VEDA

PUBLISHING HOUSE OF THE SLOVAK ACADEMY OF SCIENCES

SLOVAK ACADEMY OF SCIENCES

DEPARTMENT OF ORIENTAL STUDIES

CHIEF EDITOR

IVAN DOLEŽAL

EXECUTIVE EDITOR

JOZEF GENZOR

EDITORIAL BOARD

JOZEF BLAŠKOVIČ

LADISLAV DROZDÍK

MARIÁN GÁLIK

VIKTOR KRUPA

ASIAN AND AFRICAN STUDIES

DEPARTMENT OF ORIENTAL STUDIES
OF THE SLOVAK ACADEMY OF SCIENCES BRATISLAVA

XIII

1977

1977

VEDA, PUBLISHING HOUSE
OF THE SLOVAK ACADEMY OF SCIENCES BRATISLAVA

CURZON PRESS • LONDON

PUBLISHED OUTSIDE THE SOCIALIST COUNTRIES
SOLELY BY CURZON PRESS LTD • LONDON AND DUBLIN

SBN 7007 0107 9

© VEDA, VYDAVATEĽSTVO SLOVENSKEJ AKADÉMIE VIED, 1977

CONTENTS

Articles

Krupa, Viktor: *Language: Its Variability and Reflexive Nature* 11
Rácová, Anna: *The Compound Verb in Bengali* 29
Drozdík, Ladislav: *A Case of Inter-Systemic Polysemy in Arabic* 47
Kropáček, Luboš: *Main Cultural Factors in the Making of Modern Swahili* 81
Gálik, Marián: *On the Study of Modern Chinese Literature of 1920's and 1930's. Sources, Results, Tendencies*. 99
Múčka, Ján: *Une esquisse des problèmes idéologiques dans la vie littéraire vietnamienne pendant les années 1930—1940* (2e Partie) 131
Baňák, Kamil: *Mushfiq Kāẓimī's Novel The Horrible Tehran—Romantic Fiction or Social Criticism* 147
Celnarová, Xénia: *Orhan Kemals sozial-politische Satire* 153

Review Articles

Zima, Petr: *African Language Structures* 173
Zúbková-Bertoncini, Elena: *An Annotated Bibliography of Swahili Novels and Stories Published between 1960—1975*. 181

Book Reviews

Problemy semantiki. Ed. by V. M. Solntsev. By Viktor Krupa 195
Kapp, V. (Ed.): *Übersetzer und Dolmetscher.* By Viktor Krupa 197
Deutsch, Eliot: *Studies in Comparative Aesthetics.* By Marián Gálik 198
Oliver, Douglas L.: *Ancient Tahitian Society.* By Viktor Krupa 201
Kolb, Albert: *Die Chinesen, Japaner und Inder auf den Philippinen.* By Jozef Genzor 203
Dahm, Bernhard: *Emanzipationsversuche von kolonialer Herrschaft in Südostasien.* By Štefan Fatura 204
Alieva, N. F.: *Indoneziiskii glagol. Kategoriya perekhodnosti.* By Viktor Krupa 205
Turner, Robert F.: *Vietnamese Communism. Its Origins and Development.* By Ivan Doležal . . 207
Wu, Yuan-li: *The Strategic Land Ridge.* By Ivan Doležal 210
Anthologie de la littérature vietnamienne. Tome III. Par Ján Múčka 213
The Economic Development of East and Southeast Asia. Ed. by Shinichi Ichimura. By Jozef Genzor 216
Markova, S. D.: *Maoizm i intelligentsiya. Problemy i sobytiya (1956—1973 gg.).* By Anna Doležalová 217
Han Shan: *150 Gedichte vom Kalten Berg.* Von Marián Gálik 219
Sunflower Splendor. Three Thousand Years of Chinese Poetry. By Marián Gálik 222

Ostasienwissenschaftliche Beiträge zur Sprache, Literatur, Geschichte, Geistesgeschichte, Wirtschaft, Politik und Geographie. Von Marián Gálik 225
Hsüan Tsang: *Ch'eng Wei-shih Lun. The Doctrine of Mere-Consciousness.* By Marián Gálik . . 228
Wilhelm, Richard: *Botschafter zweier Welten.* Von Marián Gálik 231
Wolf, Margery—Witke, Roxane (Eds).: *Women in Chinese Society.* By Marián Gálik 233
Eberstein, Bernd: *Bergbau und Bergarbeiter zur Ming-Zeit (1368—1644).* By Josef Fass . . 236
Hook, Peter Edwin: *The Compound Verb in Hindi.* By Anna Rácová 238
Grintser, Pavel: *Drevneindiiskii epos.* By Anna Rácová 239
Kalinnikova, E. Ya.: *Angloyazychnaya literatura Indii.* By Anna Rácová 242
Béteille A.—Madan, T. N. (Eds): *Encounter and Experience.* By Anna Rácová 244
O'Malley, L. S. S.: *India's Social Heritage.* By Anna Rácová 246
Islamkundliche Abhandlungen aus dem Institut für Geschichte und Kultur des Nahen Orients an der Universität München. Von Vojtech Kopčan 248
Doerfer, G.: *Türkische und mongolische Elemente im Neupersischen.* Von Georg Hazai . . . 250
The Cambridge History of Iran, Volume 4: The Period from the Arab Invasion to the Saljuqs. Ed. by R. N. Frye. By Kamil Baňák 252
Iran. Von Kamil Baňák 254
Biobibliografičeskij slovarʾ otečestvennych tjurkologov. Dooktjabrʾskij period. Von Vojtech Kopčan 256
Dąbrowski, K.—Nagrodzka-Majchrzyk, T.—Tryjarski, E.: *Hunowie europejscy, Protobułgarzy, Chazarowie, Pieczyngowie.* Von Vojtech Kopčan 257
Günday, Dündar: *Arşiv Belgelerinde Siyakat Yazısı Özellikleri ve Divan Rakamları.* Von Vojtech Kopčan 260
Memoiren eines Janitscharen oder Türkische Chronik. Von Vojtech Kopčan 262
Karpat, Kemal H. and Contributors: *Turkey's Foreign Policy in Transition (1950—1974).* By Vojtech Kopčan 264
Okay, Orhan: *Batı Medeniyeti Karşısında Ahmed Midhat Efendi.* Von Xénia Celnarová . . . 266
Ergün, Mehmet: *Hikâyemizde Bekir Yıldız Gerçeği.* Von Xénia Celnarová 268
Yavuz, Kerim: *Der Islam in Werken moderner türkischer Schriftsteller.* Von Xénia Celnarová . 270
Alʹkajeva, L. O.: *Iz istorii tureckogo romana. 20—50-je gody XXv.* Von Xénia Celnarová . . 274
Türk Dili. Türk Öyküculüğü Özel Sayısı. Von Xénia Celnarová 277
Altındal, Aytunç: *Türkiye'de kadın.* By Xénia Celnarová 280
Benedict, Peter: *Ula, an Anatolian Town.* By Xénia Celnarová 281
And, Metin: *Oyun ve Bügü. Türk Kültüründe Oyun Kavramı.* By Xénia Celnarová 284
And, Metin: *Turkish Miniature Painting. The Ottoman Period.* By Xénia Celnarová 287
Georgiyan, E. A.: *Turetskaya respublika. Osnovnye instituty gosudarstvennogo stroya.* By Naďa Zimová 289
Harrison, W.—Prator, C.—Tucker, G. R.: *English-Language Policy Survey of Jordan.* By Ladislav Drozdík 290
Zaki, Abdel-Malek N.: *The Closed-List Classes of Colloquial Egyptian Arabic.* By Ladislav Drozdík 292
Ibnal-Faqīhal-Hamaḏānī: *Abrégé du livre des pays.* Von Ján Pauliny 297
Hartmann, Angelika: *an-Nāsir li-Dīn Allāh (1180—1225). Politik, Religion, Kultur in der späten ʿAbbāsidenzeit.* Von Ján Pauliny 299
Sharabi, Hisham: *Arab Intellectuals and the West: The Formative Years, 1875—1914.* By Karol Sorby 302
Kraft, Charles H.—Kirk-Greene, A. H. M.: *Hausa.* By Petr Zima 302
Klíma, Vladimír—Růžička, Karel František—Zima, Petr: *Black Africa. Literature and Language.* By Viera Pawliková 306

History of West Africa. Two volumes. Ed. by J. F. Ade Ajayi and Michael Crowder. By Viera Pawliková 309
Bravmann, René A.: *Islam and Tribal Art in West Africa.* By Viera Pawliková 312
Dark, Philip J. C.: *An Introduction to Benin Art and Technology.* By Viera Pawliková 313
The Cambridge History of Africa. General Editors J. D. Fage and Ronald Oliver. Volume 4. From ca 1600 to ca 1790. Edited by Richard Gray. By Viera Pawliková 315
Sík, Endre: *The History of Black Africa.* Vols III and IV. By Viera Pawliková 319
Fage, J. D.: *States and Subjects in Sub-Saharan African History.* By Viera Pawliková 322
Ogot, B. A. (Ed.): *Zamani. A Survey of East African History.* By Viera Pawliková 323
Chevrier, Jacques: *Littérature nègre. Afrique, Antilles, Madagascar.* Par Viera Pawliková . . 326
Africa South of the Sahara 1975. By Viera Pawliková 327
African Encyclopedia. By Viera Pawliková 328
Zimoń, Henryk: *Regenriten auf der Insel Bukerebe (Tanzania).* Von Ján Komorovský 330
BOOKS RECEIVED 332

ARTICLES

ASIAN AND AFRICAN STUDIES XIII, 1977

LANGUAGE: ITS VARIABILITY AND REFLEXIVE NATURE

VIKTOR KRUPA, Bratislava

This article is devoted to a critical discussion of the theory of linguistic relativity. Both varieties of relativism are covered, i. e., the neo-Humboldtian school (as represented chiefly by Leo Weisgerber) and the so-called Sapir-Whorf hypothesis. While admitting that language exerts some influence upon thought, the author believes that this impact has its limitations and that the interlinguistic variability is not incompatible with the unity of human thought.

One of the cardinal problems of general linguistics is the relation of language to experience and the part played by language as a vehicle of thought. The way in which this problem is solved has some implications for the philosophy of language, typology, contrastive linguistics as well as translation theory. In addition to this, it is of relevance to psychology and the cognition theory. Therefore it deserves serious attention on the part of linguists, psychologists and philosophers. And yet, in East European countries and in the Soviet Union the interest in this question has been aroused relatively recently only and this by a theory that is regarded by Marxists (and not only by Marxists) to be idealistic and as a whole unacceptable. This is the so-called theory of linguistic relativity that exists in two varieties which may here be called European or neo-Humboldtian and American or Whorfian. Both are independent creations but the European variety is much older.

Most linguists are inclined to derive the European school from Wilhelm von Humboldt. Recently it was pointed out (Miller, 1968, p. 14) that it was probably Johann Georg Hamann who first became convinced that language is no mere appendage of reason and that it enters into the very structure of cognition as a constitutive factor of its development. Hamann came to regard language as a mediator between man and experience. This is not all. According to him, language is never simply general but rather it is always the specific language that represents its own world and is bound up with thought (Gründer, 1958, p. 189). Hamann believes that language is the determining factor in the relation language — reason and this opinion is probably derivable from his belief in the divine origin of language. Unfortunately, Hamann is not always explicit and elsewhere he maintains that language itself may be influencend by what he calls *natürliche Denkungsart* (Hamann, 1949—1953, Vol. 2, p. 122). However, he leaves this nebulous and mystic notion undefined and unexplained. The latter term is sometimes replaced with the expression genius of language.

Admittedly Hamann devoted only sparse attention to the relation language — thought but his few ideas concerning the issue have been adopted by Johann Gottfried Herder who believed that "every nation speaks... according to the way it thinks, and thinks according to the way it speaks" (Herder, 1877—1913, Vol. 2, p. 18). Thus, in Herder's opinion a language both reflects the national mentality and corresponds to the structure and content of that mentality. This is where for the first time appears the very specific feature of the German relativistic school, i.e., an identification of language with nation and, what is more, an identification of high qualities of the German language with equally high qualities of the Germans and of their national character.Confer the following quotation: "And in the concatenation and inner sequence of our periods we can observe the gait of a German ... to whom a uniform, steady, and manly gait is peculiar" (Herder, ibid, p. 44). And, as Miller puts it when paraphrasing Herder, the "heaps" of consonants in German are said to give the language the "distinct, firm step, which never tumbles over, but rather strides with grace, like a German" (Miller, 1968, p. 22).

Hamann and Herder may be regarded as mere forerunners of Wilhelm von Humboldt who has surpassed both of them in many respects. He was familiar with a wide range of structurally divergent languages and his linguistic sophistication enabled him to formulate a more or less consistent — if not adequate — hypothesis of interrelations between language and thought. Humboldt regarded language as a creative act of mind which enters into the cognitive process. He was right when maintaining that language cannot be characterized simply as a stock of words. On the contrary, "the dominant principle in all languages is articulation, and the most important excellence of every language is fixed and flexible structure" (Humboldt, 1903—1918, Vol. IV, p. 17). Humboldt employs the term articulation to describe the way in which substance of thought and sound is segmented so as to obtain all the various language units that are synthesized in accordance with the speaker's intentions. Humboldt believed that these analytic and synthetic acts are unique in each particular language. One may readily agree that they differ from language to language. This is an important fact but much more important are the conclusions drawn from it. And some of those arrived at by Humboldt are certainly unacceptable, e. g., his statement that inflection "awakens ... by its inherent regard for the forms of thought, in so far as these relate to language, a more accurate and lucid insight into their nexus" (Humboldt, 1903—1918, Vol. VII, p. 119). W. Humboldt has introduced into his relativistic hypothesis another feature that he remained typical for his followers. This consists in the belief that various languages differ more markedly in the semantic content of their words than in their grammatical structures. But perhaps the most explicit formulation of the relativistic principle may be found in the following statement: "The interdependence of word and idea shows us clearly that languages are not actually means of representing a truth already known, but rather of discovering the previously unknown. Their diversity is not one of sounds

and signs, but a diversity of world perspectives" (Humboldt, 1903—1918,Vol. IV, p. 27). The implications of this assumption are made explicit by Humboldt as follows: "... as the individual sound does between the object and man, so the whole language intervenes between him and a nature reacting internally and externally upon him ... his feeling and conduct depend on his conceptions, solely as his language presents them to him" (Humboldt, 1903—1918, Vol. VII, p. 60).

And yet Humboldt has made only the first step in the direction of gnoseological relativism. As stressed by Miller (Miller, 1968, p. 31), his position was one of linguistic (and not philosophical) relativism. After all, this is obvious from the following quotation: "The sum of the knowable lies, as the field to be tilled by the human mind, in the middle of, between, and independent of all languges. Man cannot approach this purely objective realm other than through his cognitive and sensory powers, that is, in a subjective manner" (Humboldt, 1903—1918, Vol. IV, p. 27). At the same time, Humboldt believed that man's cognitive ability depends upon the language he speaks which amounts to saying that this ability is restricted by the particular language. And this shows the way toward the philosophical relativism and agnosticism that was subsequently chosen by his followers in Germany and by relativists in America.

After Humboldt, the linguistic scene was dominated by comparatists who were engaged in studying the genetic relationships of languages. The synchronous approach acquired a prevalence only after many decades and its first important protagonist was Ferdinand de Saussure. He repeated and reformulated some of Humboldt's ideas on language (e. g., its inseparability from thought); both Leo Weisgerber and Jost Trier admit that they owe much to the patriarch of modern structuralism. In distinguishing signification and value of linguistic units, de Saussure has furnished the neo-Humboldtians with a useful methodological tool. Signification of a linguistic unit refers to the objective reality (as reflected in a concept) while value is attached to that unit through its being an element of the (linguistic) system. It is a great merit of de Saussure that he has defined language as a system of signs. However, he had interpreted the latter as a set of interrelations, which led to the unjustified identification of system with structure and, inevitably, to the neglect of substance. This also concerns the semantic level. According to de Saussure, meaning is determined by both signification and value. De Saussure has distorted the mutual relationship of extra- and intralinguistic aspects in the linguistic sign, attaching much more weight to value than to signification. This bias in favour of value is responsible for serious misinterpretations of the nature and function of human language and may even have far-reaching gnoseological consequences. One must not forget that language has essentially a reflexive nature and as such it may be regarded as a kind of hypothesis of the objective reality. It serves the communicative, cognitive and other needs of a community and it may fulfil its functions only if it enables its speakers to orientate themselves in the reality as well as possible. This means that language

ought to be (as any hypothesis) not only consistent, which is stressed by de Saussure and neo-Humboldtians, but also adequate, which again must be stressed by adherents of the dialectic method. Language does not exist and function in a vacuum. Quite the contrary, it is interrelated with many other spheres of the human activity and objective reality and is not exempt from what may be termed an interaction of systems. This dialectic interaction causes that there are no closed systems in the objective reality, since a closed system would be impenetrable from outside and that all systems are open, even if in varying degrees. An open system may exert influence upon its environment and is, in its turn, subject to external influences from its environment. The active form of interaction is termed assimilation and the passive accomodation (Piaget, 1971, p. 69). Completely open and completely closed systems are theoretical constructs. An absolutely open system would lack the assimilative dimension because of an absence of internal consistency. On the other hand, an absolutely closed system would be subject to the assimilative forces only and it would lack the accomodative dimension, i.e., adequacy. The neo-Humboldtians in their bias for values (which manifest the consistency, i.e., the assimilative tendencies) interpreted language, to be precise, the languages as closed systems that are cut off from their environment and virtually incapable of communicating about what is outside of the language. There is sufficient evidence that this is not the case. Any language is an open system that accomodates itself to its changing environment. This accomodation takes place, e.g., as borrowing new words, losing obsolete ones as well as meaning changes. This will later be discussed in some detail. Here it may be remarked that changes in the word stock prove the linguistic reflection of the reality to be subject to incessant checking, adjusting and improving by the users of any particular language. Thus through its vocabulary, any language is capable of making compensation for all points in which it differs from other languages.

The Humboldtian conception of language was restored by Walter Porzig (Porzig, 1923). Standing upon idealistic philosophical positions, Porzig believes that the linguistic form exerts a deep influence upon the speakers' perception. According to him, the transition from a synthetic to an analytic stage in language is indicative of a change in cognition. Porzig obviously assigns the grammatical structure a role it never plays. This is due to the fact that Porzig and other relativists have not grasped language in its full complexity. Language, as a highly complex and multilayered system is a heterogeneous phenomenon and this manifests itself, e.g., in a functional specialization of its levels and units. The systemic nature enables language to function despite its tremendous complexity and at the same time it is reflexive in relation to the objective reality. Its reflexive nature is warranted by accomodative tendencies (that force language to adjust itself to its environment) while assimilative tendencies (producing and reproducing its grammatical structure) keep it together as a functioning whole. The particular linguistic levels differ as far as the operation of accomodative and assimilative tendencies is concerned. The lexical level is subject

chiefly to the accomodative tendencies while the grammar and phonology are dominated by the assimilative tendencies. In other words, the reflexive aspect of grammar is secondary and its cognitive value nil.

Although Humboldt discusses the question of relevance of the grammatical structure for cognition, his followers in Germany have largely restricted their attention to the lexical level. However, they have not neglected grammar because of its reflexive irrelevance. Rather the reason of their preoccupation with vocabulary is to be sought in the fact that most of them have used data from structurally close Indo-European languages.

Alongside de Saussure, it was Ernst Cassirer who had left an imprint upon the teaching of the neo-Humboldtians. This holds especially of his book *Philosophie der symbolischen Formen* (Cassirer, 1923). Although he cannot be regarded as one of the neo-Humboldtians, Cassirer has been influenced by Humboldt and likewise claimed that language is a determinative factor in the perceptual process. He believed that the semantic segmentation of the objective reality (taking place upon the lexical level) reflects differences in perception.

The most important representative of the neo-Humboldtian school is Leo Weisgerber who published a study titled *Das Problem der inneren Sprachform* (Weisgerber, 1926). According to him, language as a ready-made framework forces its speakers to think in certain aprioristic ways that differ from language to language. Thus each language carries out a different conceptual segmentation of the objective reality and this segmentation is accepted by its speakers. Weisgerber admits the supraindividual and social nature of language; however, he simplifies the relation between language and thought and underestimates the ability of speakers to overcome the limits set by their language. Weisgerber arrives at a dubious conclusion that there are no homonyms or synonyms; instead of them, we have to do with entirely different words. This is in full accordance with his view that there is no semantic equivalence between any two languages. Regarding linguistic concepts as cognitive primitives that are undefinable, Weisgerber commits a serious error since he virtually denies the existence of similarity and semantic motivation that is an essential factor in expanding the word stock of any language. Weisgerber claims that the semantic level of language is subject to two structural laws. The law of the sign enables us to understand how a linguistic sound complex can operate as a crystallization point for a linguistic content, while the law of the field determines how these concepts can acquire a delimitation (Weisgerber, 1953, pp. 86, 87). The former may obviously be considered as operating upon the level of accomodation, while the latter upon that of assimilation. But Weisgerber overestimates the role of the field or even absolutizes it, which amounts to ignoring the incontestable fact that for the word stock of any language it is essential to accomodate to the objective reality. There may be no doubt that if a contradiction arises between reality and the particular language, it is the language that must change and not the reality.

The critical objections, however, are not intended to reject the possibility of using the notion of field in linguistics. The term itself has appeared in linguistics as a result of the application of the structural method. Several field theories have been suggested so far (by G. Ipsen, A. Jolles, W. Porzig, J. Trier). The term field refers to a set of words or concepts that are used for a specific area of experience. This set is structured so that the individual words reciprocally determine each other's meaning by their number and position in the total field (Trier, 1931, pp. 6,7). From Trier's reasoning it follows that the whole vocabulary is hierarchically organized in fields of a higher and a lower order. The trouble is, though, that the word stock of any language may be regarded as a system in a very trivial sense only. This is connected with the above-mentioned fact that the vocabulary is dominated by the accomodative tendencies since its chief aim is to be adequate (in the reflexive respect to the reality). Its consistency is of secondary importance only and the operation of assimilative tendencies in the vocabulary is negligible. Their role is confined to the phonological and grammatical adaptation of new lexical items so that they would fit into the structural pattern of that language. This in no way prevents new words from entering the vocabulary and the latter is a gate through which even new grammatical and phonological features may penetrate into the language (e. g., the plural suffix *-/e/s* in English, the phoneme *f* in Russian, *g* in Czech). Thus the word stock of any language is organized or structured in a very loose way although there are areas notable for a higher degree of stability and structuration (e. g., kinship terms, colour terminology, pronouns, numerals); the latter fact is also due to a fairly high degree of stability of the objective reality segment they reflect. But as a whole, the word stock is open to external influences and may absorb new items (both of domestic and foreign provenience) or lose those that are not felt as adequate. The feature of openness is incompatible with the theory of linguistic relativity. This has been realized by J. Ajdukiewicz (Ajdukiewicz, 1960) who made an attempt to construct the language as a closed system but subsequently renounced it.

The neo-Humboldtian conception forces its adherents to absolutize the word and to consider it in isolation from the utterance. There can be no doubt that various languages articulate the objective reality in such ways that their word stocks differ in many respects. But the implications for human cognition are less far-reaching than the relativists admit. Words, although displaying a considerable degree of syntactic independence, are deprived of the communicative function when taken in isolation and torn out from their contexts. They do not in fact correlate directly with the objective reality (which always takes place through their use in an utterance) and merely hint at a certain segment of experience. Their role consists in serving as a building material for the communicative units, i.e., sentences. This explains why a word is essentially polysemantic while a sentence is as a rule unambiguous. When keeping in mind what is the true role of word, we have to admit that V. G. Gak is right when he maintains that the selection of features (= semantic motivation), exception-

ally important from the viewpoint of the form of language, turns out to be inessential from the standpoint of identification of the denotata during the communicative process (Gak, 1973, p. 72).

S. A. Vasiliev points out that the problem of the influence of vocabulary upon perception and cognition implies two questions:

1. Is man able to perceive those phenomena or qualities for which there are no special words in his language?

2. Does vocabulary exert some influence upon the perception and distinction of various phenomena in everyday life?

In his answer Vasiliev stresses that the perceptive ability is influenced by the *practical needs* to perceive and distinguish. Language only channels the perception so that one notices and distinguishes easier and faster what is distinguished linguistically (Vasiliev, 1974, pp. 47, 48).

The neo-Humboldtians were inclined to believe that the word stock (its semantic aspect) is dependent upon the grammatical structure of the language. In fact it is the vocabulary that plays an important part in the process of grammatical change since many grammatical markers and their meanings may be traced back to the lexical domain. However, Weisgerber believed that each word class implies a different mode of cognition. Furthermore he claimed that the sentence structure is also relevant to the type of thought. It is worth noticing that from stressing structural differences among languages, Weisgerber slides to distinguishing more advanced languages from less advanced ones. He seems to believe that there is a scale by means of which various languages can be classified and evaluated. Thus, languages not only organize experience in divergent ways, but it is implicitly claimed that some of them are "better" than others. Weisgerber's scale is based upon a set of arbitrarily chosen features, e.g. congruity, syntactic regressivity, composition. Weisgerber forgets that the absence of a particular feature may be compensated for by the presence of another feature. His position shows that having absolutized some of their assumptions, the neo-Humboldtians ultimately arrived at a virtual negation of what ought to have been a linguistic relativism.

Although the American school of linguistic relativism displays quite a few parallels with the neo-Humboldtianism, there are also several marked differences.

The hypothesis of linguistic relativity in the United States may be traced back to Franz Boas, but its principles have been elaborated by Edward Sapir and above all by Benjamin Lee Whorf. Sapir started with two basic assumptions. First, he claimed that language takes an active part in our perception of reality since it is a social product and the chief means of our education as well as thought. Second, differences in geographical, social, and cultural environments lead to the existence of divergent linguistic systems. The worlds in which various societies live are different worlds and there are no two languages such that would reflect the same social reality. Both assumptions are acceptable and no one can accuse Sapir of idealism; the active role

of language in cognition and perception is incontestable. This seemed insufficient to Whorf who claimed that language determines the patterns of behaviour and thought. Although his search for correlations between speech and behaviour was largely impressionistic (Hockett, 1954, p. 108), to the hypothesis of linguistic relativity was subsequently given considerable attention, both positive and critical. And this was perhaps the greatest merit of Whorf — that he has managed to arouse a deep interest in the important question of interrelations between language and thought. The attitudes of American linguists to Whorf's theory were discussed and summed in a volume titled *Language in Culture* (Hoijer, 1954). The critical remarks of Soviet and East European linguists came a couple of years later (Zvegintsev, 1960, pp. 111—134; Albrecht, 1974, pp. 162—169; Solntsev, 1974; Vasiliev, 1974; Panfilov, 1975, pp. 3—12).

One typical feature of Whorf's hypothesis that is absent from neo-Humboldtianism has been noticed by J. H. Greenberg: "One characteristic difference... which lies in the sphere of value judgments... European writers have, with some exceptions, taken a view of primitive mentality similar to that of Lévy-Bruhl. The world perspective stated to be revealed shows the primitive at early prelogical stage of development. In the United States an equality of valuation is maintained, the scale, if anything, tending to weigh in favour of the primitive" (Greenberg, 1954, p. 4). There is another difference as well. While the neo-Humboldtians were mainly engaged in the study of lexical differences, Whorf focused his attention upon divergences in grammar and grammatical semantics. In his study *The Relation of Habitual Thought and Behaviour to Language* (Whorf, 1939), he maintains that various grammatical categories (e.g., number, gender, animate-inanimate, tense, voice, parts of speech) exert a much deeper influence upon human behaviour than particular words do. Whorf proceeds on an acceptable assumption that conceptualization always takes place in a particular language and that languages diverge in grammar and vocabulary. But the existence of linguistic variability as such is no sufficient basis for the hypothesis of relativity. The latter starts where Whorf claims that dissimilar linguistic forms ultimately give rise to diverging forms and norms of thought which, in their turn, act upon the norms of behaviour. This statement has far-reaching gnoseological implications. However, instead of proving his hypothesis, Whorf contents himself with giving mere illustrations, chiefly from English and some American Indian languages. He even suggests that Newton's conception of the universe would be completely different from what it is if the scientist would have spoken Hopi instead of English. And what is more, he believes that Hopi is more congenial to modern physics than European languages are. According to Whorf, the perception of the objective reality is determined by the particular language. Language is also considered to be the determinant in the process of conceptualization and in Whorf's opinion even logic varies with the particular linguistic type. In its

practical consequences this amounts to saying that language reproduces reality instead of reflecting it.

Whorf's accentuation of the linguistic diversity is by no means justified. Existence of typological divergences does not disprove the basic similarity of languages. Even while remaining within the framework of one language, we are able to attain a certain measure of freedom from its limitations. This is warranted by the existence of the intralinguistic variability; the speaker always has at his disposal a range of linguistic means that enable him to view reality from several angles and to stress alternatively its various aspects, if necessary. Once we are aware of this, we cannot so easily exaggerate or absolutize the interlinguistic variability. The possibility of a multiple expression of one and the same situation is regarded by V. G. Gak as one of the three basic features of the semiotic level (c). The other two are (a) connection with the situation and (b) mutual interaction of all intralinguistic levels (Gak, 1973, p. 358). These three features have immediate implications for the linguistic change. Feature (a) explains why the linguistic changes are inevitable; (c) makes the linguistic change possible through warranting a measure of continuity and (b) enables the change within one linguistic level to influence other levels as well. Feature (b) also makes it possible that the results of the operation of accomodative tendencies become subject to the operation of assimilative tendencies (= transition from the domain of adequacy into that of consistency). In addition, feature (c) reflects the multiplicity of aspects of both the objective and subjective factors that are responsible for creating the linguistic reflection.

Since the grammatical structure is of vital importance for the functioning of language, Whorf concludes that it plays an analogously important role for the relation of language with reality as well. He stresses that various languages may differ considerably in their respective sets of grammatical categories. S. A. Vasiliev, in an effort to prove the relative unimportance of grammatical categories on the cognitive level, argues that in principle all lexical differences may be grammaticalized (Vasiliev, 1974, p. 29). It may be admitted that theoretically there is no limit to the number and content of grammatical categories but empirical evidence seems to indicate that the set of meanings that are usually grammaticalized in various languages is rather restricted, including, e.g., number, gender, class, time, aspect, instrument, goal, cause, possession, person, will, potentiality, case, etc. This shows that all languages of the world display some universal structural features and that linguistic variability is far from boundless. And this is another serious argument against the hypothesis of linguistic relativity. Whorf has overestimated the existence of structural differences among languages and, in addition to this, he has taken it for granted that even ordinary speakers are aware of the grammatical categories operating in the languages they use. This is, however, an illusion based upon his misunderstanding the essence and function of grammatical categories. The latter

serve the purpose of keeping the language together as a functioning system; their cognitive value is negligible despite the fact that most grammatical categories display more or less obvious traces of a reflexive origin, which amounts to saying that they are externally motivated. An investigation of the genesis of grammatical categories ought to take into account that the basic direction of evolution in language is from the lexical to the grammatical level and not reversely. Specialized grammatical markers and their respective semantic contents must have appeared in consequence of a repeated occurrence of some linguistic items referring to some essential and frequent features of objective reality (to be more precise, experience, which also includes subjective attitudes) such as quantity, time, organization of space, discourse participants, etc. Their grammaticalization coincided with a loss of their syntactic independence. At the same time, they ceased to be subject to the accomodative forces (i.e., ceased to reflect the objective reality that is extralinguistic) and having become submitted to the assimilative forces of the linguistic system, they could acquire such semantic features that would be unacceptable and inadequate upon the cognitive level. In other words, the external motivation gradually retreats into the background as the category is being integrated into the grammatical framework of the language and it may even be completely lost. According to Vasiliev, the human cognitive process leads to an appearance of contradictions between the new content and the established grammatical forms which, as a consequence of this, become to be felt as inadequate (Vasiliev, 1974, p. 42). Here we must proceed with a great care lest we slip to a false conclusion that there are more and less developed (advanced) grammars. Such a conclusion can only by avoided if we keep in mind the purely consistential role and adequational irrelevance of grammar. The semantic content of grammatical categories is just a seeming paradox that can astonish only those scholars who are not willing to distinguish the aspects of adequacy and consistency in language. An analogous idea is expressed by J. H. Greenberg who says that grammatical markers are not susceptible to semantic interpretation in terms of non-linguistic environment (Greenberg, 1954, p. 15).

Another mistake committed by linguistic relativists is that they consider grammatical markers in isolation from other possible ways of expressing the same content. In any language the grammaticalized means compete with and are substitutable for the lexical ones. The speaker may materialize his intention in several alternative ways that are more or less synonymous, which is incompatible with a deterministic interpretation of the relation between language and thought.

Relativists are also guilty of absolutizing semantic motivation. They seem not to distinguish what is living and productive now from what was living and productive once, when a new word was being coined. Too much weight is being attached to the initial motivation by Whorf who believed that the latter somehow persists in the semantic content of a word and may influence the speaker's behaviour. This would mean that, e.g., the Latin word *luna* (derived from a root referring to light) could not

be equated with its Slovak counterpart *mesiac* (derived from a root referring to measuring) although both denote one and the same phenomenon of the objective reality. Whorf quite obviously overestimates the degree to which ordinary speakers of a language are aware of metaphors. The very existence of poetry is based upon the fact that all metaphorical expressions are active for a very short time and their freshness wanes very soon.

Whorf induces us to ask the question whether there exist linguistic systems that would have absolutely nothing in common. The answer is unambiguously negative. Such systems would be entirely closed and this runs counter to what we know of language. All languages are reflexive in relation to the objective reality, which explains a good deal of interlinguistic similarities (universals). The second source of similarities is found in the fact that all languages are products of human societies and are spoken by human beings that are biologically, psychologically and socially akin. It is hard to decide which of the two factors is more important. There is also a third source of similarities, namely the existence of mutual contacts between human communities that lead to linguistic interference. Thus we may sum up that languages are essentially open systems (even if only relatively) that display a considerable set of universal features.

The practice of translation confirms that despite many differences, all languages are mutually translatable, whether they are isomorphous or not. This amounts to saying that all languages are capable of expressing everything and the differences among them may perhaps be reduced to the motivation of expression, variability as to the level of expression and the complexity of expression. Languages differ not so much as to what they can express; rather they deviate as to what they usually do express. Phenomena that are culturally important (and therefore frequently referred to) are, as a rule, assigned simpler and shorter ways of expression than marginal phenomena (that are rarely referred to and therefore often assigned periphrastic or ad hoc means of expression). Thus it happens that the same segment of reality is reflected in language A as an affix, in language B as a word while in language C it must be described with the aid of a syntagmatic unit. All these formally divergent means of expressing one and the same content may compete intralinguistically; e.g., in Russian the category of person is sometimes marked with an affix *pišu, pišeš, pišet,* etc.) or with a syntactically independent pronoun (*ja pisal, ty pisal, on pisal,* etc.) and, likewise in Maori the category of number is expressed either by means of a particle *ngaa* (*ngaa whare* houses) or, in a few cases, by means of the internal inflection (*tangata* man — *taangata* men).

The term grammatical category seems unsatisfactory to the author. It implies an obligatory occurrence of a set of markers with a class of items, although the degree of obligatoriness varies from category to category. Perhaps it might be replaced with the notion of a functional-semantic category suggested by A. V. Bondarko (Bondarko, 1971). The term grammatical category would then be reserved for a subclass of

the functional-semantic categories. The latter may be classified from several points of view (in addition to the degree of obligatoriness). We distinguish functional-semantic categories that express (1) features of substances and features of processes from those that express (2) relations between substances and processes, i.e. relations substance—substance, process—process, and substance—process. From yet another point of view, one can distinguish (1) classificatory categories, e.g. gender, animate—inanimate (with substances), transitive—intransitive (with processes), (2) modulative categories, e.g., case, number, possession (with substances), tense, aspect, voice, person (with processes), (3) hybrid categories that are partly classificatory and partly modulative, e.g., alienate—inalienate in the Polynesian languages (Maori *whenua* — land is always inalienate while, e.g., *waiata* — song may be either alienate, which reflects an active attitude of the possessor or inalienate, which coincides with his passive attitude) and gender in Russian (*sirota* — waif may be either masculine or feminine gender and the same is true of *kollega* — colleague, while *čelovek* — man is always masculine).

The classification of grammatical categories has been considerably advanced by Whorf (Whorf, 1945); however, the adherents (and also opponents) of the theory of linguistic relativity paid far more attention to the classificatory categories than to the modulative ones, while the hybrid categories were not considered as a separate type at all.

The genesis of grammatical categories is a complicated issue. However, it would be wrong to believe that it lies entirely within the scope of historical linguistics. Once we admit that language evolves (and functions) in an interaction with its environment, we cannot regard its structure as something immobile. Quite the contrary, it is constantly remodelled and restructured; the stability of grammar is temporary and transitional, and this ought to be examined in connection with a formal and semantic erosion of grammatical markers and with an influx of fresh elements from the lexical level that at first lose their syntactic freedom, are fixed positionally and also, in their turn, become subject to erosive forces. Thus analytical means of expressing grammatical meanings are replaced with agglutinative and inflectional ones. This development, however, cannot be regarded as a sort of grammatical progress since it is cyclical so that inflection, as a consequence of erosive forces, may be replaced with analytism or agglutination.

The category of word classes is usually regarded as classificatory (although in some languages it is modulative or hybrid). It may be utilized as an illustration of the way in which the reflection of the objective reality penetrates into the structure of language where it is subjected to its internal assimilative pressures. The existence of word classes is ultimately derived from the fact that there are several types of phenomena in our experience that behave in different ways, i.e., substances and processes. This is reflected in the existence of nouns and verbs. But the structural pressure has modified this distinction to its own needs and therefore a process may be represented

linguistically as a noun and, vice versa, a substance is sometimes represented as a process. Here we ought to mention V. G. Gak's contribution to the study of what he terms situation and its reflection in language. According to him, the observer recognizes first of all material objects, i.e. substances. A situation appears as a result of coordinating the substances and their states. There are two types of coordination: spatial and temporal. Noun reflects, in principle, substances while verbs refer to coordination (Gak, 1973, p. 359).

Whorf discusses in much detail the differences in word classification among various languages. As he shows, Hopi classes lightning, wave, flame, and meteor as verbs while European languages treat them as nouns. Whorf is inclined to draw far-reaching philosophical consequences from this difference, forgetting that the cognitive aspect of grammar is essentially irrelevant. S. A. Vasiliev is right when remarking that only science can answer such questions (as to whether lightning, wave, etc. are objects or events) and that they will be given independently of any particular language. Science relies increasingly upon special languages which are international and at the same time deprived of many specific features of natural languages. The impact of language upon thought and behaviour obviously correlates with the stage of social and cultural development of the particular community. It may be assumed to be much more profound with the primitive societies than with modern mankind. Even ordinary speakers learn to overcome the limits set by their language. If we say that the sun is rising or setting, this does in no way imply that we refute the heliocentric theory. The history of human science and philosophy is a history of approximating the objective truth both with the aid of language and against it. And Whorf underestimates this fact.

The positive contribution of the Whorfian hypothesis consists in the fact that it focuses attention upon the incontestable role of language in the cognitive process and in framing the world picture. However, absolutizing this role, Whorf does not notice its limitations and minimizes the impact of social activity upon various aspects of language (i.e., the aspect of adequacy and accomodative ability).

The active role of language in the cognitive process is not denied even by those who criticize Whorf. Cognition is not to be interpreted as a passive reflection, which is a fallacy of metaphysical materialism. On the other hand, idealism arrives at an opposite extreme, denying the existence of causality between the objective reality and its reflection and tending to identify reflection with creation. Dialectic materialism maintains that reflection is both objective and subjective and this is why our cognition continues to evolve and may infinitely approximate the truth. This also holds for language as a reflexive phenomenon. Language helps the human mind to create a reflexive picture of world, a picture that may be characterized as mosaic (Vasiliev, 1974, p. 52). A mosaic can infinitely approximate the original without ever becoming an absolutely precise copy of it. But, as Vasiliev adds, even a mosaic is a picture. It is a selective picture and what is to be selected depends upon the needs of

the society. Thus the active role of language consists in objectivizing the ideal through language, which enables carrying out all human activity (Albrecht, 1974, p. 167). The social and cultural continuity warrants that the experience of preceding generations influences our cognitive process. And since this experience is accumulated in linguistic forms, one may easily commit the fallacy of believing that this influence emanates from language. This is not exactly the case. Language is a mere tool and its merit does not consist in reflecting the reality as peculiarly as possible (i.e., only consistently, in accordance with its own structure) but in reflecting it so as to be capable of fulfilling its social functions (i.e., to be adequate). Therefore, language changes whenever such a change becomes necessary, and differences among various languages are relative as well as changeable; they can, in principle, be removed or at least bridged and must not be regarded as a logical necessity. The cognitive process corrects the linguistic picture of the world and the correction takes place through the lexical level. This does not mean that the vocabulary is an autonomous part of language; rather it is a manifestation of the fact that an element or a set of elements simultaneously enter into more than one system, even if this takes place through different qualities of those elements.

There can be no doubt that various natural languages help directing thought into certain accustomed channels and that language makes conceptual thought possible. Linguistic stereotypes, as V. G. Gak puts it, make the process of communication easier; however, they do not completely remove the possibility of an individual attitude, and the difference between the former and the latter supplies a psycholinguistic basis for the literary and linguistic creativity (Gak, 1973, p. 371).

The relativist claim that the particular language determines both perception and conceptualization and that the outer world is to be viewed as a "kaleidoscopic flux of impressions analysed and synthesized by means of linguistic patterns" was attacked by non-Marxists as well. In a critical paper F. Fearing (Fearing, 1954, p. 63) points out that Whorf bypasses every mode of prelinguistic perception. Fearing stresses that all the sense modalities enter on an equal footing, but not always with equal weight, into the dynamics of perception. These modalities include exteroceptors (receptors stimulated by energies external to the organism), interoceptors (responding to stimuli within the organism), and proprioceptors (receptors in the muscles and tendons). It is assumed that in the most primitive forms of perception these three sources of sensory information are present in an undifferentiated or partially undifferentiated state. This implies that the external stimuli are not clearly distinguished from the internal ones; evidence is supplied by children and some mentally deviant individuals. The insufficient differentiation of the subjective from the objective results in realism, animism, and artificialism, which are three vital features of children's thought. Realism refers to the failure to clearly distinguish self from its environment, thought from the object of thought. Animism denotes the inclination to regard objects as living and artificialism is the tendency to regard things as human

artefacts (Fearing, 1954, p. 65). It is worth mentioning that all these features of an insufficient differentiation occur in religious conceptions and mythologies of many peoples around the world. Realism is hidden behind totemistic beliefs according to which a tribe may identify itself with its totem (whether it is an animal, tree or object). The presence of animism can be recognized in the deification and personification of nature and, finally, artificialism may explain the origin and background of cosmogonic myths. Furthermore, realism, animism, and artificialism turn out to be present in the semantic content of grammatical categories. V. A. Zvegintsev, in an effort to disprove Whorf's hypothesis, maintains that such categories as time, space, substance, etc., have the same content for all peoples (Zvegintsev, 1960, p. 129). This is not the case since such concepts evolve and their true content can only be explained by science which has a supralinguistic, universal character. Let us take as an example the grammatical category of tense which cannot be regarded as an adequate reflection of physical time. Rather it mirrors an egocentric and utilitarian attitude toward time, an attitude that betrays the initial fusion of the subjective and objective time. Likewise, the category of gender is a witness to the extension of anthropomorphic models to other realms of experience. In this connection we often use the term physiognomic perception. Although the latter occurs more frequently with young children and with so-called primitive peoples, it may be stated to exist, although sometimes in rudiments only, with all adults. The physiognomic perception prevents distinguishing the objective qualities of a thing from the emotions they arouse (Fearing, 1954, pp. 67, 68). The same attitude seems to persist in the grammatical semantics of natural languages and serves as a metaphorical basis for extending their vocabulary.

Grammatical categories supply evidence indicating that abstraction is not only the ultimate fruit of intellectual efforts, but that it appears at very early stages of mental development. This early abstraction is observable, e.g., in children's drawings, in prehistoric petroglyphs, in Australian cave paintings, on the one hand, and in the semantic content of grammatical categories, on the other. In these instances abstraction amounts to a simplification and restriction of the reflection to the most prominent features of an object; prominent means important from the viewpoint of a given community. Thus the visual or linguistic representation is no copy of the objective reality. It reflects both the reality and the subjective factor (comprising some experience, interests, and attitude) which, in the case of language, becomes socialized. A reflection is inevitably selective in relation to the continuous and inexhaustible reality and the principle of selectivity operates in the interests of the society.

S. A. Vasiliev claims that some grammatical categories seem to be entirely "artificial", e.g., the category of gender of inanimate nouns in Russian, while others seem to be "natural", e.g. number or tense (Vasiliev, 1974, p. 41). This, however, is an illusion that can be disproved by a mass of counterevidence: Is it natural that

Slovak *hodiny* (clock) or *dvere* (door) are pluralia tantum while the Russian singular *ryba* (fish) may be used as a mass noun? The author of this article insists that once the grammatical categories are admitted to be only consistential and not adequational, no relevance at all can be attached to a chance coincidence between the content of a grammatical marker and a segment of the reality. For example, the Maori word *whaeā* — mother is classed as inalienable, while its Tongan cognate *fa'ē* — mother is treated as alienable. What criteria would help us to decide which of the two solutions is preferable? Obviously none, except purely structural ones that are irrelevant from the viewpoint of adequacy. And we can assume that various languages are grammatically equivalent only if we refuse to resort to an extralinguistic evaluation.

