. Da das Bad nicht nur eine hygienische, sondern auch eine gesellschaftliche Institution war, ist auch dieser Frage Aufmerksamkeit gewidmet, und besonders literaturpoetische Dokumente kommen hier zu Wort. Der Autor hat nicht einmal solche spezifische Probleme vergessen, wie die Differenzierung des Männer- und Frauenbades, die Regeln der Benützung des Bades für Angehörige anderer Religionen (konkret der Christen und Juden), die Höhe der Gebühren, die spezifischen Funktionen des Personals und den, mit dem Bade verbundenen Aberglauben des Volkes.

Die Abhandlung des Autors wird von 7 Beilagen, welche die interessantesten

Passagen über das Leben im Bad in der Übersetzung enthalten, von einem Index der arabischen Badetermine und von der Bibliographie der arabischen Quellen, sowie der zitierten Literatur ergänzt.

Grotzfelds erfahrene und für den Leser interessante Bearbeitung einer grossen Menge von Quellen und Vergleichsangaben, sowie seine Einstellung als Dialektologen zum lexikalen Aspekt der Sprache der mittelalterlichen und gegenwärtigen arabischen Badhalter und Barbieri, sind Vorteile dieses Buches. Das vorgelegte lexikale Material wird manchem Philologen-Semitisten zur Quelle der Freude und Belehrung.

Kamil Baňák

Der Islam II. Die islamischen Reiche nach dem Fall von Konstantinopel. Hrsg. von G. E. von Grunebaum. Frankfurt a. M., Fischer Taschenbuch Verlag 1971. 486 S. Fischer Weltgeschichte, 15.

Drei Jahre nach dem Erscheinen des ersten Bandes *Der Islam* in der Fischer Weltgeschichte (4, von Prof. C. Cahen) wird der zweite Teil von Prof. G. E. von Grunebaum herausgegeben. Das Buch ist ein Kollektivwerk von Orientalisten, die ausser Prof. E. Sarkisyanz (Universität Heidelberg), überwiegend an den amerikanischen Universitäten tätig sind, was eine gewisse Überraschung bedeutet, da der Beitrag der deutschen Orientalistik zur Kenntnis der Geschichte des Islams bekannt und anerkannt ist.

Die Einleitung (S. 11—23) aus der Feder G. E. von Grunebaum versucht, in einem verhältnismässig kleinen Raum das Gesamtbild des Islams in der zweiten Hälfte des letzten Jahrtausends, seine gemeinsamen und spezifischen Ausdrücke, die Struktur der Gesellschaft, den gegenseitigen Impakt mit Europa in den breitesten Zusammenhängen zu bringen.

Das Buch ist in sechs Kapitel gegliedert: 1. *Das osmanische Reich und die moderne Türkei* (S. 24—159); 2. *Iran und Afghanistan* (S. 160—225); 3. *Indien* (S. 226—287); 4. *China und Südostasien* (S. 288—324); 5. *Die ostarabische Welt von Ägypten bis zum Irak einschliesslich des Sudan* (S. 325—391); 6. *Nordafrika* (S. 392—437). Diese sechs Kapitel haben keine einheitliche Struktur, abgesehen von den natürlichen geographischen und zeitgemässen Spezifika.

Der Autor des ersten Kapitels, Stanford J. Shaw, zeigt verhältnismässig kurz gefasst die mehr als siebenhundert Jahre lange Entwicklung der hervorragenden islamischen Grossmacht dieses Zeitabschnittes — des Osmanischen Reiches. Shaw gibt sich hier Mühe, die Hauptzüge der inneren Entwicklung des Osmanischen Reiches, vor allem auf der ökonomisch-sozialen Ebene, gleichwertig mit der politischen Entwicklung und den internationalen Beziehungen festzuhalten, wobei er

die neuesten Ergebnisse der Osmanistik ausnützt. Gegenüber den übrigen Kapiteln ist der kulturellen Entwicklung des Osmanischen Reiches sowie der republikanischen Türkei weniger Aufmerksamkeit gewidmet.

Das Kapitel über Iran und Afghanistan, bearbeitet von N. Keddie, beachtet vor allem die politische Entwicklung. Bei der Chronologie geht die Autorin von der dynamischen Gliederung der persischen Geschichte aus, wobei die Teile, die der neueren Entwicklung gewidmet sind, unstreitig mehr durchgearbeitet und umfangreicher verfasst sind.

Eine weitere Einstellung zum Thema repräsentiert das dritte Kapitel aus der Feder Aziz Ahmads. Der Autor verfolgt die Entwicklung des indischen Islams in einer engen Beziehung zum Hinduismus. Eine grosse Aufmerksamkeit widmet er auch der Kulturgeschichte, was zu verstehen ist, da das muslimische Indien in der mogulischen Zeit den grössten kulturellen Aufschwung erlebt hatte. Genau so gut sind auch die sozialen und wirtschaftlichen Verhältnisse bearbeitet, so dass das Kapitel ein in sich abgeschlossenes Bild Indiens, jedoch nur bis zur Hälfte des 19. Jahrhunderts, bietet.

An der Bearbeitung dieser Kapitel, die sich mit den wichtigsten islamischen Gebieten bis zum 19. Jahrhundert befassen, ist zu ersehen, dass sich die individuellen Konzeptionen der Autoren durchsetzen, was keinesfalls zum Nachteil des Buches, als eines Ganzen, ist.