Whorf considers grammatical categories to be adequational and therefore we cannot be surprised that he denies the universal character of human thought as well as the existence of its common logical structure. He is not right when maintaining that experience presents itself to the observer as a kaleidoscopic flux that is organized by linguistic means only. But perception and cognition rest upon a prelinguistic basis that is common to all peoples regardless of the language they speak. Besides, one has to keep in mind that the content of our consciousness cannot be equated with a set of meanings fixed in grammatical markers and lexical units. Fearing rejects Whorf's hypothesis as a special type of cultural relativism that emphasizes culture as a determinant of the individual's values, motives, needs and, in general, his world view. The cultural relativists stress the diversity and role of culture and underestimate or ignore the universal biological basis on the one hand and, on the other hand, assume that the human being is a dynamically empty organism that is passive in his attitude toward society and nature (Fearing, 1954, pp. 49, 53, 56). S. Asch criticizes cultural relativism as a hypothesis resting upon a psychological basis of a simplified mechanistic stimulus-response psychology (Asch, 1952, p. 374). Whorf ignores the fact that man, in interaction with his environment, represents a dynamic system in which the human mind develops more and more adequate modes of cognition (including language) such that serve the society increasingly better. Having deprived the interrelation reality — language — thought of its dynamic aspect of an incessant adaptive change, Whorf arrived at a virtual negation of his relativism that has degenerated into a hypothesis claiming that the interlinguistic and intercultural barriers are absolute and insurmountable. And this conclusion has long been disproved by constant interlinguistic and intercultural communication as well as by the rise of logic that is one and common to all mankind.

REFERENCES

Ajdukiewicz, J.: *Język i poznanie.* Vol. 1. Warsaw 1960.
Albrecht, E.: *Ob aktivnoi roli yazyka v protsesse poznaniya.* Vopr. Filos., 1974, No. 3, pp. 162—169.
Asch, S. E.: *Social Psychology.* New York, Prentice-Hall 1952.

Bondarko, A. V.: *Grammaticheskaya kategoriya i kontekst.* Leningrad 1971.
Cassirer, E.: *Die kantischen Elemente in Wilhelm von Humboldts Sprachphilosophie.* Festschrift für Paul Hansel, pp. 105—127. Greiz i. V., Ohag. 1923.
Fearing, F.: *An Examination of the Conception of Benjamin Whorf in the Light of Theories of Perception and Cognition.* In: Language in Culture, pp. 47—81 (see Hoijer, H., 1954).
Gak, V. G.: *Vyskazyvanie i situatsiya.* In: Problemy strukturnoi lingvistiki, pp. 349—372. Moscow, Nauka 1972.
Greenberg, J. H.: *Concerning Inferences from Linguistic to Nonlinguistic Data.* In: Language in Culture, pp. 3—19 (see Hoijer, H., 1954).
Gründer, K.: *Figur und Geschichte: Johann Georg Hamanns "Biblische Betrachtungen" als Ansatz einer Geschichtsphilosophie.* Freiburg 1958.
Hamann, J. G.: *Sämtliche Werke.* 6 vols. Vienna 1949—1953.
Herder, J. G.: *Herders sämtliche Werke.* 33 vols. Berlin, Weidmannsche Buchhandlung 1877—1913.
Hockett, C. F.: *Chinese Versus English. An Exploration of the Whorfian Hypothesis.* In: Language in Culture, pp. 106—123 (see Hoijer, H., 1954).
Hoijer, H. (Ed.): *Language in Culture.* American Anthropologist, 56, 1954. No. 6, Part 2, Memoir No. 79.
Humboldt, W. von: *Gesammelte Schriften.* 7 vols. Berlin, B. Behrs Verlag 1903—1918.
Miller, R. L.: *The Linguistic Relativity Principle and Humboldtian Ethnolinguistics.* The Hague, Mouton 1968.
Panfilov, V. Z.: *Yazyk, myshlenie i kultura.* Vopr. yazykoznaniya, 1975, No. 1, pp. 3—12.
Piaget, J.: *Štrukturalizmus.* Bratislava, Pravda 1971.
Porzig, W.: *Der Begriff der inneren Sprachform.* Indogermanische Forschungen, *XLI.* 1923, No. 2, pp. 150—169.
Solntsev, V. A. (Ed.): *Problemy semantiki.* Moscow, Nauka 1974.
Trier, J.: *Der deutsche Wortschatz im Sinnbezirk des Verstandes. Die Geschichte eines sprachlichen Feldes. I. Von den Anfängen bis zum Beginn des 13. Jahrhunderts.* Heidelberg, C. Winters Universitätsbuchhandlung 1931.
Vasiliev, S. A.: *Filosofskii analiz gipotezy lingvisticheskoi otnositelnosti.* Kiev, Naukova dumka 1974.
Weisgerber, L.: *Das Problem der inneren Sprachform.* Germ.-roman. Mschr., *XIV.* 1926, pp. 241—256.
Weisgerber, L.: *Vom Weltbild der deutschen Sprache.* 1. Halbband. *Die inhaltbezogene Grammatik.* 2nd ed. Düsseldorf, Pädagogischer Verlag Schwann 1953.
Whorf, B. L.: *The Relation of Habitual Thought and Behaviour to Language. 1939.* Reprinted in: Whorf, B. L.: *Language, Thought and Reality.* New York, Wiley 1956.
Zvegintsev, V. A.: *Teoretiko-lingvisticheskie predposylki gipotezy Sapira—Whorfa.* In: Novoe v lingvistike. Vol. 1, pp. 111—134. Moscow, izd. Inostr. lit. 1960.

ASIAN AND AFRICAN STUDIES XIII, 1977

THE COMPOUND VERB IN BENGALI

ANNA RÁCOVÁ, Bratislava

The existence of compound verbs presents one of the most characteristic features of new Indian languages. The aim of this paper is to study the compound verbs in Bengali, i.e. to show what the components of the compound verbs are, to find out the restrictions valid for them, to examine the meanings of different compound makers, to classify compound makers according to their meanings, and to classify the class of compound verbs in the Bengali language.

1. The compound verb is here defined as the sequence of the perfect participle and a finite verbal form functioning as a lexico-grammatical unit, the meaning of which is derived from the lexical meaning of the first component, the second component losing its lexical meaning and serving only as a modifier of the meaning of the first component.

However, it is obvious that not every sequence of perfect participle and finite verb can be considered as a compound verb. There are certain restrictions valid for both the components of the unit.

The analysis of texts (Mitra, 1886; Rāycaudhurī, 1972; Basu, 1973) proves that (1) only autosemantic verbs can function as the first component of a compound verb, (2) there is only a restricted number of verbs which can function as second components of a compound verb. (We follow A. Pal in calling this component the "compound marker".) The authors cited in the present paper introduce different lists of such verbs, (3) certain "meanings" can be expressed only by certain verbs; the authors differ in ascribing a "meaning" to a compound maker.

2. Writers on the subject introduce lists of verbs which can function as compound makers but there is a great deal of disagreement among them. The class of compound makers as defined by the authors cited ranges from a minimum of eight to a maximum of twenty.

The disagreement may result from the absence of any strictly formal criteria according to which it would be possible to decide which sequence of perfect participle and a finite verbal form makes up a compound verb. This is not quite clear even in those sequences of perfect participle and finite verb in which the second component is the verb considered as the compound maker by all authors. For instance, the sequence *ese paṛla* can be interpreted either as two independent, successive verbal forms having the meaning *se ela ebam paṛla,* i. e. he came and fell

down, or as the compound verb with the meaning "he came suddenly". It is evident that it is the context which plays an important role in determining the compound verb, and the context may sometimes be understood subjectively.

The following chart shows more clearly how the lists of compound makers by various authors differ. The chart includes each verb regarded as the compound maker by at least one of the following authors: E. M. Bykova, P. S. Ray, A. Pal, W. S. Milne, S. K. Chatterji, H. Ghosh, and W. S. Page, as well as those verbs which occurred in our texts in this function (OT); (+ means that the given writer includes the given item as the compound maker). Some compound makers are more frequent than others and therefore the non-occurrence of some compound makers in our texts can result solely from the insufficient length of these text.

Chart 1

	OT	Bykova	Ray	Pal	Milne	Chatterji	Ghosh	Page
ach-	–	–	–	+	–	–	–	–
ānā	+	+	+	+	–	–	–	–
āsā	+	+	+	+	+	–	–	+
oṭhā	+	+	+	+	+	+	+	+
calā	+	+	+	+	–	–	–	–
tolā	+	+	+	+	+	+	–	+
thākā	–	–	+	+	–	+	+	–
dāṛāna	+	+	–	–	–	–	–	–
deoyā	+	+	+	+	+	+	+	+
dekhā	+	–	+	–	–	+	–	–
dekhāna	–	–	+	–	–	–	–	–
dharā	+	–	–	+	–	–	–	–
neoyā	+	+	+	+	+	+	+	+
paṛā	+	+	+	+	+	+	+	+
phelā	+	+	+	+	+	+	+	+
basā	+	+	+	+	+	+	–	–
bācā	–	–	+	–	–	–	–	–
beṛāna	+	–	+	+	–	–	–	–
marā	–	–	+	–	–	–	–	–
yāoyā	+	+	+	+	+	+	+	+
rahā	–	–	+	–	–	+	+	–
rākhā	+	+	+	+	–	–	–	–
sarā	–	–	+	–	–	–	–	–

The chart shows that only few verbs are taken as compound makers by all the authors cited.

3. The authors disagree not only on the question as to which Bengali verbs occur in the function of compound makers, but also in determining the meanings of different compound makers, i.e. how they modify the meaning of the first component. We

illustrate this by introducing the characteristics of verbs included in the class of compound makers in Chart 1.

ách- — (to be)[1]

This verb is considered a compound maker only by A. Pal according to whom it expresses continuity of action.

We do not include *ách-* among compound makers because it preserves its lexical meaning to a higher degree than compound makers usually do. It functions as a verb of existence. This is substantiated by those sentences in the texts in which a perfect participle, standing at the end of the sentence, does not combine with any other verbal form. This type of sentence can be regarded as a kind of nominal sentence (very common in Bengali) the main characteristic feature of which is the absence of the verb of existence *ách-*. Sentences of this type have the same meanings as the more frequent Bengali sentences in which perfect participle is followed by *ách-: sámne gáṛi dáṛiye* (Basu, p. 118) — In front of (the house) the car is standing, *jánálay cupṭi kare dáṛiye áche* (Basu, p. 11) — She is silently standing at the window.

ánā — (to bring)

This verb denotes the completion of action (Bykova, Ray, Pal, OT). A. Pal points out that *ánā*, in contrast to the other compound makers, keeps its meaning and this is the reason why some authors do not include it among compound makers.

However, in our not very long texts few instances of *ánā* functioning explicitly as the compound maker occur (besides several instances in which the function of *ánā* is not quite clear: *ánā* may be understood as a compound maker as well as an autosemantic verb). Therefore we include the verb among compound makers. The fact that at least in some cases *ánā* does not keep its lexical meaning in combination with a perfect parficiple, conforms to the tendency of contemporary Bengali language to use all the time more compound verbs, which introduces new verbs into the category of compound makers. This tendency is substantiated also by the fact that *ánā* having the function of a compound maker, is mentioned only in more recent works on the Bengali language. This may serve as evidence that *ánā* had not been used earlier as a compound maker.

ásā — (to come)

According to the majority of the authors cited, this verb expresses the completion of action or its continuity (Ray, Pal, Milne, Page). According to A. Pal, it can express also the habit and W. S. Page says that *ásā* expresses the beginning of action, too.

After an analysis of instances from our texts as well as those used by different authors for illustrating their theories, we come to the conclusion that it is better not to

[1] In brackets the basic meanings of verbs are introduced.

speak about the compound maker *āsā* as expressing the completion or continuity of action.

As we have already mentioned, context is the very important element in determining Bengali compound verbs. It is therefore natural that different authors take context into account also when determining the meaning of a compound maker. However, the instances in their studies prove that sometimes it is the tense of the compound maker which is considered as the "context": when speaking about *āsā* as denoting the completion of action, some of them give instances in which the finite verbal form, i.e. the compound maker, occurs in the form of past tense (i.e. the action it expresses is finished at the moment of speech); *āsā* denoting the continuity of action is illustrated with instances in which the finite verbal form occurs in the present tense (i.e. it expresses the action that continues at the moment of speech). It follows that the completion or continuity of action denoted by a perfect participle is not a consequence of the meaning of compound makers but of their relation to the moment of speech. Such an interpretation of the meaning of a compound maker does not appear to be correct. We regard as preferable to take *āsā* as having the function of an intensifier of the lexical meaning of a perfect participle.

The compound maker *āsā* combines most frequently with verbs of movement *(chuṭā, pālāna, nāmā, pherā, thāmā, beṛāna, ghanāna, oṭhā, oṛā, bhāsā, sarā)* denoting the direction "to", "on". This is the function of *āsā* also when it combines with the perfect participle of the verb *neoyā* — to take, but the compound verb *niye āsā* differs somewhat from the sequences of the perfect participle of the above-mentioned verbs and *āsā* (viz. p. 44).

oṭhā — (to rise, to get up)

This is a frequent compound maker. In our texts it denotes a change of state, but not only a change for a better state, as observed by e.g. W. S. Milne and W. S. Page and as it could also follow from the lexical meaning of the verb. Because it denotes a change, *oṭhā* is quite often combined with the perfect participle of *haoyā* — to become. The change signalled by the compound maker *oṭhā* is often sudden or unexpected. (The suddenness is sometimes stressed by the adverb *haṭhāt* — suddenly.)

According to A. Pal and W. S. Milne *oṭhā* can also denote the completion of action but we have not found instances for such use of the compound maker in our texts.

calā — (to go)

This is an infrequent compound maker which functions as an intensifier of verbal action expressed by verbs of movement.

tolā — (to raise)

In our texts only a few instances occurred of *tolā* being used as a compound maker.

It denotes a change and intensifies the verbal action. It is a transitive antithesis to the intransitive compound maker *oṭhā.*

thākā — (to be, to stay)

Some authors consider *thākā* as the compound maker denoting repetition or continuity of action.

We do not include *thākā* among compound makers as it keeps its lexical meaning (similarly as the verb of existence *ācḥ* — does) and is thus contrary to our definition of the compound maker.

dā̆ṛāna — (to stand)

In our texts *dā̆ṛāna* functions as the compound maker only in combination with the verbs *oṭhā* — to stand up, *āsā* — to come, and *sarā* — to step back, i.e. with semantically similar verbs (verbs denoting a direction). It denotes the continuity of action expressed by a perfect participle.

deoyā — (to give)

This is one of the most frequent compound makers. It denotes the action directed towards an object. The majority of authors understand the compound maker *deoyā* in this sense, too. Only S. K. Chatterji and H. Ghosh speak about the completion of action and W. S. Milne takes *deoyā* as the intensifier. (We have also found one sentence in our texts where *deoyā* has this function.)

dekhā — (to see)

This is considered to be a compound maker only by P. S. Ray and S. K. Chatterji. Chatterji gives the only instance of the use *dekhā* as a compound maker where *dekhā* combines with the perfect participle of the verb *karā* — to do. He translates the sequence *kare dekhā* as "to experiment", i.e. to do and see. Chatterji does not precisely determine the meaning of this compound maker (he includes it among compound makers labelled as "miscellaneous").

In our texts only a few sentences with this compound maker occur where it always combines with semantically identical or very close verbs *(cāoyā, tākāna)*; the compound maker *dekhā* functions as the intensifier of verbal action expressed by those verbs. The compound verbs *ceye dekhā* and *tākiye dekhā* represent a special type of compound verbs which is more precisely characterized on page 45.

dharā — (to hold)

This is a very uncommon compound maker expressing continuity of verbal action.

neoyā — (to take)

A compound maker which may be considered as the opposite to that of *deoyā.* It expresses an action directed towards a subject.

paṛā — (to fall)

In our texts, *paṛā* usually expresses a sudden, unexpected action (similarly *às· oṭhā*). It combines with verbs of movement.

In some cases it functions as the intensifier of the meaning of verbal action expressed by the first component of the compound verb.

In other cases *paṛā* expresses a change of state (and not only one for the worse, or one of diminished activity, as observed by W. S. Page and W. S. Milne).

phelā — (to drop, to throw)

The compound maker *phelā* usually expresses the completion of verbal action which quite often includes an element of suddenness.

It serves also as an intensifier of verbal action.

This compound maker usually combines with transitive verbs, exceptionally also with intransitive ones (e.g. with *hāsā* — to laugh, *kã̃dā*— to weep).

basā — (to sit)

This is a very rare compound maker. In our texts *basā* occurs in the function of compound maker only with the perfect participle of the verb *oṭhā* — to get up. It serves as the intensifier of action.

beṛāna — (to walk)

According to P. S. Ray and A. Pal, the compound maker *beṛāna* expresses repeated continuity of action.

In our texts it occurs only in one sentence where it functions as the intensifier of verbal action.

yāoyā — (to go)

This is the most frequent compound maker. It occurs as the second component in compound verbs of very different character. According to the authors cited, it can express the continuity as well as beginning and completion of action.

No instance has been found in our texts where *yāoyā* would function as the compound maker expressing the beginning of action. It is also quite difficult to decide whether *yāoyā* expresses continuity or completion of action. The situation is similar to that of the compound maker *āsā*. (In contradistinction to *āsā*, *yāoyā* combines with a much wider scale of verbs.)

As has been already mentioned, the tense of the compound maker cannot be taken into account when the function of a compound maker is being determined. But we have not found as yet any criteria which would help us to differentiate more precisely the functions of the compound maker *yāoyā*. Therefore, we consider it simply as the intensifier of verbal action expressed by the perfect participle.

A special function can be ascribed to *yāoyā* when it combines with the perfect

participle of the verb *neoyā*: it then denotes the direction "from": *niye yāoyā* — to take away. (Compare with a similar function of the compound maker *āsā*.)

rahā/raoyā — (to stay)

This is usually considered as the compound maker expressing continuity of action.

We do not include *rahā/raoyā* among compound makers for same reason as in the case of the verbs *āch-* and *thākā*.

rākhā — (to keep)

It expresses continuity of verbal action. In many cases it can be substituted for the compound maker *dharā*. (It is possible to form the compound verb *dhare rākhā*, but not *rekhe dharā*.)

4. Chart 1 shows that though the repertory of compound makers is fairly wide, it includes only six verbs which are taken to be compound makers by all the authors cited. They are: *oṭhā, deoyā, neoyā, paṛā, phelā* and *yāoyā*. It follows that these are

Chart 2

CM	Meaning	Ray	Pal	Milne	Chatterji	Ghosh	Page
oṭhā	suddenness	+	+	+	+	+	
	completion	+	+				
	change of state		+				+
	gradual increase			+			
deoyā	action directed towards object	+	+				+
	completion				+	+	
	intensity			+	+		
neoyā	action directed towards subject	+	+	+			+
	completion				+	+	
	intensity				+		
paṛā	completion	+			+		
	suddenness		+	+		+	
	change of state			+			+
	intensity				+		
phelā	suddenness	+					+
	completion		+	+	+	+	+
	inattentive or unintentional action			+			
yāoyā	continuity	+	+	+	+	+	+
	intensity			+			
	beginning				+		

the most typical compound makers for the Bengali language and can be considered as the basic class of Bengali compound makers.

Chart 2 includes the basic Bengali compound makers and the meanings ascribed to them by various authors who are seen to disagree even on the very meanings of basic Bengali compound makers.

The differences sometimes result only from the keen nuances in the criteria of classification. For instance, the majority of the authors cited hold that in the compound verb *kine nāo* (buy for yourself), *neoyā* expresses the action directed towards the subject. However, S. K. Chatterji and H. Ghosh speak about a completion of the action. As is evident these two interpretations of the same compound maker are not contradictory in principle.

Similarly, neither is there any contradiction when the authors state that a compound maker is able to express the sudden beginning of an action, and a change of state.

Attention should be paid to those cases in which entirely contradicting meanings are ascribed to a compound maker; this refers particularly e.g. to the compound maker *yāoyā*.

5. The great majority of the above authors not only admit the existence of compound verbs in Bengali and analyse the functions of different compound makers but also try to classify them according to their meanings.

The first serious classification has been done by S. K. Chatterji. He divides the class of compound makers into six groups:

1. Intensives: *deoyā, neoyā, paṛā,*
2. Intensives and Completives: *phelā, paṛā.*
3. Inceptives: *yāoyā.*
4. Staticals: *thākā, rahā/raoyā.*
5. Continuatives: *yāoyā.*
6. Miscellaneous: *deoyā, dekhā, paṛā.*[2]

According to the classification by A. Pal, the compound makers denote:

1. completion of action: *ānā, āsā, tolā, phelā, rākhā,*
2. suddenness of action: *oṭhā, paṛā, basā,*
3. continuity of action: *āch-, calā, thākā, dharā, yāoyā,*
4. action directed towards a subject: *neoyā,*
5. action directed towards an object: *deoyā.*

The Soviet Indologists E. M. Bykova, D. A. Datt — A. S. Zimin and I. S. Kolobkov more or less agree in their classifications of the Bengali compound makers. They divide them into two groups labelled as duratives in one case and

[2] S. K. Chatterji classifies somewhat differently the compound makers in his work *Sarat bhaṣā — prakāś bāṅgālā byākaraṇ* and also adds the verbs *uṭhā, tolā* and *basā* to the class of compound makers. These are also included in Charts 1 and 2.

intensifiers in the second one; D. A. Datt—A. S. Zimin divide the intensifiers into compound makers denoting (a) completion of action, and (b) continuity of action.

Similarly to the Soviet Indologists, we come to the conclusion that there exists a clearly separate group of verbs among Bengali compound makers which have a single function in combination with the perfect participle: they denote continuity, repetition, duration of action expressed by the perfect participle. There are the compound makers *dā̃ṛāna, dharā* and *rākhā*. In agreement with the above authors we term them duratives.

The rest of the compound makers do not denote any duration of verbal action (the distinctive feature of durativeness is absent).

The group of non-durative compound makers can be divided into two subgroups: the first one includes the compound makers *deoyā* and *neoyā* which denote orientation of verbal action. The second subgroup includes the rest of the non-durative compound makers denoting a sudden beginning of action, a change of state, completion of action, or they simply intensify the action expressed by the infinite verbal form, i.e. by the perfect participle. We consider them all to be intensifiers. (This subgroup is not further divided because compound makers included in it may have several meanings, e.g. compound maker *paṛā* may denote a sudden beginning of action, a change of state, as well as intensity of verbal action.)

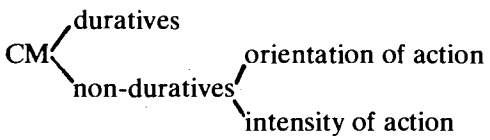
Bengali compound makers are then divided into:

1. duratives: *dā̃ṛāna, dharā, rākhā;*
2. non-duratives,

(a) denoting orientation of an action: *deoyā, neoyā,*

(b) denoting intensity of an action: *ānā, āsā, oṭhā, calā, tolā, dekhā, paṛā, phelā, basā, beṛā, yāoyā.*

This is schematically represented as:



6. On the preceding pages we have come to the conclusion that every Bengali autosemantic verb may occur as the first component of a compound verb. We have further pointed out that only some Bengali verbs may function as the second components of compound verbs, i.e. as compound makers, and that certain meanings can be expressed only by certain compound makers. Then we have shown that one and the same meaning can be expressed with the help of several compound makers, e.g. duration can be expressed by *dā̃ṛāna, dharā* and *rākhā*, the compound makers being sometimes freely interchangeable.

A further aim of the present paper is to find out whether any rules exist that would

	ānā	āsā	oṭhā	calā	tolā	ḍẽṛāna	deoyā	dekhā	dharā	neoyā	paṛā	phelā	basā	beṛāna	yāoyā	rākhā
ācṛāna to scratch							+									
ānā to bring					+		+									+
āsā to come						+					+					
uṛā to fly		+		+												
elāna to loosen							+									
othā to rise		+				+					+		+		+	
karā to do	+		+				+									+
kẽ̃ḍā to weep			+								+					
kẽ̃pā to tremble			+													
kāṭā to cut															+	+
kāṭāna to cause to be cut										+						
kũckāna to contract			+													
khāoyā to eat		+					+			+						
khāoyāna to feed							+									
kholā to open							+		+	+						+
gilā to swallow												+				
gũjā to drive into							+									

	ānā	āsā	oṭhā	calā	tolā	ḍāṛāna	deoyā	dekhā	dharā	neoyā	paṛā	phelā	basā	beṛāna	yāoyā	rākhā
ghanāna to near		+														
ghāmā to perspire			+													
ghumāna to sleep											+					
caṭā to crack															+	
calā to go															+	
cāoyā to look at							+									
cāpā to press									+							+
cālāna to conduct							+									
cēcāna to shout			+													
chaṛāna to scatter											+					
chūṛā to throw												+				
chuṭā to run		+													+	
chēṛā to tear							+					+				
jaṛāna to embrace									+							
jamā to collect			+													
jāgā to wake			+													

	ānā	*āsā*	*oṭhā*	*calā*	*tolā*	*dāṛāna*	deoyā	dekhā	dharā	neoyā	paṛā	phelā	basā	berāna	yāoyā	rākhā
jānā to know										+						
jānāna to inform							+									
jvalā to burn			+													
jhalā to dazzle											+					
jhūkā to incline											+					
ṭalṭalāna to stagger			+													
tānā to pull										+						
tipā to press									+							
ḍākā to call			+	+								+				
ḍubā to sink															+	
ḍhukā to enter															+	
tākāna to look (at)								+				+				
tāṛā to chase			+													
tāṛāna to chase away							+									
tolā to raise							+		+	+		+				
thamkāna to be taken aback															+	
thāmā to stop															+	

	ānā	āsā	oṭhā	calā	tolā	dāṛāna	deoyā	dekhā	dharā	neoyā	paṛā	phelā	basā	beṛāna	yāoyā	rākhā
thāmāna to cause to stop									+							
dāṛāna to stand											+					
deoyā to give			+						+						+	
dekhā to see										+		+				
dharā to hold		+										+				+
nāmāna to bring down										+						+
neoyā to take		+								+	+				+	
paṛā to fall										+		+			+	
parā to put on										+						
pālāna to flee		+														
pichāna to fall back															+	
poūchāna to arrive at															+	
phāṭā to crack											+				+	
pherā to return		+								+					+	
phelā to throw							+			+						
pholā to flourish			+													

	ānā	*āsā*	*oṭhā*	*calā*	*tolā*	*dā̃ṛāna*	deoyā	dekhā	dharā	neoyā	paṛā	phelā	basā	beṛāna	yāoyā	rākhā
balā to say			+				+					+			+	
basā to sit											+				+	
bā̃dhā to bind															+	
bājā to sound			+													
bāṛā to grow up			+													
beṛāna to walk		+									+			+	+	
bojhā to understand															+	
bharā to fill															+	
bhājāna to cause to fry							+									
bhāṅgā to break												+				
bhāsā to float		+	+													
bhulā to mistake															+	
melā to meet																
yāoyā to go			+													
rākhā to keep							+								+	
rāgā to get angry															+	
lāgā to contact															+	

	ānā	āsā	oṭhā	calā	tolā	dāṛāna	deoyā	dekhā	dharā	neoyā	paṛā	phelā	basā	heṛāna	yāoyā	rākhā
lekhā to write							+					+				+
śikhāna to teach	+															
śukāna to dry															+	
śonā to hear										+		+				
sarā to move		+				+					+				+	
haoyā to be			+								+				+	
hārāna to defeat															+	
hāsā to laugh			+								+					

help to decide which perfect participle and which compound maker could be combined in order to form a compound verb.

According to A. Pal, the only criterion for combining a perfect participle and a compound maker is current usage.

E. M. Bykova states that there are only two transitive verbs or two intransitive verbs which may be combined and in addition, they must be semantically close verbs.

Chart 3 including the most frequent compound verbs in the book *Oder balte dāo* (Let them say) by S. Basu, shows which autosemantic verbs and which compound makers combine to form the compound verb.

The chart shows that a certain autosemantic verb combines only with a definite compound maker, while some autosemantic verbs can combine with several compound makers.

The chart contradicts Bykova's view that there are only two transitive or two intransitive verbs which may be combined in order to form a compound verb. Neither her opinion that only semantically similar verbs may be combined, is valid.

One verb may combine with various compound makers and the meanings of combinations are identical, e.g. *hese uṭhla, hese paṛla* — he burst out laughing, or *kēde uṭhla, kēde paṛla* — he burst out weeping. In these instances the author interchanges the compound makers *paṛā* and *oṭhā* quite freely. Similarly, in some cases also the compound makers *dharā* and *rākhā* expressing the duration are freely chosen and also interchanged. However, in some other cases only one of two compound makers may be used (more frequently it is *rākhā*).

This bears out Pal's somewhat simplified view that current usage is an important criterion (according to A. Pal the only one) for the choice of a compound maker (this is intended to mean a compound maker from the class of compound makers belonging to the same group or subgroup). "Current usage" has naturally resulted from certain conditions. Presumably, the meanings of compound makers had been more clear-cut in the past when certain combinations began to be introduced and considered as possible. This could be determined more precisely only by an analysis of larger amounts of materials including Bengali texts from earlier periods.

7. In their study of the compound verbs in Bengali, linguists have focussed mainly on examining the second components, i.e. compound makers. This is natural, because compound makers present many of the problems relating to a strict determination of their meanings (i.e. the mode in which they modify the lexical meaning of the first component), and their classification. However, the attempts at determining the meanings of compound makers and classifying them are not adequate for characterizing the whole group of compound verbs. The latter comprise some special types which differ somewhat from the rest. There involve the sequences *niye + āsā, calā, yāoyā*, as well as sequences like *diye deoyā; cale yāoyā* etc.

The second components of these compound verbs are generally used as compound makers and the sequences correspond to our definition of compound verbs (i.e. they form a semantic unit reflecting morphological and lexical verbal categories), and this is considered a plausible reason for including them in the class of compound verbs.

As has already been mentioned, the compound verb presents a lexico-grammatical unit and its meaning, derived from the lexical meaning of the first component, must be modified (and modified only) by the meaning of the second component, i.e. by the compound maker. This appears a little different in the sequences *niye āsā, niye calā* and *niye yāoyā*. In these sequences compound makers do not function only as modifiers of action. The sequence *niye āsā* means "to bring" and *niye yāoyā* "to take

away"; i.e. *āsā* and *yāoyā* denote an orientation of the action which results from their lexical meanings (*āsā* — to come, *yāoyā* — to go).

A special group is represented by the compound verbs like *diye deoyā* and *cale yāoyā* which are sequences of semantically identical verbs.

On the basis of these distinctions we divide the Bengali compound verbs into three groups.

The first group includes those compound verbs the lexical meaning of which is derived from the lexical meaning of the first component, while the second component, i.e. the compound maker, entirely loses its lexical meaning and serves only as a modifier of the meaning expressed by the perfect participle. This includes the most numerous group of Bengali compound verbs.

The second group of compound verbs includes the sequences *niye* + the finite verbal form of *āsā, calā, yāoyā*. These sequences differ from those included in the first group by the fact that the compound makers do not serve only as modifiers (intensifiers) of the lexical meaning of the perfect participle, but their lexical meanings take part in defining the lexical meaning of the units, i.e. the compound verbs; the first component loses its lexical meaning to some extent, while the lexical meaning of the second component is preserved to larger extent than is usual with the compound verbs in the first group. The lexical meaning of the sequences *niye āsā, niye yāoyā* and *niye calā* derives from a weakening and a fusing of the lexical meanings of both the components.

The third group of compound verbs includes the sequences of semantically identical or very close verbs. In these sequences, the second component functions as the intensifier of verbal action. The double use of an identical verb intensifies the action expressed by the verb. In our texts, the sequences *diye deoyā, niye neoyā, chuṭe pālāna, pāliye yāoyā, chuṭe yāoyā* etc. are quite common.

REFERENCES

Basu, Samares: *Oder balte dāo.* Ananda Publishers Private Ltd. 1973.

Bykova, E. M.: *Podlezhashchee i skazuemoe v sovremennom bengalskom yazyke.* Moscow, Izd. vostočnoi lit. 1960.

Bykova, E. M.: *Bengalskii yazyk.* Moscow, Nauka 1966.

Caṭṭopādhyāy, S.: *Saral bhāṣā — prakāś bāṅgālā byākaraṇ.* Kalkata 1966.

Chatterji, S. K.: *The Origin and Development of the Bengali Language.* London, George Allen and Unwin Ltd. Vol. I and II 1970, Vol. III 1972.

Datt, D. A.—Zimin, A. S.: *Bengalskii yazyk.* Leningrad 1935.

Ghosh, H.: *Bāṅglā bhāṣār byākaraṇ.* The Universitv of Gauhati 1955.

Kolobkov, I. S.: *Glagol (morfologiya) v sovremennom bengalskom yazyke.* Doct. Diss. Moscow 1951.

Milne, W. S.: *Bengali Grammar.* Calcutta 1913.

Mitra, Premendra: *Ghonādāke bhoṭ din.* Calcutta, Indian Associated Publishing Co. Private Ltd. 1886.

Page, W. S.: *An Introduction to Colloquial Bengali.* Cambridge, W. Heffer and Sons 1934.

Pal, A. K.: *The Problem of Bengali Verb and Syntax.* J. Asiat. Soc., *VIII,* No. 4, pp. 219—239. Calcutta 1966.

Ray, P. S.—Hai, M. A.—Ray, L.: *Bengali Language Handbook.* Washington, D. C., Center for Applied Linguistics 1966.

Rāycaudhurī, Upendrakiśor: *Ṭuṇṭunir bai.* Kalkātā, Abhyuday prakāś — mandir 1972.

A CASE OF INTER-SYSTEMIC POLYSEMY IN ARABIC

LADISLAV DROZDÍK, Bratislava

Generally, the Arabic nouns belonging to the derivational system of collective and unit nouns (CN-UN) may inflect for number: the UN quite freely, the CN with relatively severe restrictions imposed thereupon. In a number of cases, however, the CN-UN membership of these nouns may be discontinued as a result of their affiliation to the inflectional system of number classes. Semantic implications of this resystemization, rather arbitrarily described in terms of inter-systemic polysemy, are here analysed and some documentary evidence for Classical (inclusively of Modern Written) and Colloquial Arabic is provided.

1. In languages with fully developed and paradigmatically well differentiated inflection, like Arabic, the numeric evaluation of extra-linguistic phenomena of the real world is most immediately reflected in the grammatical category of number. Nevertheless, the inflectional treatment of the numerable phenomena of the real world is not the unique one. It may co-occur with various derivational means, markedly less explicit in this respect, especially with various types of collective nouns. The present paper, intended as a contribution to the study of the Arabic collective nouns, is an attempt to describe a type of restatement which cuts across two linguistic systems (hence the "inter-systemic" scope of the present inquiry), inflectional and derivational, as well as its impact on the semantic value of the nouns involved.

1.1 The inflectional domain is here represented by the trichotomous system of the Arabic number classes: singular, dual and plural.[1] For the sake of simplicity, the

[1] Typically, the following numeric values are related to them: "one", "two", "more than two", respectively. These data, however, may not hold for some marginal cases. The singular-based 'oneness', for instance, is incompatible with the generic use of singular nouns (viz., the English "man is mortal"). The latter numeric value is further missing in the whole derivational domain of the Arabic collective nouns where it is reinterpreted in terms of "any number", as it may be attested by the examples quoted throughout the present paper. Further, the dual markers in post-Classical varieties of Arabic are responsible for another aberration from the typical. When occurring with nouns denoting paired parts of the body or other natural pairs, they tend to operate both as allomorphs of the dual and plural morphemes, as in the Egyptian Arabic *riglēn* "(two) feet", *'idēn* "(two) hands", *ʿinēn* "(two) eyes", etc. In these cases, sometimes classified as dual-plurals, the resultant numeric value possibly equals "more than one" instead of the typical "two". For particulars, see our paper *The Dual Number in Arabic Nouns.* Graecolatina et orientalia, *IV*, 1972, pp. 123—159.

latter trichotomy will shortly be referred to as a singular-plural relationship. The implicit treatment of the dual, which is of no direct relevance to the purpose of the present study, will not distort the general picture presented in what follows since any Arabic noun which is pluralizable, is normally dualizable as well, in all main linguistic varieties of Arabic. Special restrictions, controlling the inflectibility of a noun for the dual, as against the plural, as statable in some colloquial variants of Arabic (Moroccan, for instance), are here disregarded. On the other hand, the lexical impact of the notional duality, observable in nouns denoting paired parts of the body and other natural pairs, will explicitly be related to the dual, as in *al-lawzatān* "the tonsils (anat.)".[2]

1.2 The derivational domain should be identified with the derivational system of collective and unit nouns (CN-UN in what follows), as currently presented in Arabic grammars, notably with inclusion of mass nouns (MN) as well as the partitively-featured count nouns (PN) related to them. E.g.:

šajar (CN) "tree(s)" — *šajara* (UN) "a (= one) tree";

The CN *šajar* denotes any group, class, etc. of trees, irrespective of the number of items denoted; as a generic term, it refers to the whole species or notional class of the latter. The UN *šajara* indicates one single specimen of the class, species, etc. referred to in the CN.

Likewise:

laḥm (CN = MN) "flesh; meat" — *laḥma* (UN = PN) "a piece of flesh or meat" (W, 861), etc.

In some instances, when a noun happens to denote a stuff or material the single constituents of which may be referred to either cumulatively, as an undifferentiated and diffuse whole, or each of them separately, the distinction between the CN/MN, and, quite particularly, between the UN/PN interpretations may become relevant with one and the same lexical unit, as in:

ᶜaẓm (MN) "bone" (as a collective whole of single constituents the individual identity of which, within this whole, is largely irrelevant) (Bar., 670) — *ᶜaẓma* (UN) "(a) bone" (as a single, anatomically identifiable element of the skeletal system) (W, 623; Bar., 670),

as against:

ᶜaẓm (MN) "bone" (as an amorphous stuff) — *ᶜaẓma* (PN) "(a) piece of bone" (for the PN interpretation, see W, 623).[3]

---

[2] Unless otherwise stated, the examples quoted should be related to Modern Written Arabic. In this case, they are quoted, for the most part, after Wehr, H.: *A Dictionary of Modern Written Arabic* (W, in what follows). Edited by J. M. Cowan. Wiesbaden, Otto Harrassowitz 1971. The English equivalents are given either in full or in somewhat reduced quotations. The transcription is slightly adapted to the system of writing followed in the present study. When no significant distinction between Classical and Modern Written Arabic is stated, both will be quoted under the common heading of Classical Arabic. At any rate, the distinction between the two may always be made by the reader himself in terms of the sources quoted.

As evident from the example quoted, some features of meta-linguistic variation may be observed. Further, it is worthwhile noting that an explicit MN interpretation is usually missing in lexicons of Classical and Modern Written Arabic, either. The lack of explicitness, in this particular case, is apparently due to a prevailing count noun classification of *ᶜaẓm* (viz., nonmass, noncollective), possibly underlying a fully predictable generic reinterpretation of the latter. That is:

ᶜaẓm (singular, nongeneric) "(a) bone" — *'aᶜẓum, ᶜiẓām* (Bar. *ᶜiẓām* only) (plural), as opposed to:

ᶜaẓm (singular, generic) "bone, all that is bone", underlying the MN interpretation of *ᶜaẓm*, as quoted above, and, at the same time, coinciding with it.

The distinction between the UN- and PN-featuring of what is, in the traditional phrasing, invariably classified as a UN may sometimes be paralleled by an alternation of the derivational markers *-a/-āya*, as in the Egyptian Arabic *'ašš* (CN = MN) "straw", *'ašša* (UN = PN) "a little straw", and *'aššāya* (UN = UN/PN) "a blade of straw", "a very little straw".[4]

2. The type of restatement under examination, underlying the semantic relationship we call inter-systemic polysemy, is substantially based on two different ways in which the inflectional system of the Arabic number classes may be related to the derivational system of CN-UN. From this point of view, it may (1) either co-occur with any particular member of the CN-UN system as a satellite relationship which does not affect the derivational identity of the latter, or (2) operate as a fully autonomous relationship, independent of the CN-UN system, which does affect the derivational class membership of the nouns involved. In the latter case, it further leads to substantial changes in their semantic content within new and fully autonomous lexical units. Since the distinction between both these cases is of primary importance for the subsequent description, it will also be reflected in the terminology adopted. In case (1), the inflectional system of number classes will simply be called a "singular—plural relationship" (the dual being implicitly included therein). In case (2), it will be referred to as an "autonomous singular—plural relationship".[5]

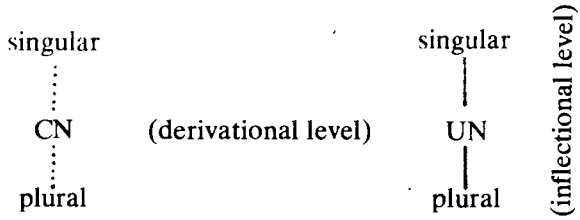
[3] The Russian *kostochka*, given by Baranov besides *kost'* "(a) bone", implies rather diminutiveness than partitiveness, even if the latter interpretation cannot be fully excluded, either. See Baranov, Kh. K.: *Arabsko-russkii slovar'* (Arabic-Russian Dictionary) (Bar., henceforward). Moscow, Gosudarstvennoe izdatel'stvo inostrannykh i natsional'nykh slovarei 1957.

[4] Willmore, J. S.: *The Spoken Arabic of Egypt*. London, David Nutt 1919, p. 39. Willmore's writing *qashsh, qashsha, qashshāya* has been reshaped in accordance with the system adopted in this paper.

[5] The attribute "autonomous", as used in this context, is rather misleading, since it may imply that the previous type of inflectional relationship is not autonomous, or the like. The term is here rather arbitrarily applied to cover the purpose and has to imply that a noun which is backed up by this relationship, as against the preceding one, cannot be resystemized in an opposite sense, back to the derivational system of CN-UN, without thereby losing its derivational identity, since it is, owing to this relationship, an autonomous lexical unit. The term "exclusive" or "obligatory" would have perhaps been better, were it not for another set of unwanted connotations.

2.1 As far as the derivational identity of the CN-UN system is maintained, the inflectional system of number classes is related to two distinct derivational classes, CN and UN, which radically differ from each other by their respective ability to inflect for the plural (dual). While the CN does not normally inflect for the plural (dual), or it does so under special conditions only, the UN does inflect for number as freely as any Arabic count noun.

When agreeing to represent the inability of a noun to inflect for number, or an inflectibility for number substantially reduced in comparison with that proper to the ordinary count nouns, by a dotted line, as against a full inflectibility for number, equalling that of any Arabic count noun, symbolized by a full line, the way both systems are inter-linked with each other may be pictured as follows:



E.g.:
Classical Arabic:

šajar (CN), pl. *'ašjār* (for the nature of this plural, as well as for the general mechanism of pluralization, as observable with collective (and mass) nouns, see later on) "trees; shrubs, bushes"[6] — *šajara* (UN), pl. *šajarāt*, "tree; shrub, bush"[7] (W, 455);

tamr (CN), pl. *tumūr*, "dates, esp. dried ones" — *tamra* (UN), pl. *tamarāt* (W, 98);

[6] It should be noted that the Arabic collective nouns are only rarely matched with the corresponding English collectives, as in *waraq* (CN) "foliage", etc. In most cases, they have to be rendered in terms of the English plurals, as in *šajar* (CN) "trees". In view of the frequent generic application of the Arabic collectives of the present type (*'asmā' al-jins* of the Arab grammarians; see 4.1.1 in what follows), an Arabic CN in this application may be faced by the English generic singular, as a mater of alternative rendering, as in *šajar* (CN/generic term) "tree" (as representative of the whole species or notional class of what is referrred to in the CN). In oder to meet both these main interpretations, most authors write *šajar* (CN) "tree(s)". This writing will substantialy be adopted in the present paper, too. Nevertheless, when quoting from sources with a different rendering of the CN, mostly in terms of a plural, the latter will be retained.

[7] For the sake of economy, only the CN-featured meaning will be quoted in what follows. Nevertheless, the partitive value of a UN, as well as some special connotations, will be explicitly quoted.

samak (CN), pl. *simāk, 'asmāk*, "fish" — *samaka* (UN), pl. *samakāt* (W, 431);

ᶜadas (CN), no plural, "lentil(s)" — *ᶜadasa* (UN), pl. *ᶜadasāt* (W, 595; for the plural *ᶜadasāt* see Bar., 639);

laḥm (CN = MN), pl. *luḥūm, liḥām*, "flesh; meat"—*laḥma* (UN = PN), "a piece of flesh or meat" (W, 861); possibly reinterpreted back to the underlying mass noun status, viz. "meat" (not "flesh" any longer; for the latter interpretation see Bar., 915);[8]

Iraqi Arabic:

tamur (CN), no plural, "date(s) (particularly dried dates)" — *tamra* (UN-1) "a date; clump, chunk, piece of packed dates", pl. *tamrāt*; *tamrāya* (UN-2), pl. *tamrāyāt*, "a date" (*Dict.*, 59);[9]

čidam (CN = MN), no plural, "sandstone" — *čidmāya* (UN = PN), pl. *čidmāyāt*, "piece of sandstone" (*Dict.*, 84);

ḥašaf (CN), no plural, "under-developed, dried up, poor quality dates" — *ḥašafa* (UN), pl. *ḥašafāt* (*Dict.*, 104);

simač (CN), no plural, "fish" — *simča* (UN), pl. *simčāt* (*Dict.*, 225);

šijar (CN), no plural, "tree(s); bush(es), shrub(s); squash; pumpkin(s)" — *šijra*, pl. *šijrāt* "squash; pumpkin"; pl. *šijrāt, 'ašjār*, "tree; bush, shrub" (*Dict.*, 235—236),[10] etc.

Chad-Sudanese Arabic:

tumer (CN), no plural, "dattes" ("dates") — *temra, temraya* (UN), no plural

[8] The loss of the partitive value in what corresponds to the Classical Arabic *laḥma* may be observed in some colloquial varieties of Arabic, as well, e.g. the Egyptian Arabic *laḥm, laḥma* "meat, flesh", plur. *luḥūm, luḥumāt* (Spiro, 393; see note 12 below). The loss of the CN-UN membership is accompanied, in these cases, by the use of various lexical means to cover connotations typically associated with the CN-UN system, as in the Egiptian Arabic *ḥittit laḥm*, pl. *ḥitat laḥm*, "piece of meat" (Lehn-Abboud, 257; see note 13 below) or *ḥittit laḥma*, pl. *ḥitat laḥma*, "a slice or piece of meat" (Mitchell, *Coll.* Ar., 48; see note 19 below). In some other colloquial variants of Arabic, on the other hand, various degrees of dependence on the CN-UN system may be found in this particular case, as in the Iraqi Arabic *laḥam*, plur. *luḥūm*, "meat, flesh" as against *laḥam*, pl. *laḥamāt* "a piece of flesh" (*Dict.*, 419; see note 9 in what follows). In Takrūna Arabic, for instance, the CN-UN membership of these nouns is maintained: *lḥəm* (CN = MN) "chair de l'homme, des animaux; viande" ("flesh of humans, and animals; meat"), pl. *lḥūm*, pl. abund. *lḥūmāt* — *ləḥma* (UN = PN) "morceau de chair, morceau de viande; lot de viande" ("a piece of flesh, of meat; a portion of meat"); (UN/generic term) "chair" (en général, terme générique), as in *ləḥma kīf-əžžəbna* "une chair blanche comme du fromage" ("flesh" (in general, generic term), as in: "flesh white like cheese") (T 7, 3603—3607; see note 14 below).

[9] Woodhead, D. R.—Beene, W. (Editors): *A Dictionary of Iraqi Arabic: Arabic-English* (*Dict.*, henceforth). Washington D. C., Georgetown Universtity Press 1967. The transcription is slightly modified in accordance with that of the present paper.

[10] The singular—plural relationship, as stated for *šijra—'ašjār*, instead of the expected *sijar—'ašjār*, may quite well reflect meta-linguistic considerations rather than linguistic reality.

stated (*Lex.* 1, 78; CAR.);[11] *tamr* (CN), no plural, "date-tree; date-fruit" — *tamray* (UN), no plural stated (ibid.; LET.);

jerād (CN), no plural, "sauterelles" ("locusts") — *jerāda* (UN), no plural explicitly stated (ibid., 90; CAR.; here interpreted in terms of plural and singular respectively);

šeder (CN), no plural, "arbres"("trees") — *šedera, šederāya* (UN), no plural stated (*Lex.* 2, 246; CAR.; here presented as plural and singular respectively); *šadar* (CN) "idem" — *šadara* (UN) (ibid.; HILL.); *šadar* (CN) "idem" — *šadaraya* (UN) (ibid.; LET.); etc.

Egyptian Arabic:

tamr (CN), no plural, "dates" — *tamra* (UN), pl. *tamrāt* (Spiro, 99; the UN classified here as a singular);[12]

samak (CN), no plural stated, "fish" — *samaka* (UN), pl. *samakāt* (Lehn-Abboud, 291);[13]

baṣal (CN), no plural, "onions" — *baṣala, baṣalāya* (UN), pl. *baṣalāt* (Mitchell, *Coll. Ar.*, 42; see note 19 in what follows);

'ūṭa (CN), no plural, "tomatoes" — *'uṭāya* (UN), pl. *'uṭāt, 'uṭayāt* (see ibid.);

šagar (CN), no plural stated (see note 10 above), "trees" — *šagara* (UN), pl. *šagarāt* or *'ašgār; šagarāya* "shrub, bush" (Spiro, 237); etc.

Takrūna Arabic:

ḫūt (CN), no plural, "poisson (terme générique)" ("fish (generic term)") — *ḫūta* (UN), pl. *ḫutāt*, (T 2, 962—963);[14]

sžəṛ (CN), pl. *sžāṛ* (with definite article: *əsszāṛ* or *ləszāṛ*), "arbres" ("trees") — *səžṛa* (Un), pl. *səžṛāt* (T 4, 1992—1993); etc.

---

[11] Roth-Laly, A.: *Lexique des parlers arabes tchado-soudanais (An Arabic-English-French Lexicon of the Dialects Spoken in the Chad-Sudan Area)* (*Lex.*, in what follows). Vols 1, 2, as published so far. Paris, Éditions du Centre National de la Recherche Scientifique 1969. The abbreviations TRE., CAR., LET. and HILL., used in the Lexicon, should be identified with its main sources as follows: Trenga, G.: *Le bura-mabang du Ouadai.* Paris 1947. Carbou, H.: *Méthode pratique pour l'étude de l'arabe parlé au Ouaday et à l'Est du Tchad.* Paris 1913. Lethem, G. L.: *Colloquial Arabic, Shuwa dialect of Bornu, Nigeria and of the region of Lake Tchad.* London 1920. Hillelson, S.: *Sudan Arabic: an English-Arabic Vocabulary.* London 1930.

[12] Spiro Bey, S.: *English-Arabic and Arabic-English Dictionary of the Modern Arabic of Egypt* (Spiro, henceforth). Cairo, Elias' Modern Press 1929 (third revised edition), p. 99. Unless indicated otherwise, the Arabic-English part will be referred to. Spiro's quotations, presented in the Classical Arabic orthography, are here entirely rephonemicized, except for emphasis which is presented in Spiro's etymological notation.

[13] Lehn, W. — Abboud, P.: *Beginning Cairo Arabic* (Lehn-Abboud, in what follows). Austin, The University of Texas 1965. For the CN-UN membership of *samak — samaka* see also p. 257. Some other authors prefer an inflectional classification: *samaka* (singular) — *samak, samakāt* (plural); for the latter see Aboul-Fetouh, Hilmi M.: *A Morphological Study of Egyptian Colloquial Arabic* (Aboul-Fetouh, henceforward. The Hague — Paris, Mouton 1969, p. 32.

2.1.1 The extremely involved problem of pluralizing collective (and mass) nouns as against the substantially predictable patterns of pluralization, observable with unit nouns, deserves special attention. Some aspects of this problem will be illustrated by the CN-UN pair *šajar — šajara* in what follows.

šajar (CN), "tree(s)" (i.e., any group, class etc. of trees; as a generic term, possibly including the whole species or the whole notional class of what is referred to therein), relatable to a plural *'ašjār*[15] "trees", as a mere matter of formal analogy with current count nouns of the same pattern, like *faras*, pl. *'afrās* "horse, mare"; *maṭar*, pl. *'amṭār* "rain", etc. The formal relationship, statable between *šajar* and *'ašjār*, for instance, normally[16] allows of no analogous notional distinction of numeric values as that typically associated with the true singular—plural relationship of the Arabic count nouns (viz., "one" to "more than two" respectively; the numeric value of "two" being typically associated with the dual), as against:

šajara (UN) "a (= one) tree", pl. *šajarāt*[17] "trees". Since any UN (as against a considerable number of CN) invariably displays both a CN-UN and a singular—

[14] Marçais, W. — Guīga, A.: *Textes arabes de Takroūna*, II. *Glossaire* (T, in what follows). Vols 1—8. Paris, Librairie orientaliste Paul Geuthner 1958—1961. The extremely involved allophonic transcription, as used by the autohrs, is here considerably simplified. In order to obviate serious printing problems, the short vowels, except when occurring in word-final positions, are represented as /ə/. Other exceptions to this general rule are few in number.

[15] Meta-linguistic niceties of the traditional grammar which cannot convincingly be supported by linguistic data, such as the distinction between plurals of paucity (*jumūʿ al-qilla*) and plurals of multitude (*jumūʿ al-kaṯra*), are here disregarded. On the other hand, various context-controlled lexical connotations, associated with these and some other plurals, will be taken into account. For these, see 2.1.2 in what follows.

[16] As a matter of atypical featuring, the CN may, under the impact of a variety of linguistic factors, lose its collective value and function like any other noncollective singular. Its membership in the CN-UN system may be, however, at any time reactivated. Idiomatic factors may play a determining part in this reinterpretation (not to be identified with what will be later defined as (i)-(ii) restatement underlying the semantic relationship we call inter-systemic polysemy). The "decollectivization" of *šajar*, as presented in the following example, is obviously due to the idiomatic impact of the non-collective *ḥajar* and *watad*, both being, furthermore, of the same vocalic patern. The following quotation forms part of the Qazwīnī's description of *electric ray* (pp. 134—135). The German translation is that of Ethé (p. 276). For references, see note 51 in what follows: *waṣ-ṣayyādūna yaʿrifūna ḏalika fa-'iḏā 'ahassū bihi šaddū ḥabla š-šabakati fī šajarin 'aw ḥajarin 'aw watadin ḥattā tamūta s-samakatu;* "Die Fischer wissen dies sehr wohl, und bemerken sie ihn daher, so binden sie den Strick des Netzes an einen Baum, Stein oder Pfal fest, bis der Fisch stirbt";...

[17] The plural *šajarāt* is frequently denoted as "individual plural". For the latter, see e.g. Fischer, W.: *Grammatik des klassischen Arabisch* (Fischer, in what follows). Wiesbaden, Otto Harrassowitz 1972, p. 49: "Bäume (als einzelne)". As against the "paucal" interpretion of *'ašjār*, the "individual" interpretation of *šajarāt* is in full harmony with the linguistic evidence provided by the main evolutional stages of Arabic and it may be identified with what Mitchell calls "counted plurals" in Egyption Colloquial Arabic, for instance. For the latter, see note 19 below.

plural relationship,[18] the numeric value of "one", as far as it is associated with an Arabic UN, seems to be redundantly signalled both by derivational and inflectional means of the language. Nevertheless, the derivational "oneness" of a UN like *šajara,* due to the derivational value of unitness, differs in some respects from that implied by the inflectional value of singularness. Notably, in producing quite different patterns of numeric correlations in accordance with the derivational or inflectional affiliation of the noun involved. The difference between the two may best be stated in the following terms:

UN: "one" related to "any number" of the CN

singular: "one" related to "more than two" of the plural.

2.1.2 The impact of formal analogy which is, as it appears, primarily responsible for a great number of plurals drawn from the collective (and mass) nouns, is in many cases only a starting point for subsequent lexicalizations. Various lexical connotations, possibly associated with a number of these plurals, are to a considerable extent dependent on the context and cannot satisfactorily be recorded in current lexicons. They usually involve basic qualitative (brands, sorts, kinds, qualities) and quantitative characteristics (distinct amounts, numerically or, in general, quantitatively relevant groups, etc.) of what is referred to in these plurals. The main interpretational problem resides not only in various highly variable degrees of respective representation of any of these basic sets with the same lexical unit, but also in an implicit and fully context-controlled restrictive featuring of the latter, ranging from the substantially neutral "some, particular, certain (amount, brand, etc.)", through moderately restrictive "various, different, distinct etc. (amounts, brands, etc.)", up to the connotationally highly specialized "massive, huge, etc. (of quantities); excellent, outstanding, etc. (of qualities, brands)", as in the Classical Arabic *laḥm* "meat", pl. *luḥūm, liḥām* "particular considerable, massive, etc. quantities; particular, different, various, etc. brands of meat", etc. Exceptionally, some of these connotations are lexicographically recorded, as well. E.g.:

Classical Arabic:

faḥm (CN = MN) "charcoal(s); coal(s)", plural *fuḥūmāt* "coals, brands of coal" (W. 699), etc.

Takrūna Arabic:

sžəṛ (CN), (see above), pl. *sžāṛ,* "beaucoup d'arbres; des arbres luxuriants" ("many trees; splendid, sumptuous trees"); the UN-related plural *səžṛāt* being used with the numerals only as what is sometimes called counted plural[19] (T 4, 1992—1993);

[18] Unless being applied as a generic term. For the Takrūna Arabic *ləḥma*, for instance, see note 8 above.

tbən (CN = MN), "paille réduite en minces brins par le battage" ("straw, flailed to bits in thrashing"), pl. *tbān* (with the def. art. *lətbān*), *tbūna, tbūnāt.* The plural *tbān* implies "qualités diverses de paille; quantités de paille" ("various qualities of straw; (great) amounts of straw"), as opposed to the plurals *tbūna* and *tbūnāt,* connoting still larger amounts of straw, viz. "des masses de paille" ("massive quantities of straw"), (T 1, 470—471), etc.

2.1.3 Lexicalized plurals may involve still more restrictive connotations which frequently coincide with the idea of tool or, more generally, product, made of the stuff or material referred to in the CN (MN). Since the latter type of connotations is of direct semantic relevance, it is, as a rule, reflected in the Arabic lexicons. E.g.:

Classical Arabic:

ḥadīd (CN = MN), "iron", pl. *ḥadā'id* "iron parts (of a structure; forgings, hardware, ironware"; the lexical content of this plural is more immediately relatable to that of the corresponding UN, viz., *ḥadīda* (UN = PN), pl. *ḥadā'id* "iron parts (of a structure; forgings, hardware, ironware"; the lexical content of this plural is more immediately relatable to that of the corresponding UN, viz., *ḥadīda* (UN = Pn), pl. *ḥadā'id* "piece of iron; object or tool made of iron" (W, 160), etc.

2.1.4 All these and similar cases of lexicalization may, of course, occur outside the CN-UN system, as well. Some examples:

Classical Arabic:

laban (MN) "milk; (syr.) leban, coagulated sour milk", pl. *'albān, libān;* the plural *'albān* implying "dairy products, milk products" W, 856); etc.

Takrūna Arabic:

zəbda (in a CN/MN-like application), "beurre frais" ("fresh butter"), pl. *zəbdāt, zbādi* "des masses de beurre frais" ("great amounts of fresh butter");

zəbda (in a UN/PN-like application), as far as related to the plurals *zəbdāt* and *zbūdāt,* "(une) barattée de beurre" ("a churnful of butter"); furthermore, the plural *zbūdāt* may, in turn, have quantitative implications, viz. "de nombreuses barattées de beurre frais; des masses de beurre frais" ("numerous churnfuls of fresh butter; massive quantities of fresh butter") (T 4, 1651—1652), etc.

2.2 The loss of the CN-UN identity in some nouns originally relatable to the latter derivational system and their restatement as members of what we call autonomous singular—plural relationship is paralleled by various modifications of their meaning value. The semantic relationship, statable between the underlying (viz. unrestated) and resulting (viz. restated) linguistic systems will rather arbitrarily be referred to in terms of inter-systemic polysemy. This wide frame, allowed for the study of multiple meaning relationships, is rather untraditional and, to a considerable extent, coined

[19] See e.g. Mitchell, T. F.: *Colloquial Arabic. The Living Language of Egypt* (*Coll. Ar.*, henceforth). London, The English Universities Press Ltd. 1962, p. 42: *šagaṛāt* (counted or little plural as against *'ašgāṛ* (plural or big plural). Mitchell's vowel-marked emphasis is here symbolized by an emphatic /ṛ/.

ad hoc. In terms of current definitions, the polysemous meaning relationship, in opposition to the homonymous one, results from the association of several meaning units (m) with one word unit (w), that is:

$w - m_1, m_2, \ldots m_n$.

In extending the scope of polysemy from one to two word units, which are, moreover, members of two different linguistic systems, we start from two basic assumptions. First, that both elements of the CN-UN system are, typically, identical in meaning and they only differ from each other by their respective derivational class values of collectiveness and unitness. E.g.:

dūd (CN) "worm(s); maggot(s); larva (larvae); caterpillar(s)",[20]

dūda (UN) "worm; maggot; larva; caterpillar" (W, 297).

That is:

CN = m_1, m_2, m_3, m_4, plus the derivational class value of collectiveness,

UN = m_1, m_2, m_3, m_4 (where m_1, m_2, m_3, m_4 of the UN equal m_1, m_2, m_3, m_4 of the CN, respectively), plus the derivational class value of unitness.

The semantic identity of all single constituents of the autonomous singular—plural relationship, which are quite safely contained in the structural limits of one word unit, is, of course, beyond any discussion.[21]

Second, that the semantic value of all single elements of the restated system, here identifiable with what we call autonomous singular—plural relationship, usually reveals, in relation to anyone of the two members of the underlying CN-UN system, striking features of similarity and contiguity, as in the Classical Arabic (i) *ʿadasa* (UN of the CN-UN) "lentil" — (ii) *ʿadasa* (singular of the autonomous singular—plural) "lens, objective", or the Egyptian Arabic (i) *ʿinaba* "grape; vine" — (ii) *ʿinaba* "staphyloma" (viz., a grape-like, clustering tumor of the cornea), etc. (for particulars see later).

2.2.1 The difference between the polysemous meaning relationship, as currently defined, and between what we call inter-systemic polysemy will be presented in terms of the following contrastive statement:[22]

polysemy:

$w - m_1, m_2, \ldots m_n$, as contrasting with:

[20] The bracketed values are here explicitly given as against the source quoted, in order to emphasize the difference between the CN and UN.

[21] Except perhaps for a number of lexicalizations associated with certain inflections, as e.g. (for the dual) *al-ʾabawān* "the parents, father and mother", lit. two fathers, ancestors; for the plural, see some of the lexicalizations quoted above.

[22] In the subsequent contrastive statement, the following symbols are used: m (meaning unit, as above); w (word unit, as above); m_n (a meaning unit following after any number of meaning units); (i) (the derivational system of CU-UN); (ii) (the inflectional system which has been defined as an autonomous singular—plural relationship), and finally, the dash (—) should be interpreted as "being related to".

inter-systemic polysemy:

(i) – m_1, m_2, ... m_n

(ii) – m_1, m_2, ... m_n

In terms of the foregoing presentation, the meaning relationship of polysemy is marked by horizontally oriented sequences of m-units in contrast to what we call inter-systemic polysemy, symbolized by vertically oriented sequences of m-units.

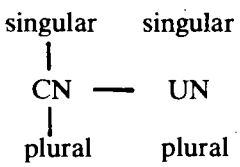
In our case, three such horizontally oriented sequences are quoted, one of them independently under the heading of polysemy, while the remaining two as constitutive elements of inter-systemic polysemy. Of course, the latter type of meaning relationship need not necessarily involve polysemous sequences of m-units since its single elements may consist, even if rather exceptionally, of one single m-unit, each of them.

2.2.2 In view of the fact that individual members of a CN-UN pair may be resystemized in terms of an autonomous singular—plural relationship either independently of each other or together with each other, the number of elements simultaneously restated will become an important classificatory criterion. From this point of view, a distinction will be made between (1) simple (or one-element), and (2) multiple (or two-element) restatements. Furthermore, since the number of constituents of a CN-UN pair is, as obvious, invariably two and since any of the two constituents has, so to say, equal chance of being reclassified, this eventuality will be adopted as another refinement to the subsequent classification of what has been defined above as simple restatement. This equality, is, of course, only theoretical because, statistically, the UN elements tend to undergo the type of restatement analysed much more frequently than their CN counterparts (for the respective ability of particular members of a CN-UN pair to inflect for number, see also §2.1 above). In accordance with which of the two constituents of a CN-UN relationship is actually restated, the CN or the UN, simple (or one-element) restatements will further be subdivided into (1.1) CN-related, and (1.2) UN-related restatements.

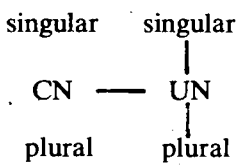
On the understanding that any particular case of restatement of any single element of the CN-UN system in terms of an autonomous singular—plural relationship will be symbolized by a full line drawn between the participating elements, the proposed classification may be outlined as follows:

(1) simple restatement:

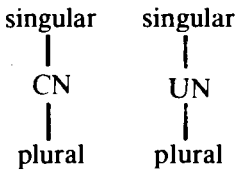
(1.1) CN-related:



(1.2) UN-related:



(2) multiple restatement:



As evident, any pair of elements of what we call autonomous singular—plural relationship, irrespective of whether inter-linked by a line or not in the scheme presented above, may be paralleled by another type of singular—plural relationship, satellitic to the CN-UN system (see 2.1 above), which is of no immediate relevance to our purpose.

3. The classification of what we call inter-systemic polysemy will quite closely follow that of the inter-systemic (or (i)-(ii), in symbols listed in note 22) restatement exposed in 2.2.2. In accordance with the latter classification, we shall distinguish between polysemous relatonships backed by (1) simple, and by (2) multiple restatements. The former will further be subdivided between relationships based on the (1.1) CN-related, and the (1.2) UN-related restatements.

3.1 Polysemous[23] relationships involving simple restatements:

3.1.1 Polysemous relationships involving CN-related restatements:

Classical Arabic:

(i) CN-UN: *ṣaxr* (CN — *ṣaxra* (UN), (possible satellite plurals: *ṣuxūr, ṣuxūra, ṣaxarāt*), "rocks, solid rock, boulders, rock formations", as against:

(ii) autonomous singular—plural: *ṣaxr* (singular) — *ṣuxūr* (plural), "rock (geol.)" (W, 506):

Similarly:

(i) *karm* (CN) — *karma* (UN), (possible plural: *kurūm*), "vine, grapes, grapevines",

(ii) *karm* (singular) — *kurūm* (plural), "vineyard; garden, orchard" (W, 821); etc.

Chad-Sudanese Arabic:

(i) *bēḍ* (CN) — *bēḍa* (UN), (no plural stated; in the source quoted, the *bēḍa-bēḍ* relationship is interpreted in terms of a singular—plural opposition), "egg",[24]

(ii) *bēḍ* (singular) — *bēḍān* (dual),[25] "testicle" (*Lex.* 1, 66; HILL.; here interpreted in terms of a singular—plural relationship; for the latter interpretation see also note 1 above), etc.

---

[23] Unless otherwise stated, the adjective "polysemous" should be understood in the sense of "inter-systemic" polysemy, in what follows.

[24] The English equivalent "egg"is related to what the source quoted classifies as a singular, viz *bēḍa*. Properly "egg(s)". See also note 6 above.

[25] Here, representative of what we call autonomous singular-plural relationship. For the treatment of the dual, see § 1.1 above.

Takrūna Arabic:

All particular items of the subsequent example should be looked on as remnants of the lexical stock of Classical Arabic which do not occur but in an extremely limited number of idiomatic units.

(i) *bēẓ* (CN) — *bēẓa* (UN), (no plural), "œuf(s)" ("egg(s)"), are not normally used in Takrūna except perhaps in the following few expressions:

CN: *əlbēẓ wəmm-əlbēẓ* "les œufs et la mère des œufs, i.e., une somme exorbitante" (lit. "the eggs and the mother of the eggs, i.e., an exorbitant sum of money") in: *zəggūh f-əlbēẓ wəmm-əlbēẓ* "on lui a extorqué des sommes énormes" ("they extorted from him an exorbitant sum of money");

UN: *əbyəẓ-əlbēẓa* "blanc d'œuf" ("albumen, white of egg"); *əlbēẓa ubənt-əlbēẓa*, lit. "l'œuf et la fille de l'œuf", i.e. "la grosse pièce d'argent et la petite" (lit. "the egg and the daughter of the egg", i.e. "the big coin and the small one") in: *bāš-yəssəmma-šīx ᶜtē-lbēẓa ubənt-əlbēẓa* "pour être nommé cheikh, il a donné (en pot-de-vin) grosses et petites pièces d'argent" ("to be appointed sheik, he offered (as bribes) big coins and small ones alike");

(ii) *bēẓ* (singular), unrepresented in Takrūna Arabic, — *bēẓēn* (dual) "testicules de l'homme (pas des animaux)" ("testicles of humans (not of animals))", occurring with pronominal suffixes in: *aš-yəksāb (aš-nəksābu) bēẓēh (bēẓēna)* "qu'est-ce qu'il possède (nous possédons)? Ses (nos) testicules!", i.e. "rien du tout" ("what does he (do we) possess? His (our) testicles!", i.e. "absolutely nothing")[26] (T 1, 441—443), etc.

3.1.1.1 In some cases, the set of elements of what we call autonomous singular—plural relationship may equal one (as was also the case in the Takrūna Arabic dual *bēẓēn*). Nevertheless, this unique element may quite exclusively coincide with the singular, while its inflected forms, plural and/or dual, are missing altogether. In these cases, the unique criterion to rely upon is the semantic featuring of the nouns involved, as in:

Classical Arabic:

(i) *faqār* (CN) — *faqāra* (UN), (possible plural: *faqārāt*), "vertebra" (the English equivalent being here related to the UN, more properly "vertebra (vertebrae)");

(ii) *faqār* (singular) — (plural unrepresented), "spine, vertebral column" (W, 723; for the plural *faqārāt* see Bar., 775; for more evidence see also the UN-related cases in what follows), etc.

3.1.1.2 In a number of cases, the present type of restatement may simultaneously be paralleled by an entirely different type of reinterpretation which affects a different derivational system, independent of, although closely related to that of CN-UN. One such multi-levelled (nevertheless, not multiple, in the technical sense defined in

[26] In some other Tunisian dialects the UN-related *bāẓtēn*, *bāẓtēn* are used instead (see also the Classical Arabic *bayḍa* in what follows). For the Takrūna Arabic data, see the source quoted.

2.2.2(2)) restatement will be illustrated on the derivational system of verbal and instance nouns (VN-IN), reclassified in terms of the CN-UN system (stage 1), and, as members of the latter, subsequently resystemized in terms of an autonomous singular—plural relationship (stage 2). Incidentally, the example quoted in what follows is a case of a CN-related restatement, which is the reason of our quoting it under this heading. The latter eventuality, however, does not imply in any way that a UN-related variety of the latter would not be basically possible. E.g.:

Classical Arabic:

(0) *qaṭr* (or *qaṭarān*) (VN) "dripping, dribbling, dribble, trickling, trickle" (verbal abstracts possibly concretized in various degrees) — *qatra* (IN) "one single act thereof" (lexicographically unrecorded at this abstract level because of its inherent presence in every single case of a VN–IN relationship);

(i) *qaṭr* (CN) — *qaṭra* (UN), (satellite plurals: *qiṭār; qaṭarāt*), "drops, driblets";

(ii–1) *qaṭr* (singular) — *qitar* (plural), "rain";

MWA regionalized (Egypt):

(ii–2) *qaṭr* (singular) — *quṭūrāt* (plural), "(railroad) train" (W, 773-774); etc.

3.1.2 Polysemous relationships involving UN-related restatements.

Some of the current and fairly uncomplicated cases may be illustrated by the following examples:

Classical Arabic:

(i) *bayḍ* (CN) — *bayḍa* (UN), (possible plurals: *buyūḍ; bayḍāt)* "eggs";

(ii) *bayḍa* (singular) — *bayḍāt* (plural), "testicle; helmet; main part, substance, essence" (W, 85);

(i) *ḏubāb* (CN) — *ḏubāba* (UN), (satellite plurals: *'aḏibba, ḏibbān; ḏubābāt*), "flies, fly";

(ii) *ḏubāba* (singular) — *ḏubābāt* (plural), "tip (of the sword, or tke like) (W, 307);

(i) *zujāj* (CN = MN), "glass (as a substance)" — *zujāja* (UN = PN), "piece of glass", (possible plural: *zujājāt*);

(ii) *zujāja* (singular) — *zujājāt* (plural), "(glass) bottle, flask; (drinking) glass, tumbler" (W, 373; see also §§ 1.2 and 2.1.2 — 2.1.4 above);

(i) *ᶜadas* (CN) — *ᶜadasa* (UN), (possible plural: *ᶜadasāt*), "lentil(s)";

(ii) *ᶜadasa* (singular) — *ᶜadasāt* (plural), "lens; magnifying glass; object lens, objective" (W, 595; for the UN-related plural *ᶜadasāt* see Bar., 639);

(i) *lawz* (CN) — *lawza* (UN), (possible plural: *lawzāt*), "almond(s)";

(ii) *lawza* (singular) — *lawzatān* (dual), viz. *al-lawzatān* "the tonsils"; *iltihāb al-lawzatayn* "tonsilitis" (W, 883), etc.

Iraqi Arabic:

(i) *ḥašaf* (CN) — *ḥašafa* (UN), (possible plural: *ḥašafāt),* "under-developed, dried up, poor quality dates":

(ii) *ḥašafa* (singular) — *ḥašafāt* (plural), (vulg.) "glans penis" (*Dict.*, 104);

(i)*xḷāḷ* (CN) — *xḷāḷa* (UN), (possible plural: *xḷāḷāt*), "dates, crisp and not yet ripe";

(ii) *xḷāḷa* (singular) — *xḷāḷāt* (plural), vulg. "glans penis" (ibid., 144);

(i) *rummān* (CN) — *rummāna* (UN), (possible plural: *rummānāt*), "pomegranate(s)";

(ii) *rummāna* (singular) — *rummānāt* (plural), "knob, ball" (ibid., 195);

(i) *ṣammūn* (CN), "a kind of bread baked in large, oblong loaves, similar to French bread" — *ṣammūna* (UN), (possible plural: *ṣammūnāt*), "a loaf of *ṣammūn*";

(ii) *ṣammūna* (singular) — *ṣammūnāt* (plural), "nut (for a bolt or screw); threaded joint in a pipe" (ibid., 270);

(i) *ᶜadas* (CN) *ᶜadasa* (UN), (possible plural: *ᶜadasāt*), "lentil(s)";

(ii) *ᶜadasa* (singular) — *ᶜadasāt* (plural), "lens" (ibid., 303), etc.

Egyptian Arabic:

(i) *šōk* (CN) —*šōka* (UN), (possible plural: *šukāt*), "thorns, thistles";

(ii) *šōka* (singular) — *šuwak, šukāt* (plural), "fork; spur" (Spiro, 251);

(i) *ᶜads* (CN) — *ᶜadsa* (UN), (possible plural: *ᶜadsāt*), "lentils";

(ii) *ᶜadsa* (singular) — *ᶜadsāt* (plural), "lens"(ibid., 290);

(i) *ᶜinab* (CN) — *ᶜinaba* (UN), (possible plural: *ᶜinabāt*), "grapes; vine";

(ii) *ᶜinaba* (singular) — (plural not stated), "staphyloma" (ibid., 306);

(i) *lōz* (CN) — *lōza* (UN), (possible plural: *luzāt*), "almonds";

(ii) *lōza* (in: *luzt il-widn*, singular) — *luztēn* (dual), "tonsils"; *iltihāb il-luztēn* "tonsilitis"[27] (ibid., 397);

(i) *naḥḷ* (CN) — *naḥḷa* (UN), (possible plural: *naḥḷāt*), "honey-bes";

(ii) *naḥḷa* (singular) — *nuḥal* (plural), "spinning top",[28] etc.

Takrūna Arabic:

(i) *xərṛūb* (CN) — *xərṛūba* (UN), (possible plurals: *xərṛūbāt, xṛārəb*), "caroube(s); caroubier(s)" ("carob(s), locust(s), St.–John's bread; carob-tree(s)), e.g.: (CN) *əlli-yākəl-əlxərṛūb yākəl qənṭāṛ-ḥṭəbᶜla-uqīyaᶜsəl* "manger des caroubes c'est avaler un quintal de bois pour une once de miel" ("to eat carob beans is like swallowing a quintal of wood for one ounce of honey"); (UN) *iṣəbḥək ᶜla-ṭōḅa urəžlēk mᶜəlqa-fi-xərṛūba* "que Dieu te mette sur une motte de terre, les pieds suspendus à un caroubier" ("may God put you on a lump of earth with your feet suspended to a carob-tree!" (a malediction));

(ii) *xərṛūba* (singular) — *xərṛūbāt, xṛārəb* (plural), "ancienne monnaie valant 1/16ᵉ de paistre, à peu près 0,033" ("an ancient coin equal to 1/16 of the piaster") e.g.: *ma-yəswāš-xərṛūbtēn* "ça ne vaut pas deux caroubes", i.e. "c'est de nulle valeur" ("it is not worth two carobs", i.e. "it is quite worthless"); etc. (T 3, 1049);

[27] For a plural–featured rendering of "tonsils" in Egyptian Colloquial Arabic, see Mitchell, *Coll. Ar.*, p. 78: *liwazak waṛma* "your tonsils are swollen".

[28] The CN-UN membership of all the Egyptian Arabic examples quoted is interpreted by the author in terms of plural and singular respectively.

(i) *sbūl* (CN) — *sbūla* (UN), (possible plural: *sbūlāt*), "épi(s)" ("spike(s), ear(s) of corn"), e.g.: *iḥəšš-əssbūl m-ərgābu* "il coupe les épis en les séparant des tiges", i.e. "il ne s'occupe que de l'essentiel et néglige l'accessoire" ("he cuts the spikes off their stalks", i.e. "he pays attention to the essential only and ignores the accidental"); *əssbūla miš-ḥāža-ssnē* "l'épi (lis épis[29]) n'est (ne sont) pas grand'chose cette année" ("the spikes do not look very promising this year");

(ii) *sbūla* (singular) — *sbūlāt, sbāil* (plural), "fiole à parfums (*ᶜṭūṛāt*), constituée par un tube de verre ou de cristal à parois épaisses, de la grosseur et de la longuer d'un doigt" ("a phial or crystal bottle to contain perfumes"); "poignard fixe à la lame mince" ("a dagger with thin blade"); etc. (T 4, 1769—1770);

(i) *ḏəbbān* (CN) — *ḏəbbāna* (UN), (possible plural: *ḏəbbānāt*), "mouche(s)" ("flies, fly"), e.g.: *qāᶜəd-yəṣṭād-f-əḏḏəbbān* "il est là à faire la chasse aux mouches", i.e. "oisif, ne faisant pas œuvre de ses dix doigts" ("he is busy hunting flies", i.e. "he is an idler"); *əḏḏəbbāna ma-təqtəlš āmə ɬayyəef* "la mouche ne tue pas, mais elle inspire du dégoût" ("a fly does not kill, but it provokes disgust"); *xfīf kīf-əḏḏəbbāna f-əlᶜsəl* "agile lui! comme mouche prise dans du miel!"

(ii) *ḏəbbāna* (singular) — *ḏəbbānāt* (plural), "point de mire d'une arme à feu" ("bead in foresight of a firearm"); "petit tatouage en forme de croi. qui se fait au front" ("small cross-like tattoo usually made on the forehead") (T 3, 374—1375);

(i) *məlḥ* (CN = MN), "sel" ("salt") — *məlḥa* (UN = PN), "grain de sel" ("grain of salt"), (possible plural: *məlḥāt*);

(ii) *məlḥa* (singular) — *məlḥāt* (plural), "défaut dans la poterie qui se manifeste par une boursouflure" ("a defect in pottery appearing as blister") (T 7, 3842—3843); etc.

3.1.2.1 As also with the CN-related cases of restatement (see 3.1.1.1 above), the inflected forms of the nouns restated may be missing on the strength of the same set of the plural-(dual-) preventing factors as those controlling the inflectibility for number in nouns unrelated to the CN-UN system. The restrictive impact of some of these factors, mostly coinciding with the abstract value of the nouns involved, will be illustrated in what follows:

Classical Arabic:

(i) *barad* (CN) "hail" — *barada* (UN) "a hailstone";

(ii) *barada* (singular) — (plural unrepresented) "indigestion (... so termed because it makes the stomach cold), e.g.: *'aṣlu kulli dā'in al-barada* "the origin of every disease is indigestion" (a muslim tradition); "the middle of the eye" (Lane 1, 184—185);[30]

(i) *zahr* (CN) — *zahra* (UN), (satellite plurals: *zuhūr, 'azhur, 'azhār, 'azāhir, 'azāhīr; zaharāt),* "flowers; blossoms";[31]

[29] The Takrūna Arabic *sbūla*, as, after all, any other Arabic noun, may occasionally be applied as a generic term. This one, as against the vast majority of others, is lexicographically recorded (see the source quoted).

(ii) *zahra* (singular) — (plural unrepresented),[32] "splendor, beauty" (W, 384); etc.

3.1.2.1.1 Since any Arabic noun may occasionally be applied as a generic term, the latter potentiality seems to be one of the important plural-preventing factors operating in the derivational domain of the UN, as well (the reduced inflectibility for number, as characteristic of the CN, has already been discussed at some length in § 2.1 above).[33] In nouns reinterpreted in generic terms, a secondary connotation of collectiveness may sometimes evolve from their generic value. Since the latter type of collectiveness may further involve additional lexical connotations, it is no longer predictable (as any connotationally neutral generic reinterpretation of a noun normally is) and has to be lexicographically treated. One such case will be illustrated on a Takrūna Arabic example which follows:

(i) *zbəl* (CN, as a generic term, interpretable as a MN)[34] — *zəbla* (UN), (possible plural: *zəblāt*), "bouse de vache" ("cow-dung, manure"), e.g.: *išayḥu-zzbəl bāš-iṣīr-žəlla* "on met la bouse fraîche à sécher pour qu'elle devienne bouse combustible" ("fresh cow-dung is let to dry up to turn into fuel"), etc.;

(ii) *zəbla* (singular) — (plural unrepresented), "ordures, tas d'ordures" ("rubbish, garbage, pile of sweepings"), e.g.: *zəbla ᵊfəs təġrəq* "des ordures si épaisses que: marche dessus tu enfonceras" ("such a mass of rubbish that you can't pass through without sinking in") (T 4, 1653), etc.

Of course, it is a matter of principle to decide whether the "generic/collective" *zəbla* has to be classified in terms of the CN-UN or rather be identified with a case of what we call autonomous singular-plural relationship, an assumption made, in the latter case, that the plural is unrepresented. The latter possibility is actually preferred in the present paper, since the semantic value of the "generic/collective" *zəbla* does not equal that of the UN-featured *zəbla*, and the difference between the both cannot exclusively be accounted for in terms of the distinction between the "generic" and "nongeneric", respectively.

That is:

zbəl: collective noun of the CN type;

[30] Lane, E.W.: *Maddu-l-Kamoos, an Arabic-English Lexicon* (Lane, in what follows). Part 1—5. London, Williams and Norgate 1863—1874; Part. 6—8 Edited by Poole, S. L. London, Williams and Norgate 1877—1893 (quoted after the Beirut photomechanical edition: Beirut, Librairie du Liban 1968).

[31] Besides another CN-UN pair which is, however, of no direct relevance to the matter: *zahr* (CN = MN) "cast iron" — *zahra* (UN = PN) "a piece thereof" (W, 384). The UN = PN featuring, however, is not explicitly stated in the source quoted. See also 4.2.1 in what follows.

[32] Wehr's arrangement of this entry, as is the case of a number of other entries, permits no clear distinction between the pluralizable *zahra* (UN) "flower, blossom"and the unpluralizable *zahra* "splendor, beauty" (W, 384).

[33] See e.g. the Takrūna Arabic *sbūla* (UN), applied as a generic term, in 3.1.2 above, as well as the related note 29.

[34] Cf. "collectif, nom de genre", in the source quoted.

zəbla: the UN counterpart of the latter; as any noun, it may occur as a generic term; in the latter case, insofar as it shares the basic semantic value of the CN (as postulated in 2.2 above), it will be classified as a UN of the CN-UN;

zəbla: a collective noun, but not of the CN type; backed by what we call autonomous singular—plural relationship for reasons exposed above.[35]

3.1.2.2 In colloquial varieties of Arabic, the (i)-(ii) restatement, as defined in the present paper, may involve features of what it would be possible to call cultural variation. By the latter, the total of phenomena due to the varied degree of linguistic influence, exerted by Classical Arabic upon the colloquial domain of oral communication, will be understood. Owing to a more finely differentiated set of colloquial data collected for the study of the UN-related than those available for the CN-related cases, due in turn to a considerably higher frequency rate of the former as against the latter, the UN-related subtype of the (i)-(ii) restatement under question will be briefly examined from this point of view, as well. For purposes of the present inquiry, the intricately diversified set of cultural strata, linguistically manifested by various stylistic levels of communication, will be restricted to only two rather vaguely defined levels: colloquial (c) and classicized colloquial (cc). Some examples:

Takrūna Arabic:

(i/c) *sžəṛ* (CN) — *səžṛa* (UN), (possible plurals: *sžāṛ* (with the def. art. *əssžāṛ* or *ləsžāṛ); səžṛāt),* "arbre(s); arbrisseau(x); végétation arbustive" ("tree(s); shrub(s); shrub-like vegetation"), e.g.: *qədd-əlḥžəṛ wəssžəṛ* "aussi nombreux que pierres et arbres" i.e. "très nombreux" ("as numerous as stones and trees" i.e. "very many"); *ma-ṯəmmāš mənhu məqṭūᶜ mən-ḥəžṛa wəlla-mən-səžṛa* "il n'est personne qui soit sans attache avec quelque pierre ou quelque arbre", i.e. "il n'est personne qui vive entièrement seul, sans amis, sans parents" ("no one can be intirely isolated (lit. "cut off") from were it only a tree or a stone", i.e. "nobody can live quite alone, without friends and relatives"), etc.

(ii/cc) *sažāṛa*[36] (singular) — *sažāṛāt* (plural), "arbre généalogique" ("genealogical tree") (T 4, 1992—1993), etc.

Iraqi Arabic:

(i/c) *lōz* (CN) — *lōza* (UN), "almond(s)", (possible plural: *lōzāt*);

(ii/c) (singular unrepresented) — *lōzāt* (plural), "tread", in e.g.: *lōzāt tāyar* "the tread of a tire";

[35] The latter type of secondary or "interpretational" collectives may, of course, be found in any other word-formational domain of Arabic. The Classical Arabic *ḥarīm*, for instance, as well as its very various colloquial reflexes, may serve as an example. Classical Arabic: *ḥarīm*, pl. *ḥurum* "a sacred, inviolable place, sanctum, sanctuary, sacred precinct; harem; female members of the family, women; wife" (W, 172); Iraqi Arabic: *ḥarīm* (no plural stated) "harem; women of a family; family (*Dict.*, 99);; Chad-Sudanese Arabic: *ḥarim* "harem; femmes; épouses" ("harem; women; wives") (*Lex.* 2. 115; CAR); *ḥarīm* (coll., pl. sing. *ḥurma*) "women" (ibid.; HILL); etc.

[36] *šajara*, in Classical Arabic.

(ii/cc) *ʾlawza*[37] (singular) — *lawzāt* (plural)/*lawzatēn* (dual), as in: *l-lawzatēn* "the tonsils" (*Dict.*, 429); or:

(i/c) *ḥjār* (CN)[38] — *ḥjāra* (UN), (possible plural: *ḥjārāt*), "rock(s), stone(s)";

(ii/cc/1) *ḥajar*[39] (singular) — *ḥjār* (plural), "stone, rock", e.g.: *l-ḥajar il-ʾasāsi* "the cornerstone";

(ii/cc/2) *ḥajar* (singular) — *ḥajarāt* (plural), "pumice stone; jewel (watchmaking); flint (in a lighter)" (*Dict.*, 91), etc.

3.1.2.2.1 It is of quite particular interest to the purpose of the present study that the membership of a noun in a linguistic system, although not paralleled by morphonological changes (as was the case in the foregoing paragraph), may display the (c)/(cc) alternation. From the set of possible alternative occurrences of the latter type, only those which are associated with the (i)-(ii) restatement, will be illustrated in what follows. E.g.:

Takrūna Arabic:

(i/c) *ḥžəṛ* (CN) — *ḥəžṛa* (UN), (plural: *ḥəžṛat*), "pierre(s); roche(s), rocher(s), etc." ("stone(s); rock(s)"), as in: *yəstāhəl-əlḥžəṛ* "il mérite d'être lapidé" ("he deserves to be stoned to death"); *tūnəs təbnāt-bəlḥəžṛa* "Tunis a été bâtie pierre à pierre" ("Tunis was built stone by stone"),[40] etc.;

(ii/cc) *ḥžəṛ* (singular) — (plural unrepresented), in: *əlḥžəṛ-ləswəd (ləsᶜəd)* "la pierre noire de la Kaᶜba" ("the Black Stone of the Kaaba") (T 2, 736—737), etc.

3.1.2.2.2 It should be emphasized that what is here symbolized as a (i)-(ii) restatement, even when taking into account its (c)/(cc) featuring, should be quite exclusively interpreted in synchronic terms as is, after all, the case with all data provided by the present paper. Of course, it is possible to draw some incidental diachronic conclusions from the examples classified in terms of the (c)/(cc) distinction. The Iraqi Arabic *lawza*, for instance, reflecting the morphonological state of Classical Arabic, may be said to mirror an earlier stage of the linguistic

[37] *lawza*, in Classical Arabic.

[38] The latter evolved, in all probability, from the plural *ḥjār*, by a process of resingularization.

[39] In Classical Arabic, no CN-UN membership of *ḥajar* is possible (see available lexicons of Classical and Modern written Arabic; cf. also T 2, 736, etc.) contrary to the opinion of Gaudefroy-Demombynes — Blachère, R., *Grammaire de l'arabe classique*. Paris, Éditions G. P. Maisonneuve et Cie 1952, p. 290. In the latter case, the quotation of *ḥjar-ḥajara* as members of the CN-UN system is evidently a technical error only, one of the really few in this excellent work. Furthermore, in some post-Classical varieties of Arabic, the CN-UN values may be conveyed in terms of the gender distinction ih *ḥajar* alone which is, of course, no longer relatable to the CN-UN system: *ḥajar* (masculine) "collective" as opposed to *ḥajar* (feminine) "singulative". For the latter distinction, see Dozy, R.: *Supplément aux dictionnaires arabes* (Dozy, henceforth). Vols 1, 2. Second edition. Leide—Paris, E. J. Brill, Maisonneuve Frères 1927. See Vol. I, 250: *Le Glossaire joint à la Description de l'Afrique et de l'Espagne*, par Edrīsī, publié par Dozy et de Goeje. Leyde 1866.

[40] For further examples see also *žəṛ — səžṛa* above.

development of Arabic than *lōza* (see above), the morphonological shape of which is typical of the post-Classical linguistic evolution of the latter. Or the (ii/cc)-marked systemic membership of the Iraqi Arabic *ḥajar* or the Takrūna Arabic *ḥžəṛ* (see above) which reflects the situation in Classical Arabic (see also note 39 above), as against the (i/c)-symbolized membership of the respective items which is typical of the post-Classical linguistic development of Arabic.

In the vast majority of cases, however, the evolutional shift from Classical to post-Classical does not affect the membership of a noun in any of the two systems possibly undergoing the (i)-(ii) restatement, e.g.: the Classical Arabic *samak* (CN) — *samaka* (UN) "fish", for instance, corresponds in this respect to the Iraqi Colloquial *simač* (CN) — *simča* (UN), or the Classical Arabic *ḥimār* (singular) — *ḥamīr, ḥumur, 'aḥmira* (plural) "donkey, ass"(W 205) which coincides, in turn, with the Chad-Sudanese *ḥumār* (singular) — *ḥamīr* (plural) "ass; donkey" (*Lex.* 2, 126; HILL.), etc.