Das vierte Kapitel umfasst die Geschichte des Islams in China sowie am Festland und den Inseln Südostasiens. Dieses Gebiet, das während seiner islamischen Periode keinen wesentlichen geistigen Beitrag verzeichnete, erwies sich tatsächlich als ein Randgebiet. E. Sarkisyanz bearbeitete es nach den einzelnen Territorien, indem er die politischen und Religionsaspekte hervorhob.

Die letzten zwei Kapitel aus der Feder Afaf Lutfi al-Sayyid Marsots und P. von Severs' sind der Entwicklung der arabischen Welt gewidmet. Nach einer kurz gefassten Charakteristik der wichtigsten und der spezifischen Züge der osmanischen Herrschaft über die einzelnen arabischen Länder, bringen sie eine Erklärung des modernen Zeitabschnittes der arabischen Geschichte. Es dominiert hier das Interesse für den politischen Aspekt und für geistige Strömungen, die in der Entwicklung der modernen arabischen Welt die bedeutendste Rolle spielten. Zu den Vorteilen der Erklärung gehört die Klarheit und die Bemühung, die Ereignisse objektiv zu beurteilen.

Der Schluss (S. 438—439), geschrieben von G. E. von Grunebaum, fasst die Problematik der islamischen Welt in der Gegenwart zusammen, analysiert ihre vereinigenden und divergenten Elemente und ist bestrebt, den Grundsatz seines bedeutendsten Faktors — des Nationalismus — zu ergreifen.

Als Behelfe sind zum Buch eine *Zeittafel* (S. 450—464), der vielleicht eine synchronische Ordnung nützlich wäre, ein *Literaturverzeichnis* (S. 465—474) und ein Register beigelegt.

Unter den Illustrationen finden wir Photographien der islamischen architektonischen Denkmäler, Portraits der Persönlichkeiten und Landkarten. Die Landkarte des Osmanischen Reiches (Abb. 2) enthält neben mehreren Fehlern — z. B. liegt Mohács nicht oberhalb Budin's, sondern ca. 50 km weit entfernt an der Donau, über der Mündung der Drau, der Zipfel der osmanischen Herrschaft reicht nicht bis nach Wien — keine Angabe, welchen Zeitabschnitt sie erfasst.

Vojtech Kopčan

Ernst Kühnel, *Islamic Arts*. (Translated from the German by Katherine Watson.) London, G. Bell and Sons 1970. 255 pp., 207 photographs and 15 colour plates.

The late Professor Kühnel's book on Islamic applied arts is intended in the first instance for museum experts, art dealers, and private collectors, to help them in their expertises and completion of their collections. This design has determined the whole conception of the book, the main characteristic of which is the author's effort to divide and assort the particular types of any of the crafts of applied arts according to the terms used by experts, as well as his warning of the most common forgeries, and his skillful advices how to detect them. It must be emphasized that the rather small extent of the book did not leave enough room to discuss more thoroughly all the specific types and kinds of Islamic minor arts: to get more information and knowledge on this subject special works must be studied: the most important of these are mentioned in *Select Bibliography* (pp. 247—250).

The *General Introduction* emphasizes the author's opinion on the necessity of having a rather good knowledge of the general context of Islam, because of temporal, geographical, and ethnical factors that constituted and defined Islamic art. To this should be added the important problem of the Islamic craftsman-artist's attitude to functional understanding of an object of art, as well as the other decisive factor of Islamic art: no distinction between the religious and the profane is known.

The first part deals with *Books* (pp. 19—81) and devotes attention to all the constituents of the art of a book: calligraphy, illumination, miniatures, and book binding. The author lays stress on defining the main contributions of the particular nation of Islamic world to this art and their subdivision for the collectors' purposes: the main types of calligraphy and classification of miniatures according to historical-chronological and geographical aspects. (Though the book uses only simple transcription of names and terms, it should not transcribe "nast'aliq", p. 16 and following, instead of the correct "nasta'liq"; the same applies to the incorrect transcription of "Bahzad", p. 50 and following, instead of the correct form "Behzad", as used in the explanation to fig. 23.)

The following part deals with *Pottery* (pp. 83—157) and because many of the

objects preserved and often offered for sale at auctions are from this kind of applied art, the author rightly pays special attention to it. He describes ceramic ware according to the old established categories that are known among experts and are based on the real or supposed places of their discovery and centres of fabrication. Every type of ceramic ware is thoroughly described: material and quality of body, form, design, colour characteristics, and sometimes also the short technological procedure is given. He mentions the most famous and frequent places and types of forgeries, both historical and those of the present day. The main classification follows geographical aspects (Mesopotamian, Egyptian, Moorish, Turkish Pottery; Persian, Syrian Faience; Persian Semi-Faïences) which is further supplemented with other aspects for defining more particular types of ceramics.

The part on art of *Metalwork* (pp. 158–200) emphasizes its derivation from old forms and techniques, mainly those of the Sasanid art, and demonstrates how the religious prohibition on the manufacture and use of vessels of precious metals made the Islamic craftsmen produce artistic objects also from the baser metal (mostly bronze).

The next part deals with *Glass and Crystal* (pp. 201–221)—the author cautions against frequent forgeries of objects of rock crystal and enamelled glass (mainly mosque lamps). The last part contains characteristics of typical objects of art made of *Ivory, Wood, Stone, and Stucco* (pp. 222–224). As the book is addressed to collectors, the author has added a short description of the most important public collections of Islamic art (pp. 244–246).

Many years of research work on Islamic art and his excellent knowledge of the subject enabled Professor Kühnel clearly and simply to formulate the most essential and necessary facts for the collectors' needs, as well as to choose illustrative material which consists of numerous high-quality photographs that represent the best examples of Islamic applied arts from the world's principal collections.