3.2 Polysemous relationships based on multiple restatements. Since they involve features common to both the CN- and the UN-related types of what we classify as simple (i)-(ii) restatements, which have already been discussed in the foregoing paragraphs, only a limited number of examples will be given in what follows. E.g.:

Classical Arabic:

(i) *bizr* (CN) — *bizra* (UN), (satellite plural: *buzūr*), "seed(s)";

(ii/CN) *bizr* (singular) — *'abzār, 'abāzīr* (plural), "spice";

(ii/UN) *bizra* (singular) — *bizarāt* (the plural, missing in Wehr, is explicitly quoted by Baranov, 83), "kernel, pip, pit, stone (of a fruit); germ" (W, 57); or:

(i) *farāš* (CN) — *farāša* (UN), (possible plural: *farāšāt;* for the latter see Bar., 756), "moth(s), butterfly (-ies)";

(ii/CN) *farāš* (singular) — (plural unrepresented), "wheel (of a mill)";

(ii/UN) *farāša* (singular) — plural unrepresented), "flighty, fickle person" (W, 705; for meta-linguistic divergences statable in this as well as in some other cases, see § 4 in what follows), etc.

Takrūna Arabic:

(i) *həndi* (CN) — *həndīya* (UN), (possible plurals: *hnādi; həndīyāt*), "fruits du cactus, figues de Barbarie" ("the fruits of *opuntia mexicana,* Barbary figs"), e.g.: *əlhəndi hūwa ṣəḷṭān-əlġləl* "la figue de Barbarie est la reine des fruits" ("the Barbary fig is the queen among fruits");[41] *əlxrīf həndi* "il n'y a pas de bel automne sans figues de Barbarie, la figue de Barbarie étant le vrai fruit de l'automne" ("there is no real fall without the fruits of *opuntia mexicana,* the Barbary fig being a typical autumnal fruit"); *həddət-bu-ryūl ᶜa-lhəndīya-lxāmža* "une prise à partie aussi acharnée que celle que le lézard vert fait subir à la figue de Barbarie pourrie" ("an assault as

[41] The French and English equivalents of the Takrūna Arabic CN *həndi* are here rendered by means of a generic singular.

infuriated as that launched by the green lizard against the rotten Barbary figs (i.e. while devouring them)");[42]

(ii/CN) *əlhəndi* (always with the definite article: generic singular referring to the male and female alike) — (plural unrepresented), "individu incapable, propre-à-rien" ("worthless person, good for nothing"), e.g.: *xūh-əlhəndi* "son frère le mal-en-pattes" ("his brother, that idler"), etc.;

(ii/UN) *həndīya* (singular) — *həndīyāt* (plural), "mouchoir de coton, généralement noir à dessins rouges (sert de couvre-chef aux femmes âgées; tend à sortir de l'usage)" ("a sort of cotton kerchief, usually black with a red pattern") (T 8, 4190—4191), etc.

Iraqi Arabic:

(i) *lōḥ* (CN)[43] — *lōḥa* (c), *lawḥa* (cc)[44] (UN), (possible plurals: *lōḥāt, lawḥāt, 'alwāḥ, lwāḥ*), "slab(s), sheet(s), plate(s); board(s), plank(s)";

(ii/CN) *lōḥ* (singular) — *lwāḥ* (plural), "plot, patch, section", as in: *qassam ḥadīqta 'ila lwāḥ* "he divided his garden into small plots";

(ii/UN) *lawḥa, lōḥa* (singular) — *lawḥāt, lōḥāt, 'alwāḥ, lwāḥ* (plural), "board, blackboard, slate; (artist's) canvas"; *lawḥa fanniyya* "painting" (*Dict.*, 429), etc.

4. As is evident from the foregoing paragraphs, the main classificatory issues of the present investigation are derived from basic criteria in terms of which the Arabic nominals are lexicographically treated. The predominant second-hand provenance of the linguistic data examined makes the classification presented to some extent allergic to meta-linguistic divergences possibly occurring in this field, since, in a number of cases, without additional information which is not always available, it may appear difficult to distinguish reliably enough between a true linguistic and a mere interpretational variation.

4.1 Before attempting to display some of the most impressive cases occurring in the linguistic domain under description, certain aspects of the linguistic background of meta-linguistic variation will briefly be examined. Linguistic phenomena, stimulative to the occurrence of interpretational divergences, involve, as a rule, various types of border cases of atypical featuring which fall into two main classes: (1) those which substantially allow of several interpretations, and (2) those which do not but which, nevertheless, still retain recognizable traces of such a potentiality.

[42] It should be noted that *həndi* "cactus; *opuntia mexicana*" ("idem") is classified as a collective noun with no corresponding unit noun, in the source quoted. In this case, the singulative value is arrived at by resorting to lexical means backed by what we call autonomous singular—plural relationship, as in: *ʿəṛṣa (tlāṯa-ʿəṛṣāt)-həndi* "un pied (trois pieds) de cactus" ("one stem (three stems) of cactus") (see ibid.).

[43] The example quoted, like the Classical Arabic *qaṭr — qaṭra* in 3.1.1.2 above, substantially allows of a VN/CN — IN/UN presentation.

[44] The (c)/(cc) distinction, as against the cases quoted in 3.1.2.2, does not coincide with the dividing line between the systems undergoing the (i)-(ii) restatement, the latter potentiality being another factor neutralizing the value of an incidental diachronic information obtainable from a material collected for synchronic description.

4.1.1 The former type may be illustrated by cases like the Classical Arabic *ḥalaq — ḥalaqa* in what follows:

(1) *ḥalaq* (CN) — *ḥalqa, ḥalaqa* (UN), (satellite plural: *ḥalaqāt*), "ring(s), earring(s)", as against:

(2) *ḥalqa, ḥalaqa* (singular) — *ḥalaq, ḥalaqāt* (plural), "ring, earring, etc."

This presentation, following the arrangement adopted in the present paper, is based on the lexicographical evidence provided by Wehr and Baranov in terms of the following classification:

(1.1) *ḥalaq* (collective noun, Baranov; no explicit collective classification is given by Wehr, the collective value being implied by the semantic featuring; unrelated to UN), as against:

(2.2) *ḥalqa, ḥalaqa* (singular) — *ḥalaq, ḥalaqāt* (plural) (W, 202; Bar., 241).

From a morphological point of view, the pattern *faᶜal* may alternatively be interpreted as a collective noun unrelated to the unit noun (*quasi-plurals:* Lane, Reckendorf; *les noms du pluriel:* Fleisch; *Mengenkollektive:* Fischer; *'asmā' al-jamᶜ* or *'ašbāh al-jamᶜ:* Arab grammarians and lexicographers; unrepresented in the present study), like *xadam* "servants", *ḥaras* "watch, guard (coll.)", etc., or as a collective noun related to the unit noun (*collective generic nouns:* Lane; *les noms d'espèce:* Fleisch: *Gattungskollektive:* Fischer; *'asmā' al-jins:* Arab authorities; CN of the CN-UN, in symbols of the present study), as e.g. *šajar* (CN) "tree(s); or as a broken plural pattern, e.g. *ᶜamūd,* pl. *ᶜamad* "column, pillar"; or even as a noncollective singular noun, like *faras,* pl. *'afrās* "horse, mare", etc.

As demonstrated by Fleisch, himself classifying *ḥalaq* as a collective noun (but nevertheless under the general heading of broken plurals, viz. *les pluriels internes*), the pattern *ḥalaq,* in respect to *ḥalqa,* involves no sufficient amount of vocalic variation in order to be recognized as a broken plural pattern by the Arab grammarians who have classified it as a *collective quasi-plural noun ('ism al-jamᶜ)* or, alternatively (Sībawayhi, az-Zamaxšarī and some others), as a CN of the CN-UN *('ism al-jins).*[45]

Both these interpretations, paralleled furthermore by a plural classification of *ḥalaq,* may also be attested on the ground of lexicographical evidence provided by Lane. Apart from classifying *ḥalaq* in terms of both types of collectives (viz. *'ism al-jamᶜ* and *'ism al-jins*), the *ḥalaq-ḥalqa* opposition is further described in terms of plural-singular respectively. With reference to the respective sources, the latter interpretational multiplicity, primarily stimulated by the existence of a pattern alternation *ḥalaqa/ḥalqa* which is atypical in relation to *ḥalaq,* may be summarized as follows:

[45] See Fleisch, H.: *Traité de philologie arabe* (*Traité,* in what follows). Vol. 1. *Préliminaires, phonétique, morphologie nominale.* Beyrouth, Imprimerie Catholique 1961, p. 475, esp. note 2.

(1.1.1) *ḥalaq* (1) a *quasi-plural* (*Tāj al-ᶜarūs*, by Murtaḍā az-Zabīdī, died 1971);

(2) in relation to *ḥalaqa*, a *collective generic noun*, i.e. CN in relation to UN, in our symbosl (*Tāj al-ᶜarūs; Miṣbāḥ al-munīr*, by the Egyptian author al-Fayyūmī, died 1364);

(2.2.2) *ḥalaq*, in relation to *ḥalqa*, a plural pattern (*Miṣbāḥ al-munīr; aṣ-Ṣaḥāḥ*, by al-Jawharī, died 1007; *al-Qāmūs*, by al-Fīrūzābādī, died 1414); in this respect it should be looked on as an anomalous broken plural pattern (*aṣ-Ṣaḥāḥ; Miṣbāḥ al-munīr*) as against the *ḥalaq-ḥalaqa* relationship which is a regular one (for references see (1.1.1)/(2) above) (Lane 2, 629).

The interpretational divergences, started by the Arab grammarians and lexicographers, may be observed with European authors, too. For De Sacy and Wright, *ḥalaq* is a broken plural to *ḥalqa*. Fleischer (*Kleinere Schriften* 1, 296) relates it to what he calls *Gattungs-Collectiva* (i.e. CN, in our symbols; see above) in contradistinction to a number of nouns of the same pattern, unrelatable to the CN-UN system, like *xadam*, *ḥaras* etc., which he classifies in terms of *quasi-plural* variety of collective nouns (see above).[46]

For further evidence, involving cases of true meta-linguistic variation, considerably less dependent on the ambiguities of linguistic variation in the stuff analysed, see 4.2 in what follows.

4.1.2 The other type of border cases, frequently occurring in the field analysed, mostly coincides with nouns exclusively classifiable in terms of singular—plural relationship which display, nevertheless, obvious traces of a close relation to the CN-UN system. Connecting points between both the systems, possibly involving elements of derivational history or even etymology, cannot be, for the most part, identified with sufficient reliability any longer. Various types of inter-dialectal and cross-cultural influences may play an important part therein, as well. One such case will be quoted from the Takrūna Arabic lexicon:

(1) *ᶜəẓma* (singular) — *ᶜẓām*, *ᶜəẓmāt* (plural), "œuf" ("egg"), e.g.: *məhbūl mən-šwē-ᶜəẓma uməhbūl mən-tməᶜ-fēha* "bien fou qui met un œuf à cuire dans la braise, et bien fou qui en convoite une part" (T 4, 2118: en parlant d'une bagatelle à laquelle il serait absurde d'attacher du prix) ("foolish who puts an egg to roast on glowing embers, foolish who covets a part of it", when speaking about a worthless thing which deserves no attention); *yəmšiᶜla-ᶜẓām-əlləfᶜa* "il marche sur des œufs de vipère", i.e. "il marche précautionneusement", "avec une lenteur affectée" ("he walks upon the eggs of a viper", i.e. "he walks cautiously" or "with a pretended slowness");

(2) *ᶜəẓma* (singular) — *ᶜəẓmāt* (plural), *ᶜəẓəmtēn* (dual), "testicule" ("testicle");

(3) *ᶜəẓma* (singular) — (no plural), "longueur égale à l'espace qui sépare le coude

[46] *Traité*, p. 476.

du bout de la main fermée" ("length unit equal to the distance between the elbow and the end of a clenched hand").

The CN *ᶜẓəm*, although if being understood, is not in use in Takrūna, since it is perceived by the native speakers of Takrūna Arabic as an element pertaining to the adjacent urban (u) dialects. When identifying Takrūna Colloquial with a rural (r) variety of Tunisian Arabic, neither of pure urban nor pure Bedouin type,[47] we may regard the set of the (u)/(r)-featured linguistic interrelations as primarily responsible for this inter-systemic closeness which is backed, however, by the actual lack of the CN-UN membership of the Takrūna Arabic *ᶜəẓma*.

If, for the sake of comparison, we agree to include also the linguistic domain of (u) to the description, we may state the following contrast:

(4) (u): *ᶜẓəm* (CN) — *ᶜəẓma* (UN), (possible plurals: no data available in the source quoted; evidently, the same or similar set of plural patterns as those stated for Takrūna Arabic within what we call autonomous singular—plural relationship), in contrast to:

(r): *ᶜəẓma* — (no *ᶜẓəm* counterpart available; for the interpretation of *ᶜəẓma* see (1)—(3) above) (T 5, 2606—2607).

4.1.2.1 In some other cases, the main structural features of the CN-UN relationship may, substantially, be maintained but the-$\emptyset$-a opposition of the respective derivational markers may simultaneously be lexicalized. The extent of this lexicalization far exceeds the current limits imposed by the CN-UN membership of the respective nouns. The Takrūna Arabic *bəzzūl — bəzzūla* pair will serve as an illustrative example:

(1) *bəzzūl* (singular, with a distinct collective featuring) — (no plural available), "haut de la poitrine de l'homme" ("the upper part of a man's breast"), e.g.: *ẓəṛbu-ẓəṛba ᶜa-lbəzzūl* "il lui a donné un coup en pleine poitrine à la hauteur des tétons" ("he hit him straight in his breast"); "seins (de la femme)" ("woman's breasts"), frequently used in poetry, as in: *ya-xāl bəzzūl-bəntək — təffāḥ (tfāfīḥ*[48]*)*-bəṛṛ-ənnṣāṛa "ô oncle, les seins de ta fille sont pommes du pays des chrétiens" ("o uncle, the breasts of your daughter are like the apples of the Christian countries"), etc., as against:

(2) *bəzzūla* (singular; in relation to the preceding, with a distinct unit noun featuring) — *bzāzəl*, in poetry frequently occurring in a Bedouinized form: *bzāzīl* (plural), "téton" ("teat, breast"), as in: *ubəzzūlt-əmmi* "par le sein de ma mère" ("be the breast of my mother", an oath formula); *ṛẓəᶜna-bəzzūla-wəḥda* "nous avons tété le même sein" ("we have sucked the same breast"), i.e. "nous sommes frères" ("we are brothers") or, figuratively, "nous avons eu le même maître à

[47] Zavadovskii, Yu. N.: *Arabskie dialekty Magriba* (Arabic Dialects of Magreb). Moscow, Izdatelstvo vostochnoi literatury 1962, p. 10.

[48] For this variant, see also *bəzzūla*, pl. *bzāzīl*, as quoted below.

l'école" ("we have been taught by the same teacher"); *bzāzīl təḥt-əlmsəžžəṛ tənnu* "des seins qui pointent sous l'étoffe de soie rayée" ("breasts which protrude from under the striped silk cloth"); *bzāzīl kma-ḥərz-məktūb — yəbri-mrīẓ-əžžwāži* "des seins comme un talisman écrit qui guérirait celui dont la poitrine est malade" ("breasts like a talisman which would heal one whose chest is sick"), etc. (T 1, 312—313).

4.2 In the foregoing paragraphs such cases have been listed the atypical featuring of which may, more or less unambiguously, be recognized by the morphonological characteristics of the nouns involved (viz. the atypical *ḥalaqa/ḥalqa* pattern alternation in the *ḥalaqa/ḥalqa — ḫalaq* relationship. This example which has actually led to a far-reaching interpretational variation, was faced by several cases of atypical featuring in which similar interpretational problems are likely to occur (viz. the Takrūna Arabic examples quoted).

The aim of the present paragraph is to gather material evidence of the interpretational divergences actually stated in the domain analysed, notably those of them which are connected with one of the following problems: (1) should a given noun be classified as belonging to the CN-UN system or rather as an element of what we call here autonomous singular—plural relationship? (2) if any noun or pair of nouns is (are) classifiable in terms of its (their) CN-UN membership, meta-linguistic divergences in establishing possible linking points between the latter and the autonomous singular—plural relationship will be examined within what we symbolize as a (i)-(ii) restatement.

4.2.1 One of the most outstanding cases of meta-linguistic variation, occurring in the linguistic domain under examination, and in many respects similar to that stated with *ḥalaqa/ḥalqa — ḫalaq* relationship, may be identified with the set of divergences which are associated with the classification of *zahr — zahra* "flower(s), blossom(s), etc." through the whole span of the lexicographical treatment of Arabic, from the mediaeval authorities up to recent lexicons. The lexicographical data are quite arbitrarily quoted in an order proceeding from the CN-UN system to what we call autonomous singular—plural relationship without thereby implying any feature of priority or preference. Since only the positively stated linguistic features are taken into account in what follows, the casual lack of data under particular headings need not imply (or not necessarily) the nonoccurrence of the respective features in the linguistic system, since they may be merely missing in the source evaluated.

(1) *zahr* (CN) — *zahra* (UN):

(1.1) mediaeval sources as quoted by Lane (our CN being referred to in Lane's *collective generic noun): Miṣbāḥ al-munīr*, by al-Fayyūmī (Lane 3, 1261—1262);

(1.2) recent lexicons of Modern Written Arabic: Wehr:

zahr (CN) — *zahra* (UN), plurals: *zuhūr, 'azhur, 'azhār, 'azāhir, 'azāhīr; zaharāt* (W, 384); etc.

(2) autonomous singular—plural relationship:

(2.1) mediaeval sources: *zahra* (singular) — *zahr, 'azhār* (plural); *'azāhīr* (plural of the plural, in the Arab sources as well as in the wording of some European authors directly dependent upon them): *al-Qāmūs*, by al-Fīrūzābādī (Lane 3, 1261—1262); Freytag 2, 261;[49]

(2.2) recent lexicons of MWA: Baranov:

zahr (singular) — *zuhūr* (plural); *zahr*, on the ground of the semantic evidence, may partly be interpreted as a singular noncollective: "flower, blossom" (Russian: *tsvetok*), partly as a CN: "dice, cubes (in a game of chance)" *(kosti igral'nye)*, and partly as a mass noun: "cast iron" *(chugun)*;[50]

zahra (singular) — *zaharāt, 'azhār, 'azāhīr* (plural), "flower, blossom", as well as their metaphorical applications (Bar., 421).

As far as Classical Arabic is concerned, the textual evidence seems to confirm the CN-UN membership of *zahr* — *zahra* which, of course, does not exclude the use of plurals, satellitic to the system, as an alternative possibility. The following quotation (a part of al-Qazwīnī's description of spring[51]) includes three nouns which alternatively occur in a collective and in a plural featuring:

šajar (CN) (— *šajara* (UN))/*'ašjār* (plural), "trees";

zahr (CN) (— *zahra* (UN))/*'azhār* (plural), "flowers";

ḥayawān, singular noncollective, "animal, beast"; collective: "animals, living creatures"/*ḥayawānāt* (plural) (for the latter see W, 220; Baranov does not recognize the collective application of the latter as distinct from its implicit ability to be used as a generic term, viz. *ʿilm al-ḥayawān* "zoology"; Bar., 295).

That is:

wa nabaʿati l-ʿuyūnu wa-rtafaʿati r-ruṭūbātu 'ilā 'aʿlā furūʿi l-'ašjāri wa nabata l-ʿušbu waṭāla z-zarʿu wa tala'la'a z-zahru wa 'awraqa š-šajaru wa-nfataḥa n-nūru wa-xḍarra wajhu l-'arḍi wa ṭābaʿayšu 'ahli z-zamāni wa takawwanati l-ḥayawānātu wa dabba d-dabību wa natajati l-bahā'imu wa darrati ḍ-ḍurūʿu wa-ntašara l-ḥayawānu fī l-bilādi ʿan 'awṭānihi (Q, 85);

. . die Quellen sprudeln, die Feuchtigkeiten dringen bis in die höchsten Zweige der Bäume, die grünen Kräuter spriessen auf, die Saat schiesst in die Höhe, die Blumen beginnen zu schimmern, die Bäume belauben sich, die Blüthen erschliessen sich, die Oberfläche der Erde kleidet sich in Grün, die Erdenbewohner erfreuen sich des

[49] Freytag, G. W.: *Lexicon Arabico-Latinum*. Vols I—IV. Halle 1930—1937.

[50] It should be noted that the meaning "dice, cubes", given by Baranov, has no parallel in Wehr.

[51] Wüstenfeld, F. (Ed.): *Zakarija Ben Muhammed Ben Mahmud el-Cazwini's Kosmographie.* Erster Theil: *Kitāb ʿajā'ib al-maxlūqāt (Die Wunder der Schöpfung).* Göttingen, Verlag der Dietrichschen Buchhandlung 1849 (Q, in what follows). For the German translation, see Ethé, H. (translator): *Zakarija ben Muhammed ben Mahmūd el-Kazwīnī's Kosmographie* (Nach der Wüstenfeldschen Textausgabe, mit Benützung un Beifügung der reichhaltigen Anmerkungen und Verbesserungen des Herrn Prof. Dr. Fleischer in Leipzig). *Die Wunder der Schöpfung.* Erster Halbband. Leipzig, Fues's Verlag (R. Reisland) 1868 (E, in what follows).

Lebens, die Thiere treten in's Dasein ein, das Gewürm kriecht, das Vieh gebiert, die Euter strahlen reichlichen Milchfluss aus, alle lebenden Wesen in den Landen verlassen ihre Behausungen (E, 147—155);

wa kamā ḏakarnā 'inna r-rabī'a zamanu nušū'i l-'ašjāri wa bad'i n-nabāti wa ẓuhūri l-'azhāri fal-xarīfu zamānu ḏubūli n-nabāti wa taġyīri l-'ašjāri wa suqūṭi 'awrāqihā (Q, 86);

.. und in gleicher Weise, wie der Frühling nach unserer obigen Darstellung die Zeit des Wachsthums der Bäume, des Hervorsprossens der Pflanzen und des an's Licht Tretens der Blumen ist, ebenso ist der Herbst die Zeit, wo die Blumen welken, die Bäume eine Veränderung erleiden und ihre Blätter abfallen (E, 176).

4.2.1.1 When taking the CN-UN membership of *zahr — zahra* for granted, on the ground of the lexicographical and textual evidence provided in the foregoing paragraph, the following case of the UN-related (i)-(ii) restatement can be established:

(i) *zahr* (CN) — *zahra* (UN), (possible plurals: *zuhūr, 'azhur, 'azhār, 'azāhir, 'azāhīr; zaharāt*), "flower(s); blossom(s)"[52]

(ii) *zahra* (singular) — (plural unrepresented), "splendor, beauty".

4.2.2 The domain of scientific and technical terminology in Modern Standard Arabic, both written and oral, is not free from similar interpretational ambiguities, either. They are to a considerable extent stimulated by a relatively low degree of terminological codification throughout the Arab world. From a number of classificatory problems, currently occurring in this field, only those which are associated with what we symbolize as (i)-(ii) restatement, will briefly be examined. From this point of view, two important terms will be analysed: *mawj/mawja* "wave" (phys., esp. radio) and *ḏarra* "atom", which cover crucial notions, symbolizing, in a sense, the main trends of scientific and technological aspirations of the 20th century.

4.2.2.1 *mawj/mawja:*

(1) Wehr's presentation:

mawj pl. *'amwāj* "billows, surges, seas, breakers; waves; ripples";

(n. un. *mawja* pl. *-āt*) "billow, surge, sea, breaker; wave; ripple; oscillation, vibration, undulation"; *mawj ṭawīl* "long wave" (radio); *mawj qaṣīr* "short wave" (radio); *mawj mutawassiṭ* "medium wave" (radio); *'amwāj muwajjaha* "directional beams" (radio); *sa'at al-mawja* "amplitude"; *ṭūl al-mawja* "wave length" (radio); etc. (W, 930—931);

(2) Baranov's presentation:

mawj pl. *'amwāj* "wave; surge, breaker"; *'alā'amwāj al-'aṯīr* lit. "on the waves of ether" i.e. "(transmitted) by radio or television";

mawja pl. *mawjāt* "wave; oscillation, undulation"; *mawja ṭawīla* "long wave" (radio); *mawja qaṣīra* "short wave" (radio), etc. (Bar., 986);

[52] See note 31 above.

(3) *The Oxford English-Arabic Dictionary of Current Usage*[53] (presented in an Arabic-English order):

mawja "wave" (swell on surface of water); "wave" (phys.);

mawja "wave" (applied metaphorically): *sarat fī-mustamʿīn mawja min al-ḥamāsa* "a wave of enthusiasm swept through his listeners"; *mawja min al-jarā'im* "crime wave" (1355);

mawja qaṣīra (mutawassiṭa, ṭawīla) "short (medium, long) wave" (radio) (1142 761, 718);

(4) Krahl's evidence[54] (quotations are rearranged in an Arabic-German (English) sense):

mawja pl. *mawjāt* "Welle" (auch Phys., Radio) ("wave" (also phys., radio)); *ṭūl al-mawja* "Wellenlänge" ("wave length"); *yuḏīʿ ʿalā mawja ṭūluhā* "Radio ... sendet auf der Wellenlänge von..." ("to broadcast on a wave length of...") (451);

(5) Arab terminological dictionaries:

(5.1) Lebanon: Khatib[55] (rearranged: Arabic-English):

mawja, tamawwuj "wave" (phys.) (674);

mawja ṣawtiyya "acoustic wave" (phys.) (ibid.);

saʿat al-mawja "wave amplitude" (phys.) (ibid.);

zāwiyat al-mawja "wave angle" (radio) (ibid.);

mawjāt qaṣīra "short waves" (radio) 545);

'amwāj mutawassiṭat aṭ-ṭūl "medium waves" (radio) (373);

'amwāj (kahramaġnatīsiyya) ṭawīla "long waves" (radio) (354), etc.

(5.2) Egypt: Fahmy[56] (rearranged: Arabic-English):

mawja mutawassiṭa "medium wave"(47);

mawja ṭawīla "long wave" (44);

mawja in military context: *mawja min quwwāt al-muhājama* "one of a series of lines of mechanized units, aircrafts, etc. into which an attacking force is deployed" (102), etc.

(6) Oral Standard Regionalized (evidence based on what R. S. Harrell calls Egyptian Radio Arabic):[57]

mawga (Egyptianized variant of the Classical Arabic *mawja*) "wave" (radio), in what follows:

---

[53] Doniach. N. S. (Editor): *The Oxford English-Arabic Dictionary of Current Usage*. Oxford, Clarendon 1972.

[54] Krahl. G.: *Deutsch-Arabisches Wörterbuch* (German-Arabic Dictionary). Leipzig, VEB Verlag Enzyklopädie 1964.

[55] Khatib. A. Sh.: *A New Dictionary of Scientific and Technical Terms. English-Arabic*. Beirut, Librairie du Liban 1971.

[56] Fahmy. Hassan El-Sayyed: *Pocket Military Dictionary*. Cairo, The Renaissance Bookshop 1957.

al-'iḏāᶜatu-l misrīyah, min-al qāhirah, tabda'u 'iḏāᶜataha-l yawmīyah, bi-l-luġati-l ᶜarabīyah, 'ila-'amārika-l lātinīyah, ᶜala mawgatin qasīratin, tūluha tisaᶜtāšar wa-tisaᶜ-wu-xamsīn min-mīya mitran. 'ay, bi-dabdabatin, qadruha xamastāšar 'alf, tultumīya wu-xamastāšar kīlusaykilz 'iṯ-ṯānīyah. wa-'ila 'amārika-š šamalīyah, ᶜala mawgatin qasīratin 'uxra, tūluha talatīn wa-arbaᶜa wu-ticᶜīn mim-mīya mitran, wa-dabdabatin qadruha tisaᶜ talāf subᶜumīya wa-tisᶜīn, kīlusaykilz iṯ-ṯānīyah. (56);

"The Egyptian Broadcasting Service from Cairo begins its daily broadcast in Arabic to Latin America on a short wave length of 19.59 meters with a frequency of 15,315 kilocycles per second. And to North America on another short wave length of 30.94 meters, with a frequency of 9,790 kilocycles per second" (62).

(7) Colloquial evidence:

(7.1) Iraqi Arabic:

mōj (coll.) pl. *'amwāj* "seas, billows, breakers; waves; ripples;"

mōja, mawja pl. *-āt* "sea, billow, breaker; wave: *mawja qaṣīra* "short wave" (radio); *mawjat ḥarr* "heat wave, hot spell" (*Dict.*, 447);

(7.2) Egyptian Arabic:

mōg "waves, ripples, billows, undulations";

mōga pl. *mugāt*[58] (*mōga* being here treated as a singular of *mōg*, as it is, on the other hand, a singular of *mugāt*) (Spiro, 460);

mōga 'uṣayyaṛa (mutawassiṭa, ṭawīla) "short (medium, long) wave" (radio) (Mitchell, *Col. Ar.*, 191); etc.

4.2.2.1.1 On the ground of lexicographical evidence provided, it is possible to set several alternative classifications:

(1) *mawj — mawja* are, at least in some of their applications, classifiable as members of the CN-UN system:

Despite the fact that Wehr's interpretation of *mawj*, while used in a nontechnical sense, as a collective noun, quite logically follows from a relatively frequent, synchronically identifiable VN-CN relationship of the latter,[59] we have not succeeded in attesting the "technical" *mawj*, viz. "wave" (phys., esp. radio), either in its

[57] Harrell, R. S.: *A Linguistic Analysis of Egyptian Radio Arabic.* In: C. A. Ferguson (Editor): *Contributions to Arabic Linguistics.* Cambridge, Mass., Harvard University Press 1960 (presented in Harrell's original transcription; emphasis is treated as a prosodic feature and accordingly noted by underlining the respective segments; only a small number of graphical symbols have been modified in accordance with those used in the present study; the stress is left unnoted).

[58] See note 12 above.

[59] For possible VN/CN-IN/UN linkage see *qaṭr — qaṭra* in 3.1.1.2 above. The CN interpretation of *mawj*, due to its VN-CN relatability, is convincingly supported by the Classical data, as well. See Lane 7, p. 2743; *mawj*, a *coll. gen. n.*, "waves, billows; surges, or a collection of waves; water rising above other water; pl. *'amwāj; mawja* "a wave, a single wave" *(n. un.)*, pl. *mawjāt.*

collective or noncollective featuring, as far as its singular form is concerned. The plural *'amwāj*, on the other hand, does quite frequently occur in both applications besides the plural *mawjāt*, related to the singular *mawja*. Since the plural *'amwāj*, as is, after all, the case of any other plural satellitic to the CN-UN system (see esp. 2.1.1 above), may potentially be related both to a collective and to a noncollective singular noun, it cannot be used as a criterial element in defining the systemic membership of *mawj*.

(1.1) When ignoring the fact that the "technical" *mawj* cannot convincingly be confirmed either as a CN or as a noncollective singular noun, and when taking Wehr's noncollective presentation of the latter for granted, the following case of what we classify as multiple (i)-(ii) restatement can be assumed:

(i) *mawj* (CN) — *mawja* (UN); (possible plurals: *'amwāj; mawjāt*), "wave(s), etc." (in nontechnical application);

(ii/CN) *mawj* (singular) — *'amwāj* (plural), "wave" (phys., esp. radio), e.g.: *mawj ṭawīl* "long wave";

(ii/UN) *mawja* (singular) — *mawjāt* (plural), "wave" (phys., radio), "oscillation, vibration, undulation", e.g.: *sa^{c}at al-mawja* "amplitude".

(1.2) Nevertheless, in accordance with the prevailing lexicographical evidence (see 4.2.2.1 above), the "technical" "wave" seems to be rather exclusively rendered by the Arabic *mawja*. Under the latter assumption and with the understanding that the CN-featureed "nontechnical" *mawj* will equally be taken for granted, a simple (i)-(ii) restatement of the UN-related type could rather be established instead:

(i) *mawj* (CN) — *mawja* (UN): plurals: *'amwāj; mawjāt)*, "('nontechnical') wave(s) and related items";

(ii) *mawja* (singular) — *mawjāt* (plural), "wave (phys., radio); oscillation, vibration, undulation".

(2) *mawj* — *mawja* are quite exlusively classified as elements of what we call autonomous singular—plural relationship:

mawj (singular) — *'amwāj* (plural), "('nontechnical') wave and related items"; the plural *'amwāj* applied also technically, e.g.: *'amwāj mutawassiṭat aṭ-ṭūl* "medium waves" (see 4.2.2.1 (5.1) above); *mawja* (singular) — *mawjāt* (plural), "wave, etc."; "wave" both in a technical and nontechnical sense (see ibid.).[60]

An exclusive noncollective classification of *mawj*, although apparently opposing the prevailing lexicographical evidence statable in this particular case, can quite safely be taken for another type of lexical representation of the underlying verbal

[60] The noncollective classification of *mawj* is also adopted by Danilov, I. S.—Ryzhkov, V. I.—Anisimov, M. G.: *Arabsko-ruskii i russko-arabskii voennyi slovar'* (Arabic-Russian and Russian-Arabic Military Dictionary). Moscow, Voennoe izdatel'stvo Ministerstva oborony SSSR 1965, p. 487: *mawj*, pl. *'amwāj* "wave"; *'amwāj lāsilkiyya* "radio waves"; *mawja*, pl. *mawjāt* "wave; oscillation; etc."

abstract,[61] as distinct from the relatively more common CN representation of the latter. The chain of these interpretational events may be outlined as follows:

VN (within VN-IN): processualness:

mawj (mawajān) "heaving, swelling, surging (of sea); waving, undutaling, undulation, etc."

CN (within CN-UN): collectiveness:

mawj "billow(s), surge(s), sea(s), breaker(s); wave(s); ripple(s)"; singular (within what we call autonomous singular—plural relationship): singular-based oneness:

mawj "one single item of what is referred to in the CN".

The missing CN-featured *mawj,* in this lexicographical presentation, can readily be approximated through an abstract (viz. processual) value of the VN or, with nearly the same resulting effect, through a generic reinterpretation of the singular-featured *mawj,* in all contexts possibly calling for such an interpretation. From a terminological point of view, the singular-plural classification, owing to a considerably higher degree of explicitness associated with it, is by far preferable to that related to the CN-UN membership of a given noun.

It is worthwhile noting, in this connection, that the CN-featuring of a given noun which is backed by a multi-levelled VN/CN-IN/UN systemic membership, tends to be felt as implicitly present in the VN and, accordingly, its lexicographical treatment is regarded as superfluous. In these cases, in order to avoid trivialities possibly resulting from an explicit treatment of predictables, only selected bits of evidence are actually recorded from the full-scale VN/CN-IN/UN relationship.[62] The reduced evidence mostly includes the VN, representative of the abstract (viz. processual) level, and the IN (sometimes referred to as UN, with regard to the unrepresented CN-UN relationship), representative of various concretizations of the latter. The difference between a full-scale VN/CN-IN/UN relationship, only rarely reflected in current lexicons, and a reduced representation of the latter, may be illustrated in terms of the following comparison:

VN/CN-IN/UN (full evidence, including predictables):

ḍarb (VN) "beating, striking, hitting, etc." (as verbal abstracts);

ḍarb (CN) "blow(s), knock(s), stroke(s), etc."

ḍarba (IN) "one single act of beating, striking, etc." (i.e. one single act of what is referred to in the VN);

ḍarba (UN) "blow, knock, stroke, etc." (i.e. one single unit of what is referred to in the CN), etc.

VN/CN-IN/UN (reduced evidence, restricted to the unpredictables):

ḍarb (VN) "beating, striking, hitting, rapping; shooting, shelling, gunning,

[61] For possible linking points between the (verbal) abstracts and collective nouns, see *Traité,* pp. 324—332, esp. 332, note 2.

[62] See also *qaṭr — qaṭra* in 3.1.1.2 above.

bombing, bombardment; multiplication; coining, formation; minting (of money)";

ḍarba (IN; *nomen vicis*, in the source quoted), pl. *ḍarabāt* "blow, knock, punch; thrust, push, jolt, shock; stroke, lash; shot; plague, affliction, trial, tribulation, punishment"; *ḍarbat aš-šams* "sunstroke, heatstroke"; *ḍarba qāḍiya* "fatal blow, death blow", etc. (W, 539), etc.

4.2.2.2 *ḏarra* "atom":

The crucial problem of systemic membership is to a considerable extent ambiguous in this particular case, too. Nevertheless, the VN-relatable collective classification of *ḏarr* (see below) within the CN-UN system, as far as the latter is recognized at all, does not lead to a noncollective classification of *ḏarr* which would possibly stimulate a *ḏarr/ḏarra* alternation as that observable with *mawj/mawja* (see above). Since the CN-UN membership of *ḏarr* — *ḏarra*, recognized by some authors, is in turn relatable to the VN-IN system within a complex VN/CN-IN/UN relationship, as that statable with *mawj* — *mawja* above, and since the lexicographical evidence collected is to a considerable extent similar to that evaluated for *mawj* — *mawja*, the relevant data subsequently quoted will be reduced to a minimum: only two leading MWA lexicons, Wehr and Baranov, will be contrastively evaluated and some textual evidence, drawn from some recent Egyptian sources, will be provided.

(1) Wehr-based evidence:[63]

ḏarr (CN) "tiny particles, atoms, specks, motes";

ḏarra (UN), pl. *ḏarrāt* "atom; tiny particle; speck, mote" (W, 308).

As evident, the latter presentation of *ḏarrāt* is highly problematic. The emphasis laid on the meaning "atom" cannot cancel (or not unambiguously), the membership of *ḏarra* in the CN-UN system which is, after all, explicitly indicated.[64] When trying, however, to attest the existence of *ḏarr* (CN) "atom(s), which, with no additional restrictions, is possible on the ground of Wehr's data, we shall soon realize that the latter cannot convincingly be supported by the recent MWA usage when it has to be interpreted in a technical sense, as the "smallest unit of an element" (phys., chem.). In the latter application only an inflectional classification backed by what we call autonomous singular—plural relationship is possible. With this understanding, the following case of what we classify as simple (i)-(ii) restatement of the UN-related type can be established:

(i) *ḏarr* (CN) — *ḏarra* (UN); (possible plural: *ḏarrāt*), "tiny particle(s), atom(s), speck(s), mote(s)";

(ii) *ḏarra* (singular) — *ḏarrāt* (plural), "atom" (phys., chem.).

On the strength of this presentation of facts, the "nontechnical" *ḏarra* "atom",

[63] For the sake of simplicity, the VN-IN part of the VN/CN-IN/UN relationship (of which only the VN is explicitly quoted by Wehr) will be here disregarded.

[64] Viz., Wehr's n. un. (nomen unitatis).

equivalent to any extremely small part of matter, contrasts with the technically applied *ḏarra* "atom", as defined in physics and chemistry.

(2) Baranov's data, on the other hand, can readily be presented in terms of a (i)-(ii) restatement of the UN-related type. The (i) constituent of the latter, radically differing from that provided by Wehr, is nevertheless supported by classical lexicographical evidence. The (ii) constituent of the (i)-(ii) restatement, which is of a quite particular interest from the terminological point of view, automatically obviates the interpretational ambiguities inherent in Wehr's presentation. That is:

(i) *ḏarr* (CN) — *ḏarra* (UN); (no plural stated), "ant(s)";

(ii) *ḏarra* (singular) — *ḏarrāt* (plural), "tiny particle; mote, dust particle; atom" (Bar., 345—346).

(3) The autonomous singular-plural classification of the "technical" (at the very least) *ḏarra* "atom", irrespective of whether it may supposedly be identifified with the (1) — or rather with the (2)-featured presentation of those quoted above, is reflected in recent technical usage throughout the Arab world. The following two quotations, one for *ḏarra*, "atom", the other for the corresponding plural *ḏarrāt*, are two entries in a list of terms related to nuclear physics, published by the Cairene Academy of the Arabic Language:[65]

(3.1) *ḏarra: aḏ-ḏarratu — 'aṣġaru qadrin minᶜunṣurin mā yušāriku fī t-fafāᶜulāti l-kīmyā'iyya* "the atom is the smallest part of an element which still paricipates in chemical reactions";

(3.2) *ḏarrāt: al-fāᶜiliyyatu l-'šᶜāᶜiyyatu ṣ-ṣināᶜiyyatu — hiya l-fāᶜiliyyatu l-latī taḥdutu min taᶜrīḍi ḏ-ḏarrāti li-'šᶜāᶜātin min nawᶠin muᶜayyanin 'aw min jaᶜlihā taṣṭadimu bi-daqā'iqa ḏāti sufatin kabīra* "artificial radioactivity is that which results from an exposure of atoms to a particular type of radiation or from bringing them to collide with high velocity particles".

[65] *Majmūᶠat al-muṣṭalaḥāt al-ᶜilmiyya wal-fanniyya llatī 'aqarrahā l-majmaᶜ* (Scientific and Technical Terms Approved by the Academy). Vol. IV. Cairo, Academy of the Arabic Language 1962, p. 62.

MAIN CULTURAL FACTORS IN THE MAKING OF MODERN SWAHILI

LUBOŠ KROPÁČEK, Prague

This paper deals with the impact of the changing social and cultural scene in East Africa on the making of modern standard Swahili. The discussion centres on its semantic links with the traditional African outlook, Islam and Christianity and, in particular, on the process of modernization brought about by the colonial rule, secularization of thought and the rise of journalism. The author attempts to formulate or to sum up a Marxist criticism of certain current but incorrect opinions, while pointing out the necessary directions of further research. A special attention is attached to the position of Swahili within the non-capitalist way of development of contemporary Tanzania.

The complex process of socio-economic changes has brought about an unprecedented intensification of the interaction between African peoples of diverse linguistic and cultural backgrounds who now have come to share similar needs, views and targets. The problem of choice of a common vehicle of communication for the enlarged, but still traditionally multilingual, modern national communities is sometimes solved spontaneously, sometimes postponed until the decision-making may be based on solid foundations.

Despite predictions of some theoretical sociolinguists[1] most African representatives have always been proclaiming the necessity of a final option for an African language.[2] Field research conducted in various parts of the continent has usually confirmed the view that the urbanization, the development of industries, the spread of market economy and similar processes of socio-economic modernization by themselves create favourable conditions for a rise to importance of one of the local languages, which may be further promoted by a reasonable policy.

There exist numerous outline schemes for an analysis of factors and consequences of a language choice.[3] One of the complex factors of both theoretical and practical

[1] The best known instance is J. A. Fishman's typology, which assumes that "new developing nations" without an integrating "great tradition" will finally adopt a Western language as a permanent national tool and symbol — cf. Fishman, J. A.: *Language Problems and Types of Political and Sociocultural Integration: A conceptual Postscript.* In: Fishman, J. A., Ferguson, Ch. A., Das Gupta, J. (Eds): *Language Problems of Developing Nations*, pp. 491—498. New York, 1969.

[2] For an account of African intellectuals' opinions, see especially Alexandre, P.: *Langue et langage en Afrique Noire.* Paris, 1967.

[3] Cf. Spencer, J. (Ed.): *Language in Africa.* Cambridge, 1963, p. 129 ff.

interests is the past history and nature of the language involved, including its conceptual resources and disposition for its adaptation to modern conditions. There is no need of any spectacular proof of a capacity to translate Einstein[4] but rather of a research into historical semantics and adaptability of the language within changing circumstances. Since the language is a supra-individual cultural product and instrument, an active consent and participation of a large number of its speakers at the process of culture change is a *sine qua non* of a linguistic adaptation. Our aim in this paper will be to illustrate the growth of Swahili from this particular viewpoint.

Swahili represents the most successful instance of an African language officially and really used in virtually all social functions within a modern State. It emerged in history as a language of the predominantly Bantu population of the Eastern African coast who over centuries of close contacts with Arabs developed a distinctive, sophisticated culture. With its Bantu structure and loan-word oriented conceptual wealth Swahili of the 19th century expressed the synthetic cultural outlook of an African Islamized society. A new ideology with its demands for new representations and concepts then emerged with the missionary work for implantation of Christianity. It seems, however, that neither their efforts nor the mere new circumstances of living together with people of as distant a cultural and linguistic background as European colonial immigrants would have, on their own account, had a transforming effect on the language beyond a number of lexical and semantic innovations. A far reaching change has been effected only with the active move of the Swahili speaking Africans to take over autonomy and to master the multiform modern forms of social relationships. Two interrelated stages of this process are best represented by the rise of the secular Swahili press and the political and social options for an independent development and an active involvement in many-sided changes.

Our paper is arranged according to this general scheme.

1

In the prevalent part of its vocabulary, in its phonology and its morphological structure Swahili is a pure-bred African language. The backbone of its grammar is a system of noun classes with syntactic concords expressed by means of prefixes. Verbal derivations, in their turn, are based on suffixes. Compared to other Bantu languages spoken in Eastern Africa, even beyond M. Guthrie's zone G with which Swahili is classified,[5] its generative grammar appears to be very close and in a number

[4] The notorious translation of Langevin's précis on Einstein's theory, made by Cheikh Anta Diop into Wolof, does hardly provide the looked-for proof of the potential of Wolof for expressing modern science. Proper understanding of Einstein is not a matter of mere equivalence of words in two different linguistic systems but of an overall advanced level of physical and mathematical comprehension. It may be useful to recall W. Humboldt's dictum: "Language does not represent objects themselves but the concepts which the mind has formed of them...".

[5] Cf. Guthrie, M.: *The Classification of the Bantu Languages*. London, I.A.I., repr. 1967.

of features almost completely identical up to the point where morphemes have to be identified. This fact can explain the ease with which Swahili has come to be understood and used in the large hinterland of its coastal home area.

The noun-class system of Swahili in its outward appearance can provide only slightly less inspiration for speculation on the monistic ontology of the "Bantu philosophy" (as known from P. Tempels or A. Kagame[6]) than the more central Bantu languages. The realization of the service that this idealistic interpretation of the African traditional world-view has been doing to the Christian, in particular Catholic, missionary efforts stimulated an attempt at elaborating the Swahili grammar along these philosophizing guidelines. Its author G. Kajiga from Goma (Kivu, in Eastern Zaire) set himself the task "to methodically explain to the reader the intimate structure and mechanism of languages ntu". His more general intention is to help to "muntuise *(muntuiser)* the black élite of Ntu Africa".[7] He reproaches other authors of grammatical treatises on Bantu languages that their works are marked with only a descriptive character while he in the body of his textbook consistently combines grammatical explanations with specimens for reading on subjects concerned with the traditional African culture. It does not seem, however, that his demand for the "Bantu philosophy" outlook would have exerted a stronger influence on his presentation of the grammatical rules. The main difference from textbooks of East African Swahili resides in the emphasis on cultural forms met in Congolese villages.

This philosophizing approach is not new. As early as in mid-19th century, J. L. Krapf expressed the opinion that the meaning of the prefix-system must be sought in "the deep recesses of the South African mind, which in its contemplation of the world assigns a different position to every noun ...". He likewise pointed to a dichotomy of "creative activity" and "passiveness" reflected in the necessity of prefixal concords.[8] Research into correspondences between conceptual categories and nominal classes has always aroused a great deal of attention. More than once the authors were, however, misled to oversimplified views. Thus L. S. B. Leakey suggested that all items in classes 5/6 *(li- ma-)*[9] in Kikuyu denote "objects of ceremonial, religious and magical significance"[10] but his evidence is not conclusive.

---

[6] Tempels, P.: *La philosophie bantoue.* Paris, 1949. Kagame, A.: *La philosophie bantu-rwandaise de l'Etre.* Bruxelles, 1956. — For Marxist criticism of this current, see especially Sharevskaya, S.I.: *Missionerskaya propaganda na sluzhbe neokolonializma v Afrike (Bantuizirovannoe khristianstvo patera Tempelsa).* Sovetskaya Etnografiya, *6*, 1960. An interesting remark expressing a materialist interpretation of the central concept of "vital force" in the "Bantu philosophy" has been also made by Davidson, B.: *The Africans. An Entry to Cultural History.* London, 1969, pp. 30—31.

[7] Kajiga, G.: *Grammaire Swahili, initiation à la culture Ntu.* Goma, 1967, p. 3 and passim.

[8] Krapf, J. L.: *Outline of the Elements of the Ki-Suaheli Language with Special Reference to the Kinika Dialect.* Tubingen, 1850.

[9] The numbers of classes are given according to C. Meinhof's arrangement.

[10] Leakey, L. S. B.: *First Lessons in Kikuyu.* Nairobi, 1959, pp. 13—14.

One will agree with Whiteley's plea for further serious research into this field both by linguists and other workers in the social sciences.[11] A semantic-oriented linguistic study in Bantu area, not unlike that of the traditional African society, needs a constant alertness and resistance to frequent idealist mystificatory attempts.

As regards Swahili, its great pervasion with Islamic concepts has to a great extent turned away potential speculation on the relationship between the language and the traditional religiosity of the "African mind". As a matter of fact, the conceptual store of Swahili reveals significant differences from the usual Bantu pattern not only in what it has in addition, but also in what it lacks. As a language of coastal towns depending on trade, the pre-20th century Swahili shows a relative (though by no means absolute) poverty in terms related to agriculture and cattle-breeding. Likewise, it seems to be deficient in a wider interest in tribal organization and kinship terms. On the other hand, there is a comprehensive vocabulary of terms and figures of speech concerned with a fairly elaborate urban culture,[12] commerce and simple navigation. Lexical means for expressing beliefs, feelings, attitudes and abstract statements and ideas are frequently, though not always, marked with a Muslim outlook and associative field.

2

The earliest form of Swahili that has come down to us through manuscripts of poetry (from early 18th century onward) and through travellers' records based on direct contact with East African coastal speakers,[13] is already amply saturated with Arabic loan-words. At the same time, the thought it expresses draws heavily on the Islamic fund of concepts. Obviously enough, the use of the Arabic script and the long dependence on Islamic subject matters, practices and even formal patterns in poetry, made the frequency of Arabic words amount to a much higher ratio than was probably the usual average in conversation on everyday subjects. The same influence of the Arabic script could be proved by checking the vocabulary of the 19th and early 20th century private correspondence, while a comparison of traditional narratives and fables, on the one hand, and myths and legends,[14] on the other, would surely

[11] Whiteley, W. H.: *Shape and Meaning in Yao Nominal Classes.* African Language Studies, *II,* 1961, p. 24.

[12] Characteristically, one of the Swahili equivalents for our concept of civilization is the Arabic loan-word *utamaduni,* from Ar. *tamaddun,* etymologically urbanization, becoming urbanized. Its synonym is *ustaarabu,* etymologically Arabization or *uungwana* — condition of a freeman.

[13] The historically first compilation of a Swahili vocabulary, earlier than H. Salt's widely believed to be the oldest of the kind, has been recently identified in a Leningrad manuscript — see Olderogge, D.A.: *Slovar yazyka suakhili 1811 g.* Africana, Afrikanskii etnograficheskii sbornik, *VIII,* Leningrad, 1971, pp. 75—82.

[14] Cf. Knappert, J.: *Myths and Legends of the Swahili.* London, 1970.

point to the importance of the subject matter for the choice of words. This intuitive knowledge has recently been made more explicit by E. Bertoncini's statistical analysis. Her frequency counts show the direct predominance of Arabic loan-words over the Bantu vocabulary in the classical epic poetry (*utendi;* 53 : 47 %) and their high percentage in poetry and some types of short stories in general, contrasted with their relative scarcity in articles on such modern subjects as sport (17 %).[15]

Such a high ratio of Arabic loan-words could not have remained without influence on the semantic system of nominal classes. Some Arabic words easily fitted into both formal and conceptual pattern, e.g. *mwalimu* — teacher into class 1, *wakati* — time and *wajibu* — duty into cl. 14 etc. Some other fitted at least formally: *msikiti* — mosque — cl. 3, *maarifa* — knowledge, *manufaa* — use — cl. 6, *kitabu* — book — cl. 7, *nia* — intention — cl. 9 etc. A great number of otherwise unfitting words were incorporated into class 9 *(n-)* which, with subsequent borrowings from European languages, has swollen to its present-day comprehensiveness and now holds first place in frequency counts. Hence, speculative judgments on class semantics and their philosophical implications have lost much potential ground in Swahili spoken by an Islamized society.

The spread of writing, linked with the influence of Arabic, led to noticeable changes also in the syntax of Swahili. Some simplifications of Bantu constructions were installed with the adoption of Arabic conjunctions and, last but not least, some stylistic habits. A stylistic dichotomy between the written and spoken language attained great proportions. But the nature of the available written documents does not permit us to substantiate this assumption in any greater detail. The evidence, however, indicates that Swahili tended to differentiate in an increasing number of functional variants marked off from one another by lexis as well as by some grammatical features and, obviously, also by social role and prestige.[16]

In general the elaborate Muslim culture, whose vehicle Swahili became, made the language for a long time draw on conceptual resources of Arabic and both popular and learned Islam.[17] Edward Blyden, one of the founding fathers of modern cultural nationalism in Africa, who came to consider Islam as a natural religion for Africans, also thought highly of the role of Arabic in "intellectualizing indigenous African

[15] For details see Bertoncini, E.: *Ricerche sul lessico di alcuni racconti swahili.* Annali dell' Istituto Orientale di Napoli, *31*, 1971, pp. 141—154.

[16] The usual view of ancient Swahili dialects (poetical *Kiamu* etc.) should be, in our opinion, supplemented by a consideration of their social role, inasmuch as they may be ascertained today; and hence studied as "registers" (M. A. K. Halliday's term) or "codes" (S. Bernstein).

[17] The Islamic learning was, however, until recently, transmitted mainly through poetry. The first Swahili translation of the *Qur'ān* is due to the proselytizing zeal of the Aḥmadīs (1936, publ. in 1953). An orthodox counteraction is the translation by Sheikh Abdulla Saleh al-Fārisī. A theoretical Islamic literature in Swahili is nowadays also published in Cairo by the Majlis as-aʿlā li-l-shuʾūn al-islāmīya.

languages where Islam held sway".[18] At the time of the European colonial penetration, Swahili was generally recognized as a language of Muslim coastal communities, spoken also by local Arabs. Mazrui terms it a "neo-Islamic language".[19] Occasionally, its further progress into the interior was prevented on these religious grounds. To quote a brief judgment of the Kenyan cultural attaché participating at the Paris round table on Swahili in 1970, "for a long time Swahili and Muslim were synonymous. It took a long time for the people to realize that Swahili was not a Muslim language as such".[20] The coastal speakers of Swahili, in their turn, later became similarly suspicious of English, which they linked with missionary schools and Christian propaganda. Both aversions, noticeable in the early part of our century, have later disappeared.

Although the progress of Swahili further inland as far as Eastern parts of the Congo was in its initial stage carried on mainly by Zanzibari Arab slave dealers, the share of Arabic word stock in the local adopted forms of Swahili had, in the long run, necessarily to diminish in favour of Bantu. Nowadays, the pattern of recession of Arabic loan-words along the way from the coast to the interior seems to be a more or less regular feature of the Swahili dialectology. Also the specific phonemes adopted together with the Arabic words tend to disappear in the inland pronunciation; fricative *gh* changes into *g*, interdental *dh* in either alveolar *d* or *z*, *th* into *s* or *t*. Nowadays, Arabic has lost much of its former importance as a source on which Swahili could draw for enrichment of its terminological stock. The overthrow of the Arab sultanate in Zanzibari revolution of 1964, followed by expulsion of Arab feudal lords and the rise of Afro-Shirazi consciousness, to some extent reduced the immediate influence of spoken Arabic within the Swahili area. The role of scattered Arab traders throughout East Africa seems to be less important.[21] Still the Zanzibari press continues to show higher relative percentage of Arabic loan-words than the great Swahili papers of the mainland.

Arabic still continues to provide some of the needed modern terms, particularly in those scientific or practical domains that had been highly developed even before the onset of the modern process of social and culture change, such as trade or astronomy, to say nothing of religion and literature. As regards political and administrative terminology, some Arabic words are in general use, their exact semantic range being modified according to the development of the institution, e.g. *rais, waziri, wizara, idara, wilaya* etc. For new political concepts the borrowings from Arabic appear,

[18] Quoted from Mazrui, A. A.: *Islam and the English Language in East and West Africa.* In: Whiteley, W. H. (Ed.): *Language Use and Social Change.* Oxford, 1971, p. 187.

[19] Ibid., p. 189.

[20] Table ronde sur "Le Swahili comme langue de Culture". Présence Africaine, *78*, 1971, p. 95. For an account of recent Tanzanian discussion on this subject see Malysheva, D. B.: *Religiya i politika v stranakh vostochnoi Afriki.* Moscow, Nauka 1974, p. 107.

[21] See Malysheva, D. B., op. cit., chapter on Tanzania.

however, less successful than those from English (adopted often just temporarily) or, in the best case, home-made neologisms. On the whole, in the last years Swahili seems to show a tendency to develop from a loan-word-oriented to rather a native-resource-oriented language. To denote the concept of imperialism both the English word and the Arabic *istimari* (adj. *-a kiistimari*) have given way to home-made *ubeberu* and *-a kibeberu*. The Arabic borrowings that are perceived as native owing to long usage and wide native semantic range continue, however, an independent life. The term *Ujamaa* for "socialism" is generally felt as home-originating, the Arabic root of the word *(j-m-ᶜ)* having been since generations adopted into Swahili with a number of derivations. The Arabic corresponding term for the concept is *ishtirākīya;* its Swahili counterpart *uishtiiraki* is not widely used. A similar instance is the Swahili home-made *ushirika* for "cooperative", the Arabic equivalent *taᶜāwun* being ignored.

3

There was hardly anything surprising in the adoption of the "neo-Islamic language" by missionary societies. Like Islam, Christianity could always find the best chance where disintegration of traditional social organization had weakened ancient tribal beliefs and rites, thus making way for supratribal integrative factors. In the latter half of the 19th century, Swahili was already fairly well implanted as a lingua franca for inter-tribal communication in large areas of Eastern Africa. The German colonial rule in Tanganyika adopted it also as a language of administration. All this facilitated travels and teaching of early missionaries throughout an otherwise linguistically heterogeneous country. In addition to these favourable circumstances, the missionaries did not disregard the fact that Swahili already possessed an elaborate Islamic theological vocabulary, which could be adapted for Christian purposes with greater ease than terminological resources of animists. (P. Tempels and his followers were not yet born by that time.) Bishop E. Steere from the Zanzibar-based Universities Mission (U.M.C.A.) described Swahili as "...a language which, through its Arabic relations, has a hold on revealed religion, and even on European thought while, through its Negro structure, it is exactly fitted to serve as an interpreter of that religion and those thoughts to men who have not yet even heard of their existence".[22] Indeed, the task of understandably expounding Christian concepts and general outlook in Swahili did not meet with any particular difficulties, comparable to those that the Bible translators encounter in languages of less developed societies of hunters and food-gatherers. As early as 1882 J. L. Krapf was able to illustrate the meaning of words in his *Dictionary of the Swahili language*[23] with quotations from the Swahili translation of the Gospel.

[22] Steere, E.: *A Handbook of the Swahili Language*. London, 1870, preface, p. IV.
[23] London, 1882.

Nonetheless, a number of missions preferred to avoid the lingua franca and used mother tongues, estimated to be better suited to reach the hearts and deep understanding of the converts to Christianity. This was true mainly for some Protestants, aware of the importance always attached to the mother tongue by pioneers of the Reformation. The language policy varied according to areas, often within missions of the same denomination. Catholic White Fathers, similarly, used both Swahili and vernaculars according to geographical and ethnic setting. In Eastern Congo over a long period Swahili was feared for its Islamic associations. In Uganda, Swahili was altogether excluded from missionary work.[24]

Since the mid-19th century missionaries were making a valuable contribution to the extension of European knowledge of Swahili as well as to the literary development of the language itself, though, in view of different local traditions, this care did not prove as fertile as with the Southern Bantu, in particular Sotho, Xhosa and Zulu of the early 20th century. The most important innovation was the diffusion of a new written standard in Roman alphabet. The transcription system adopted was the one generally applied in 19th century English scholarship, i.e. consonants as in English, vowels as in Italian. This approach struck deep roots in Eastern Africa and was maintained even after the elaboration and systematic efforts at implantation of the "Africa" script in British colonies in the 1930's.[25] Swahili had a good chance that neither its orthography nor its terminology would become an object of rivalry of different missions, as it happened e.g. with Sesotho, Tshiluba and a number of other African languages. There developed only a competition between the Mombasa *(Kimvita)* and Zanzibari *(Kiunguja)* dialectal forms, favoured respectively by the Church Missionary Society in Mombasa and U.M.C.A. in Zanzibar, to be finally settled by a secular body of the Inter-Territorial Language (Swahili) Committee in the 1930's in favour of the Zanzibari variant.

A more difficult situation has been created in Eastern parts of the Congo, where up to this day East African standard Swahili has had to compete with the Kingwana variant, left behind in Maniema by Tippu Tip and other slave-dealers,[26] in addition to a number of non-standard forms scattered in both urban and rural milieu in Shaba (former Katanga), Kivu, Oriental and Kasai provinces. The Protestant missions at first favoured Kingwana, but since the World War II have changed this policy in

[24] For details on the missionary policy regarding Swahili, see Whiteley, W. H.: *Swahili, the Rise of a National Language.* London, 1969, pp. 52—56 and passim; and Abdulaziz, M. H.: *Tanzania's National Language Policy and the Rise of Swahili Political Culture.* In: Whiteley, W. H. (Ed.): *Language Use ...*, pp. 162—164.

[25] For details, see Tucker, A. N.: *Orthographic Systems and Conventions in Sub-Saharan Africa.* In: Sebeok, T. A. (Ed.): Current Trends in Linguistics, Vol. 7 — *Linguistics in Sub-Saharan Africa.* The Hague, Mouton 1971, pp. 618—653.

[26] On the position of Kingwana, see Polomé, E.: *Cultural Languages and Contact Vernaculars in the Republic of the Congo.* Texas Studies in Literature and Language, *4*, pp. 499—511; and Ismagilova, R. N.: *Etnicheskie problemy sovremennoi tropicheskoi Afriki.* Moscow, 1973, pp. 299, 323.

favour of the East African standard, supported also by the Catholics. Much has been done in this respect by the Swedish Missions, while some others hesitated between the two. The endeavour to standardize has an unfavourable aspect of increasing the gap between the spoken and written language. The whole process, however, seems to have remained half-way. What is needed is a consistent state-guided policy aimed at an overall improvement and extension of education, which would facilitate a reasonable choice. The role of missionaries will doubtless continue to decrease. A Lumumbist politician is not alone to hold the opinion that "the missionaries are servants of God and the Church. They cannot, despite their good sentiments, teach a non-spiritual and non-moralist vocabulary, capable to awake the conscience of the oppressed".[27]

4

Another challenge emerged with the establishment of colonial rule. In German-dominated Tanganyika, Swahili was after some hesitations made an official medium of communication between the colonial administration and the population. The choice was facilitated by the availability of competent Swahili speaking personnel. The opponents of this option expressed, *inter alia*, an opinion that Swahili could one day become a rallying factor against the colonial rule and, accordingly, it would be wiser to divide the population by choosing at least two local vernaculars.[28] This fear was not groundless as was presently shown by the experience of the Maji Maji uprising against the German colonialism (1905—1907), in which Swahili served as a common communication medium for different mother-tongue speakers.[29]

As a language of administration, carried through traditional chiefs and feudal notables, Swahili could easily do with its hitherto vocabulary enriched already with Arabic terms developed for institutions of the Middle East. A handful of new borrowings and instances of semantic change were sufficient to make the language fully capable to serve as an efficient instrument of administration and orientation in new circumstances over a fairly long period. The number of surviving borrowings from German is incredibly low; the most useful is *shule* for school, whereas once so frequent *Kaisari*—Emperor has gone with the wind of political change. As an instance of semantic expansion, *boma* (originally just ramparts or any kind or raised structure for defensive purposes) has acquired the meaning of administrative office.

---

[27] Kashamura's paper on the Swahili in the Congo, in Table ronde..., Présence Africaine, p. 83.

[28] Cf. Struck, B.: *Die Einheitssprache Deutsch-Ostafrikas.* Koloniale Rundschau, Bd. XI, 4, 1921, pp. 164—196. See also the review of Whiteley, W. H.: *Swahili, the Rise...* by K. Legère in Z. für Phonetik, Sprachwiss. und Kommunikationsforsch., Bd. 25, Heft 6, Berlin, Akademie-Verlag 1972.

[29] Cf. Abdulaziz, M. H.: *Tanzania's National...* In: Whiteley, W. H. (Ed.): *Language Use...*, p. 164. It is not out of place to mention in this context that the theoretical journal of the Tanzanian youth movement is called Maji-Maji. It seems to play an important role in coining Swahili terms for the concepts of Marxism-Leninism.

The appearance of European immigrants — administrators, officers, settlers and others — amidst the African population made Swahili a medium of communication between different racial groups with an entirely different cultural background. On the part of Europeans the use of Swahili was usually viewed as a mark of their condescending attitude towards the natives and of social distance. The conversation usually did not go beyond everyday practical problems, most often within the master-servant relationship and, accordingly, did not make any noteworthy contributions to the lexical and conceptual fund of the language. Both German and English early textbooks of Swahili reveal something of the haughty mentality of the expected European learners of Swahili in the heyday period of colonialism.[30]

The development of Swahili as a medium of communication used also by Europeans, by Asians (Indians), brought to East Africa at first as railway workers, as well as by an inscreasing number of Africans with a different ethno-linguistic background, inevitable brought about a tendency for simplifications. It was in particular the complex system of noun-class concords that became most exposed to a spontaneous simplificatory treatment. The resultant form is known in varied shapes as *Kisetla* — the settlers' language, *Kivita* — the war language (used by troops of mixed origin), *kitchen Swahili* or, tin the most common form, *up-country Swahili.* In its structure it resembles other more or less pidginized Bantu lingua francas, such as *Fanagolo* (or *Cikabanga, Kitchen Kafir, Cilapalapa, Cilolo* or *Isikula*) spoken in South African industrial zones, *Town Bemba* (or *Cikopabeeluti*) spoken on the Zambian Copperbelt, or Zairian *simplified Lingala,* as used in the Army, or *Kituba (Kikongo véhiculaire, Kileta)* in its widely used popular form. A wider spread of the up-country Swahili was prevented by the coastal speakers' consciousness and pride of the traditional Swahili culture, seconded by the progress of education and periodical press. The up-country variety has remained limited only to simple unpretentious conversation, e.g. in safari tourism, while the written standard has never permitted its competition in serious printed texts. The use of up-country Swahili in broadcast programmes has always been frowned upon by conscientious speakers of good, standard Swahili, whose number has nowadays been increasing at an unprecedented speed.

If we look back once more to the early colonial days, the overall impression is that Swahili was competent enough to give a reasonable account of the contemporary life in developed countries of Europe. As an illustration from the 1890's we possess two nice Swahili descriptions of adventurous travels which their authors, Amur bin Nasur and Salim bin Abakari, undertook to Germany and Russia, respectively.[31] As

[30] As an example, see conversation articles and exercises in Seidel, A.: *Suaheli Konversations-Grammatik.* 2nd ed. Heidelberg, 1941, or Velten, C.: *Prosa und Poesie der Suaheli.* Berlin, 1907.

[31] Amur bin Nasur's account was published in Büttner, C. G.: *Anthologie aus der Suaheli-Litteratur.* Berlin, 1894. Salim bin Abakari's *Safari Yangu ya Urusi na ya Siberia,* published originally by C. Velten, is now also-accessible in Harries, L.: *Swahili Prose Texts.* London, OUP 1965, pp. 123—144.

regards their charming spontaneity and sincerity, both narratives can stand comparison with better known similar accounts compiled somewhat earlier by other Muslim visitors to the West: Rifāᶜa Rāfiᶜ at-Ṭahṭāwī in Arabic and the Qājārī Shāh Nāṣir ud-dīn in Persian. Both Swahili travellers can manage with an ordinary vocabulary of their language, supplementing it with just occasional local names of specific cultural or social institutions in a measure customary in all books of travel. However naive the accounts may appear to the modern reader, the authors obviously are not in the least embarrassed with what they see and describe it with their available linguistic means. This apparatus proved more or less sufficient for rough phenomenal–level description of realities of the capitalist industrial society. It would not, however, have been able to cope with a proper analytical understanding of the technical, economic and social processes within it, nor with the task to become instrumental in assuring their mastery.

5

The increased social interaction brought about by the spread of market economy, urbanization and other aspects of the enlarging scale of economic operations stimulated the diffusion of Swahili, while at the same time a complex of other, related factors operated a transforming effect on the language itself. The most important of them were the rise and development of the modern Swahili press and of guided standardization. As regards the educational system, the teaching of Swahili was for a long time dominated by either a missionary or a Muslim outlook and only gradually gave way to innovations rising through the channel of the journalese. Other mass media, in particular the radio, became important only after the World War II, especially with the fairly recent diffusion of cheap transistors.[32] Nowadays, their role in spreading modern terminology, concepts and consciousness even among the illiterate audience of remote districts cannot be overemphasized.

The first Swahili newspapers were started by Protestant missions. The U.M.C.A. founded *Msimulizi* in 1888 and *Habari za Mwezi* in 1895. In 1910 the German Protestant mission followed with a monthly *Pwani na Bara*. Their articles dealt with both religious and secular objects, even as distant to the African scene as information on the development of Zeppelins.[33] Catholic missionaries, in their turn, started another monthly *Rafiki Yangu*, which payed attention mostly to religion. In the further development only a small part of the periodical press has remained under the tutelage of the Church, but even there the expanding outlook of technical, social, economic, political and ideological modernity has struck deep roots. Such is, for

[32] The first broadcasting station in East Africa was started as early as 1927 in Kenya. It was, however, a private enterprise intended only for white settlers' entertainment. In the 1960's, the number of regular radio listeners in East Africa was estimated at over 80 % of the population.

[33] Whiteley, W. H.: *Swahili, the Rise*..., p. 60.

instance, the case of the Tanzanian Catholic *Kiongozi*. However, since the period between the two world wars, the principal initiative in developing journalism has passed to secular hands.

The colonial situation and dominating capitalist economy of the colonizers did not, however, fail to impose another form of guardianship by means of strong Press Associations established in Nairobi. Thus, the largest Swahili newspaper *Baraza* founded in 1939 and sold in all East African countries, as well as the once popular weekly *Tazama*, developed in close dependence on the East African Standard, while the rival Nation group (officially East African Newspapers Ltd., controlled by Aga Khan in some cooperation with Thompson) started the *Taifa Leo* and held half of the shares of the *Mwafrika*.[34] In the late colonial period Nairobi, with its great modern facilities, became the most important centre of Swahili journalism. In 1950's more Swahili newspapers were published in Kenya than in Tanganyika, three quarters of the Kenyan part being published in the capital. In 1962, on the eve of independence, the number of Kenya Swahili newspapers attained 27.[35]

In Tanganyika, where Swahili was the language of the country to a much greater extent than in Kenya, most papers were produced not in the capital but in the provinces. Their circulation was less spectacular but, at the same time, their language teemed less with borrowings from English, which were considered a matter-of-course procedure in the practice of the editorial staffs controlled by Standard or Nation. This may be a personal impression, derived from just a glance at a part of the ample mass of material, but worthy of further inquisitive attention. The expansion and adaptation of the conceptual wealth of Swahili decidedly vacillated near the intersection of both trends, i.e. to acquire conceptual possession of the modern world at any price, even that of mass infiltration of borrowings from English — and to absorb the expanding outlook into the language in a way that would not discriminate those of its users who do not understand English.

An important role was played by the standardizing organization which came into existence in 1930 and whose authority extended over all territories of the British East Africa. It was known as Inter-Territorial Language (Swahili) Committee, later on simply as East African Swahili Committee. After Tanzania's accession to independence its role was taken over, in 1964, by the Institute of Swahili Research, attached to the present-day University of Dar es Salaam. Besides this main standardizing body, a number of other organizations have been created with the objectives of protection, propagation and development of Swahili.[36]

---

[34] For details, see Ainslie, R.: *The Press in Africa*. London, 1966. Russian translation: Einsli, R.: *Pressa v Afrike*. Moscow, 1971, pp. 118—143.

[35] Whiteley, W. H.: *Swahili, the Rise*..., p. 67.

[36] The most important are: Tanzanian Governmental National Swahili Council (set up in 1967), *UKUTA. Chama cha usanifu wa Kiswahili na Ushairi* and *Jumuiya ya kustawisha Kiswahili*, all of them in Tanzania.

While these organizations looked after standardization and correctness of the language use, the press acted as a spearhead penetrating into all spheres of modern life, at home as well as anywhere in the world, which were yet unmapped by the Swahili inherited from past generations. A dependence on English models (sometimes coming out from the same editorial bureaus became evident in more than one way: in lexical borrowings and semantic shifts, in stylistic and minor grammatical changes and in general outlook.

As regards the lexical borrowings, a review of the press usage over the twenty years will show a pattern of progress from a loan in the original graphic form (e.g. *doctor, senator, insurance, youth league*) to a quasi-phonetic transcription according to Swahili spelling patterns (*daktari, seneta, insurensi, yusi ligi*) and, if possible, to further adaptation with the help of morphological formations (e.g. *udaktari* — medicine, *mkomunisti* — a communist). Since the 1960's, a trend has been growing to replace the loan-words altogether by home-made neologisms or semantic extensions and redefinitions.[37]

An interesting feature, which has not yet received scholarly attention, is the use of abbreviations. Most often the respective English abbreviation is used even for institutions whose name has a Swahili standard form, e.g. ILO — *Shirika la Kazi Ulimwenguni,* G.D.R. — *Jamhuri ya Kidemokrasi ya Ujerumani,* S.T.C. — *Shirika la Taifa la Biashara.*[38] Sometimes by coincidence the abbreviation may stand for both the full linguistic forms: U.W.T. — *Umoja wa Wanawake wa Tanzania,* Union of Women of Tanzania. Entirely Swahili abbreviations also occur: *S.L.P.* — P.O.B. Abbreviation words are much scarcer in Swahili than, say, in Russian or Indonesian. They may be based on English (MWADECO — Mwanza Development Company — *Shirika la Uchumi wa Maendeleo la Mwanza*) or on Swahili (BAKWATA — *Baraza Kuu la Waislamu wa Tanzania,* Supreme Council of Tanzanian Muslims). In the latter case, the traditionalist character of the institution by itself tends to exclude the use of English.

Semantic shifts have always been a significant feature of the conceptual adaptability of Swahili. Already Mrs. Ashton in her classical *Swahili Grammar* warns that the meaning of Swahili words should not be limited to that given in the book, "for Swahili words often cover a wide range of English words. To understand the root

[37] A student in my seminar has used the lexicostatistical method in order to check the frequency of English loan-words in Swahili newspaper articles from 1958 and 1973. Out of 500 words the ratio was 76 and 47, respectively. The sample, of course, is too small. Anyway, the articles in both cases dealt with much the same topic.

[38] The English abbreviation serves in advertizing as a basis for a different Swahili reading: *Saidia Tujenge Chetu,* i.e. "Help us to build ours". Similarly, a suggestion was made in 1964 to call the TANU party after its then expected merger with the Zanzibari ASP "United Tanzanian Political Union", by the respective abbreviation *UTU* (the Swahili word for humanity).

idea of any word ... (it is necessary) ... to use it in its wide application."[39] The polysemy of Swahili words was given careful lexicographical treatment in the equally classical F. Johnston's *Standard Swahili-English Dictionary.*[40] Still, the modern semantic changes often go beyond the explicative framework of existing dictionaries. As to their nature they may be metaphors (*ndege* — bird, now used as plane; *unyonyaji* abstract noun from the verb to suck — exploitation) or metonymy (*baraza* — place of public audience, now used also as assembly or council; *bao* — large board, goal at football). Some words have been made to serve such a wide semantic purpose that proper understanding is not always immediately at hand. The most notorious cases of *chama* (any kind of organization, including T.U.'s and political parties) and *uchumi* (economy, production, income) are widely discussed by W. Whiteley.[41] Another instance is *maendeleo* meaning both progress and development. It seems that the press tends to distinguish *nchi zinazoendelea* — developing countries from *nchi za maendeleo* or *nchi zipendeleazo maendeleo* — progressive countries, but the standard is not yet quite precise and it is possible to find instances of controversial evidence.

New words for abstract concepts are often imprinted with the stamp of their origin to such an extent that their equivalence with the corresponding term in English is only partial. In writing about campaigns against illiteracy the word *ujinga* (ignorance, stupidity) may be freely use. It would be, however, hardly usable in a survey of illiteracy percentage or in an article about Prophet Muhammad's lack of knowledge to write. Similarly, the word *bunge* borrowed into modern Swahili from Kinyamwezi in the meaning of parliament is used freely for African institutions, while the English "parliament" is often still used when writing about Britain.

The word *ujamaa* is mainly used to denote the semantic range of Tanzanian socialism, as expounded in the Arusha Declaration and Nyerere's writings, or of the Kenya brand of "African socialism". The European socialism is termed *usoshalisti* (or *usocialisti*). This difference is still maintained in some periodicals, although recently the semantic range of *ujamaa* seems to have expanded so as to comprehend also *ujamaa wa kisayansi* — scientific socialism.

The influence of the style of English newspapers on Swahili journalese is obvious, but so far neglected as an object of study. Specific grammatical features that appear in the Swahili press and are not usual in the spoken language have been pointed out by L. Harries.[42] The journalese abounds in figures of speech that obiously originated under the influence of English. In addition to them, there are many stylistic

[39] Ashton, E. O.: *Swahili Grammar.* London, 1942, p. 2.

[40] Published by Oxford University Press since 1939 in numerous editions.

[41] Whiteley, W. H.: *Swahili, the Rise...*, pp. 118—125.

[42] Harries, L.: *Some Grammatical Features of Recent Swahili Prose.* African Language Studies, *II,* 1961, pp. 37—41.

properties of the journalistic language which developed as a response to the needs of complex information in a concise and objective matter-of-fact form. They decidedly deserve further research. Our own statistical investigation has clearly shown the growing complexity of the Swahili sentence as a trend which carries especially the journalese far away from the traditional *enumerative Redeweise.* The ratio of paratactic and hypotactic constructions in modern journalistic Swahili lies in the proximity of the respective figures obtained for contemporary Arabic. Average class-length in the journalistic style has attained 7.8 against 3.35 in traditional oral narrative.[43]

On the whole, the Swahili press has been reflecting the rise of new social views and cultural values and helping to spread them in East African countries. The language has proved able to withstand the challenge of advanced concepts and style of English journalism, its former rival and master, and in changing social conditions has developed into a valuable tool for achieving a wide popular unity in the struggle for national liberation. Nowadays, it continues to play an equally significant role in the process of nation-building.

6

The most important factor in diffusion and development of Swahili has been the widely approved agreement to make it an instrument of popular aspirations as a workable modern language for the emerging nation. In Tanganyika this option was facilitated by a virtual absence of opposition against the language, unassociated with any of the major ethnic groups, whereas in Kenya tribalist inclinations until lately tended to dim the perspectives. The option has found its expression in an unprecedented activization of the modernizing endeavour of both the mass media and the organizations for language promotion. Tanzania, which on achieving independence, made Swahili her national language, has taken the lead.[44] Kenya made decisive steps only with the KANU decisions of 1969.[45]

Against the background of the settled relations between language and politics in Tanzania, the nation-wide use of Swahili is linked with the egalitarian-centred interpretation of culture. Literary and other cultural competitions of peasants and workers are actively encouraged. Swahili enjoys the prestige of a language of both

[43] Kropáček, L.: *Some Frequency of Contemporary Stylistic Trends in Swahili.* Archív orientální, *43,* 1975, No. 3, p. 234.

[44] For details on the language policy in Tanzania, see Abdulaziz, M. H.: *Tanzania's National...* In: Whiteley, W. H. (Ed.): *Language Use...*, pp. 160—178; and Legère, K.: *Remarks on the position of Swahili in the United Republic of Tanzania.* In: African Studies — Afrika-Studien, Dedicated to the 3rd International Congress of Africanists in Addis Abeba, publ. by the Sektion Afrika- und Nahostwissenschaften of the Karl-Marx-University in Leipzig, Berlin, 1973, pp. 329—347.

[45] For details, see Makano, R. S.: *Kanu plans to make Swahili official language launched,* publ. by Kenya Embassy in Moscow, April, 1970; and Afande's report to the Round Table on Swahili..., Présence Africaine, *78,* 1971, pp. 96—97.

the national culture and the democratic political programme of the past as well as for the future. The conceptual wealth of Swahili has enormously advanced from the days of anti-colonial struggle up to the present-day policy of non-capitalist development (*ujamaa*) and self-reliance (*kujitegemea*).[46]

Swahili was the main language of the political and professional organizations and movements of the colonial Tanganyika and has been adopted as an integrating instrument by the TANU Party. It is now firmly established at all levels of the Party activity from the basic "ten men" cells (*nyumba ya kumi kumi;* or *shina* — i.e. literally root, stem of a tree) through district and regional bodies (*matawi* — branches) and conferences up to the National Council (*Halmashauri Kuu ya Taifa*) and General Congress (*Mkutano Mkuu*). The same applies to the mass organizations belonging to the Party according to the provisions for collective membership (*uanachama wa vyama*). All main documents of the Party are worked out in Swahili: statutes (*Katiba ya TANU*),[47] the Arusha Declaration (*Azimio la Arusha*), Executive Committee's resolutions on the general line (*Mwongo*), such as the recent decisions on the development of agriculture *Siasa ni Kilimo* etc. English texts, if any, are just derived translations with occasional omissions.[48] Swahili is also the language of the Party daily *Uhuru* and the theoretical monthly on the ideology *Ujamaa,* published by the Party Kivukoni College in Dar es Salaam.

Although the leaders of the national democratic revolution stress the importance of Swahili as a significant feature of the common identity and socio-political programme in all spheres of the national life, English is still retained as the second official language with certain social functions, namely in higher education, higher judicature and international relations.[49] As a "language of specialized information"[50] it will probably continue to have all of its present-day importance even in the predictable future, though less so as a source of borrowings. In this function the derivative potential of Swahili and perhaps also lexical resources of other Bantu

[46] For Marxist-Leninist analysis of the *Ujamaa* concept, see especially *Nekapitalisticheskii put razvitiya stran Afriki.* Moscow, 1967, pp. 124—126; and *Ideinye techeniya v Tropicheskoi Afrike.* Moscow, 1969. I. I. Potekhin and other Soviet Africanists have labelled J. Nyerere's socialist concepts as "cooperative socialism".

[47] The statutes of TANU have never been translated into English. There exist altogether four Swahili editions. The indicated terminology is from the edition by Idara ya Uchunguzi wa Habari, Dar es Salaam, March 1967.

[48] Cf. Ovchinnikov, V. E.: *Znachenie istochnikov na suakhili dlya izucheniya istorii Natsionalnogo soyuza afrikantsev Tanganiki (TANU).* In: Tropicheskaya Afrika, Problemy istorii. Moscow, Nauka 1973, pp. 193—206.

[49] A detailed Marxist evaluation of the language situation in the country, including criticism of some extremist views, is given in Legère, K.: *Remarks on the position...* In: African Studies..., especially pp. 340, 341.

[50] The term is borrowed from the useful model of communication roles of languages in a multilingual society by E. A. Nida and W. L. Wonderley, see Whiteley, W. H.: *Language Use...*, pp. 57—74.

languages spoken in the country with needed semantic redefinitions may be expected to play a greater role than until now. The proposed move of the capital from Dar es Salaam to Dodoma in the interior of the country may strengthen this incipient trend.

It has been suggested that the Swahili *ujamaa* is probably a single example of a modern African ideology created and expressed originally in an African language.[51] Restated with more precision, it is so far the most elaborate but surely not the last instance of this kind. In spite of inevitable difficulties and occasional contradictions, the experience of the development of Swahili in Tanzania points to the importance of coordinated efforts on the part of public research, political and educational institutions and mass media. Their joint efficiency depends on the confidence and active support of the people in close relation to the development of political democracy and social progress.

[51] Alexandre, P.: *Some Linguistic Problems of Nation-Building in Negro Africa.* In: Fishman, J. A., Ferguson, Ch. A., Das Gupta, J. (Eds): *Language Problems...*, p. 125.

ASIAN AND AFRICAN STUDIES XIII, 1977

ON THE STUDY OF MODERN CHINESE LITERATURE OF 1920'S AND 1930'S. SOURCES, RESULTS, TENDENCIES

MARIÁN GÁLIK, Bratislava

This is an attempt briefly to outline the most important sources, the present and past results, present-day and perhaps also future tendencies in the study of new Chinese literature of the twenties and thirties. It may partially be used also in the study of the subsequent period.

1

My paper presented at *Nobel Symposia 32,* Stockholm, November 5—8, 1975, had a clear anti-positivist orientation. Anyone ever so little acquainted with modern Chinese literary scholarship might say: an attack on the windmills. It was not so much an attack on my part. Rather prevention. I should not like others, particularly young adepts of the sinological community, to simulate Don Quixote. I agree with those who are of the opinion that little has been done so far in the domain of study of modern Chinese literature. Frequently basic materials are beyond our ken because beyond our reach. My motto is: rather more than less scholarship, rather more than less knowledge — and to bring that eminent scholarship and deep knowledge into the service of literature as a vehicle of values. And this is an anti-positivist orientation!

When writing his *Preface* to *Chinese Fiction: A Bibliography of Books and Articles in Chinese and English,* Professor Tien-yi Li [1] felt obliged to admit that his certainly meritorious compilation "does not claim to be exhaustive bibliography, which is virtually impossible under the present circumstances".[1]

It is, of course, possible to criticize this work because it does not embody the very abundant Japanese and the rather abundant Russian- and French-language materials, but the principal stumbling block, though rarely explicitly stated is, that it is next to impossible to pursue any serious study without great difficulties in a world separated from the People's Republic of China where naturally the richest materials relating to Chinese literature are to be found. This book is a useful source of information for the study of modern Chinese fiction of 1920's and 1930's, too.

In my view we are relatively well informed about what is going on in the field of study of modern Chinese literature and also what went on in the recent past. Students interested in this field will not find any special difficulty in following at least two

[1] Tien-yi Li: *Chinese Fiction. A Bibliography of Books and Articles in Chinese and English.* New Haven 1968, p. v.

significant bulletins: *Modern China Studies International Bulletin,* a semiannual published since 1970 by The China Quarterly, Contemporary China Institute, School of Oriental and African Studies, London, which is devoted to current postgraduate research and published materials practically from the whole world. *Bulletin de Liaison Pour les Etudes Chinoises en Europe (News Letter for Chinese Studies in Europe)* was published from 1968 to 1973 by L'Ecole Pratique des Hautes Etudes — VIe Section, Centre de Documentation sur l'Extrême Orient, Paris, but a promise has been made that it will eventually reappear. From this point of view, much hope is being raised by the newly established (in February 1975) Association Europeenne pour les Etudes Chinoises (European Association for Chinese Studies).

Much well-deserved work also for sinology has been accomplished by F. J. Shulman. His book (compiled together with L. H. D. Gordon) entitled *Doctoral Dissertations on China. A Bibliography of Studies in Western Languages, 1945—1970,* Seattle and London, University of Washington Press 1972, has become an indispensable aid. New doctoral dissertation theses after 1970 were until recently listed in Asian Studies Professional Review, published by the Association for Asian Studies, Inc., 1 Lane Hall, University of Michigan, Ann Arbor. From winter 1975, the latter institution together with Xerox University Microfilms, 300 North Zeeb Road, Ann Arbor publishes a semiannual bibliography entitled Doctoral Dissertations on Asia: An Annotated Bibliographical Journal of Current International Research. Similarly as in the case of Asian Studies Professional Review (insofar as dissertations were concerned), the editor and compiler is F. J. Shulman. The first issue of this journal carries a brief but apt *Introduction* telling us what has already been done in this domain, and *Ordering Information* instructing how the interested reader might obtain the desired dissertation.

Every student of modern Chinese literature must further endeavour to keep track of contemporary book and journal production in this field. This requires continuous attention to be devoted to catalogues of the most diverse Oriental booksellers (Ad Orientem, Paragon, Harrassowitz, etc.) or publishers (numerous American universities, the Moscow Publishing House "Nauka", etc.). Valuable information is provide by specialized journals as Journal of Asian Studies, or Bulletin of the School of Oriental and African Studies, and also for instance, programmes of annual meetings of the Association for Asian Studies available for members of this association.

More detailed information about books (both recent and of earlier date) is provided by various book reviews published in orientalist journals, several of which devote much space to this section. I migh prove profitable to follow the book review section particularly in the Journal of Asian Studies, Bulletin of the School of Oriental and African Studies, T'oung-pao and Orientalistische Literaturzeitung which is wholly devoted to the book reviews. It would, however, not be advisable to rely too much on this. The circle of reviewers is relatively larger than that of authors. Not

every reviewer is an expert on the topics he reviews. Often, the greatest experts do not write reviews at all. Then a certain role may also be played by relations of the reviewer towards the author. Those devoting consistent attention to modern Chinese literature are not too numerous and are often bound by friendly ties. A considerable role may be played by differences in world outlook, or even by financial regards: books for review are sent as token copies, even the costliest ones. Of more importance are review articles, but as far as I am aware, these appear very rarely in our field. It would certainly be of profit if we came across them more frequently.

Of importance is also to follow currently published bibliographies comprising book or periodical productions, or both. An indispensable publication, easily accessible to the majority of sinologists, is *Bibliography of Asian Studies,* published annually by the Association for Asian Studies. The last of this Series for the year 1972 published in 1974 disappointedly represents a decline in both the quality and quantity against the standard of former years, even if it is "the result of an entirely new production processes" (*Preface* by L. A. Jacob). Another equally outstanding publication is *Saikin bunken mokuroku — Chugoku bungaku* [2] A Bibliography of Books and Articles on Chinese Literature Published in Japan, China and the West, in Chugoku bungakuho [3] Journal of Chinese literature Kyoto. Literary comparatists also in modern Chinese literature will draw considerable profit from *Annual Bibliography of the Yearbook of Comparative and General Literature*, published from 1950 to 1970. At the present time, bibliography relating also to Sino-Western literary relations is published by *MLA International Bibliography*, also easily accessible in big libraries.

In February 1975 appeared the first issue of *Modern Chinese Literature. Newsletter,* published by the Center for Chinese Studies, 12 Barrows Hall, Berkeley, Ca 94720. This is the first harbinger for students of modern Chinese literature bringing new and important information.

Much can be expected from *A Bibliography of Studies and Translations of Modern Chinese Literature*, 1918—1942, prepared by D. A. Gibbs and Yun-chen Li, published by Harvard University Press in 1975, 245 pp. I was not able to consult it before this article went to press.

Anyone anxious to pursue the study of modern Chinese literary context in relation to some other contexts, for example, the social one, will not be able to do without books, eventually studies devoted to these other contexts. Nor of course, without a knowledge of what had been done in the study of these contexts, and what is being done. Hence, it will be advisable to follow, for instance, the column Nauchnaya zhizn (Scientific Life) of the journal Narody Azii i Afriki (Peoples of Asia and Africa) which brings news of the intensive activity of Soviet sinologists, principally on conferences they organize. A great deal is written on the life of the sinological community in the U.S.A., but also elsewhere, in Asian Studies Professional Review — a journal already referred to.

Those interested in earlier scientific, popular-scientific or translation activity must look up the appropriate sections of Tung-li Yuan [4], *China in Western Literature. A Continuation of Cordier's Bibliotheca Sinica,* New Haven, Far Eastern Publications 1958, further *Bibliografiya Kitaya* (The Bibliography of China), Moscow 1960, by P. E. Skachkov, which is the excellent bibliography of Russian and Soviet production up to the year 1957. A very good aid for a study of periodical material in European languages is the *Index Sinicus. A Catalogue of Articles Relating to China in Periodicals and Other Collective Publications 1920—1955,* compiled by John Lust with the assistance of Werner Eichhorn and published by W. Heffer and Sons in Cambridge 1964. The follow-ups of these bibliographies are the various volumes of the very valuable *Revue Bibliographique de Sinologie,* founded mainly through the initiative efforts of Professor P. van der Loon, of which 10 volumes have now appeared covering the years 1955—1964; it is published by Mouton, Paris 1955—1973. These are numerous briefly annotated or reviewed publications, mainly Chinese and Japanese, but also Western. The evident drawback of RBS is the considerable time lag — the last numbers are available with a ten-year delay.