Kamil Baňák

Edward William Lane, *Arabian Society in the Middle Ages. Studies from The Thousand and One Nights*. (Edited by Stanley Lane-Poole.) London, Curzon Press Ltd. New Edition 1971. 283 pp.

Any translation of a literary work rich in details and descriptions of the manners of a particular society or civilization needs to be supplemented by explanatory notes so as to be intelligible to the general reader. A case in point is, for example, *The Thousand and One Nights*: in his English translation Mr. Lane appended an explanatory commentary on the main characteristics of Muslim life in the

Middle Ages at the end of each chapter. A little later these notes were collected by Mr. Stanley Lane-Poole and published in 1883 in a single volume under the title *Arabian Society in the Middle Ages*, of which the book under review is the New Edition by the same publishing house.

Lane's informative and learned commentaries were intended to give the most complete picture of the Medieval Arabian Society of the times when *The Thousand and One Nights* assumed their present form. Mr. Lane supposed their last redaction had taken place at about the end of the fifteenth century and, therefore, a large proportion of his notes consists of extracts from the works of the famous Arabic authors of the later Middle Ages. These extracts are supplemented by Mr. Lane's personal experience from Cairo in the early part of the last century. There is no anachronism in doing this, for the Arabian Society of his stay in Cairo did not differ much from that described in records of the later medieval authors.

The editor collected the notes scattered through the three volumes of Lane's translation of *The Thousand and One Nights* and arranged them according to their subject-matter into eleven chapters.

The first five chapters (*Religion, Demonology, Saints, Magic, and Cosmography*) deal directly or indirectly with religious and spiritual life: they present the principles of the Mohammadan faith and explain the ritual, moral, civil, and criminal laws as these are derived from and interpreted according to the Koran. *The Thousand and One Nights* teem with various supernatural beings and these were dealt with and classified according to the importance they played in the life of the common people: this is corroborated also by the chapters on *Saints, Magic, and Cosmography*.

Chapter six is devoted to literature: of course, it does not give a history of Arabic literature, but statements purporting to show the attachment of the Arabs to poetry and the esteem of the great men of the Arabian society for poets.

The following chapter contains information on Muslim meals and drinks, discusses the problem of wine drinking and describes what a typical Muslim feast looks like—not forgetting music and other amusements.

Chapter eight deals with childhood—the care and education of children, and chapter nine is about women, with important information on marital laws, marriage ceremonies, divorce and problems of polygamy in the Muslim society.

The tenth chapter deals with a subject exclusively medieval: the problem of slavery. The concluding eleventh chapter describes the ceremonies attendant upon death and burial of the faithfuls.

Kamil Baňák

Arne A. Ambros, *Einführung in die moderne arabische Schriftsprache* (Introduction to Modern Written Arabic). München, Max Hueber Verlag 1969. 428 pp.

Ambros' *Einführung* is a manual that is intended to assist the student in the first year of instruction. Being designed for the beginner, the book offers a good introduction to the Arabic script which bears marks of a self-teaching schedule. This feature is further emphasized by the addition of a key to exercises. The description of the sound system, given in the introductory part of the manual, is far less self-contained and would largely deserve a more ample treatment.

The manual is divided into 30 sections (*Abschnitte*) each of which includes a grammatical part, a word-list and several exercises. The few comments which follow will mostly be concerned with the author's presentation of grammatical topics.

Although the grammatical parts of the book are not intended to substitute for a systematic description of the MWA grammar, they cover nearly all grammatical phenomena of some importance. The student who masters them thoroughly will gain a fairly sufficient insight into the grammatical structure of the language.

Section 1: While dealing with the ending *-un* in triptote nouns, the author treats it as an indefiniteness marker which might appear considerably misleading. With regard to the fact that *-un* is inclusive of two elements, *-u-* and *-n*, the former being variable, viz., *-u-*, *-i-*, and *-a-*, according to the case inflection, while the latter functioning as an invariable indefiniteness marker in the triptote system, it would have perhaps been preferable to treat it in terms of a bimorphemic formation operating as a case-and-indefiniteness marker.

The same treatment is even more explicitly formulated in Section 3 (60): "Lautet die unbestimmte Endung *-un* (dies ist der Fall bei allen Singularen, gesunden weiblichen Pluralen und einem Teil der gebrochenen Plurale), dann wird daraus die bestimmte Endung *-u*, wenn wir den Artikel vorsetzen."

The bimorphemic presentation, as proposed above, would have been more compatible with the subsequent treatment of case inflection, as given in pp. 71, 111 f. and elsewhere.

Section 3: We believe that there is hardly any linguistically valid reason to adopt word-order as a criterion in distinguishing between nominal and verbal sentences, as done by the author: "Sätze, die mit dem Subjekt beginnen, werden als Nominalsätze, solche, an deren Anfang die Verbform steht, als Verbalsätze bezeichnet. Danach sind 'at-*tālibu yaktubu* und 'at-*tālibatu tafhamu* Nominalsätze, dagegen *yaktubu t-tālibu* und *tafhamu t-tālibatu* Verbalsätze" (65).

This classification, derived from the medieval Arab grammarians' approach to the problem, finds no acceptance in the description of Arabic any longer.

Section 5: In stating the difference between triptote and diptote declensions (so far restricted to the nominative and accusative of the broken plurals), the

author misleadingly identifies conditions controlling the paradigmatical conversion of diptota to triptota with the article definiteness (viz., "Sind gebrochene Plurale mit dem Artikel bestimmt, dann enden beide Typen im Nominativ auf *-u*, woraus im Akkusativ *-a* wird" (75)). As evident, the definitional state of nouns exhibiting the phenomenon under question is here too narrowly identified with the article definiteness. For the phenomenon occurs irrespective of the type of definiteness involved and it even occurs in syntactic environments traditionally (although not quite adequately) treated as indefinite ones, notably with nonfinal terms of an annexion the final term of which is indefinite, as in *masājid-u, -i, -a madīnatin*.

From this point of view we do not fully agree with the traditional treatment of the definitional state of an annexion as dependent on that of the last constituent of the latter: "Hiebei ist nun genau zu beachten, dass der solcherart ausgedrückte Begriff als indeterminiert (bzw. determiniert) gilt, wenn das Nomen rectum indeterminiert (bzw. determiniert) ist" (107).

Unfortunately, the latter statement interferes with the following delimitation of definite nouns: "Ein Substantiv gilt als determiniert, wenn es den Artikel hat, wenn ihm ein Genitiv folgt (our italics), oder wenn es ein Possessivsuffix trägt" (Section 8: 111). According to the latter definition, as far as the definitional state of an annexion is concerned, any nonfinal term of an annexion is definite whatever the definitional state of the final term may be. Substantially the same formulation may be found in Section 11: 147.

For our proposal to treat this problem cf. 'Hypothesis of a Transition Value of Definiteness in Arabic', in: *Asian and African Studies* V, 39-48 (1971).

Section 10 contains a very good survey of pausal forms which are very often neglected in similar MWA courses.

Section 30: The influence of the medieval Arabic grammar may clearly be felt in the author's treatment of the plurals of paucity (or *jumūc al-qilla* of the Arab grammarians). According to the author's assertion, the plural pattern *'af'ul*, as far as co-occurring with that of *fu'ūl*, is preferably used to denote a reduced number of objects (3-10 items). The MWA data do not confirm this delimitation and, with all probability, the distinction is invalid even of Classical Arabic.

The book may be recommended as an efficient teaching device for introductory courses in MWA.

Ladislav Drozdík

Mary Catherine Bateson, *Structural Continuity in Poetry. A Linguistic Study of Five Pre-Islamic Arabic Odes* (Strukturelle Kontinuität in der Poesie. Linguistische Untersuchung zu den fünf vorislamischen arabischen Oden). Paris—The Haye, Mouton and Co. 1970. 176 S.

Vermutlich keinem Werk der alten arabischen Literatur haben die arabischen und europäischen Wissenschaftler solche Aufmerksamkeit gewidmet, wie der bekannten Sammlung der vorislamischen Oden *muʿallaqāt*. Diese Tatsache führte M. C. Bateson auf den Gedanken, *muʿallaqāt* einer völlig untraditionellen wissenschaftlichen Analyse zu unterziehen. In dem besprochenen Buch finden wir nämlich eine linguistische Analyse fünf vorislamischer Oden (von Gesichtspunkten der deskriptiven und statistischen Linguistik aus). Es handelt sich um Gedichte von *Imruʿu l-Qays*, *Ṭarafa*, *Zuhayr*, *Labīd* und *ʿAntara*. Die Autorin ist bestrebt, in drei Grundplänen der linguistischen Forschung — dem phonematischen, morphologischen und syntaktischen — die innere sprachliche Struktur der angeführten Gedichte zu erfassen und gleichzeitig auf die funktionelle Korrelation zwischen dem sprachlichen Fakt und dem eigenen Sinn der Poesie hinzuweisen: „between what a poem is — the internal linguistic relationships — and what a poem means — the external, semantic relationships“ (S. 15). Zum Beispiel in dem Kapitel, das der phonologischen Analyse gewidmet ist, ermittelt die Autorin mit Hilfe einer statistischen Methode die Deviationen von der normalen Distribution der Vokale und kommt zu dem Ergebnis, dass die devianten vokalischen Frequenzen einen eigenartigen poetischen Effekt dort bilden, wo es dem Autor darauf ankam (an den Stellen, die der Autor für besonders wichtig hielt). In dieser Hinsicht ist besonders die Analyse der syntaktischen Mittel, deren Ausnützung und Distribution mit der inneren Gestalt der Ode und ihrer eigenartigen Dynamik eng zusammenhängt, interessant.

Die Autorin hatte sich mit der ganzen bisherigen Literatur über die vorislamische Poesie gründlich vertraut gemacht. Dies dringt nicht nur aus dem Einführungsteil der Arbeit (hier wird vor allem die Zeit und das Milieu, in welchen sich *kasīda*, als ein besonderer Genre der arabischen Literatur formte, geschildert), sondern auch aus der Bestrebung alle ausserlinguistische Faktoren, die die Gestaltung der vorislamischen Ode formen, zu respektieren. Wir hoffen, dass die Arbeit M. C. Bateson, dank dem untraditionellen Anblick auf die arabische klassische Poesie, bald ihre Nachfolger finden wird.

Ján Pauliny

A. F. L. Beeston, *The Arabic Language Today*. London, Hutchinson University Library 1970. 125 pp.

The Arabic Language Today, appearing shortly after Beeston's pedagogically oriented work *Written Arabic, an Approach to the Basic Structures* (London, 1968), is a valuable description of the main linguistic features of Arabic. Although quite necessarily concise and sometimes even sketchy, the present description is highly informative and innovating. Further, as a structural sketch presented in concepts of modern linguistics with a surprisingly high degree of independence of the traditional approach of the Arabicists and, moreover, with no claim whatsoever to the previous knowledge of the language, it is particularly well suited to be a guide for a general linguist seeking to familiarize himself with the linguistic type of Arabic. In this respect, the book is probably the best from the stock of works of similar orientation available at present. On the other hand, however, it will be read with profit also by professional Arabicists who will find here a number of fresh ideas.