Modern China. A Research Guide, compiled by P. Berton and Eugene Wu, Stanford, Hoover Institution Press, 1967, otherwise excellent, is less informative on literature from the twenties and thirties. On the other hand, of considerable importance also for literary criticism and history is the comprehensive compilation by Ping-kuen Yu [5], *Chinese History: Index to Learned Periodicals,* vol. 2, 1905—1964, Cambridge, Harvard University 1970.

*

Chinese production as such, whether creative or critical, is less accessible both bibliographically and factually, than that just spoken so far.

Let us start with the latter which represents a certain degree of research work and was produced on the basis of a certain knowledge — exceptionally also of a very noteworthy investigation.

A very important and relatively accessible bibliographic handbook is *Wu-ssu shih-ch'i ch'i-k'an chieh-shao* [6] An Index to the Periodicals of the May Fourth Movement, 3 vols, Peking 1959, comprising the major and the less significant journals, literary and political, eventually other supplements to newspapers between approximately 1915 till 1928. It does not include Tung-fang tsa-chih [7] The Eastern Miscellany, which has a special index called *"Tung-fang tsa-chih" tsung-mu* [8]A Catalogue of "The Eastern Miscellany", Peking 1957.[2] Of interest are also the

[2] The Eastern Miscellany was reprinted in 1973. For more details about this important magazine, see Huang Liang-chi [9]; *Tung-fang tsa-chih k'an-hsing chi ch'i yin-hsiang-chih yen-chiu* [10] A Study on the Publication of Eastern Miscellany and Its Influence. Taipei 1969.

introductory articles to the different journals or supplements. They often prove a source of valuable information, even though they are not always scholarly objective.

Another, less accessible but equally indispensable aid to the investigators in the field of Chinese literature from the period of the twenties and thirties (and partly also of an earlier period) is *Wen-hsüeh lun-wen so-yin* [11] The Index of Chinese Literary Articles, 3 vols, Shanghai 1932—1935.

Of great help for the study of the twenties (up to 1927) is Chao Chia-pi [12] (Ed.), *Chung-kuo hsin wen-hsüeh ta-hsi* [13] Great Anthology of Modern Chinese Literature, and from the bibliographic and critical aspect especially the 10th volume of this anthology compiled by Ah Ying [14] (born 1905). The introductory studies to the various volumes by Hu Shih [15] (1891—1962) on the beginnings of modern Chinese literary theory, Cheng Chen-to [16] (1898—1958) on the beginnings of modern Chinese literary criticism and various literary discussions, further contributions by Mao Tun [17] (born 1896), Lu Hsün [18] (1881—1936), Chou Tso-jen [19] (1885—1966), Cheng Po-ch'i [20], Yü Ta-fu [21] (1898—1945), Hung Shen [22] (1894—1955) and Chu Tzu-ch'ing [23] (1898—1948) were outstanding for their time. Several of them, for instance, Hung Shen's on modern Chinese drama, or Chu Tzu-ch'ing's on modern Chinese poetry are still actual and stimulative.

A continuation of this anthology appeared in Hong Kong towards the end of the sixties under the title *Chung-kuo hsin wen-hsüeh ta-hsi hsü-pien* [24] Great Anthology of Modern Chinese Literature. A Continuation. It includes the period 1928—1937 and preserves the same number of volumes as the first anthology. One is struck at first glance by the most marked difference in both 10th volumes. While in the first anthology this was primarily a bibliographic volume of immense value to investigators, in the second one it is devoted to screen-plays, film scripts and scenarios. The introductory studies are weak and will not stand a comparison with studies by masters in the first anthology. The selection was not made with a view to the literary and artistic specificity. Otherwise it would be difficult to explain why Hung Shen is represented in 9th volume with three plays, while definitely better and the more significant Ts'ao Yü [25] (born 1910) by only one. The selection bears marks of having been done hastily, without adequate regard for all the accessible material. For example, in the case of Mao Tun, the editor took only *Mao Tun hsüan-chi* [26] The Selected Works of Mao Tun, Peking 1952 and included from it into the 2nd volume of the *Continuation* under analysis all the stories except one, in lieu of which he inserted another of Mao Tun's short stories from *Mao Tun tuan-p'ien hsiao-shuo chi* [27] A Selection from Mao Tun's Short Stories, Peking 1957.

Mention has been made of Ah Ying's desert in the compilation of the 10th volume of the Great Anthology of Modern Chinese Literature. Ah Ying, this time as Yüan Chi-ming [28], is the compiler of yet another important material publication

Chung-kuo hsin wen-t'an mi-lu [29] Secret Materials from Modern Chinese Literature, Shanghai 1933 and a collection of critical materials of a polemical character which he published as Chang Jo-ying [30] under the title *Chung-kuo hsin wen-hsüeh yün-tung shih tzu-liao* [31] Materials for the Study of the Modern Chinese Literary Movement, Shanghai 1934.

Three further works from the fifties came in the wake of Ah Ying's publication. The first of them is called *Chung-kuo hsien-tai wen-hsüeh lun-wen hsüan-chi* [32] Selected Essays in Modern Chinese Literature, Cheng-chou 1957. A richer selection is offered in the two-volume collection *Chung-kuo hsien-tai wen-hsüeh shih ts'an-k'ao tzu-liao* [33] Materials for the Study of Modern Chinese Literature, edited at the People's University, Peking 1959, but the best is one of the same name, published in three volumes and edited in Peking at the Teachers' Training College, also in 1959.

The history of modern Chinese literature teems with various *lun-chan* [34] polemics and *t'ao-lun* [35] discussions. The materials from some of these discussions or polemics have been collected and published in book form.

The first such compilation is Li Ho-lin's [36] *Chung-kuo wen-i lun-chan* [37] Literary Polemics in Chinese Literature, Shanghai 1929, comprising a large part of materials from the discussion on the proletarian and revolutionary literature. Unfortunately, most materials from the discussion on the proletarian and revolutionary literature from the year 1929, hence a crucial period in this discussion, are missing.

More material is to be found in the compilation by Su Wen [38] alias Tu Heng [39] entitled *Wen-i tzu-yu lun-pien chi* [40] Debates of the Freedom of Literature, 2nd ed., Shanghai 1932, where besides discussions bearing on the so-called *ti san chung wen-hsüeh* [41] literature of the third category, the freedom of literature, there are also contribution relating to mass literature.

Numerous articles from the discussion on the so-called nationalist literature were collected and published in book form in *Min-tsu wen-i lun-wen chi* [42] Essays in Nationalist Literature, Hang-chou 1934, and edited by Wu Yüan [43].

Materials from the discussion on national defence literature and mass literature for the national revolutionary struggle are concentrated in the publication *Kuo-fang wen-hsüeh lun-chan* [44] Polemics on National Defence Literature, October 1936. On the same place and in the same month another book was published: *Hsien chieh-tuan-ti wen-hsüeh lun-chan* [45] Chinese Literary Discussion at the Present Stage, edited by Lin Ts'ung [46], and presenting the same topic.[3]

Some articles from the beginning of the anti-Japanese War were collected by Lin

[3] Later the materials of this discussion were collected in Yang Chin-hao [47] (Ed.): *Hsien chieh-tuan-ti Chung-kuo wen-i wen-t'i* [48] Chinese Literary Problems at the Present Stage. Shanghai 1937.

Huan-p'ing [49] and published in *K'ang-chan wen-i p'iŋg-lun chi* [50] Critical Essays on Anti-Japanese Literature, Hong Kong 1939.[4]

Of the highest significance for further development of modern Chinese literature was probably the discussion on "national forms" which went on chiefly in the years 1939—1940 concurrently in Kuomintang China and in the Liberated Areas. The materials of this discussion which is closely related to Chinese literature of the twenties and thirties, but also to that of later periods, have not been studied as yet adequately, nor have they been thoroughly and consistently collected. The principal source material is Hu Feng [53] (Ed.), *Min-tsu hsing-shih t'ao-lun chi* [54] Polemics on National Forms, Ch'ung-ch'ing 1941. Hu Feng is himself the author of another book *Lun min-tsu hsing-shih wen-t'i* [55] On the Problems of National Forms, Ch'ung-ch'ing 1940.[5]

Besides these, there were relatively many other discussions that also had a certain impact on modern Chinese literature.

One of them, from the year 1933, relating to *Chuang-tzu* [56] (3rd cent. B. C.) and to *Wen-hsüan* [57] Literary Anthology, has been pointed out in my paper read at the *Nobel Symposia 32.*

Another was the discussion of the "literary legacy". It was one of the last expressions of the spirit of the May Fourth Movement literature prior to the period of active, but often also enforced sinicization of the new literature. In one of his essays from this discussion (from the year 1934) Mao Tun wrote some very significant sentences: "Literature has no frontiers. Under the term 'taking over of legacy', we must not see uniquely our imperfect one. We must learn more from the world literary giants. We must not be under the impression that 'legacy' is only that which is written in Chinese characters."[6]

Another discussion was carried out also in 1934 on the pages of Chinese periodical press. It referred to the question: why no great works are being produced in contemporary Chinese literature? It was initiated by the critic Cheng Po-ch'i in the newly-founded journal Ch'un-kuang yüeh-k'an [60] Spring Glare Monthly which appeared in March 1934. The third number of this journal was devoted entirely to this issue. This number which appeared in June 1934 carried 15 contributions to the discussion. It provoked Mao Tun to react directly in the July issue of the journal Wen-hsüeh [61] Literature, and Han Shih-heng [62] in the journal Hsien-tai [63] Les Contemporains. It would seem, though, that this discussion had a smaller response than the preceding one and its intensity cannot be compared to that of the

[4] In the same year a book entitled *K'ang-chan wen-i lun-chi* [57] Essays on Anti-Japanese Literature, edited by Lo Shih-wen [52] was published in Shanghai.

[5] It was reprinted at least in 1947 and 1950.

[6] Mao Tun: *Wo-men yu shen-mo i-ch'an* [58] What Legacy Do We Have? In: *Hua-hsia-tzu* [59] Chatterbox. Shanghai 1934, p. 180.

subsequent one which had for aim to get even with the question: *wen-yen* or *pai-hua* or *ta-chung yü* [64] the language of masses as the means of literary expression.

Insofar as I am aware, the material of this discussion was at least partially recorded in three publications: *Yü-wen lun-chan-ti hsien chieh-tuan* [65] Present Stage in the Discussion on Literary Language, edited by Wen I [66], Shanghai 1934. Two other books appeared the same year: *Wen-yen, pai-hua, ta-chung-hua lun-chan chi* [67] Collections of Essays on Wen-yen, Pai-hua and Language of Masses, edited by Jen Chung [68], and *Ta-chung yü-wen lun-chan* [69] Polemics on the Language of Masses, edited by Hsüan Hao-p'ing [70] and published in September 1934.[7]

Supplementary materials relating to questions of mass literature were edited by Ting-i [73] under the title *Ta-chung wen-i lun-chi* [74] Essays in Mass Literature, Peking 1951, with contributions by several important writers of the 1930's.

These discussions were carried on in part in the discussion columns of journals. Two columns are known in the journal Literature (published between 1933 and 1937): She-t'an [75] Discussion Tribune and also Wen-hsüeh lun-t'an [76] Discussion Tribune of the Literature Monthly. Another such journal was Les Contemporains (published between 1932 and 1934) with the columns: Wen-i tu-pai [77] Literary Monologues and Kan-hsiang, man-t'an, sui-pi [78] Impressions, Chats, Sketches.

It should be noted, and I should like to draw attention to that point, that many of these contributions were written under pseudonyms.

The study of pseudonyms, too, has not as yet been given due attention. The very meritorious work by Yüan Yung-chin [79], *Hsien-tai Chung-kuo tso-chia pi-ming lu* [80] A list of Pseudonyms of Modern Chinese Writers, Peking 1936 (reprinted by Daian, Tokyo 1968), or that by Austin C. W. Shu, *Modern Chinese Authors: A List of Pseudonyms*, Asian Studies Center, Ann Arbor 1969 (revised edition in 1971) are often insufficient and have to be supplemented through the common efforts of interested scholars.[8]

Among Chinese publications of importance to a study of modern Chinese literature, we must not omit Chang Ching-lu [85] (Ed.), *Chung-kuo hsien-tai ch'u-pan shih-liao* [86] Materials Relating to the History of Modern Chinese Publications. 4 vols. Peking 1954—1959, further, P'ing Hsin [87] (Ed.), *Ch'üan-kuo*

---

[7] On the last two discussions see *Pen nien-tu-ti Chung-kuo wen-i lun-chan* [71] Literary Discussions in Chinese Literature of This Year. In: *Erh-shi san nien-tu-ti Chung-kuo wen-i nien-chien* [72] 1934 China's Literary Yearbook. Shanghai 1936, pp. 12—16 and 18—22. The second volume of the book edited by Hsüan Hao-p'ing appeared also in 1934. The Library of the Oriental Institute in Prague owns a copy. A. Tagore in his book *Literary Debates in Modern China, 1918—1937*, Tokyo 1967, p. 237, mentions also the existence of a third volume.

[8] See also Ch'en Te-yüan [81]: *Ku-chin jen-wu pieh-ming so-yin* [82] An Index of Ancient and Modern Pseudonyms. Taipei 1969 with a bibliography of sources, and Ch'en Nai-kan [83]: *Shih-ming pieh-hao so-yin* [84] An Index of Pseudonyms and Names. Peking 1957.

tsung shu-mu [88] A Classified Catalogue of Chinese Books with Complete Index Translationum, Shanghai 1935. This is an excellent bibliographic handbook not only for critical, but also creative and translated literature. As regards the last mentioned, note should certainly be taken particularly of *Chin pai nien lai Chung-i Hsi-shu mu-lu* [89] Books Translated into Chinese During the Last Hundred Years, Taipei 1958, 328 pp. Those interested in the history of translated literature in China will certainly find some help in the very rare book entitled *Chung-kuo fan-i wen-hsüeh chien-shih* [90] A Short History of the Translated Literature, Peking 1960.

From bibliographic publications that appeared in Japan, note should be taken, e.g. of *Kendai Chugoku kankei Chukokugo bunken sogo mokuroku* [91] Union Catalogue of Chinese Literature on Modern China 1921—1965, compiled and published by the Institute of Asian Economic Affairs, Tokyo 1967—1969, and from source materials of import is especially *Chugoku kendai bungakushi shiryo* [92] Materials for the History of Modern Chinese Literature, Tokyo, Daian 1968. This last contains materials from the creative, but particularly critical sphere of Chinese proletarian literature and although far from complete, these materials are of immense value to those interested in this as yet unsurveyed period (this involves the years 1928—1932). A criticism of this compilatory work would require much space. But it is evident that with a little more patience and a greater effort to collect material more consistently, the work would have been of far greater benefit.

In fact, I am of the impression that almost all the material sources treated of in this section will have to be subjected to a certain revision and supplemented from the most diverse sources, insofar as these are accessible, especially from numerous journals.

A promising bibliographic aid to Chinese literary journals is the *Chung-kuo hsien-tai wen-hsüeh ch'i-k' an mu-lu* [93] A Catalogue of Modern Chinese Literary Periodicals, Shanghai 1961 or a reprint called *Contemporary Chinese Literature. A List of Periodicals 1902—1949,* available at the Association of Research Libraries, Washington, D. C. 20036. One will, however, often do with Lu Shen's [94], *Wan Ch'ing i-lai wen-hsüeh ch'i-k'an mu-lu chien-p'ien* [95] Draft of the Catalogue of Literary Journals Since the Late Ch'ing Dynasty, in Chang Ching-lu (Ed.),op. cit., vol. 4, pp. 510—583.

The journals referred to in the bibliographies just spoken of are, of course, ghost-journals to investigators unaware of their location. Recourse must then be had to bibliographies stating the location where they are deposited. The first such aid as regards Chinese journals in West European libraries was the meritorious work by Y. Hervouet, *Catalogue des Périodiques chinois dans les Bibliothèques d'Europe,* Mouton 1958, 101 pp. It was followed by a considerable richer bibliography of Chinese journals found in Japan called *Chugoku shimbun zasshi tsugo mokuroku* [96] A Cumulative Index of Chinese Journals, Tokyo, Toyo Bunko 1958, 170 pp., together with a 27-page supplement that appeared in 1961. A fairly exhaustive aid in

this respect for the libraries on the territory of Great Britain is a compilation entitled *Chinese Periodicals in British Libraries: Handlist No. 4* from the year 1972. Indispensable, however, will be found *A Bibliography of Chinese Newspapers and Periodicals in European Libraries,* prepared for a number of years by Susanne Ehrhart at the Contemporary China Institute, London. Holdings of the Bibliothèque Nationale, Paris, are in *Catalogue de Périodiques en Langue chinoise,* Paris 1972, 166 pp. Holdings of Australian libraries are in *Chinese Periodicals in the Libraries of the Australian National University, the University of Sydney and the University of Melbourne,* Canberra 1973, 195 pp.

In addition to the bibliographic materials referred to above, a relatively large number of various collections were published in China devoted to the study of the individual writers, or of several authors, or works, their biography or at least shorter biographic notes, the literary technique, poetics, literary theory, and so on. Many of these, if published prior to the year 1935, are bibliographically processed in *A Classified Catalogue of Current Chinese Books* mentioned above.

The second half of the twenties and the first half of the thirties were years of an unusual interest in modern literature — both Chinese and foreign. In the case of the latter the interest embraced also ancient (respectively pre-modern) literature. The above discussions on "literary legacy" and "great works" were not staged fortuitously, as attested to by the great interest in translated literature. In 1934 two periodicals were launched specializing in world literature : I-wen [97] Translations, published by the progressive Sheng-huo shu-tien [98] Life Publishers, and Shih-chieh wen-hsüeh [99] World Literature, published by Li-ming shu-chü [100] Dawn Publishers. Of these, I-wen belonged among the most outstanding literary journals of the period 1934—1937. Several publishing houses competed during these years in the edition of collections devoted to individual Chinese writers or the groups of writers. Thus, for example, Les Contemporains Publishing House published a few collections of essays devoted to the life and work of Kuo Mo-jo, Yü Ta-fu, Chang Tzu-p'ing [101] (1893—?) and Mao Tun. Kuang-hua [102] Kuang hua Publishing House published collections devoted to the life and work of Kuo Mo-jo, Yü Ta-fu, Wang Tu-ch'ing [103] (1898—1940), Mao Tun, on Ch'uang-tsao she [104] Creation Society and Chinese women writers. Pei-hsin [105] Pei-hsin Publishers published collections on the life and work of Lu Hsün, Chou Tso-jen, Ping Hsin [106] (born 1902) and other Chinese women writers.[9] Many of these essays are not good as the works of criticism but they are very interesting as the material for the study of modern Chinese intellectual history.

Of collections devoted to the literary technique, poetry, literary theory and criticism, the last are the most important. Very little attention from this aspect has

[9] A Classified Catalogue of Current Chinese Books, p. 374.

thus far been paid to T'ien Han [107] (born 1898), Chou Tso-jen, Ch'ien Hsing-ts'un [108] (alias Ah Ying mentioned above), Liang Shih-ch'iu [109] (born 1901) and none at all to Wang Tu-ch'ing, Cheng Chen-to, Han Shih-heng and several others.

The books after 1935 are not bibliographically annotated anywhere except in the *Quarterly Bulletin of Chenese Bibliography*, English Edition, Series I, Vols 1—4, Series II, Vols. 1—7, Peking 1934—1947 (reprinted in 1969).

To the students in the field of Chinese literature of 1920's and 1930's, we particularly recommend two collections from this period: *Tso-chia lun* [110] On Writers, Shanghai 1936, and Yao Nai-lin [111] (Ed.), *Hsien-tai tso-chia lun* [112] On Contemporary Writers, Shanghai 1937.

Modern Chinese literature has not been studied very much during the forties. A lively interest in the literature of the twenties and thirties appeared in China in the fifties and at the beginning of the sixties (up to about 1962).

An immense service was shown to students of modern Chinese literature by the staff and undergraduates of the Department of Chinese Literature at the Fukien Teachers' Training College who published two-wolume bibliography entitled *Chung-kuo hsien-tai wen-i tzu-liao ts'ung-k'an ti-i chi* [123] Collected Materials to A Bibliography of the Literary and Critical Works on Modern Chinese Writers, published in 1962 and 1963, and reprinted by Daian, Tokyo 1967. It embodies an abundant material on books, journals and newspapers. Its disadvantage is that it makes no mention of any other materials, for instance, from the more general questions of literary theory, poetry, genology, translated literature, studies of foreign literature, etc. Of some help may be two slender volumes *Wen-i tzu-liao so-yin* [114] Bibliography of Literary and Critical Material, Lan-chou 1957. Vol. I covers the period 1949—1954, and vol. II deals with the year 1955. But items relating to the twenties and thirties may also be found there.

Much attention was devoted to Lu Hsün, see the excellent bibliography by Shen P'eng-nien [115] *Lu Hsün yen-chiu tzu-liao pien-mu* [116] Bibliographical Materials for the Study of Lu Hsün, Peking 1958.[10] Ting Ching-t'ang [117] and Wen Tsao [118] compiled *Ch'ü Ch'iu-pai chu-i hsi-nien mu-lu* [119] A Chronological List of Works and Translations by Ch'ü Ch'iu-pai, Shanghai 1959. The same applies to Chiang Kuang-tz'u [120] (1901—1931). Ch'ü Kuang-hsi [121] compiled a very similar bibliography called *Chiang Kuang-tz'u chu-i hsi-nien mu-lu* [122] A Chronological List of Works and Translations by Chiang Kuang-tz'u, published in *Chung-kuo hsien-tai wen-i tzu-liao ts'ung-k-'an ti-i chi* [123] Collected Materials to Modern Chinese Literature, vol. 1, Shanghai 1962, pp. 167—184 (facsimile reprint by Daian is from 1966). Similar bibliographies were prepared also for the "Five

[10] This is the only existing and very reliable research guide to the study of the works and life of a modern Chinese writer. E.g. *Mao Dun — bio-bibliograficheskii ukazatel* (Mao Tun — A Bio-bibliographic Guide), by V. V. Kunin, Moscow 1958, is inadequate.

Martyrs", i.e. Hu Yeh-p'in [124], Jou Shih [125], Yin Fu [126], Feng K'eng [127] and Li Wei-sen [128], see their "chronological lists of works and translations" in *Tso-lien wu lieh-shih yen-chiu tzu-liao pien-mu* [129] Study Materials Devoted to the Lives and Works of Five Martyrs of the Left League, Shanghai 1961.[11]

For the generation of the fifties and of the beginning of the sixties the writers of 1920's and 1930's were the "writers of the old generation". The majority of articles and books written on the writers of this period are bibliographically processed in A Bibliography of the Literary and Critical Works on Modern Chinese Writers mentioned above. From this bibliography we learn that during the period 1949—1961 close to 1150 entries were devoted to Lu Hsün. He is followed by Mao Tse-tung with about 440 items, Ch'ü Ch'iu-pai with some 280 items, Kuo Mo-jo with less than 250 items and Mao Tun with over 120 items.

Alongside the above bibliographic aids and critical works, enhanced attention should also be devoted to the most diverse other materials which bring closer further aspects of the Chinese literary life of the twenties and thirties, make accessible items from the authors' lives, their creative experiences, the organization of the literary life (literary scene) *(wen-t'an)* [130], etc.

Here we should recommend the books by Chao Ching-shen [131], *Wen-jen chien-ying* [132] Silhouettes of Authors, Shanghai 1936, *Hai-shang chi* [133] Collected at the Sea, Shanghai 1946 and *Wen-t'an i chiu* [134] Old Recollections on the Literary Scene, Shanghai 1948, then Chi Lin's [135], *Chung-kuo tso-chia chien-ying* [136] Silhouettes of Modern Chinese Writers, Hong Kong 1958, Fang Ch'ing's [137], *Hsien-tai wen-t'an pai hsiang* [138] Sketches of Contemporary Chinese Writers, Hong Kong 1953, Hung T'u's [139], *Wen-t'an i hua* [140] The Secret Talks about the Literary Scene, Shanghai 1932. Of importance are the collections of essays by Ts'ao Chü-jen [141], e.g. *Wen-t'an wu shih nien* [142] Fifty Years of the Literary Scene, and others,[12] Chao Tsung's [145], *Wu-ssu wen-t'an tien-ti* [146] Trifles about the Literary Scene of the May Fourth Movement, Hong Kong 1964, Fu Tung-hua's [147] and Cheng Chen-to's (Eds), *Wo yü wen-hsüeh* [148] Literature and I, Shanghai 1934. For creative experience, see Lu Hsün et alii, *Ch'uang-tso-ti ching-yen* [149] Creative Experience, Shanghai, and the book edited by Ssu-ma Wen-sen [150] with a slightly different title: *Ch'uang-tso ching-yen* [151] Writers on Their Craft, Hong Kong 1948. Interesting materials could be found in the book *Wen-t'an shih liao* [152] Historical Materials of the Literary Arena, by Yang Chih-hua [153] et alii, Shanghai 1944,[13] or in *Tso-chia yü tso-p'in* [155] Writers and

[11] In Chang Ching-lu (Ed.): op. cit., vol. 3, there are bibliographies of this kind for Kuo Mo-jo, pp. 313—318 and Mao Tun, pp. 328—330.

[12] He published also *Wen-t'an san i* [143] Three Recollections on the Literary Scene, Hong Kong 1954, then *Shan-shui ssu-hsiang jen-wu* [144] Landscapes, Ideas and Personalities, Hong Kong 1956.

[13] In Ta-lien there was the book of the same title published at the same time. Editor: Yang I-ming [154].

Works, Shanghai 1957. There are always difficulties about the bibliographical data of many modern Chinese writers. Some help may be drawn from the book entitled *Chung-kuo hsien-tai tso-chia hsiao-chuan* [156] Short Biographies of Modern Chinese Writers, Shantung Teachers' Training College 1961, insofar it is accessible, the Yao Nai-lin's, *Chung-kuo wen-hsüeh-chia chuan-chi* [157] Bibliographical Notes on Chinese Writers, Shanghai 1933, Tso Shun-sheng's [158], *Chin san shih nien chien-wen tsa-chi* [159] Anecdotes of Modern Chinese Celebrities, Hong Kong 1951, then *Ming-chia chuan-chi* [160] The Lives of Famous Men, 2nd ed., Shanghai 1938 or T'ao K'ang-te [161] (Ed.), *Tzu-chuan-chih i chang* [162] One Chapter from My Life, Canton 1938. Very similar to the last two compilations is also Chang Yüeh-jui's [163], *Chin-jen chuan-chi wen-hsüan* [164] An Anthology of Modern Biography, Ch'ang-sha 1938. Some informations can be found also in Ying Tzu [165], *Chung-kuo hsin hsüeh-shu jen-wu chih* [166] Notes About Modern Chinese Scholars and Writers, Hong Kong 1956, then in *Jen-wu chung-chung* [167] Various About the Great Personalities, Shanghai 1943, and especially in the journal Jen-wu tsa-chih [168] Bibliographical Journal, which began to be published in Ch'ung-ch'ing in 1946, but seems to be unobtainable outside China. At least 5 volumes of it appeared. Of some interest are also the so-called "gossipy journals", like She-hui hsin-wen [169] Social News or Shang-hai chou-pao [170] Shanghai's Weekly from the thirties.[14]

Thus far, investigators paid little attention to diaries of modern Chinese writers. For example, *Lu Hsün jih-chi* [177] Lu Hsün's Diaries, 2 vols, Peking 1959, or *Ming-chia jih-chi* [178] The Diaries of Famous Men, Shanghai 1937, or Chün Sheng [179] Ed.), *Hsien-tai jih-chi wen-hsüan* [180] An Anthology of Contemporary Diary Literature, Shanghai 1937. A work still of importance to a study of the prehistory of modern Chinese literature is *Hu Shih liu-hsüeh jih-chi* [181] Hu Shih's Diary While Studying Abroad, 4 vols, Taipei 1959. Then there are *Chih-mo jih-chi* [182] Hsü Chih-mo's Diaries, Shanghai 1947, further well-known Yü Ta-fu's diaries,[15] or *Tang-tai nü tso-chia jih-chi* [185] Diaries of Contemporary Chinese Women Writers, Shanghai 1935, that have not been studied as yet.

The same may be applied, but in yet a larger measure, to letters of Chinese writers and their mutual correspondence. Some attention has been devoted to Lu Hsün's

---

[14] There are some other books of this kind, like Hsiao San [171] (Emi Hsiao), *Jen-wu chi-nien* [178] Personalities and Reminiscences, Peking 1954. For some men of letters of the twenties and thirties one can consult Chang Kuo-t'ao [173]: *Wo-ti hui-i* [174] My Memoirs, Hong Kong 1971, and his *The Rise of the Chinese Communist Party 1921—1927 and 1928—1938. Volume One and Two of the Autobiography of Chang Kuo-t'ao*, Lawrence, University Press of Kansas 1971—1972, and Ku Feng-ch'eng [175]: *Hsien-tai hsin-hsing tso-chia p'ing-chuan* [176] The Biographies of Contemporary Proletarian Writers, Shanghai 1933.

[15] Yü Ta-fu: *Jih-chi chiu-chung* [183] Nine Diaries, 3rd ed., Shanghai 1928, and *Ta-fu jih-chi chi* [184] Yü Ta-fu's Collected Diaries, Shanghai 1935.

correspondence collected in *Lu Hsün shu-chien* [186] Lu Hsün's Letters, 2 vols, Peking 1953, and also in *Lu Hsün ch'üan-chi* [187] The Complete Works of Lu Hsün, vols 9 and 10, Peking 1958, and in *Lu Hsün shu-chien p'u-i* [188] A Supplement to Lu Hsün's Letters, Shanghai 1952. Much interesting material is to be found in *Hsien-tai ming-jen shu-hsin* [189] The Letters of Famous Men, ed. by Chang Chün [190], Shanghai 1937, and K'ung Ling-ching [191] (Ed.), *Hsien-tai tso-chia shu-chien* [192] Letters of Modern Chinese Writers, Shanghai 1936.

We have not yet spoken of works devoted to a more widely conceived history of modern Chinese literature. The most comprehensive book on the subject as yet is that by Wang Yao [193], *Chung-kuo hsin wen-hsüeh shih-kao* [194] A Draft History of Modern Chinese Literature, 2 vols., Shanghai 1953. It deals also with the less significant authors and is a good aid as reference material. Another, less voluminous, but more elaborated is Liu Shou-sung's [195] book, *Chung-kuo hsin wen-hsüeh shih ch'u-kao* [196] An Outline of the History of Modern Chinese Literature, 2 vols, Peking 1957. A more concise treatise translated also into English is that by Ting Yi [73], *A Short History of Modern Chinese Literature*, Peking 1959 (the Chinese edition appeared in 1956).

To write a history of Chinese literature (old or modern) in the fifties was no easy task in China. The authors and their works were the objects of frequent, often very virulent attacks and criticism.[16] Hence, some of them remained unfinished, others never saw the light of day. We know only the first volumes of *Hsin wen-hsüeh shih-kang* [198] Outline of Modern Chinese Literature by Chang Pi-lai [199], Peking 1955, Sun Chung-t'ien [200] et alii, *Chung-kuo hsien-tai wen-hsüeh shih* [201] A History of Modern Chinese Literature, Ch'ang-ch'un 1957, and the originally broadly conceived history of modern Chinese literature of the same title written by the teachers and students of the Department of Chinese Literature at Fu-tan [202] University, Shanghai 1959. The book called *Chung-kuo hsien-tai wen-hsüeh shih kang-yao* [203] A Draft of the History of Modern Chinese Literature never appeared in normal print; only a short outline of the intended book appeared in the form "for internal use" only, in 1959.

From earlier books devoted to the literature of 1920's and 1930's, of particular help may be Wang Che-fu [204], *Chung-kuo hsin wen-hsüeh yün-tung shih* [205] History of Chinese New Literary Movement, Peking 1933 and Li Ho-lin, *Chin erh-shih nien Chung-kuo wen-i ssu-ch'ao lun* [206] Chinese Literary Mind of the Last Twenty Years, Ta-lien (first published in Shanghai in 1938) and its "continuation" after the criticism entitled: *Kuan-yü Chung-kuo hsien-tai wen-hsüeh* [207] On Modern Chinese Literature, Shanghai 1956. T'ien Ch'in's [208] *Chung-kuo hsi-chü yün-tung* [209] Chinese Dramatic Movement, Shanghai 1946, is an indispensable

[16] Wang Yao's criticism and his self-criticism can be found in a new edition of Wang Yao's book in Hong Kong 1972. See also his criticism in Wen-hsüeh yen-chiu [197] Literary Study, *3*, 1958, pp. 4—18.

tool for the study of modern Chinese drama of 1920's and 1930's. The parts from Lan Hai [210] (i.e. T'ien Chung-chi) [211], *Chung-kuo k'ang-chan wen-i shih* [212] History of Chinese Wartime Literature, Shanghai 1947, could be of some interest. Some notions may be obtained from the book by Li I-ming [213],*Chung-kuo hsin wen-hsüeh shih chiang-hua* [214] Discussions on Modern Chinese Literature, 2nd ed., Shanghai 1947, or from the book of the same title by Ts'ai I [215] which appeared in Shanghai in 1952. The same is valid for rare books of this kind like : Wu Wen-ch'i [216], *Hsin wen-hsüeh kai-yao* [217] An Outline of Modern Literature, Shanghai 1936, Ho I-hsien [218], *Tsui-chin erh shih nien Chung-kuo wen-hsüeh shih kang* [219] A History of Modern Chinese Literature During the Last Twenty Years, Canton 1936, Wang Feng-yüan [220], *Chung-kuo hsin wen-hsüeh yün-tung shu-p'ing* [221] On Modern Chinese Literary Movement, Shanghai 1935 or Ch'en Tzu-chan [222], *Tsui-chin san-shih nien Chung-kuo wen-hsüeh shih* [223] A History of Modern Chinese Literature During the Last Thirty Years, Shanghai 1934.[17] *Wen-i san shih nien* [225] Thirty Years of Literature, Hong Kong 1949, is a collection of essays of certain value for those who are interested in the so-called *fang-yen wen-hsüeh* [226] dialect literature.

From more recent editions we have the book called *Tso-lien shih-ch'i wu-ch'an chieh-chi ko-ming wen-hsüeh* [227] The Left League's Proletarian Revolutionary Literature, Nanking 1960, and a later yet, Collected Materials to Modern Chinese Literature, vols 1 and 2, mentioned above. This last collection proved to be the swan song insofar as the study of modern Chinese literature of the twenties and thirties is concerned. It was regarded as "black line" literature later and condemned.

From books published in Hong Kong we should mention at least *Chung-kuo hsien-tai wen-hsüeh shih* [228] A History of Contemporary Chinese Literature by Li Hui-ying [229] from the year 1970.

*

The creative production from the period spoken of here is bibliographically less satisfactorily processed than the theoretical or critical production. For books and minor works, one should turn to A Classified Catalogue of Chinese Books, further to An Index to the Periodicals of the May Fourth Movement, to the 10th vol. of the Great Anthology of Modern Chinese Literature and the *Quarterly Bulletin of Chinese Bibliography.*

When studying the works from this period written by authors who were still alive in the fifties or sixties, the wisest course would be to turn to the original texts. After 1949, the latter were often adjusted, along the stylistic but also ideological aspects.

[17] Ch'en Tzu-chan wrote also *Chung-kuo chin-tai wen-hsüeh-chih pien-ch'ien* [224] The Evolution of Modern Chinese Literature. Shanghai 1941.

O. Lang has shown how the works of Pa Chin [230] (born in 1904) had changed as regards his *Weltanschauung* and political views. They remained to be the works of Pa Chin, but ceased to be to a great measure the products of the literature between the two World Wars.

Students of modern Chinese literature of this period will probably have difficulties in searching for this literature, particularly of original texts and many of the works they will try to come by will appear to them to be ghost-books. The situation has greatly improved through the publication of several mammoth catalogues which have considerably facilitated research to scholars in all the spheres of sinology. An abundant source for the study of Chinese literature of this period is the *Library Catalogue of the School of Oriental and African Studies,* London 1963. Something similar may be said also of the *Library Catalogue of the Hoover Institute on War, Revolution and Peace,* Stanford 1969. Many interesting books may be found in the *Library Catalogue of East Asiatic Library, University of California,* Berkeley 1968, and in the *Catalogue of the Far Eastern Library, University of Chicago,* 1974. It will certainly prove a profitable venture to look up the *Far Eastern Languages Catalogue, Library of Congress,* Washington 1972—1973. And there certainly be much material at Harvard and other American Libraries. In Prague, there is the Library of the Oriental Institute of the Czechoslovak Academy of Sciences. Holdings of Japanese libraries are catalogued in the Union Catalogue of Chinese Literature on Modern China mentioned above.

From the aspect of materials, things are easier for those studying Lu Hsün. His works are accessible in several editions of *ch'üan-chi* [231] complete works, which always differ one from other to a certain extent. Attention should be paid particularly to such passages in Lu Hsün writings which might imply some impact on the socio-political situation in China of the fifties and sixties. This applies, for instance, to Lu Hsün's correspondence or his participation in literary discussions. A reliable work is that called *Hsü Chih-mo ch'üan-chi* [232] The Complete Works of Hsü Chih-mo, thanks to the efforts of Liang Shih-ch'iu and Chiang Fu-ts'ung [233] (born 1898) published in Taiwan in 1969. A considerably incomplete is that called *Ta-fu ch'üan-chi* [234] The Complete Works of Yü Ta-fu in 7 vols published between 1927—1933. Incomplete is probably *Wen I-to ch'üan-chi* [235] The Complete Works of Wen I-to, published in Shanghai in 1948.

Relatively easily accessible are materials for a study of the work of Chu Tzu-ch'ing who has got his *wen-chi* [236] collected works, published in Peking in 1953, or Ch'ü Ch'iu-pai, whose collected works were published in 1953—1954. Others, for the most part living authors, had to wait for their *wen-chi* until the close of the fifties. 17 volumes of *wen-chi* went to Kuo Mo-jo, 14 to Pa Chin, 10 to Mao Tun. Others had to be satisfied with less: Hung Shen with 4, Yeh Sheng-t'ao [237] (born 1893) with 3 and Cheng Chen-to with 2. There were plans to publish the *wen-chi* of other authors, as told to me by Pa Jen [238] (Wang Jen-shu) [239] during my visit at Jen-min

wen-hsüeh ch'u-pan-she [240] People's Literature Publishing House in spring of 1960, but they were never accomplished. In the case of these *wen-chi* (published after 1956), as also the various *hsüan-chi* [241] selected works of then living authors, critical attention should be devoted to textual deviations.

Selected works used to be a very common form of making the works of Chinese writers of the twenties and thirties readily accessible. Before 1949, they appeared in various series, of which the best known is one of 20 volumes published by Wan-hsiang shu-wu [242] in Shanghai in the mid-thirties. After 1949 there were two series published first by K'ai-ming shu-tien [243] K'ai-ming Publishing House, and later by People's Literature Publishing House.

The word *hsüan-chi* must not deceive us. As a rule, it does not or need not imply representative works — not to mention that *hsüan-chi* with a few exceptions never include extensive works.

Generally, every scholar will endeavour to come by original works from the twenties and thirties. He may look for them in the various catalogues, libraries, collections or journals according to diverse keys or clues, for example, according to various series, literary societies, genres, movements, etc. He will, however, most often look for them according to the authors and here he will be greatly aided by J. Schyns' book, *1500 Modern Chinese Novels and Plays,* Peking 1948. This is a book written in a Chinese environment on the campus of the former Fu-jen [244] University, which possessed very abundant source materials for a study of Chinese literature of the twenties and thirties.

There are some special collections for the study of creative Chinese literature of this period. A few of them were prepared by the members of the Department of Chinese Language and Literature at the Shantung Teachers' Training College in Tsinan as a series of the so-called *yen-chiu tzu-liao hui-pien* [245] materials devoted to the lives and works of the following writers: Kuo Mo-jo, Mao Tun, Pa Chin, Lao She [246] (1899—1966), Ts'ao Yü, and some others of the later period. It is a pity that probably the great majority of them are unobtainable outside the People's Republic of China.

A few collections were devoted also to the genological problems of modern Chinese literature. Very important is one devoted to drama: T'ien Han et alii, *Chung-kuo hua-chü yün-tung wu-shih nien shih-liao chi* [247] A Collection of Materials for the Study of the Modern Chinese Dramatic Movement, 2 vols, Peking 1958. Very rare is also a valuable compilation edited by Hung Ch'iu [248], *Hsien-tai shih-ko lun-wen hsüan* [249] A Selection of Essays in Modern Poetry, vol. 1, Hu-chou 1935, vol. 2, Shanghai 1936. The same we can assert about *Hsiao-shuo t'ung-lun* [250] Theory of Fiction, Shanghai 1925, with the contributions from Liang Ch'i-ch'ao [251] (1873—1929) up to Mao Tun on the problems concerned with the genological aspect of novel and short story especially in China around the May Fourth Movement.

2

After the year 1963, during the so-called Great Proletarian Cultural Revolution and later, interest in the literature of 1920's and 1930's completely disappeared among the literary scholars in China, barring of course a superficial but destructive criticism.

During the fifties and before, modern Chinese literature was studied primarily in China itself and to a certain extent also in Japan and the USSR. In the sixties, its study was practically discontinued in China and was followed in Japan, the U.S.S.R. Czechoslovakia, Hungary, G.D.R. and became intensified also in Western Europe, and in an unusual measure in the U.S.A.

In this section I shall not deal with Japan (for I am not adequately familiar with the materials) nor with what has been done in this field in Czechoslovakia, Hungary, G.D.R. and Poland. I shall attempt to analyse and partly also to evaluate what has been achieved in this field in the U.S.S.R., Western Europe, the U.S.A. and elsewhere.

Let me begin with the U.S.S.R. which certainly holds the time priority insofar as this type of study is concerned. My task is easiest in outlining the study of modern Chinese poetry. I shall take note only of the major or more significant works. V.T. Sukhorukov has written several studies and one book on Wen I-to,[18] S.D. Markova studied the poetical works of Kuo Mo-jo[19] and N.F. Matkov the life and works of the proletarian poet Yin Fu.[20] V.V. Petrov published already in 1954 a booklet on the outstanding poet Ai Ch'ing [252] (born in 1910).[21] The peak in Soviet and probably also in the world-wide efforts to know Chinese poetry of the twenties and thirties is given by the very impressive work by L.E. Cherkassky entitled *Novaya kitaiskaya poeziya. 20—30 gody* (New Chinese Poetry of the 1920's and 1930's), Moscow 1972.

In the domain of modern Chinese fiction, the greatest advances in the U.S.S.R. were achieved towards the end of the fifties and the beginning of the sixties. During that time the best works on Lu Hsün were written and for the most part also published. The first remarkable work of this type was V.F. Sorokin's book *Formirovanie mirovozzreniya Lu Sinya* (The Formation of Lu Hsün's World View), Moscow 1958. The most comprehensive, however, is the very thoroughly processed

[18] *Ven I-do. Zhizn i poeticheskoe tvorchestvo* (Wen I-to. The Life and Poetic Creation). Moscow 1968.

[19] *Poeticheskoe tvorchestvo Go Mo-zho* (Poetic Creation of Kuo Mo-jo) Moscow 1961.

[20] *In Fu — pevets kitaiskoi revolyutsii* (Yin Fu — the Singer of Chinese Revolution). Moscow 1962.

[21] *Ai Tsin. Kritiko-biograficheskii ocherk* (Ai Ch'ing. A Critical and Biographical Outline). Moscow 1954.

monograph by L. D. Pozdneeva, *Lu Sin (1881—1936). Zhizn i tvorchestvo* (Lu Hsün. The Life and Work), Moscow 1959. Of great merit and often pioneering are two further studies: V. V. Petrov's *Lu Sin. Ocherk zhizni i tvorchestva* (Lu Hsün. An Outline of His Life and Work), Moscow 1960, and V.I. Semanov's *Lu Sin i jego predshestvenniki* (Lu Hsün and His Forerunners), Moscow 1967.[22] A remarkable monograph on Mao Tun's life and work was written by V. F. Sorokin under the title *Tvorcheskii put Mao Dunya* (Mao Tun's Creative Road), Moscow 1962. M.E. Shneider wrote about the life and work of Ch'ü Ch'iu-pai in his book *Tvorcheskii put Tsyui Tsyu-bo* (Creative Road of Ch'ü Ch'iu-pai), Moscow 1964. A.A. Antipovsky wrote the work *Rannee tvorchestvo Lao She* (Early Creative Works of Lao She), Moscow 1964. The life and work of Yü Ta-fu together with an analysis of the activity of the Creation Society may be found in the monograph by V.S. Adjimamudova, *Yui Da-fu i literaturnoe obshchestvo Tvorchestvo* (Yü Ta-fu and Creation Society), Moscow 1971.

Similarly as everywhere else in the world, so also in the U.S.S.R. the least attention has been devoted as yet to study of modern Chinese drama.[23]

With the exception of one single chapter, the major part of the book *Kitaiskaya literatura* by N.T. Fedorenko, Moscow 1956, is devoted to the literature of the twenties and thirties. Likewise the greater part of Fedorenko's previous book called *Ocherki sovremennoi kitaiskoi literatury* (An Outline of Chinese Contemporary Literature), Moscow 1953, deals with this period. The literary historian will find of interest also the portraits of modern Chinese men of letters in yet another of Fedorenko's books, *Kitaiskie zapisi* (Chinese Notes), Moscow 1955, and several studies from his latest book entitled *Problemy issledovaniya kitaiskoi literatury* (Problems in the Study of Chinese Literature), Moscow 1974.[24]

In Western Europe from this period the most studied author was also Lu Hsün.