The book is divided into sixteen chapters (1. *Introduction and Historical Background*; 2. *Phonology*; 3. *The Script*; 4. *The Word*; 5. *Entity Terms: I*; 6. *Amplification of Substantives*; 7. *Syntactic Markers of Nouns*; 8. *Entity Terms: II*; 9. *Theme and Predicate*; 10. *The Verb*; 11. *Amplification of the Predicate*; 12. *Clause Conversion*; 13. *Functionals*; 14. *Conditional Structures*; 15. *Word Order*, and 16. *Lexicon and Style*). The book further contains an appendix (*Script Styles*) and a short bibliography.

Chapter 2: the phonemic repertory. Velarization is treated in prosodic terms as minimally spreading over a consonant plus vowel segment, possibly involving 18 out of the total of 28 consonant phonemes of Standard Arabic.

Re: Syllabic structure (20). It would have perhaps been worth specifying that, when disregarding the morphological impact of the pre-pausal position on the occurrence of atypical syllabic structures, the most important domain of retention of the morphologically significant contrast between CVC and CVC syllables coincides with numerous forms of *verba et nomina mediae geminatae* as it is, after all, correctly illustrated by the author, e.g. *jadda* 'grandmother' vs. *jādda* 'road', etc.

Chapter 5: definition (36–37). In characterizing the use of the definite article, the author correctly distinguishes between two main functions thereof: particularizing, i.e., marking 'the individuality of the substantive within its category', and generalizing. It may appear somewhat misleading that only two English equivalents of the generically used definite article in Arabic are given, notably (1) singular 'a', as in 'a village is always full of gossip', and (2) plural zero, as in 'villages are always full of gossip'. For the English definite article as well as, in some instances, the English singular without any article, may occasionally function in the same way as the Arabic generic article does, as it turns out from the examples quoted by O. Jespersen

(*The Philosophy of Grammar*, London, 1963 reprint ed., 203—204), e.g. ‘the dog is vigilant’ (definite singular), ‘blessed are the poor in spirit’ (definite plural), ‘man is mortal’ (singular zero), etc.

Re: demonstratives (43): ‘The requirement of parity of status entails that the explanatory substantive must be, like the demonstrative itself, defined. In so far as definition of the substantive is marked by the attachment of the article to that substantive, the demonstrative precedes it: *hādā lkitāb* (this thing, the book) ‘this book’. In any other case, the demonstrative comes at the end of the total phrase;...’ The description holds, to be sure, for the typical case, viz., when no generic definiteness is involved. In the latter case, however, a number of deviations from the above rule may occur, especially in Classical Arabic and, to some extent, even in Classicized SA, such as *hādā ljunūn* ‘this is madness’ (Reckendorf, *Arab. Syntax*, 282: *Ağ.* III 1001), etc.

Chapter 6 (44—45): Beeston’s account for the impossibility to establish a word-class of adjectives for Arabic, as based on syntactic considerations (the obligatory definiteness concord), is penetrating and gives a highly acceptable explanation of this feature. Constructions of the type *masjid aljāmi‘*, ‘*ām alqābīl*, etc., alternatively classified as either construct (Reckendorf) or nonconstruct phrases (Brockelmann, Blachère), can impair Beeston’s hypothesis in no significant degree.

Chapter 7 (50 sqq): Beeston’s concept of syntactic status (viz., independent, dependent and subordinate) is the first really successful attempt to obviate disadvantages of the traditional case terminology.

Nevertheless, a number of particulars pertaining to this system seem to be presented in an oversimplified form. In dealing with the disappearance of case inflections in modern vernaculars, for instance, the author asserts that the distinctive terminations have been totally lost in some classes of case inflections and ‘reduced to non-syntactically-variable number morphemes *-in* and *-ayn* in classes (iv) and (v)’ (53). When applying this delimitation to the morphological system of modern vernaculars, we realize that it holds, once again, for the typical case only. There are domains, however, where a more refined description might have been adopted. What Beeston classifies as Class (v), for instance, coinciding with the dual endings *-ā/-ān*, *-ay/-ayn*, was reduced to one dual morpheme in Colloquial Arabic: *-ayn* or what may equal it in particular colloquial variants of Arabic. The corresponding short allomorph, although generally missing, is still in use with some categories of nouns, notably with nouns denoting paired parts of the body, as in the Cairo Arabic *riḡlēhum* ‘their feet’, the Damascus Arabic ‘*īdīyi/īdayyi* ‘my hands’, etc.

Chapter 9 (65): In the treatment of generic definiteness within the scope of the theme-and-predicate relation (‘man is fallible’) it would have been worthwhile pointing out the unequal disposition of particular elements of an Arabic equational sentence for generating deviations from the current definitional scheme under the

impact of generic definiteness. The definitional state of a theme, being invariably definite, automatically coincides with generic definiteness of a theme when the latter happens to be generically defined. On the other hand, the opposite is true of a generically defined predicate which is normally, viz., nongenerically, indefinite. The interference between generic definiteness and nongeneric indefiniteness of a nominal predicate may lead to interpretational ambiguities, as in *dālika lfaṣṣ al' aẓīm* 'that is supreme reward' (*Qur.*, 9, 89) (i. e., predicate vs. attribute), etc. Nevertheless, Modern Written Arabic, except for Classicized contexts, normally reduces this type of ambiguity by various means, most currently by placing a predicate-marking pronoun before what should unambiguously be specified as a predicate.

Beeston's work is the type of book that will be read with interest by general linguists and Arabicists alike.

Ladislav Drozdík

David Cohen, *Dictionnaire des racines sémitiques, ou attestées dans les langues sémitiques* (Wörterbuch der semitischen, oder in den semitischen Sprachen nachgewiesenen Wurzeln). Paris—La Haye, Mouton et Co. 1970. Heft 1. XXXIV + 36 S.

Noch vor dem zweiten Weltkrieg machte Marcel Cohen darauf aufmerksam, dass es notwendig sei, ein Wörterbuch der semitischen Wurzeln zusammenzustellen. Auf seine Veranlassung stellte Jean Cantineau ein Stichwortverzeichnis zusammen, jedoch unterbrach er seine weitere Arbeit um das Jahr 1930. An die Realisierung dieses grandiosen Projekts machte sich im Jahre 1955 David Cohen heran. Das besprochene Buch repräsentiert das erste Heft aus seinem *Dictionnaire des racines sémitiques*.

Das Wörterbuch enthält — wie der Autor im Vorwort anführt — alle semitischen Wurzeln und zwar nicht nur diejenigen, die mehreren Sprachen gemeinsam sind, sondern auch solche, die nur in einigen Sprachen nachgewiesen werden, was oft in der akkadischen und arabischen Sprache vorkommt. Der gleichen Erscheinung begegnen wir auch bei den historischen und neuzeitlichen Dialekten, deren lexikographisches Material, soweit es bekannt und durchforscht ist, der Autor ausnützt. Schliesslich ist es nicht notwendig besonders zu betonen, dass in dem Wörterbuch allen neuzeitlichen Entdeckungen, vor allem auf dem Gebiet der alten semitischen Sprachen (ugaritische Sprache) die adequate Aufmerksamkeit gewidmet wird.

Jedes Stichwort des Wörterbuches ist sehr übersichtlich und klar zusammengestellt. Der, im ersten Teil des Stichwortes angeführten Wurzel folgen: „des formes transcrites et traduites qui la représentent dans chaque langue“ (VIII). Bei der Auswahl der Formen aus den einzelnen Sprachen geht der Autor nach zwei Grundkriterien vor: „Celui de la simplicité morphologique et celui de l'antériorité

derivationelle (lorsque celle-ci peut être aisément déterminé). C'est donc la forme la plus simple ou celle qui peut être considérée comme la base de dérivation qui est fournie en général" (VIII). Jeder Form fügt der Autor ihre Bedeutung hinzu. Den zweiten Teil des Stichwortes füllen Bemerkungen überwiegend etymologischen Charakters aus, die von bibliographischen Hinweisen ergänzt werden.

Das Wörterbuch David Cohens ist ein einzigartiger Ausgangspunkt zum Studium der vergleichenden semitischen Sprachwissenschaft und der semitischen Epigraphik. Es füllt die seit langem spürbare Lücke — vielleicht seit der Zeit Nöldekes — aus, und es ist zu hoffen, dass es in kürzester Zeit erscheinen wird.

Ján Pauliny

Jaroslav Stetkevych, *The Modern Arabic Literary Language*. Lexical and Stylistic Developments (A Publication of the Center for Middle Eastern Studies). Chicago—London, The University of Chicago Press 1970. XXII + 135 pp.

The main topic of the present book is the fascinating problem of the development of the modern Arabic literary language. As a work of scholarship focussing on cultural and linguistic history of Arabic rather than presenting a structural analysis of the language, it aims at reviewing processes that have led to the modernization of Arabic through the whole span of its linguistic evolution.

The major concern was given to the problem of word-formation (Chapter 1: The Analogical Method of Derivation (*Al-Qiyās*); Chapter 2: The Formation of Compound Words (*Al-Naḥt*); Chapter 3: The Assimilation of Foreign Words (*Al-Ta'rib*),) as well as to the impact of various semantic procedures on the modernization of the Arabic lexicon (Chapter 4: Semantic Developments). Chapter 5 deals with grammatical aspects of the linguistic development of Arabic (Attempts at a Simplification of the Grammar). Stylistic and phraseological influence of foreign languages on Arabic is surveyed in Chapter 6: Foreign Modes of Expression (*Ta'rib al-'Asātib*).

As far as derivation is concerned (Chapter 1), the author considerably simplifies the classification of particular types of *ištiqāq*, as reflected in the medieval Arabic grammar and in works depending on it, when stating that 'Classical Arabic philology distinguishes three main forms of derivation: the simple or "small" derivation (*al-ishtiḡāq al-ṣaḡīr*); the metathesis (*qalb*) or "large" derivation (*al-ishtiḡāq al-kabīr*); and the root transformation (*'ibdāl*) or "largest" derivaton (*al-ishtiḡāq al-'akbar*)' (7).

Derivation, in concepts of Arabic philology, is presented in several classificatory systems:

Suyūṭī's *Muzḥir* (vol. I, Cairo 1958, 346—347), for instance, distinguishes two types: *ištiḡāq 'aṣḡar*, corresponding to *ištiḡāq ṣaḡīr* of the book under review, and

ištiqāq 'akbar, corresponding to *ištiqāq kabīr* of the book under review, i.e. *qalb* or metathesis.

The system proposed by the Cairene amateur linguist Ḥasan Ḥusayn Fahmī, frequently quoted by Stetkevych, is more involved despite its bipartite presentation: 1. *ištiqāq ṣaġīr* (*muṭṭarid*), and 2. *ištiqāq kabīr*. The latter type, however, includes both metathesis and substitution of the root constituting consonants (*al-Marjī*, Cairo 1958, 324—325).