---

[22] On Soviet works of Lu Hsün, cf. Alber, J.: *Soviet Criticism of Lu Hsün (1881—1966)*, 399 pp. Unpublished Ph.D. thesis (Bloomington, 1971).

[23] Noteworthy are some articles, e.g. Sorokin, V. F.: *Osnovnye etapy razvitiya dramaticheskogo teatra v Kitae* (Basic Stages of the Development of Modern Theatre in China). In: *Voprosy kulturnoi revolyutsii v KNR* (On the Questions of Cultural Revolution in the People's Republic of China). Moscow 1960, pp. 251—270, where also the twenties and thirties are discussed, then Serova, S. A.: *Teatralnye kontseptsii perioda "4 maya"* (The Concepts of Dramatic Art of the May Fourth Movement Period), in: *Dvizhenie "4 maya"* (The May Fourth Movement), Moscow 1971, pp. 269—284; Maltseva, E.: *"Teatralnaya assotsiatsiya" i Khun Shen* ("Theatre Association" and Hung Shen), in: *Literatura i folklor narodov Vostoka* (Literature and Folklore of Oriental Peoples), Moscow 1967, pp. 207—216, and Nikolskaya, L. A.: *Dramaturgiya Tian Khanya. 30-e gody* (T'ien Han's Plays in the Thirties), in: *Teoreticheskie problemy izucheniya literatur Dalnego Vostoka* (Theoretical Problems of Study of Far Eastern Literatures), Moscow 1974, pp. 161—170.

[24] Modern Chinese literature of the twenties and thirties was also treated of in Sorokin, V. F. and Eidlin, L. Z.: *Kitaiskaya literatura. Kratkii ocherk* (Chinese Literature. A Short Outline). Moscow 1962, pp. 111—170.

The work by Huang Sung-k'ang, *Lu Hsün and the New Culture Movement of Modern China*, Amsterdam 1957, is well known. In 1959 a book by Jef Last came out, *Lu Hsün. Dichter und Idol*, and the well-known study by J. Chinnery, *The Influence of Western Literature on Lu Xun's "Diary of Madman"*.[25] S. M. Carletti devoted her study to Lu Hsün's correspondence.[26]

The book by D.E. Pollard *A Chinese Look at Literature. The Literary Values of Chou Tso-jen in Relation to the Tradition*, came as a result of many years of study and was published in London in 1973. Another book analysing the life and work of the same writer was written by Ernst Wolff, an American sinologist of German extraction, and was entitled simply *Chou Tso-jen* (New York 1971). A successful though rather brief effort has been devoted to the modern Chinese aesthetician Chu Kuang-ch'ien [253] (born 1898) by the Italian sinologist M. Sabattini.[27] Among all the Western sinologists Michelle Loi devoted the greatest efforts to the study of the Chinese poetry of the twenties and thirties.[28] Her countryman Jean Monsterleet was one of the very first European to show interest in Chinese literature of this period. His book *Sommets de la littérature chinoise contemporaine* has even been translated into Chinese and published in Hong Kong.[29] Mention should also be made of I. Eber who began with a study of the work of Hu Shih and of late has been investigating the literatures of the so-called small and oppressed nations *(jo hsiao min-tsu)* [255] insofar as they have been translated into Chinese and are there dealt with.[30]

Outside Europe and America, Chinese poetry and literary criticism were dealt with by Bonnie S. McDougall in her book *The Introduction of Western Literary Theories into China, 1919—1925*, Tokyo 1971, and in the one which appeared in Australia under the title *Paths and Dreams. The Early Poetry and Prose of Ho Ch'i-fang*.[31] In addition, Professor A. R. Davis of the University of Sydney is engaged at least partly on a study of the "prehistory" of this literature. Of interest are

---

[25] Bulletin of the School of Oriental and African Studies, *XII*, 1959, pp. 309—322.

[26] Carletti, S. M.: *La Correspondance de Lu Xun*. In: *Papers of the XIX International Congress of Chinese Studies*. Bochum 1968, pp. 111—121, and *L'epistolario de Lu Xun*, Rivista degli studi orientali, *43*, No. 1, 1968, pp. 73—117.

[27] He published two articles: *The Concept of "Aesthetic Experience" in the Theory of Chu Kuang-ch'ien*, in: *Papers Presented to the XXI International Congress of Chinese Studies*. Rome — Naples 1971, pp. 204—211, and *"Crocianism" in Chu Kuang-ch'ien's Wen-i hsin-li-hsüeh*, East and West, New Series, *20*, Nos 1 and 2, 1970, pp. 1—20.

[28] *Roseaux sur le mur. Les Poètes occidentalistes chinois 1919—1949*. Paris, Gallimard 1971, 609 pp., and *Dai Wangshu e la scuola "gallicizzante" dei poeti occidentalisti cinesi*, Cina, *11*, 1974, pp. 68—101.

[29] Translated into Chinese under the title *Hsin wen-hsüeh chien-shih* [254] A Short History of Modern Chinese literature. Hong Kong 1953.

[30] Eber, I.: *Yiddish Literature and the Literary Revolution in Modern China*, Judaism, *16*, 1967, pp. 42—59, and *Translation Literature in Modern China: the Yiddish Author and His Tale*, Asian and African Studies (Jerusalem), *8*, No. 3, 1972, pp. 291—314.

his articles: *China's Entry into World Literature,*[32] and *Out of Uncle Tom's Cabin, Tokyo 1907: A Preliminary Look at the Beginning of Spoken Drama in China.*[33] From among sinologists of Indian origin two authors contributed to a knowledge of modern Chinese literature: Amitendranath Tagore by his book *Literary Debates in Modern China, 1918—1937,* Tokyo 1967, and Ranbir Vohra by his book *Lao She and the Chinese Revolution,* Harvard University Press 1974.

Several important publications came out in the U.S.A. in the sixties that found an echo and are usually works of deep scholarship. The first to come up was Chow Tse-tsung [256] who by his very impressive work *The May Fourth Movement. Intellectual Revolution in Modern China,* Harvard University Press 1960, and *Research Guide to the May Fourth Movement,* ibid. 1963, set up the foundations for a study of the period around the May Fourth Movement. He was closely followed by the Hsia brothers. The first to draw attention was the younger one, C. T. Hsia by his book *A History of Modern Chinese Fiction, 1917—1957,* New Haven 1961 (reprinted with some changes in 1971). The elder one, the late T. A. Hsia wrote several studies, some of them appeared after his death under the title *The Gate of Darkness. Studies on the Leftist Literary Movement in China,* Seattle and London 1968. But the anticommunist attitude often mars the impression from their excellent contribution to a study of modern Chinese literature. The book by Olga Lang *Pa Chin and His Writings. Chinese Youth Between Two Generations,* Harvard University Press 1967, will probably long remain an unmatched piece of scholarship insofar as this outstanding figure of modern Chinese literature is concerned. Two further books were conceived and published at Harvard: *Kuo Mo-jo. The Early Years,* by David T. Roy in 1971 and *The Romantic Generation of Modern Chinese Writers,* by Leo Ou-fan Lee in 1973.

The majority of the books referred to here, were written on the basis of the dissertation theses. Many of these doctoral dissertations or M. A. theses never came out in print. This might be said, for instance, of practically all those that were written in the West on Lu Hsün, by Harriet C. Mills (Columbia, 1963), William Schultz (Seattle, 1955) or Pearl-hsia Chen (Chicago, 1953). The same applies to the noteworthy M. A. thesis by Angela Castro entitled *Four Early Essays of Lu Hsün* (School of Oriental and African Studies, 1968). The only exception known to me is the work by Huang Sung-k'ang referred to above. The next to enjoy the greatest attention after Lu Hsün among Western sinologists was Shen Ts'ung-wen [257] (born 1902) to whom two doctoral dissertations were devoted by William L. MacDonald (Seattle, 1970) and Anthony J. Prince (Sydney, 1966). Only one book

[31] Published in 1976 by University of Queensland Press, St. Lucia, Queensland, 244 pp.

[32] The Journal of the Oriental Society of Australia, *5,* Nos 1 and 2, 1967, pp. 43—50.

[33] Ibid., *6,* Nos 1 and 2, 1968—1969, pp. 33—49.

was published about him, by Nieh Hua-ling, *Shen Ts'ung-wen,* New York 1972.

An object of a special study at the Indiana University, Bloomington, was the work of Ts'ao Yü. The most important results are two books: one by Joseph S. M. Lau, *Ts'ao Yü, The Reluctant Disciple of Chekhov and O'Neill,* Hong Kong 1970 and the other by John Y. H. Hu, *Ts'ao Yü,* New York 1972. Professor Wu-chi Liu [258] was engaged on a study of the "prehistory" of modern Chinese literature. His book *Su Man-shu* appeared in New York the same year.

We shall refrain here from referring to dissertations in progress, for in our research we could hardly take support in them and moreover, they are not always a promise for the future.

3

The majority of the works that have been or are being written are of a monograph character and are devoted to the life and work of a single writer or some part of his work. Historical works of a wider design and conception are rare (Fedorenko, C. T. Hsia, Cherkassky, McDougall). The greatest share of attention goes to the creative part, far less to the critical or theoretical. It hardly needs stressing that all these treatises are now part of the literary history. Their authors may be said to write them as part of the national Chinese literature and less as part of the world literature by the methods of comparative literature. Striking exceptions are the studies referred to above on Ts'ao Yü and some other papers originating from the Bloomington center of comparative literature.[34] These efforts, however, are not quite unique. Since 1960 already, sinologists in the U.S.S.R. together with other orientalists have been engaged on comparative studies together with other Soviet literary scholars.[35] We know also of the endeavours of Association Internationale de Littérature Comparée

[34] Chen, David Y.: *The Hairy Ape and the Peking Man: Two Types of Primitivism in Modern Society.* Yearbook of Comparative and General Literature, *XV,* 1966, pp. 214–220, then *Trilogy of Ts'ao Yü and Western Drama,* in: Frenz, Horst (Ed.): *Asia and Humanities.* Bloomington, Indiana University Press 1959, pp. 26—37, and *Two Chinese Adaptations of Eugene O' Neill's The Emperor Jones,* in: Modern Drama. *IX,* February 1967, pp. 431—439.

[35] Soviet sinologists read their papers at the first great All-Union Soviet conference on comparative literature in January 1960. See *Vzaimosvyazi i vzaimodeistvie natsionalnykh literatur* (The Mutual Relations and Mutual Impact of National Literatures), Moscow 1961. But there were no contributions concerned with modern Chinese literature of the twenties and thirties. Some Soviet scholars devoted their studies to comparative aspects of this literature after 1960. E.g. Sukhorukov, V.: *Natsionalnye traditsii i zapadnye vliyaniya v tvorchestve Ven I-do* (National Traditions and Western Influence in the Work of Wen I-to), in: Literature and Folklore of Oriental Countries, pp. 217—233 or Cherkassky, L. E.: *Novaya poeziya Kitaya i zapadnaya literatura* (New Chinese Poetry and Western Literature), in: The May Fourth Movement. Moscow 1971, pp. 252—261. Especially much has been written on the reception of the Russian and Soviet literature in China by M. E. Shneider and L. E. Cherkassky.

(International Comparative Literature Association) to bring in orientalists into the work on the field of literary connections (or relations) between the Orient and the Occident. At the AILC/ICLA Eighth Congress organized by the Hungarian Academy of Sciences in Budapest on August 12—17, 1976, one of the three main topics was devoted to the problem of the twentieth century relations between literatures originating in different cultures, the emergence of new national literatures and their role in the evolution of world literature. Superfluous to stress that by these literatures are primarily meant the modern literatures of Asia and Africa. In recent years, Research Conferences on Comparative East Asian Literatures have begun to be organized, the first such was held in March 1973 in Bloomington.

Modern Chinese literature of the twenties and thirties can hardly be imagined without the impact of Japanese, European and American literature and without the domestic response.[36] Comparative studies are then an organic part of a knowledge of this literature. In my view, comparative literary studies represent one of the tendencies along which a study of modern Chinese literature of the period under review should in future proceed. We should, of course, not forget national literary studies either, and efforts should be made at working out solid monograph works. Essentially, two marked trends have been outlined here.

The third one along which the study of modern Chinese literature of the twenties and thirties proceeds, is the sociological tendency. The most striking specimen is O. Lang's book mentioned above. According to Lang "it is gradually becoming an accepted view that creative literature, especially realistic novels, short stories and plays, provides an excellent approach to social history. A creative writer, a man of genius endowed with great power of observation and intuition, has the ability to portray the essential, the typical, in the men around him. No other source can provide a better description of the average man as well as the leading figures of a given society, of their attitude toward its political and social system and moral code, of their way of life and their ideals".[37]

To this we can only add that words like "creative writer" or "man of genius" imply values precious not only to the social historian, but also the literary scholar, to every reader of this literature. Literature may be studied as a source for social history, but it would be of profit to devote more effort to a knowledge of literature as a source of the aesthetic and other values.

In my view, it would be preferable if more Marxist studies of modern Chinese

[36] The translation work even for 1920's and 1930's has been discussed in the booklet by Wolfgang Bauer entitled *Western Literature and Translation Work in Communist China*, Frankfurt/Main—Berlin, Alfred Metzner Verlag 1964, and in Levenson, Joseph R.: *Revolution and Cosmopolitanism. The Western Stage and Chinese Stages*, Berkeley — Los Angeles—London, University of California Press 1971, where the prefaces to the translated dramas (from European languages into Chinese) are analysed.

[37] Lang, O.: op. cit., p. 1.

literature with strong axiological tendencies could be produced in the future. Literature produces values purposefully, literary scholars ought to investigate them purposefully, too. Part of my contribution to *Nobel Symposia 32* was concerned precisely with this issue and certain possibilities of such a study have been pointed out there.

More attention will have to be devoted to questions of modern Chinese literary theory and criticism. Literary theory and criticism in China have had and still have a greater significance than in modern Europe or America. They might perhaps bear comparison with their significance in old Russia, particularly in the second half of the 19th century. Let us note what significance Mao Tse-tung used to ascribe to theoretical and critical (of course, also creative) practice, beginning with his first début which had a marked impact on literature (1938) until his last literary and critical remarks in September 1975, concerned *inter alia* with the novel *Shui-hu* [259] *Water Margin.*[38] The relationship between literature and social practice in China is far more powerful than we are used to in Europe. Literary criticism and literary theory of various periods betray what the authors or critics thought about the work we have to analyse. The work may of course be studied without a knowledge of its theoretical or critical hot-bed, only that is a less passable and less safe road to follow. Literary theory and criticism in modern China ware of a markedly normative character. In the case of the Left League the regulative function intervened not only the creative field, theory and criticism, but even into literary organization.

There exist a whole series of translations of various works of modern Chinese writers from this period, also several anthologies of modern literary works, especially of poems. Yet, except for the case of Lu Hsün,[39] and lately also of Lao She's *Lao niu p'o ch'e* [261] The Old Water Buffalo and His Broken Cart,[40] we miss, as far as I am aware, translations of critical essays, nor is there any anthology of theoretical or critical articles. To prepare at least one such anthology is really a pressing need: it should be adequately extensive, scholarly objective, with the required notes and reference section, eventually with a suitable introductory study. It should reflect as adequately as possible the problems of modern Chinese literary theory and criticism, probably the most important branch of modern Chinese intellectual history.

Furthermore, I am of the opinion that the various discussions and debates from this period, will have to be taken up in all seriousness. Of these, issues relating to

[38] Acording to Mao Tse-tung the merit "of the book *Water Margin* lies precisely in the portrayal of capitulation. It serves as a teaching material by negative example to help all the people to recognize capitulationists". Quoted from Chih Pien, *The Current Criticism of "Water Margin"*, Chinese Literature, *12*, 1975, p. 82. For Mao Tse-tung's words in original see Jen-min jih-pao, editorial entitled *K'ai chan tui "Shui-hu"-ti p'ing lun* [266] Begin With the Criticism of "Water Margin", September 4, 1975.

[39] *Selected Works of Lu Hsün*, vols 2 and 3, Peking 1957—1959.

[40] Translated into French by Paul Bady under the title *Lao niu po che (Essai autocritique sur le roman et l'humor)*, Paris, Presses Universitaires de France 1974, with a long and useful preface.

revolutionary and proletarian literature, mass literature, national forms in literature, but also literary legacy, are of extreme importance not only for the period of 1920's and 1930's, but also for the later development of modern Chinese literature. Here, the prospective scholar will have to put in quite a lot of collecting, analytical and synthetical work.

Today we know relatively little the literature of most important periods, like the period of the May Fourth Movement or of the Left League :[41] hence, there is enough room even for widely conceived studies. Alongside the history of modern Chinese fiction (C. T. Hsia) and modern Chinese poetry of the twenties and thirties (L. E. Cherkassky) there is a lack of a more extensive and consistent treatise on modern Chinese drama and modern Chinese literary criticism.

Much remains to be done in the study of individual authors. For instance, outside of Russian, we have no larger work on the life and work of Lu Hsün; practically no work in any language that would deal with the whole work of Kuo Mo-jo, Mao Tun, Ting Ling [262] (born in 1907), Ping Hsin, Chang T'ien-i [263] (born in 1907), T'ien Han, Liang Shih-ch'iu, Chu Kuang-ch'ien, not to mention less influential authors.

Students of modern Chinese literature should also take part in larger number in the work of AILC/ICLA, devote themselves to the study of comparative literature and utilize it in their researches. The soil should be prepared little by little for working out a project of Comparative History of Literature of Asian and African Countries (at least in some of its partial aspects) within the framework of AILC/ICLA which should be a pendant to the ongoing project A Comparative History of Literatures in European Languages. An excellent material for comparative literary studies is the modern Chinese poetry of 1920's and 1930's, particularly the symbolist poets, further Kuo Mo-jo, Wen I-to, Wang Tu-ch'ing, Feng Chih [264] (born in 1905), part of the dramatic works (Hung Shen, Ts'ao Yü, Chinese adaptations of Western plays) and, of course, modern Chinese literary criticism. The same might be said of modern Chinese genology, or modern Chinese poetics.

The last two can also be excellent object of investigation within the framework of national literary history. In the field of the latter, a very important and as yet unsatisfactorily investigated question is that of literary periodization, literary -isms, tradition and innovation, etc.

In 1974 the students of modern Chinese literature met for the first time in history at Harvard and in 1975 for the second time in Stockholm to discuss the problems like "the role of the writer and the literary evolution" in modern Chinese literature (Harvard) or "modern Chinese literature and its social context" (Stockholm). The proceedings of both these international meetings will be published.

[41] It was only after completing this article that found that N. J. Hunter has written *Then Chinese league of the Left-Wing Writers, Shanghai 1930—1936* as his Ph.D. thesis (Australian National, 1973), 386 pp.

1.李四意 2.最近文獻目錄 一中國文學 3.中國文學報 4.袁同禮 5.朱棄權 6.五四詩期期刊介紹 7.東方雜誌 8.「東方雜誌」總目 9.黃自吉 10.東方雜誌刊行尸其影響之研究 11.文學論文索引 12.趙家璧 13.中國新文學大系 14.阿英 15.胡適 16.鄭振鐸 17.茅盾 18.魯迅 19.周作人 20.鄭伯奇 21.郁達夫 22.洪深 23.朱自清 24.中國新文學大系續編 25.曹禺 26.茅盾選集 27.茅盾短篇小說集 28.阮朋名 29.中國新文壇秘錄 30.張若英 31.中國新文學運動史資料 32.中國現代文學論文選集 33.中國現代文學史參考資料 34.論戰 35.討論 36.李何林 37.中國文藝論戰 38.蘇汶 39.杜衡 40.文藝自由論辯集 41.第三種文學 42.民族文藝論文集 43.吳原 44.國防文學論論戰 45.現階段的文學論戰 46.林煌 47.楊晉豪 48.現階段的中國文藝問題 49.林煥平 50.抗戰文藝評論集 51.抗戰

文藝論集 52. 洛蝕之 53. 胡風 54. 民族形式討論集 55. 論民族形式問題 56. 魯子 57. 文選 58. 我們有什麼遺產 59. 話匣子 60. 春光月刊 61. 文學 62. 韓侍桁 63. 現代 64. 大衆語 65. 語文論戰底現階段 66. 文選 67. 文言白話，大衆語論戰集 68. 任重 69. 大衆語文論戰 70. 宣浩平 71. 本年度的中國文藝論戰 72. 二十三年度中國文藝年鑑 73. 丁言 74. 大衆文藝論集 75. 杜談 76. 文學論壇 77. 文藝獨白 78. 感想，漫談，隨筆 79. 袁選集 80. 現代中國作家筆名錄 81. 陳德芸 82. 古今人物別名索引 83. 陳乃乾 84. 室名別號索引 85. 張靜廬 86. 中國現代出版史料 87. 平心 88. 全國總書目 89. 近百年中譯西書目錄 90. 中國翻譯文學簡史 91. 現代中國關係中國文獻綜合目錄 92. 中國現代文學史資料 93. 中國現代文學期刊目錄 94. 魯迅 95. 晚清以來文學期刊目錄簡編（初稿） 96. 中國新聞雜誌總合目錄

97. 譯文 98. 生活書店 99. 世界文學 100. 黎明書局 101. 張資平 102. 光華 103. 王獨清 104. 創造社 105. 北新 106. 冰心 107. 田漢 108. 鍾書林 109. 梁實秋 110. 作家論 111. 女神乃應森 112. 現代作家論 113. 中國現代文學作家作品評論資料索引 114. 文藝資料索引 115. 沈鵬年 116. 魯迅研究資料編目 117. 丁景唐 118. 文摘 119. 瞿秋白著譯年目錄 120. 蔣光慈 121. 瞿光熙 122. 蔣光慈著譯年目錄 123. 中國現代文藝資料叢刊第一輯 124. 胡也頻 125. 柔石 126. 馮雪峰 127. 馮鏗 128 李偉森 129. 左聯五烈士研究資料編目 130. 文壇 131. 趙景深 132. 文人剪影 133. 海上集 134. 文壇憶舊 135. 秀林 136. 中國作家剪影 137. 方壬 138. 現代文壇百象 139. 宏徒 140. 文壇逸話 141. 曹聚仁 142. 文壇五十年 143. 文壇三憶 144 山水思想人物 145. 趙聰 146. 五四文壇點滴 147. 傅東華 148. 我與文學 149. 創作的經驗 150. 司馬

文森 151.創作經驗談 152.文壇史料 153.楊之華 154.楊一鳴 155.作家與作品 156.中國現代作家小傳 157.中國文學家傳集 158.左翼生 159.近三十年見聞雜記 160.名家傳集 161.陶元德 162.自傳之一章 163.張越瑞 164.近人傳記文選 165.龔子 166.中國新興銜行人物誌 167.人物種種 168.人物雜誌 169.社會新聞 170.上海週報 171.蕭三 172.人物紀念 173.張恨水 174.我的回憶 175.顧鳳城 176.現代新興作家評傳 177.魯迅日記 178.名家日記 179.俊生 180.現代日記文選 181.胡適留學日記 182.志摩日記 183.日記九種 184.達夫日記集 185.當代女作家日記 186.魯迅書簡 187.魯迅全集 188.魯迅書簡補遺 189.現代名人書信 190.張均 191.孔另境 192.現代作家書簡 193.王瑤 194.中國新文學史稿 195.劉綬松 196.中國新文學史初稿 197.文學研究 198.新文學史綱 199.張

畢來 200. 外中田 201. 中國現代文學史 202.
复旦 203. 中國現代文學史參考要 204. 王哲甫
205. 中國新文學運動史 206. 近二十年中國
文藝思潮論 207. 關於中國現代文學 208.
田漢 209. 中國戲劇運動 210. 藍海 211. 田仲
濟 212. 中國抗戰文藝史 213. 李一鳴 214.
中國新文學史講話 215. 蔡儀 216. 吳文
祺 217. 新文學概要 218. 霍衣仙 219. 最近
廿年中國文學史綱 220. 王豐園 221. 中國新
文學運動述評 222. 陳子展 223. 最近三十
年中國文學史 224. 中國近代文學之變遷
225. 文藝三十年 226. 方言文學 227. 左聯時
期無產階級革命文學 228. 中國現代文學史
229. 李輝英 230. 巴金 231. 全集 232. 徐志摩
全集 233. 蔣復璁 234. 達夫全集 235. 聞
一多全集 236. 文集 237. 葉聖陶 238. 巴人
239. 王任叔 240. 人民文學出版社 241. 選集
242. 萬象書屋 243. 開明書店 244. 輔仁
245. 研究資料彙編 246. 老舍 247. 中國

話劇運動五十年史料集 248. 洪球 249.
現代詩歌論文選 250. 小說通論 251.
梁啓超 252. 艾青 253. 朱光潛 254. 新文學
簡史 255. 弱小民族 256. 周策縱 257. 沈
從文 258. 柳無忌 259. 水滸 260. 關於對
水滸的評論 261. 老牛破車 262. 丁玲
263. 張天翼 264. 馮至

UNE ESQUISSE DES PROBLÈMES IDÉOLOGIQUES DANS LA VIE LITTÉRAIRE VIETNAMIENNE PENDANT LES ANNÉES 1930—1940 (2e PARTIE)

JÁN MÚČKA, Bratislava

L'histoire des différents mouvements littéraires et des groupes, comme aussi leur polémique créative réciproque constituent un des aspects les plus significatifs de la littérature vietnamienne de la première moitié du XXe siècle. Cette étude est orientée en premier lieu aux problèmes idéologiques et littéraires ayant rapport au mouvement dit «Poésie nouvelle» dans la littérature vietnamienne moderne.

A partir de 1925, toute une série de changements dynamiques commençaient à se préparer dans la vie littéraire vietnamienne. Les écrivains et les poètes étaient souvent comme infatués, engoués, entichés de ce mouvement, certains d'eux consciemment, les autres au moins intuitivement ressentaient une responsabilité commune pour le sort de la littérature nationale et la destinée de la société actuelle. Par conséquent, une recherche d'expédients et de procédés d'expression artistiques pertinents était devenue une affaire presque massive.

Un de ces facteurs révolutionnaires dans le domaine de la poésie était l'avènement du mouvement «Poésie nouvelle» (de même que l'avènement du groupe Tu luc van doan — Par ses propres forces — l'était dans le domaine de la prose). De nombreux littérateurs et idéologues vietnamiens se sont déjà occupés de ces problèmes. Les travaux les plus significatifs qui ont approfondi les conceptions de ce mouvement et représentent un dépôt dans la littérature vietnamienne marxiste, ont été écrits par Phan Cu De,[1] Vu Duc Phuc,[2] Truong Chinh,[3] To Huu,[4] et Xuan Dieu.[5] Ce sont des

[1] Phan Cu De : *Phong trao tho moi* (Mouvement Poésie nouvelle), Nha xuat ban khoa hoc, Hanoï 1966, 245 pp.

[2] Vu Duc Phuc : *Ban nhung cuoc dau tranh tu tuong trong lich su van hoc Viet-nam hien dai* (Sur les luttes idéologiques dans l'histoire de la littérature vietnamienne moderne). Hanoï, Nha xuat ban khoa hoc xa hoi 1971, 303 pp.

[3] Truong Chinh : *Chu nhgia Mac va van de van hoa Viet-nam* (Marxisme et les problèmes de la culture vietnamienne). Hanoï, Van nghe Viet-nam xuat ban 1949.

[4] To Huu : *Dung vung tren lap truong giai cap vo san, nang cao nhiet tinh cach mang va tinh chien dau trong van nghe* (Tenons-nous fermes sur les positions du prolétariat, soulevons l'enthousiasme révolutionnaire et l' esprit de lutte dans l'art et la littérature). Tap chi Hoc tap (Journal de Connaissance). Octobre 1964.

[5] Xuan Dieu : *Nhung buoc duong tu tuong cua toi* (Les pas de ma manière de penser). Hanoï, Nha xuat ban Van hoa 1958.

travaux monographiques et des études que sont non seulement le résultat d'approches méthodologiques vers des problèmes très complexes d'un développement littéraire et d'une création artistique, mais aussi indiquent les connexions entre l'existence sociale et le flux contemporain en philosophie et art avec toute la force du déterminisme et du conditionnement. Et l'étude actuelle elle aussi veut être un essai d'esquisser les problèmes idéologiques de la troisième décade de notre siècle relativement au développement de la poésie et du leur confrontation mutuelle.

Trois mouvements essentiels existaient alors dans la poésie vietnamienne, qui cependant s'influençaient mutuellement et parfois même se recouvraient: a) le mouvement romantique dans le sens élargi du terme (Xuan Dieu, The Luu, Huy Can, Vu Dinh Lien, Huy Thong, etc.); b) révolutionnaire (To Huu, Ho Chi Minh, Xuan Thuy, etc.); c) réaliste (Tu Mo, Do Phon et autres). Dans une évaluation, précisément le premier d'entre eux reste encore de nos jours le plus contradictoire et de ses rangs est né le mouvement «La poésie nouvelle» (The Luu, Luu Trong Lu, Han Mac Tu, Hoai Thanh, Le Trang Kieu, Hoai Chan, Le Huy Van, Dinh Gia Trinh, etc.).

Beaucoup de ces poèmes étaient publiés par la Revue féminine (Phu nu tan van) et le premier nombre du journal alors nouvellement fondé, Mœurs (Phong hoa) en date du 22 septembre 1932, leur a donné son soutien par les mots «...il faut rejeter les règles, la prosodie, le double vers; repousser les exemples classiques, les clichés ... Notre poésie doit être une poésie nouvelle, un genre littéraire nouveau et remplie d'idées nouvelles». Il s'agissait d'une tendence littéraire qui commençait son existence indépendante par la négation du mouvement (ou des mouvements) antécédant, qui avait déjà épuisé toutes ses ressources extérieures et intérieures de son développement et une différentiation intérieure au sens de la décadence a avait apparu, c'est-à-dire, le commencement de la stagnation était survenu. Il va sans dire qu'il ne s'agissait pas ici d'une négation pure du développement antécédant littéraire et d'un rejettement tout net de la poésie du style dit *t'ang (tho Duong).*[6] Tout mouvement artistique nouveau intervient dans le processus de la tradition artistique dans sa totalité et l'influence comme un correctif actualisant et noétique. La poésie romantique vietnamienne niait tout d'abord les formes classiques de l'ancienne poésie et mettait l'accent sur l'individualité stylistique. Cependant, tout changement d'expression exprime aussi un changement de contenu, alors que dans la structure stylistique de chaque œuvre il y a certains éléments supra-individuels (par exemple, le style de toute une période). Le problème, si un changement de forme comporte aussi un changement dans le contenu d'une communication artistique, est de longue date (proprement dit, il a été introduit déjà par la rhétorique antique) et dans ce sens a été positivement mis au clair (une même chose peut être exprimée de manière différente uniquement dans le domaine de la littérature matérielle et professionnelle,

[6] Duong — Dynastie chinoise de T'ang (618—906).

mais non pas artistique). Par conséquent, du point de vue littéraire artistique, on ne saurait guère changer la signification verbale et généralement les moyens artistiques de forme, sans changer le contenu communiqué. Et en même temps, ni une recherche de la forme ni son accentuation ne doit pas nécessairement être formaliste. Elle le devient seulement au cas où la forme est étudiée pour elle même, à ses propres fins, lors même que dans une recherche comparativiste dans le cadre de la méthodologie littéraire, ce procédé aussi est justifé. Il n'y a aucun besoin de surestimer la poésie formalistique (symboliste), mais il existe des choses qui sont inevitables du point de vue du développement et qui de fait apportent certains gains. En évaluant la poésie ésotérique, on doit savoir comment éviter aussi l'autre extrême — une absolutisation dans la compréhension dogmatique du réalisme socialiste, car l'art (même l' art grand) n' avait jamais été réaliste seulement. L'art et la littérature stylisent toujours, une fois plus, une autre fois moins. Lors même qu'il soit fermement ancré dans la réalité sociale d'où il puise la vérité et la force, part ses sommets l'art doit simultannément atteindre les sphères de la fantaisie poétique, l'empire des visions et des perspectives qui lui prêteraient la beauté, la grandeur, l'envol de grande envergure. Le premier sans le second serait trivial, le second sans le premier vide et l'un d'eux sans l'autre serait défectueux et insuffisant. Ce critère avait bien été respecté par exemple par Shakespeare, Goethe, Blok, Dostoïevski et, à mon avis, dans la littérature vietnamienne moderne, on pourrait y ranger Tan Da, Nguyen Cong Hoan, To Huu, Xuan Dieu et plusieurs autres.

La polémique officielle dans la vie littéraire vietnamienne entre la «poésie ancienne» et la «poésie nouvelle», ou même, on peut dire, en une certaine mesure entre le «contenu» et la «forme», commença dans les deux sens en 1933. Pourquoi cette polémique avait-elle pris place précisément dans le domaine de la poésie ? Le drame et le roman comme genres littéraires n'avaient jamais été soumis à une critique aussi tranchante pour plusieurs raisons. Dans la littérature vietnamienne, le drame était le genre littéraire le plus récent et n'y trouvait aucun adversaire adéquat. La petite bourgeoisie intellectuelle vietnamienne que déjà connaissait la littérature française n'avait aucun intérêt à avancer le genre nouveau (le drame) qui n'avait pas auparavant existé dans la littérature vietnamienne. Ce genre commençait à être pris en forme de traductions de la littérature dramatique française. La prose artistique prenait naissance dans la littérature vietnamienne (de même que dans les autres littératures nationales), comme une antithèse au vers, qui, originellement, avait été un moyen d'expression typique pour la communication littéraire généralement. Elle était donc substantiellement plus jeune, lors même qu'elle avait déjà une tradition plus longue que le drame. Les auteurs des nouveaux genres de romans (par exemple, le roman social) étaient contre la conception de symétrie, contre le vieux style et c'est à peine si quelqu'un les eût contredit. Le groupe de littérateurs près de Pham Quynh et Nguyen Van Vinh soutenaient le développement du roman selon le model français. Les confucianistes lettrés progressifs étaient aussi pour les changements du

roman nouveau et en faisaient usage comme d'un moyen pour un changement dans la conscience et la manière de penser des gens et pour un perfectionnement de la personnalité de l'homme (par exemple, les romans patriotiques de Phan Boi Chau). Après l'an 1930, le roman et le conte prirent pratiquement sans conflit leur place dans la littérature et peu à peu devinrent des plus importants (quoique nontraditionnels) genres littéraires.

Quant à «la poésie nouvelle», si elle voulait se développer, elle devait en premier lieu détruire les obstacles, surtout la manière de penser hostile aux innovations — le conservatisme dans les idées — qui avait une tradition très longue dans la société classique du Vietnam et s'efforçait de préserver dans la poésie l'ancienne structure. Elle devait attaquer la «poésie ancienne». De son côté, la poésie ancienne luttait pour se défendre, pour sa conservation. Dans les phases initiales de la polémique il s'agissait surtout de la structure formelle de la poésie, son contenu idéologique était un point secondaire et c'est à peine si quelqu'n y toucha. Cependant, à partir de 1936 la valeur du contenu de la «poésie nouvelle» était devenue l'un des problèmes principaux dans la polémique acharnée entre les adhérents de la doctrine «l'art pour l'art» et de celle «l'art pour la vie». Les contestations sur la structure de la poésie continuaient dispersées dans les journaux, mais cependant sans qu'elles eussent réussi à résoudre le problème.

Les priemers à s'occuper théoriquement d'une recherche de la polémique entre le groupe de la «poésie ancienne» et le mouvement «poésie nouvelle» étaient des participants directs de cette controverse, Hoai Thanh et Hoai Chan — tous les deux se mirent sans réserve du côté de la «poésie nouvelle». En 1942 ils publièrent un livre Poètes du Viet-Nam *(Thi nhan Viet-nam)*, une anthologie de poèmes de la période de 1932—1940. Ce recueil contient des poèmes formalistes, des poèmes sans une prétension plus grande à un niveau artistique, et des poèmes de bonne valeur. «Il n'est pas juste» comme disent les deux éditeurs de ce recueil, «que lorsque l'ancienne poésie arriva à sa désintégration, le plus dangereux pour ses adhérents était le fait qu'au cours de huit-neuf ans après l'apparition de la «poésie nouvelle», beaucoup de ses poètes avaient été accordé une considération éminente, beaucoup de poèmes de valeur ont été écrits, alors qu'eux (les classicistes — J. M.) ne pouvaient rien créer qui puisse être désigné comme poésie.»[7] Ce point de vue a sa justification et peut être supporté par des exemples de la production poétique de Tan Da, qui ne rejetait pas la «poésie ancienne» à priori, et continuait à écrire dans le cadre de sa prosodie, mais en même temps considérait la «poésie nouvelle» dans la littérature vietnamienne comme un phénomène approprié voire même nécessaire. Entre Tan Da en poésie et Ngo Tat To en prose, on peut mener une certain parallèle en ce qui concerne les procédés littéraires dits «anciens» et «nouveaux». L'évaluation excessivement haute de la «poésie nouvelle» est évidente aussi dans la monographie de Tran Thanh Mai

[7] Vu Duc Phuc: op. cit., pp. 57—58.

sur l'un de ses principaux représentants — Han Mac Tu. En réalité, à partir de la parution de la «poésie nouvelle» jusqu'à présent, de nombreuses œuvres dans la poésie vietnamienne ont été écrites selon le modèle de la «poésie ancienne» (Phan Boi Chau, Huynh Thuc Khang, Ho Chi Minh). Par contre, la «poésie nouvelle» au cours de son développement jusqu'ici (à l'exception de la poésie révolutionnaire — par exemple, celle de To Huu) était soumise et l'est encore à une critique tranchante. C'était donc un conflit très complexe dérivant de la conscience de l'incompatibilité des résultats artistiques dans l'étappe précédante, de l'évolution littéraire par rapport aux besoins du progrès culturel de la société d'une certaine époque, de la disproportion entre l'état du développement littéraire et les demandes sur la production littéraire — un état conditionné par les circonstances culturelles-sociales et socio-politiques.

Les adversaires de la «poésie nouvelle», essentiellement romantique, n'étaient pas tous des adhérents de la «poésie ancienne», mais aussi certains partisans de la devise «l'art pour la vie», qui approuvaient beaucoup des procédés formels de la «poésie nouvelle», mais censuraient son contenu. Le groupe «poésie ancienne» lui aussi incorporait de nombreux mouvements divers et des tendences, mais dès le commencement ces mouvements avaient une conception commune quant à l'évaluation de la «nouvelle» et de «l'ancienne» poésie. Par contre, le mouvement «La poésie nouvelle» au cours du développment de la polémique, changeait son point de vue envers eux. Il en découle que la «poésie nouvelle» vacillait elle aussi dans certains de ses postulats, alors qu'elle remportait des succès dans l'application d'autres.

Des vues divergeantes régnaient aussi au sujet même de la désignation «ancienne» et «nouvelle» poésie. Le terme «poésie ancienne» avait été utilisé maintes fois déjà et chacun l'interpréta à sa guise. Les adhérents des choses anciennes tenaient que c'est toute là poésie vietnamienne et chinoise dès les commencements jusqu'au présent, à l'exception de la littérature étrange nationale qu'on appelle «poésie nouvelle» et qui fit son apparition après l'année 1932 — celle-ci excepté, tout est donc «poésie ancienne». Et plus, ils indiquent comme «poésie ancienne» les poèmes qui, nonobstant leur infraction de règles de la prosodie régulière, néanmoins appartiennent aux genres du vers de sept *(that ngon),* cinq *(ngu ngon)* pieds, or au genre *luc bat,*[8] etc., adoptés par les poètes de la dernière génération. Donc, faisant usage de deux mots «poésie ancienne» «(. . .) ils peuvent désigner même de tels auteurs que sont Lu Trong Lu, Thai Cam, etc.»[9] Cette classification, dont les auteurs sont des hommes qui ne trouvaient rien de sympathétique dans la «poésie ancienne», est preuve que le groupe «poésie ancienne» n'a pas changé dès le début son attitude vers la poésie «ancienne» et »nouvelle». Essentiellement, il caractérisait de «poésie ancienne», tout ce qui avait été écrit en poésie dans le style dit «t'ang», or au moyen

[8] *luc bat* — Prosodie classique en poésie qui consiste en une altération de vers de six et de huit pieds.

[9] Hoai Thanh — Hoai Chan: *Thi nhan Viet-nam* (Poètes du Viet-Nam), 1942

d'autre prosodie régulière, et de poésie «nouvelle», les poèmes écrit avant tout du style dit libre. Le mouvement «poésie nouvelle» lui non plus n'avait pas des vues homogènes en ce qui concerne la détermination de la signification de la «poésie nouvelle». Par exemple, Phan Khoi, en introduisant en une certaine manière la «poésie nouvelle» par son recueil, d'ailleurs assez piètre, Sentiments anciens *(Tinh gia)*, s'en exprima que c'est un genre de poésie comprenant «des phrases qui ont des rhymes, mais qui ne demandent aucune prosodie». Hoai Thanh et Hoai Chan y réagirent: «Cette désignation est nouvelle, elle aura la signification que nous lui donnerons. Par conséquent on doit l'entendre dans un sens général et non dans le sens que lui a attribué Phan Khoi.»[10] Nhat Linh a écrit de même, que la «poésie nouvelle» n'a essentiellement que la rime, le vers n'est pa tenu à avoir un nombre défini de syllabes, mais la «poésie nouvelle» a une belle mélodie poétique.[11] Che Lan Vien écrivait des vers de huit syllabes et affirmait que «si l'on divise la poésie par une ligne de démarcation des deux mots «ancienne» et «nouvelle», elle n'aura aucune signification».[12]

Mais en quel sens les éditeurs du livre Poètes du Viet-Nam comprenaient-ils la «poésie nouvelle»? A leur avis, c'est une poésie libre (licence de rime), c'est pourquoi elle est plus molle et plus mélodique que la poésie classique. Ils accentuaient la musicalité de la poésie et de nombreux éléments nouveaux, non-traditionnels dans la manière de rimer et dans le choix des moyens linguistiques. Par rapport au contenu de la «poésie nouvelle» ils déclaraient que «l'esprit de la poésie nouvelle» consiste dans une élévation de la liberté de l'individu «au sens absolu de ces mots».

Ici les poètes du mouvement «Poésie nouvelle» touchent aux questions qu'ils solvent non seulement pour la poésie elle-même, mais aussi dans le cadre de leur programme génératif. Un des traits caractéristiques de ce programme était que ses auteurs s'efforçaient de déduire «tout ce qui était universellement contemporain» — soit qu'il s'agissait d'un antagonisme social ou national — «de l'homme», qu'ils prenaient primairement comme faisant partie de la communauté de la nature. Ils n'étaient pas toujours prêts à justifier les côtés positifs et négatifs de l'existence humaine par une malédiction historique ou des circonstances socio-politiques adverses. De ce fait, ils ont élargi la dominante rationale ou sociale de la poésie vietnamienne par la dominante psychobiologique découlant d'un sentiment approfondi de la responsabilité solitaire et artistique. Ils avaient en vue, au sens élargi, un homme progressif et au sens plus rétréci, aussi un homme à l'état stagnant, souvent taré par l'héritage de son naturel bisocial — et pourtant, ils ne souffraient pas des

[10] Op. cit.

[11] *The nao la Tho moi* (Quelle est la Poèsie nouvelle), Phong hoa (Mœurs), 3. 3. 1933.

[12] Cit. selon Quach Tan: *Mua co dien* (L'âge classique), 1941.

préjudices conventionnels de la vieille génération. Et en fait, ce n'est jamais au détriment du développment progressif de la poésie si le but est haut et le chemin vers lui plus tortueux et plus long. Un tel chemin aide alors à former les talents à partir de la quantité vers la qualité, du bon au grand.

Il incombe à l'art (par conséquent aussi à la poésie), d'intégrer, s'il y a lieu, aussi les stimulants sains extérieurs. Le mouvement «Poésie nouvelle» se caractérisait sans doute, par une telle intégration, qui était d'autant plus complexe qu'avec les stimulants sains, il acceptait aussi souvent les stimulants malsains. A côté des romantiques dans le sens plus précis du mot, il y avait ici aussi des symbolistes (Bich Khe, Xuan Sanh), qui puisaient de la poésie de Valéry, Rimbaud, Mallarmé et se tournaient vers leurs prédécesseur Baudelaire. Ils cherchaient l'inspiration dans la poésie des romantiques de l'Europe occidentale — chez Goethe, Schiller. Le symbolisme russe de la fin de dernier siècle leur était probablement inconnu (V. Briusov, K. Balmont, D. Merejkovski etc.), mais il se peut qu'ils aient connu la génération plus jeune (A. Blok, V. Ivanov), car dans leurs œuvres on trouve des éléments positifs de poète dans la vie spirituelle de la société et la mission prophétique du poète en elle. L'héritage de la philosophie de Valéry et de sa théorie esthétique sur le sens de la beauté dans la vie de l'homme est devenu le crédo philosophique des symbolistes vietnamiens.

La création poétique des symbolistes vietnamiens est devenue une poésie de sons, de l'humeur, de sentiments inexpressibles, de rêves non-réalisables. Dans leur poésie, le mot comme moyen d'illustration est apprécié uniquement comme un son (sans signification sémantique), comme un élément dans la structure mélodique du poème, comme l'a écrit Verlaine, «de la musique avant toute chose». Mais on trouve certaines allégories aussi dans la poésie *t'ang* et son contenu (l'amour, la nature). Souvent, le côté formel de la poésie *t'ang* remplissait tout simplement la fonction d'enveloppe extérieure pour un contenu nouveau, moderne. Baudelaire aussi apprécia la poésie de style *t'ang* dans son œuvre Les bienfaits de la lune.

En outre des symbolistes, il y avait aussi des surréalistes (Dong Hoai, Dinh Hung, Hoang Loc, etc.) dont les œuvres portent des éléments de la poésie dite graphique (utilisant d'une manière spécifique les possibilités particulières de communication de la graphique). Ils avaient maîtrisé la division autonome de l'expression versifiée, créant de ce fait la tension dont le contenu aide à former le sens. Ils s'efforçaient à justifier poétiquement leurs œuvres par la création d'une nouvelle cadence, sensée d'exprimer le sentiment de l'homme dans le monde civilisé moderne. Ils accentuaient la rime nouvelle dans la poésie (dites rimes approximées). Ils ont crée une poésie d'associations, d'indices, de légères allusions, ils ont métamorphosé le langage poétique, ils y on incorporé de nouveaux éléments dynamiques et des modes de rime divers, renforçant ainsi sans doute l'efficacité esthétique de la poésie.