Classificatorily more complicated systems are arrived at by a further ramification of what corresponds to Fahmī's *ištiqāq kabīr* into *ištiqāq kabīr* (metathesis) and *ištiqāq 'akbar* (substitution) as separate classificatory entities. The latter distinction, leading to a trichotomic system substantially identifiable with that presented by Stetkevych, may be found with 'Alī 'Abdalwāhid Wāfī (*Fiqh al-luġa*, Cairo 1956, 172—178), for instance, with a slightly modified terminology: 1. *ištiqāq 'āmm* (= *ištiqāq ṣaġīr*); 2. *ištiqāq kabīr*, and 3. *ištiqāq 'akbar*.

There are, however, still more complicated systems. 'Abdallāh Amīn, for instance, proposes the following classification: 1. *ištiqāq ṣaġīr*; 2. *ištiqāq kabīr* (*'ibdāl luġawī*); 3. *ištiqāq kubār* or *'akbar* (*qalb luġawī*), and, by what he differs from all other systems quoted so far, 4. *ištiqāq kubbār* or *naht* (cf. *al-Ištiqāq*, Cairo 1956, 1—2).

Re: compounding (Chapter 2)

Despite a number of true compounds in Arabic (*māward*, *'ardḥāl*, *'irqsūs*, *ra'smāl*, etc.) and a rather optimistic view of some Arab codifiers on the adaptability of this word-formational procedure to the type of language represented by Arabic, compounding is, and apparently always will remain an exclusively *samā'i* procedure.

The main source of true (i.e., one-word-more-than-one-root) compounds is obviously the annexion type of the Arabic head-and-modifier constructions. The syntactic background of these compounds is frequently reminded by surviving analytic (non-compound)/synthetic (compound) alternations, as in

syntactic formations:

mā' al-ward
ra's al-māl
 etc.,

morphologic formations:

(*al-*) *māward*
 (*ar-*) *ra'smāl*
 etc.

Within the synthetic domain one may observe another way of restating compound constructions in non-compound terms, notably

compound:

(one-word-two-root formation)
 (*ar-*) *ra'smāl* (*-ī*, *-iyya*, etc.)
 (i.e., *r's* + *mwl*)

non-compound:

(one-word-one-root formation)
 (*ar-*) *rasmāl* (*-ī*, *-iyya*, etc.)
 (i. e., *rsm*)

When discussing the Arab scholars' approach to compounding it would have been of interest to point out the difference, observed by some scholars, between *naḥt* and *tarkīb* (*mazjī*). Mazhar's definition of *manḥūtāt*, for instance, does involve a new feature of substantial importance while postulating the omission of some radicals from one or both of the underlying components of the *naḥt*-fashioned compounds (*Tajdīd al-ʿarabiyya*, Cairo, n. d., 18). This feature, categorically postulated by Mazhar as against the Cairo Academy of the Arabic Language (cf., *Majalla*, VII, 1953, 201), leads him to introduce a new descriptive frame for such full-length compounds as e.g. *ra'smāl*, *ʿardḥāl* or, to quote a number of Mazharian neologisms, *qubaylīḥakamī baynāfaqārī*, etc.

Equally interesting is the following chapter dealing with *ta'rib*. The author might have incorporated splendid results obtained in this field by the late Majed F. Sa'īd (cf., *Lexical Innovation Through Borrowing in Modern Standard Arabic*, Princeton Near East Papers 6, 1967).

Valuable documentation is collected also in the three subsequent chapters, especially in Chapters 4 and 6, dealing with the most outstanding semantic and stylistic developments.

The problem of simplification of the Arabic grammar, dealt with in Chapter 5, still remains to be solved. One has to do, as the author rightly put it in the Preface (XXI), with "new attitudes rather than practical achievements".

Stetkevych's monograph is an invaluable source of information not merely for the students of Arabic but for all those whose work is connected in some way or another with the cultural history of the Arabs.

Ladislav Drozdík

Abdelghany A. Khalafallah, *A Descriptive Grammar of Sa'īdi Egyptian Colloquial Arabic* (Janua Linguarum, Series Practica, 32). The Hague—Paris, Mouton 1969. 124 pp.

Sa'īdi Arabic has been until very recently an unexplored field in Arabic dialectology. The present volume of JL is the first descriptive grammar of *Sa'īdi* Arabic that is a variety of Egyptian Arabic spoken in a relatively large area between Cairo and Aswan.

The book is divided into three parts as follows: Part I—*Phonemics* (9—46); Part II—*Morphemics* (47—84), and Part III—*Syntax* (85—109). Finally, an *Appendix to Phonotactics* (111—124) is added.

Part I is dealing with phonetics, phonemics and phonotactics of Sa'īdi Arabic. The Sa'īdi Arabic vocalic system is presented as made up of 5 short non-emphatic vowel phonemes, a phoneme of length and a phoneme of emphasis. Length, in this system, is rather untraditionally (as far as the descriptive treatment of Colloquial

Arabic is concerned) classified as a co-vowel occurring simultaneously with syllabic nucleus (21). The consonant system is presented as consisting of 23 non-emphatic consonant phonemes, emphasis being rather untraditionally once again interpreted in terms of a phoneme of emphasis simultaneous with vowels. This presentation of emphasis seems to be an important step forward in seeking a maximally efficient descriptive solution to this phenomenon.

Elision, as a particular type of morphophonemic alternation, is described as follows: "In a sequence ending with $/-V:CeC/$, $/e/$ is elided when the sequence comes in close transition with another sequence beginning with $V\text{---}\sim V:\text{---}$ " (41). To our opinion, this definition is excessively restrictive because $/e/$ is elided in any unstressed $/-CeC/$ sequence in close transition with another vowel-initial sequence, as in $/timsek + i/ = /timski/$, $/yimsek + u/ = /yimsku/$, etc. For these examples see p. 59 of the book under review.

Part II deals with morphemics: morphemic segments, form classes, pronouns, pronominals, and particles.

Noun and verb stems are classified as bimorphemic units, each consisting of a root and a vocalic pattern (49). In view of a variety of possible classifications it would have been of interest to define the morphological entity displaying a trimorphemic structure: root, vowel pattern and affix.

In describing covert definiteness conveyed by position, the author quotes three particular cases: (a) head of a genitival nominal phrase, (b) filler of the head slot after the vocative particle $/ya/$, and (c) head of a nominal construct (54). It would have been useful to specify the difference between a 'genitival nominal phrase' and a 'nominal construct' since both terms are quite currently employed to denote the same thing, that is both $n + n$, $n + ND$, and $n + NCt$, in the author's symbols. As far as the former term is concerned (viz., genitival nominal phrase), as applied to the analytic linguistic structure of Sa'idi Arabic, it appears to be, to a considerable extent, misleading.

Further, it would have been of interest to prove by convincing data that a Sa'idi Arabic noun, occurring as head of a nominal construct is really invariably definite, that is both in $n + ND$ and $n + n$ constructions. As for the latter case, we believe that there are no consistent formal criteria to attest to the definite state of a head noun in $n + n$ structures.

Part III is dealing with the most conspicuous syntactic features of Sa'idi Arabic: phrases and sentence types. The analysis of a sample Sa'idi text helps the reader to gain a better understanding of the descriptive technique used by the author.

Khalafallah's work, even if extraordinarily sketchy and sometimes unsatisfactorily documented, contains more innovating features than one is used to see in works of similar size. The book is a valuable contribution to Arabic dialectology.

Ladislav Drozdík

Saïd Hanouz, *Grammaire berbère. La langue. Les origines du peuple berbère* (Berber Grammar. The Language. The Origins of the Berber People). Paris, Librairie C. Klincksieck 1968. 247 pp.

The present grammar somewhat differs from the stock of works dealing with Berber linguistics. It is not so much an analytic study in any of the known Berber languages as rather an attempt at creating a generally valid grammar of a geographically and culturally undefined pan-Berber. More patriotic than scientific, as it appears to be (cf., 'La langue berbère est l'une des plus anciennes langues de l'humanité' (11); 'la langue berbère est une langue originale; elle ne peut s'apparenter qu'à la langue grecque. Elles sont de même souche...' (26), etc., etc.), the book is nevertheless written in the good faith to restore the Berber literacy.

The grammar is bilingual: French and Berber.

The author, unfortunately enough, quite deliberately ignores such well-established facts as is the Afro-Asiatic relationship of the Berber languages in his attempt to revive the definitely antiquated hypothesis of an Indo-European origin of the latter.

Ladislav Drozdík

Noveishaya istoriya Afriki (Modern History of Africa). Ed. by S. R. Smirnov. Moscow, Nauka Publishing House 1968. 2nd edition. 660 pp.

A large department in the Moscow Institute of Africa is specializing in the research of modern African history. The members of this group together with other leading specialists from various Soviet academic institutions concerned with Africa compiled a voluminous work dealing with the history of Africa in the last fifty years. The authors, led by the late Dr. Sergei Smirnov, have produced a book which tries to explain predominantly the strivings of African peoples for independence. This second edition under review has been enlarged, revised and reaches the period of independence as far as 1968.

While the years 1917—1918 chosen as the beginning of the analysed period are substantiated by the end of World War I and the general revolutionary events like the October revolution which inspired without any doubt also African peoples to seek their independence, the year 1968 was a less distinct time point for periodization from the reviewer's point of view. True, the decolonization is now at its end except in South Africa, but for Africa it is a time of endless difficulties, military coups and economic contradictions in the majority of newly-born nations. On the other hand, it is clear from the context that the authors intended to give an account of most recent African history including the last years before publication of the book.

However, the problem of the work lies in another field, namely in its composition.

After a forty-page theoretical introduction to which I would like to return later on, the whole contents of the book is composed from individual accounts of histories of African countries as they existed as colonies or exist as independent states, while the geographical criteria has been used. Such a structure of an historiography has many advantages for both authors who have been specializing on relatively small regions or ex-colonial areas like French West Africa and those readers who will find there a survey-like information. However, a reader interested in a profound analysis will not be fully satisfied. The chapters on different countries are mostly narrative texts which show the historical scene with enough width, but sometimes little profundity. Principally purely political history has been described but comparatively little attention has been paid by the authors to the pre-colonial traditional legacy and the impact of the so-called colonial social order on independent states. On the other hand, the reader finds much information on economic relations with capitalist and socialist countries and the hope that the non-capitalist way of future development is real for Africa has been well-argued in the whole book.

The introductory chapter focuses on problems of political and economic advancement of African peoples and modern independent states during the last fifty years from the aspect of development of party-political, trade-unionist and international relations. Especially the Organization of African Unity and the workers' movement including the communist parties were in the forefront of attention. The introduction does not idealize the recent changes in Africa and supposes that the future of Africa will bring much hardship.

As a survey or handbook, the volume *Noveishaya istoriya Afriki* will be surely welcome, even by those students of modern history and international politics who do not specialize in African affairs.

Peter Skalnik

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