Quant au contenu de cette poésie, il importe de noter que le vers dans son interprétation moderne comme un moyen de l'expression littéraire, tend vers la

lyrique, ce qui découle de ses possibilités communicatives spécifiques. Dans la lyrique, les motifs sont joints en un tout par le sujet de l'auteur. C'est la raison pourquoi l'ego de l'auteur *(toi)* nécessairement occupe le premier plan dans la lyrique. Il s'agit alors d'une poésie subjective. Mais même dans la lyrique objective (les poèmes de To Huu dans le recueil «Depuis» — *Tu ay* sont des exemples typiques) le sujet de l'auteur se perd seulement en apparences, il n'est question que d'une transposition de caractère formel (sujet exprimé par la troisième personne), la subjectivité comme telle de l'expression ne change pas, et plus important que le contenu du poème est le rapport de l'auteur vers ce contenu, ce dernier ayant souvent un caractère allégorique. Dans la poésie de Bich Khe ou de Luu Trong Lu, la représentation de rapport du poète vers la vie a une fonction illustrative : le poète dépeint un rapport conventionnel qui se ressent comme symptomatique pour l'auteur ; mais avant tout, il s'agit d'une illustration de la virtuosité du poète qui travaille avec des tropes et des figures de style généralement connus du lecteur, qui apprécie leur nouvelle combination.

Quant à la forme, la majorité des poètes du mouvement «Poésie nouvelle» préféraient une liberté absolue et c'est en elle que doit être évaluée le degré artistique de leur expression lyrique. Ils évitaient les formes automatisées et les clichés classiques leur apparaissaient comme un signe d'une faiblesse artistique. On leur a reproché d'être tendentieux. Cependant, au point de vue de la poésie, on peut parler de tendences uniquement dans le cas où l'idéologie serait exprimée plus par les commentaires du poète que par l'image artistique. Un rapport à la réalité existe dans toute œuvre littéraire, lors même que celle-ci s'efforce de cultiver un thème éloigné de la vie contemporaine (certains des poèmes de la «poésie nouvelle» appartiennent en fait à la poésie dite d'évasion). Il est vrai aussi que dans la «poésie nouvelle» ce rapport se réalise pour la plupart dans une forme passive (on peut examiner uniquement la mesure de la véracité dans la représentation de la réalité, mais non pas la mesure de l'influence sur la formation de la réalité).

La poésie révolutionnaire romantique elle aussi recevait d'une manière critique les accomplissements du mouvement «Poésie nouvelle» et logiquement, elle était construite à l'aide d'une façon d'exprimer une vérité artistique quelque peu différente de celle employée par la poésie socialiste-réalistique au Viet-Nam contemporain. S'il n'en était pas ainsi, elle serait devenue socialement disfonctionnelle et ne serait pas capable d'intervenir suggestivement dans le développement de la littérature vietnamienne. Cependant, elle ne peut pas être déduite d'une manière schématique, comme l'a fait Xuan Dieu.[13]

[13] Xuan Dieu : *Dao co mai moi sac* (Seulement un couteau éguisé est tranchant). Hanoï, Nha xuat ban van hoc 1963. Il s'agit d'un recueil de poèmes d'avant-guerre, To Huu — Depuis *(Tu ay)*, dont l'origine est comprise par Xuan Dieu dans ce schéma : mouvement communiste — mouvement de la «Poésie nouvelle» = poèmes du recueil Depuis.

L'avènement de la «poésie nouvelle» était sans aucun doute, une nécessité historique. Le besoin de réformer la poésie avait été exprimé par Luu Trong Lu dans son article Réforme de la poésie (*Mot cuoc cai cach ve thi ca,* 1933). Des gains positifs avaient été accomplis dans le domaine de la formation d'une langue nationale et dans la structure de la poésie moderne. Grâce à l'introduction de la poésie française, de nouveaux genres de poésie furent introduits — le sonnet, la ballade, et le rondeau. «Du côté opposé étaient les poètes de la «poésie nouvelle» qui succombaient très peu aux influences de la littérature étrangère. Ils acceptaient surtout la tradition littéraire nationale et en partie puisaient aussi à la littérature populaire (chants populaires — *ca dao*).»[14] On trouve les éléments de la «Poésie nouvelle» aussi du point de vue historique: avant 1930, beaucoup de ses poètes prenaient part au mouvement de la libération nationale mené par Phan Boi Chau et Phan Chu Trinh, et à partir de 1936 participaient au Front démocratique et au Front Viet-minh.

Dans l'article cité ci-haut, Luu Trong Lu, s'inspirant certainement aussi de la poésie populaire vietnamienne, dont le motif fréquent est l'amour, écrivit: «En voyant un belle, naïve fille, les poètes classicistes ressentaient la responsabilité, nous ressentions une fraîcheur comme devant des champs verdoyants. Pour la génération précédente, l'amour n'était que marriage, pour nous cent formes et mille images: l'amour des amoureux, l'amour voltigent, l'amour proche, l'amour à distance . . . ., l'amour à première vue, l'amour pour mille âges. . .» Il ne s'agit pas ici d'une critique injustifiée de «l'aspect émotionnel» de la «poésie ancienne», mais d'un renouvellement de l'humeur romantique, du sentiment de l'incertitude qui est préposée à la volonté et à la raison. Le groupe «Poésie nouvelle» ignorait dans une certaine mesure l'intérêt social dans le domaine émotif et concentrait ses efforts à élaborer la lyrique intime, les thèmes sur le manque de sens de la vie et évasion d'elle. Les thèmes sur la mortet l'érotisme ce qui naturellement, introduisait des éléments de décadence dans leur poésie. Cependant, ces poètes créaient simultannément l'espace pour l'activité du poète dans la vie spirituelle de la société. Des 1920 déjà, la poésie selon le style *t'ang* apparaîssait dans des journaux comme Vent du Sud (Nam Phong), qui était ‹épigonique› ou décadante, superficielle, phraséologique. L'attaque de la «Poésie nouvele» contre ce genre de poésie était entièrement justufiée. Grâce à cette intervention, cette poésie disparût, lors même que ce ne fut pas en conséquence d'une critique analytique. Par contre, cependant, la critique radicale de la poésie classique vietnamienne en sa totalité contenait de nombreux moments subjectifs et de par ce fait était souvent inconvainquante. La poésie classiciste défendait quelques vues justes se rapportant au genre littéraire, mais beaucoup d'autres uniquement sur la base d'un conservatisme artistique.

Le 3. août 1933, un des collaborateurs à la rédaction du journal L'Opinion

[14] Phan Cu De: op. cit., p. 211 et p. 213.

Publique (Cong luan) Tan Viet présenta à Saigon un article suggérant que les poètes du groupe «Poésie nouvelle» attaquaient la poésie du style *tchang* afin d'éviter les difficultés par la ligne de moindre résistance. Une certain réaction à cette accusation était aussi la publication du recueil des poèmes classicistes (par Tuong Van et Phi Van) sous le titre Fleurs Hors de Saison (*Nhung bong hoa trai mua*, 1935). Le titre même témoigne du complexe d'infériorité ressenti par les auteurs. Ils étaient extrêmement conservateurs dans leurs vues et au sujet du mouvement de la «Poésie nouvelle» s'exprimaient comme d'un «groupe de niais faisant de la poésie». Cependant, ils sont restés submergés dans le vacarme général autour de la «Poésie nouvelle».

Mais il y avait des gens habiles aussi du côté de la «Poésie ancienne». Comme on l'a remarqué tout à l'heure, certaines de leurs vues et attitudes étaient justifiées. En 1932 le Journal Littéraire (Van hoc tap chi) était lancé; certes, il publiait par exemple, la prose romantique de Lan Khai, mais généralement ne cachait pas ses antipathies envers le mouvement «Poésie nouvelle». Chat Hang y écrivait: «J'aime bien les changement dans la poésie, mais ce que je considère comme le plus important dans la poésie, c'est l'esprit comme forme... ce qui importe aux initiateurs et agitateurs de la «Poésie nouvelle» c'est une marche arrière et non pas l'introduction du nouveau... Ma devise principale est d'utiliser la manière classique pour exprimer les pensées nouvelles.»[15] Dans l'article Comment faire des changements nouveaux dans la poésie *(Lam the nao de doi moi cho tho)*,[16] il continuait: «Les changements nouveaux dans la poésie, cela ne signifie pas un changement de la vieille «peau» en poésie. Le côté le plus faible de la poésie de nos temps est qu'elle manque d'idées nouvelles...» Les vues de Chat Hang sont acceptables dans une certaine mesure en ce qui concerne le contenu de la «poésie nouvelle», mais n'est pas acceptable son point de vue que «la forme n'a pas besoin de changer».

Nhat Linh dans le journal Mœurs (Phong hoa) comme poète du mouvement «Poésie nouvelle», a désigné le Journal Littéraire (Van hoc tap chi) comme l'adversaire principal à qui on doit dévouer la plus grande attention: «Van hoc tap chi est un journal littéraire qui semble ne vouloir pas encourager les nouveaux mouvements dans la littérature, soit qu'il tient sincèrement au vieux, soit qu'il n'a pas la capacité de marcher de front avec le groupe de jeunes poètes et par conséquent s'efforce de les humilier. Il ne se peut être rends pas compte qu'en fait il s'humilie lui-même aussi.»[17]

Le point de vue de Cau Tan présente aussi quelque intérêt: «Depuis que Phan Khoi a déclaré la «poésie nouvelle», le journal Mœurs (Phong hoa) l'accompagne et

[15] *Tho moi* (Poésie nouvelle). Van hoc tap chi (Revue littéraire), No. 22.

[16] Ibid., No. 23.

[17] *Su can nhac chu trong Tho cu va Tho moi* (Pèsement de mots dans la Poésie ancienne et nouvelle). Phong hoa (Mœurs), 20. 10. 1913.

ainsi le mouvement la «Poésie nouvelle» se répand, s'élargit. Il y a des gens qui affirment que la poésie nouvelle va supplanter l'ancienne un de ces jours. Ce n'est pas si certain... le groupe des successeurs à Phan Khoi écrivait bien les proses courtes, puis en écrivant passa à des lignes plus fréquentes et ils ont appelé cela la «poésie nouvelle»..., lors même que dans Phong hoa même la «poésie nouvelle» est meilleure, c.-à-d., il s'y trouve quelques poèmes qui ont l'air plus ou moins de la «poésie nouvelle».»[18] Cette attitude paraît être injuste, mais cela ne veut pas dire que Cau Tan n'eût agréé en principe avec la «poésie nouvelle». C'était là une attitude adoptée par ceux qui défendaient la «poésie ancienne» et simultannément acceptaient le principe de la «poésie nouvelle». Le poète Tan Da a pris la même position, comme on l'a remarqué ci-dessus, mais en tout cas il manifesta un plus grand sens d'objectivité et de justice. Il défendait la «poésie ancienne» et s'exprimait avec réserve au sujet de la «nouvelle». Il approuvait l'étude et l'investigation de la poésie française afin «que l'on cherche plus de nouveau», mais il affirmait que «n'est poésie que ce qui a rime et mélodie».[19] Le besoin et la nécessité de la rime dans la poésie sont des questions actuelles même dans la littérature vietnamienne contemporaine et on en polémise de plus fort. A ce point de vue, l'attitude de Vu Duc Phuc présente quelque intérêt: «C'est un fait que peu de gens se rappellent une poésie sans rimes. A mon avis, la poésie Occidentale moderne ignore la rime, conséquemment est plus près de la prose... La tradition de la poésie vietnamienne est étroitement unie à la chanson *(ca)* et en outre du rythme, a grand besoin de la rime. Si la poésie vietnamienne veut renforcer son caractère national, force lui est de puiser aux sources de la poésie épique et des opéras nationaux tels le *cheo, tuong, bai choi,* etc., qui sont les genres du «drame poétique vietnamien». Si la poésie vietnamienne s'approche de la prose, elle aboutira à une impasse.»[20]

On peut constater qu'en 1936 le mouvement «Poésie nouvelle» avait gagné une position ferme dans la littérature lors même qu'à l'intérieur elle ne fut pas complètement consolidée. Pour un des facteurs responsables de ce que la «poésie ancienne» fusse aiguillée sur une voie d'évitement, Phan Cu De considère le fait que la poésie classique portait des marques lourdes de la défaite qu'a subie la classe féodale vietnamienne, qui avait capitulée devant les impérialistes. Vu Duc Phuc caractérise un tel point de vue d'être équivoque et non scientifique: «Le groupe «la poésie nouvelle» n'avait pas du tout une idée claire de la «conscience féodale». Il ne faisait que soutenir la liberté du choix dans l'amour, s'opposait à la vieille éducation féodale et ses mœurs, mais nullement contre la conscience féodale comme telle.

[18] *Tho moi «Phong hoa»* (Poésie nouvelle dans «Mœrs»), Nhat tan (Jour nouveau), 6. 6. 1934.
[19] *Van tho nuoc ta nay ve sau* (Notre littérature aujourd'hui et demain). Saigon, numéro spécial, 1936.
[20] Vu Duc Phuc: op. cit., p. 67.

Certains poètes de la «poésie nouvelle» rêvaient aussi d'une vie pleine de jouissances des anciens impéreurs. Parler de l'idéologie défaitiste et de la capitulation devant les impérialistes — c'était précisément la base du romantisme après 1931, dont faisait partie aussi la «Poésie nouvelle». Quant au féodalisme, il s'était soumis à l'impérialisme il y avait pas mal de temps à cela et s'était même joint à lui dans un certain sens.»[21] Le fait historique de la défaite de la classe féodale avait trouvé sans doute sa réflexion spécifique aussi dans le domaine de l'art et de la littérature pris dans leur totalité. Cependant, ce serait une simplification indigne que de le considérer comme sa base idéologique, car dans une certaine mesure, l'art anticipe toujours le développement historique. Le complex des réalités de la vie dans la société vietnamienne à cette période, dont les phénomènes extérieurs ne représentaient souvent que la pseudo-réalité du quotidien, étaient reçus par la littérature dans le cadre de sa propre structure, d'une manière différenciée. Cela ne veut pas rejeter la signification des principaux agents historiques et sociaux dans la littérature, mais ceux-ci ne peuvent pas être appliqués directement, car de cette manière une investigation de la littérature deviendrait une investigation de la modification des différentes œuvres littéraires.

Pendant la période du Front démocratique (1936—1939) les premiers signes d'une crise idéologique et des traits de passivité commencèrent à paraître dans le mouvement «Poésie nouvelle». Les thèmes de la création poétique étaient réduits et n'atteignaient pas le niveau demandé même de la poésie par le processus de la démocratisation. Le programme esthétique du mouvement devenait graduellement épuisé, passait pour une certaine manière, cessait de répondre à l'esprit de l'époque, venait au conflit et graduellement se trouvait dans la crise développementale d'où il n' y avait plus de sortie. Il n'était plus à même de répondre aux questions que le temps posait devant lui, ni dans le domaine de l'art, ni dans celui de la vie culturelle, sociale. Une forte inclinaison vint à se manifester chez ses représentants vers un individualisme malsain, qui venait souvent de leur position socio-économique misérable et d'une tristesse nostalgique pour les idéals irréalisables.

En 1936 Le Trang Kieu c'est exprimé dans le sens que la «poésie nouvelle» avait atteint sa norme désirée. Le critique Thai Phi était quelque peu plus sceptique quand il écrivait: «Nous avons une grande foi dans le progrès de la «Poésie nouvelle», lors même qu'actuellement nous voyons qu'elle a besoin des règles et ordre anciens. J'écris cet article non pour contrecarrer Monsieur Le, mais pour encourager les poètes du groupe «Poésie nouvelle» vers de plus grands progrès».[22] Un autre numéro des Nouvelles littéraires (Tin van) portait une entrevue de Thai Phi avec le poète Luu Trong Lu dans laquelle le dernier déclara: «Quand j'écris des vers selon le style *t'ang*, j'ai l'impression que je suis forcé d'exprimer des pensées que je n'ai pas

[21] Ibid., p. 69.

[22] Tin van (Nouvelles littéraires), No. 15.

... Je suis toujours du côté de la poésie libre, non pas pour fair l'éloge du libre vers,... car j'aime la norme, mais une norme large».[23] Luu Trong Lu critiquait la poésie qui avait un faible niveau artistique et il ne lui importait pas autrement de quelle poésie il s'agissait. Il voulait que la poésie contienne la matière cachée de la tristesse, de la vie dure des hommes, mais aussi qu'elle remplisse les demandes d'œuvre artistique. C'est pourquoi il mit une valeur modique au niveau artistique de certains poèmes révolutionnaires publiés au temps du Front démocratique.

Après la période du Front démocratique, à l'occasion de la publication du recueil des poèmes décadents Sang pur (*Tinh huyet,* 1939) par Bich Khe, le principal représentant des partisans du classicisme, Huynh Thuc Khang lança une attaque contre la «Poésie nouvelle». En général, sa critique était d'un caractère conservatif, mais elle était appropriée et bien avisée en ce qui touchait à l'absence de sentiments patriotiques. La poésie de Bich Khe comme aussi ses attitudes subjectives et sa manière de penser étaient d'une nature complexe, comme illustré par un événement rapporté par Phan Cu De: «Vers la fin de 1939 Bich Khe, après la parution de son livre Sang pur *(Tinh huyet),* adressa une lettre à A. Gide demandant authorisation de traduire son livre *Retour de l'URSS.* Ayant reçu de lui, alors à Algiers, une réponse affirmative, il traduit le livre, mais il manquait l'argent pour sa publication. Et ce même Bich Khe en 1945, quoique malade et alité, obligea les logeurs à le porter dans la rue afin qu'il puisse saluer la Révolution d'Août».[24]

La discussion sur la valeur idéologique et artistique de la «Poésie nouvelle» continue jusqu'au présent. Cependant, elle avait subi un déclin manifeste pendant la période de 1941—1945 — c'est l'opinion prépondérante de la majorité des savants littéraires. Mais ils sont d'accord aussi à lui reconnaître de grands mérites dans la réforme de la poésie vietnamienne.

En 1933, au début de la polémique dont on traite ici, des points de vue marxistes, représentées principalement par Hai Trieu, apparaîssaient dans la littérature légale. Le rôle que cet auteur remplissait dans la vie littéraire vietnamienne de 1930 à 1945 était de grande importance. Il est né en 1908, et dès le temps de ses études s'est occupé de l'activité révolutionnaire; en 1930 il joignit le parti communiste de l'Indochine. En 1931 il fut emprisonné. En 1932 il publia plusieurs articles dans la presse légale, où il expliquait l'attitude du parti communiste de l'Indochine. On peut dire qu'il en était le théoricien socio-scientifique principal avant la Révolution d'Août, 1945. La discussion sur les questions philosophiques et les sciences sociales entre Hai Trieu et Phan Khoi au cours de 1933, documentait la nature scientifique de la conception du monde (du *Weltanschauung*) marxiste-léniniste. L'impulsion en était donnée par un article de Phan Khoi sur la civilisation Occidentale et

[23] *Mot gio voi ong Luu Trong Lu* (Une heure avec Mr. Luu Trong Lu). Ibid., No. 23.

[24] Phan Cu De: op. cit., p. 138.

Orientale,[25] où, à partir d'une philosophie idéaliste, il déduquait d'une manière absurde, une infériorité spirituelle et économique des nations Orientales. Hai Trieu l'opposait, mais ses arguments aussi manquaient une connaissance complète de la philosophie du matérialisme dialectique.[26] Associé à cette polémique était aussi un échange de vues sur l'existence ou nonexistence du régime féodal au Vietnam.

Hai Trieu est aussi bien connu relativement à la polémique tumultueuse entre les groupes «l'art pour l'art» et «l'art pour la vie», commencée en 1935. Quand le Front populaire est parvenu au pouvoir en France, le système de la censure s'est affaibli quelque peu et beaucoup de journaux, magasins et livres étaient publiés. De même, le parti communiste de l'Indochine aussi parvenait à l'état légal. Un des problèmes qui se posait devant la littérature vietnamienne était: prendre part ou non au mouvement révolutionnaire mené par le parti communiste de l'Indochine. Cependant, beaucoup d'autres problèmes étaient associés à ce problème principal dans la situation très complexe de cette période, problèmes dont la solution demandait une approche différenciée, ce qui compliquait sensiblement la situation, que le radicalisme de la polémique.

En 1935, Thieu Son a écrit un article Deux vues sur la littérature *(Hai cai quan niem ve van hoc)*,[27] où il critiquait les attitudes de Nguyen Ba Hoc et de Pham Quynh dans ce sens que la thèse demandant que l'art serve la vie est «un point de vue suranné». Il défendait la position de «l'art pour l'art» et critiquait ceux qui considéraient la littérature comme un des moyens dans le service de l'Etat, sans jamais prêter la moindre attention au travail de l'écrivain. Il était essentiellement question de l'engagement politique ou de l'absence d'un caractère politique dans la littérature. Ici, Thieu Son était probablement guidé par la conception de Théophile Gautier.[28]

La conception de «l'art pour l'art» n'était pas non plus une conception claire dans la littérature vietnamienne de cette époque. Thieu Son l'interprétait comme un art au service de la politique, de l'Etat, de la morale religieuse, sans égards à leur arriération ou progressivité. Hai Trieu s'efforçait de donner à cette conception un contenu univoque (l'art comme un facteur actif et la transformation de la société),[29]

---

[25] *Van minh vat chat va van minh tinh than* (Civilisation matérielle et spirituelle), *Phu nu thoi dam* (Causerie féminine), 8. 8. 1933.

[26] *Ong Phân Khoi khong phai la mot hoc gia duy vat* (Monsieur Phan Khoi n'est pas un scientiste matérialiste), Dong phuong (L'Orient), 20. 10. 1933.

[27] *Tieu thuyet thu bay* (Roman de samedi), No. 38.

[28] Théophile Gautier — fondateur de la théorie «l'art pour l'art» dans la littérature française. Dans la préface au recueil des contes *Mademoiselle de Maupin* (1935), il écrit que l'art n'est pas tenu à moraliser et seulement ce qui ne peut être utiliser à rien est beau, et au contraire, tout ce qui est utile n'est pas beau.

[29] *Nghe thuat vi nghe thuat hay nghe thuat vi nhan sinh* (L'art pour l'art ou l'art pour la vie), *Doi moi* (Vie nouvelle), 24. 3. 1945.

mais il n'évita pas non plus les défauts, tels un manque d'argumentation solide, des inexactitudes, une confusion de concepts et un parti pris personnel.

Thieu Son est aussi l'auteur de l'article progressif Littérature nationale *(Van hoc binh dan),*[30] ou il fait éloge de la littérature progressive française (J. J. Rousseau, V. Hugo) et conclue: «Si à l'avenir les auteurs annamites seront capables d'écrire des œuvres de valeur sur les travaillants... alors la littérature vietnamienne elle aussi fera un grand pas en avant». L'article témoigne des expériences de l'auteur qui s'y connait en littérature, et de ses attitudes humanistes. Du groupe des partisans de «l'art pour l'art» il importe encore à relever le nom du poète The Luu et son recueil de poèmes Quelques nouvelles rimes poétiques *(May van tho,* 1935), par lequel y exprima ses vues sur l'art. Elles sont pleines de contradictions, mais c'est une bonne poésie. Elle contient des vers sur l'amour et la mission du poète. Leur «nouveauté résidait surtout dans l'emploi d'une langue vietnamienne claire, châtiée et débarrassée d'expressions trop chinoises, d'une métrique plus variée, plus libérale, s'adaptant à l'inspiration du poète, en lui laissant toute latitude de s'épancher et d'employer toutes les ressources de la versification française comme les enjambements, les césures, les allitérations, etc.»[31]

En conclusion on peut constater que c'est surtout la complexité de différents mouvements et groupes qui fait de l'époque de 1930—1940 une des plus intensives dans le développement de la littérature vietnamienne, une époque de recherche, de succès et aussi d'écueils. Ce processus précédait d'une certaine manière, ou accompagnait ce mouvement social dans lequel une nouvelle force sociale commençait graduellement à jouer un rôle important — le prolétariat vietnamien et son avant-garde, le parti communiste d'Indochine.

Quelques étroitesses à part, le mouvement «Poésie nouvelle» a sans aucun doute apporté quelque chose de nouveau dans le processus même de la création artistique. Il a accentué en elle la signification de la cognition intuitive, irrationnel et de l'inspiration poétique, découvrait créativement de nouveaux moyens d'expression, raffinait le mot artistique et cherchait de nouveaux genres dans la poésie. Le fait que l'impulsion de la création de beaucoup des poètes vietnamiens de la «Poésie nouvelle» était donnée par des produits ouvrés, ne témoigne pas de son arriération ou d'un complexe d'infériorité — tout au contraire, la «Poésie nouvelle» venait de cette manière en contact et au contexte avec les courants modernes de la littérature mondiale.

Par conséquent, on ne rejette pas à priori les œuvres de bons poètes du mouvement «Poésie nouvelle» sans différencier attentivement entre les valeurs modernes véritables et les expériments décadents qui ne sont jamais parvenus au niveau des valeurs artistiques.

[30] *Tieu thuyet thu bay* (Roman de samedi), No. 41, pp. 649—651.

[31] Durand, M. M.: *Introduction à la littérature vietnamienne,* Paris, Editions G.-P. Maisonneuve et Larose 1969, p. 121.

ASIAN AND AFRICAN STUDIES XIII, 1977

MUSHFIQ KĀẒIMĪ'S NOVEL THE HORRIBLE TEHRAN — ROMANTIC FICTION OR SOCIAL CRITICISM

KAMIL BAŇÁK, Bratislava

The novel *The Horrible Tehran* by Mushfiq Kāẓimī is supposed to be the first Persian social novel. Though the author situated his story within the actual social context and depicted some social evils, the present article tries to demonstrate that the novel is a romantic fiction rather than one of social criticism. This hypothesis is supported by the compositional structure of the novel — which though not very skilful, yet shows evident romantic features — and by lack of adequate social criticism.

The crucial first years of the present century witnessed the birth of modern Iran and promoted a rise of national and social consciousness: the increasing contacts of the Iranian people with democratic Europe helped to transmit progressive liberal and democratic ideas to Iran. Nevertheless, an intensive development of progressive social and political thought could occur only outside Iran among Persian emigrants.

The first decades of this century also witnessed the birth and development of modern Persian prose literature in the European sense of the term [Kubíčková, 1968, p. 364]. The most important step in this direction was the process of constitution and evolution of the two main prose genres: the novel and the short story that did not exist in Persian classical prose. While the latter started very successfully in 1921 in Berlin by the publication of a collection of short stories *Yakī būd, yakī nabūd* (Once Upon a Time) by Jamāl-zāde and represented "...from the formal point of view a true mastery of poetical hyperbole" [Kubíčková, 1968, p. 389], the former found its way into Persian literature very slowly.

In the introduction to his work Jamāl-zāde published also a kind of manifesto to the literati of Persia. In it he points out stagnation in the literary life of Iran and treats of the role of prose in literature. He states that a lack of novels in Persian literature betrays its imperfection: until 1921 only a few Persian novels, all of them historical, save one, had been published. Jamāl-zāde is of the opinion that:

"In a way, the novel substitutes a school for those who daily struggle for their living and are unable to attend school and thus acquire some knowledge. In addition, they have neither the time nor the patience to read overnights scientific or philosophical works and thus to increase their information. On the other hand, the novel increases our knowledge in many fields — history, science, philosophy and society — by employing pleasant language and an attractive way of writing *(bā zabān-i shīrīn va shīve-i jiẓẓābo laẓẓatbakhsh),* which bring happiness and satisfaction...

The language of a people derives its greatest benefit from the novel and the novelistic style (spaced by K. B.), since this style, be it presented in book-form or as a play, or as a letter, etc., presents a variety of words, idioms, parables, difficult constructions and dialects" [Jamāl-zāde, 1965, pp. 5—9].

The importance of this manifesto for the further development of Persian prose is unquestionable. The exact formulation of the literary terms was of no great importance for the literary life of Iran of those years, this was the task of the generations to come, and it explains Jamāl-zāde's ambivalent use of the term the novelistic style which is to be understood in more general meaning as prose itself. A correlation between the evolution of the novelistic style and the development of its medium of expression, i.e. the appropriate literary language, is evident in Iran's literary and social context. When translating from Western languages the translator was faced with the problem of adequate translation of the different narrative modes and levels and thus was forced to simplify the ornate classical Persian language and develop quite a new mode of literary language. Of course, in many cases the translator was rather the adaptor of the original work [Kubíčková, 1970, p. 45]. Last but not least this manifesto demonstrates that not even the first supporter of the modern orientation of Persian literature did abandon the *adab* conception of literature.

The first Persian novels were modelled after European patterns that had been translated into Persian [Kubíčková, 1968, p. 364] and formally presented an unsuccessful amalgamation of traditional classical prose works, mainly *adab* literature and of their respective European model. Though they represented a new prosaic genre in Persian literary context, H. Kamshad rightly emphasizes that "...modern prose cannot be justly dealt with as though it were completely isolated from the prose literature of the past" [Kamshad, 1966, p. XII].

This last author states in his work that "increased social consciousness resulted in literature being used as a weapon of social criticism" [Kamshad, 1966, p. XII] and there can be no objection to this statement. Many Iranists were interested to find out who made the first attempt to write a social novel in Persian literature and most of them ascribed the primacy to Mushfiq Kāẓimī and to his novel *Tehrān-i makhūf* (The Horrible Tehran). We must add that, while they appreciate the author's attempt to draw attention to some social problems of Iranian society of his time, namely to the problem of women, on the other hand, most of them consider the novel not to be very successful from the literary point of view [Alavi, 1964, p. 147; Kubíčková, 1968, p. 391] and Kamshad is a very sharp critic, for he regards it as "... a poor imitation of European romantic fiction" [Kamshad, 1966, p. 58].

Mushfiq Kāẓimī came of an upper class family, took great interest in journalism and became a contributor to some of Tehran's papers. In 1920 he left for Berlin where he studied law and was a collaborator on the Persian papers published in Berlin [Kubíčková, 1968, p. 391]. While in Berlin, he probably began to write his novel.

Unfortunately, we have been unable to use the first edition of *Tehrān-i makhūf* but in the foreword to the fifth edition of it, which we have used for our analysis [Kāẓimī, 1340], the author states that he did not change the text at all. He also mentions that he wrote it in the year 1301 of the Solar Calendar, i.e. in 1922, during the short period of two weeks only (sic) and was nineteen years old that time [Kāẓimī, 1340, p. 3]. The novel appeared that same year in instalments in the paper *Setāre-i Īrān* (The Star of Iran) and two years later was published in book-form. The novel received an enthusiastic reception by the progressive circles of Iranian society and enjoyed great popularity among a wide audience [Kubíčková, 1968, p. 391]. The novel was translated and published in Iran's neighbouring countries: Pakistan, Turkey and India. Afterwards, it was banned by Iranian authorities, the fourth edition was published in Berlin and only after 1941 did new editions come out of the home printing-press [Komissarov, 1960, p. 51].

The story of the novel is romantic. The hero, twenty-two years old Farrukh Deqīq, and his cousin, two years younger Mahīn, both of upper class families, having grown up together as childhood playmates, are in love and wish to marry. Farrukh's means are only very moderate und upstart Mahīn's father refuses his consent to the marriage of the young people for he intends to exploit his own daughter, without any regard for her feelings, for his political career. He arranges Mahīn's marriage to depraved prince Siyāvush. Impoverished Siyāvush's father expects financial help from the rich Mahīn's father and the latter is promised a seat in the Majlis during the coming parliamentary elections.

Though Mahīn's father forbids her to see Farrukh, the young lovers do not stop to meet secretly. Mahīn's father decides to get his daughter out of Tehran for a while and sends her with her mother to Qomm. Mahīn informs Farrukh about the forthcoming journey and Farrukh, with the help of one of his former schoolmates, who happens to have a high post in the transport service, prepares a plan for Mahīn's abduction. To carry out his plan he hires a servant, the lad Javād. Farrukh sends a letter to Mahīn, informs her about his intention to abduct her during the journey and Mahīn agrees.

Meanwhile Mahīn's husband-to-be, prince Siyāvush, frequents the brothels and goes on with his gay life. One night, during an accident in the brothel, he is nearly killed but his life is saved by Farrukh who happens to pass that place. Farrukh also saves a young woman, Effet, and she narrates to him about her unhappy fate. She is from an upper class family and was misused by her husband: Farrukh brings her back to her parents' house and promises to revenge her.

The plan of Mahīn's abduction is successfully executed but the lovers can stay together for only one night. Mahīn's father finds them, takes Mahīn home and puts Farrukh's helpmate Javād under arrest. Farrukh is released, for Mahīn's abduction was carried out with her consent. Mahīn falls ill. Meanwhile, Farrukh tries to get his helpmate out of prison but as he has not enough money to pay for Javād's release, he

must mortgage his own house. Javād is freed; nevertheless, he is seriously ill for he was bastinadoed. Farrukh tries also to revenge the unhappy Effet, but her former husband becomes his treacherous enemy. When Farrukh learns that Mahīn's husband-to-be is the same man whom he had saved in the brothel, he asks him to renounce his intended marriage. But prince Siyāvush sneers at his sincere plea and begins to make plans how to punish him.

Three months after the day of abduction, when Mahīn had almost recovered from her illness, a ceremony of her engagement with prince Siyāvush is going to take place. During the ceremony she again falls seriously ill, the engagement does not take place and the doctor informs Mahīn's parents that their daughter is pregnant. The intrigues of Farrukh's enemies — prince Siyāvush, Effet's former husband and Mahīn's father — successfully end in Farrukh being banished: he is illegally arrested and sent to a prison outside Tehran. The story comes to a tragic end with Mahīn's giving birth to a son and her immediate death.

The main story of the novel is expanded by the various episodes that join more or less organically the plot of the novel. Many of them undoubtedly are designed to support the author's intention to describe some of the most common social evils of his time that worried his social consciousness, the others are planned to increase the mysterious and adventurous mode of the novel and to maintain the reader's attention. Though nobody can deny the author's effort to portray in his novel a realistic picture of the social context of his time — and this was rightly stated by some critics we have mentioned — at the very beginning we must emphasize our working hypothesis which, concordantly with the above cited Kamshad's statement, regards *Tehrān-i makhūf* as a romantic novel with strong influences of an adventurous novel. There are, of course, some social elements in its structure, but the author remains mostly on the level of sentimental pathos or sometimes moves to the level of moderate satire. This can be explained by his youth, for it is natural that at his age he cannot have had enough life experiences and a more profound knowledge of men and the world.

There are two levels of narration in the novel. The most important one is the author's narration: it gives the characterization of the heroes, addresses directly the reader, explains to him some complicated and confused situations, connects the interrupted line of the story, recalls and revives in the reader's memory the mysterious happenings from the previous course of the story and makes different digressions from the main narrative line: they are sometimes of an instructive and sometimes of a satirical subject. The second level of narration consists of the direct dialogues of the characters or their monologues. The latter consist of the life stories of four prostitutes: one of them is Effet's story. While in the author's digressions we may see his conscious preserverance in traditional *adab* pattern, Kāẓimī could of course find a similar example also in his French romantic models, e.g. in *Les Misérables* by V. Hugo and his voluminous chapter dealing with the history of

Parisian sewers, the inserted stories are rather a continuation of the popular "frame story" principle of classical Persian literature.

Even a cursory glance at the curious titles of the chapters, e.g. Chapter 3: *Javān-i nāshenās kīst* (Who is the unknown youth?), Chapter 24: *Chegūne āshyāne-i ᶜeshq kashf shode būd* (How was the lovers' nest found out?) or Chapter 38: *Kangāsh-i chahār nābekār* (A meeting of four wretches) evokes the mood of mystery and adventure. This mysterious atmosphere is supported by the composition of the whole novel. Only in some few cases does the chapter consist of the closed narrative element — mostly it is closed by some unexpected or thrilling unfinished moment which is explained or completed in a subsequent but rarely in the next chapter. In case the next chapter is a continuation of the preceding one, the latter ends with some unsolved situation that is not explained immediately, but after some digression. For example the Chapter 28, named *Vojūd-i khabīs* (Wretch of a fellow) ends: "Suddenly he felt somebody's hand on his shoulder. He turned round and saw in front of him a young man dressed in a very expensive and up-to-date suit!" [Kāẓimī, 1340, p. 240]. The next 29th Chapter, named *Sevvomīn taṣādof* (The third encounter) [Kāẓimī, 1340, pp. 241-252] begins with the author's recalling the accident in the brothel where Farrukh saved the life of an unknown man, i.e. the Chapter 13 [Kāẓimī, 1340, pp. 93-104] and the reader has already passed over one hundred pages. Now Farrukh learns that it was prince Siyāvush.

The author's play with mystery is mostly very naive, unskilful and harms the dynamics and logic of the story. We shall demonstrate this on one example. The young lovers' secret meeting is interrupted by the appearance of Mahīn's parents. The young couple hide themselves and overhear the conversation. At the end of the conversation, Mahīn's father whispers something to his wife: it is about the intended journey to Qomm and the young people do not hear it. But the reader knows that Mahīn's parents went purposefully to the garden to have a talk for fear of being overheard in the house. Therefore, their whisper strikes one as illogical and we see in it the author's lack of skill in the art of a logical motivation of the elements of mystery.

In the course of narration both the author and Farrukh make frequent remarks about and point out the most striking social evils of that time: the corruption of the ruling circles, police tyranny, immorality of the rich classes and social depravity. The main and the most passionate of the author's accusations concerns the humiliating status and unfair position of Persian women. But naming and cursory display of the some negative phenomena of the society cannot be supposed to be a social criticism, this is only the first and preliminary step to it. Kāẓimī and his hero Farrukh neither suggest a remedy nor call for active defiance, their sympathy is rather passive and reproachful only. The same applies to all their critical remarks. After all, the hero of the novel is far from being an active hero. He refuses to join the civil service for he finds it humiliating to be in daily touch with the corrupted officials and he can afford

this attitude, for he is not entirely without some means, but apart from his own love affair, he does nothing for society.

As we have said, Kāẓimī's social consciousness is aware of many social evils but if we intend to find here some active social criticism, we must agree that "... when it comes to reasoning, he fails. His analysis of prostitution and other social problems shows little understanding of basic economic and social factors: his approach is descriptive rather than deductive [Kamshad, 1966, p. 60]. Therefore, we can say that any attempt of social criticism of *Tehrān-i makhūf* is repressed by the author's effort to attract the reading public by the adventurous plot of his novel. We must not forget that it was the French romantic novels which were translated and read at that time and the works by A. Dumas, V. Hugo and by other masters of French romantic prose were the models for Kāẓimī who knew French and later translated from it [Kubíčková, 1968, p. 391].

If we cease to see in *Tehrān-i makhūf* the novel with social criticism and shall try to regard it as a novel modelled after French romantic prose, then we have to criticize Kāẓimī's unskilfulness in writer's art only. When we take into consideration that the young author of *Tehrān-i makhūf* was among the pioneers of the Persian novel, then we must concede to his first work, despite its many literary deficiencies, an important evolutionary value which was also confirmed by the positive reception of the novel among Persian critics [Khānlarī, 1326, p. 151] and among the reading public of Iran.

REFERENCES

Alavi, B.: *Geschichte und Entwicklung der modernen persischen Literatur.* Berlin, Akademie Verlag 1964.

Avery, P.: *Modern Iran.* 2nd ed. London, Ernst Benn Limited 1967.

Jamāl-zāde, M. A.: *Yakī būd, yakī nabūd.* 7th ed. Tehrān 1965.

Kamshad, H.: *Modern Persian Prose Literature.* Cambridge, Cambridge University Press 1966.

Kāẓimī, M. M.: *Tehrān-i makhūf.* Tehrān, Ketābkhāne-i Ibn Sīnā, chāp-i panjom, 1340.

Khānlarī, P. N.: *Nathr-i fārsī dar dawre-i akhīr.* In: *Nakhustīn kungre-i nevīsandigān-i Īrān,* pp. 128—175. Tehrān 1326.

Komissarov, D. S.: *Ocherki sovremennoi persidskoi prozy.* Moskva, Izdatelstvo vostochnoi literatury 1960.

Kubíčková, V.: *2. Iran.* In: Z. Černá et al., *Rise and Development of Modern Literatures in Asia, III.* (Dissertationes orientales, Vol. 28). Praha, Academia 1970, pp. 32—46.

Kubíčková, V.: *Persian Literature of the 20th Century.* In J. Ripka, *History of Iranian Literature.* Dordrecht, D. Reidel 1968, pp. 355—418.

Nikitine, B.: *Les thèmes sociaux dans la littérature persane moderne.* Oriente Moderno, *XXXIV,* 1954, pp. 225—237.

ASIAN AND AFRICAN STUDIES XIII, 1977

ORHAN KEMALS SOZIAL-POLITISCHE SATIRE

XÉNIA CELNAROVÁ, Bratislava

Orhan Kemal (1914—1970) trat mir seinen Romanen *Inspektor der Inspektoren* und *Der Betrüger* in die Reihen der Schöpfer der türkischen Satire ein. In der zentralen Gestalt der Dilogie, im Affärenmacher und Intriganten Kudret Yanardağ gestaltete der Schriftsteller den Prozess der Demoralisierung des menschlichen Charakters in den Bedingungen einer bourgeoisen Gesellschaft. Auf dem Hintergrund seines Weges von kleinen Betrügereien bis zu politischen Affären widerspiegeln sich die sozial-politischen Verhältnisse in der Türkei um die Wende der vierziger und fünfziger Jahre.

Im Orhan Kemals Romanschaffen nimmt der Roman *Inspektor der Inspektoren*,[1] insbesondere jedoch dessen Fortsetzung, der um drei Jahre jüngere *Der Betrüger*[2] eine Ausnahmestellung ein. Zum ersten Mal stellt sich hier der Schriftsteller als Humorist[3] und Satiriker, ja im Roman *Der Betrüger* bereits als reifer Satiriker vor, der die schöpferischen Mittel der Satire nützt, um die kritische Ladung seiner Werke so wirkungsvoll wie nur möglich zu gestalten.

Den Roman *Inspektor der Inspektoren* konzipierte Orhan Kemal als ein humoristisches Werk. Er selbst war von der Reaktion der Leser überrascht, denen der Roman mehr als eine Satire auf die gesellschaftlichen Verhältnisse erschien: „Ich beabsichtigte einen humoristischen Roman zu schreiben... Die Leser jedoch finden darin noch auch andere Seiten... daraus habe ich begriffen, dass das Werk nicht bloss ein Roman zum Lachen, sondern auch ein satirisches, mit der historischen Entwicklung unserer Heimat verbundenes Werk ist."[4]

Nicht nur der Romantitel, sondern auch dessen Grundsituation, aus der der *Inspektor der Inspektoren* hervorgeht, suggeriert die Frage nach der Art der Relation von Kemals Roman zu Gogols *Revisor* und ob Gogols Komödie Orhan Kemal bei der Wahl des Themas beeinflusst hat. Der Schriftsteller selbst hat sich

[1] Orhan Kemal: *Müfettişler Müfettişi.* Istanbul, Varlık Yayınları 1966, 2. Ausgabe 1970. Wir zitieren die 2. Ausgabe. Weiter nur als MM abgekürzt.

[2] Orhan Kemal: *Üç Kağıtçı.* Istanbul, Tekin Yayınevi 1969, weitere Ausgaben 1971, 1973. Wir zitieren die 3. Ausgabe. Weiter nur als ÜK abgekürzt.

[3] Um einen humoristischen Zutritt bemühte sich Orhan Kemal bereits in den Erzählungen der Sammlung *Babil Kulesi* (Der babylonische Turm). Istanbul 1957, jedoch ohne nennenswerten Erfolg.

[4] Uğurlu, Nurer: *Orhan Kemal'ın İkbal Kahvesi* (Orhan Kemals Kaffeehaus Ikbal). Istanbul, Cem Yayınevi 1974, S. 392.

dazu in einem Brief an seinen vertrauten Freund Fikret Otyam folgend geäussert: „Einer der mir schmeichelnden Kritikern behauptete, ich wäre beim *Inspektor der Inspektoren* von Gogols *Revisor* beeinflusst gewesen. Hier gestehe ich Dir also mit dokumentarischer Gültigkeit, dass ich Gogols *Revisor* noch nicht einmal gründlich gelesen habe".[5]

Zur Absicht von einem mutmasslichen Inspektor eine humoristische Erzählung zu schreiben, die im Verlauf des Schaffens zu einem Roman heranwuchs, führte Orhan Kemal angeblich eine von seinem Bekannten im Freundeskreise erzählte Begebenheit. In einem Kreisstädtchen löst ein unbekannter Mensch eine Panik aus, indem er durch imposantes Aussehen, sein würdevolles Auftreten und sein Interesse für die Verhältnisse im Städtchen für einen Inspektor gehalten wird.[6] Wir können jedoch voraussetzen, dass wenn die erwähnte Begebenheit auch der direkte Impuls zur Entstehung des *Inspektor der Inspektoren* gewesen war, musste Gogols *Revisor* schon kraft seiner Existenz im literarischen Kontext und im Bewusstsein des Autors diesen Impuls gesteigert haben.

Zwischen dem Äusseren und den geistigen Fähigkeiten des *Inspektors der Inspektoren* und Gogols *Revisor* besteht zwar eine Antinomie, sie unterscheiden sich voneinander auch durch ihr Verhalten, da, während Chlestakow nichteinmal ahnt, für wen er im Städtchen gehalten wird und welcher Tatsache er die Flut von Aufmerksamkeiten aller Art zu verdanken hat, handelt Kudret Yanardağ absichtlich so, dass man ihn für einen Inspektor hält, die Atmosphäre des Provinzstädtchens, mit den dafür typischen Verhältnissen und daraus hervorgehenden Konfliktsituationen ist jedoch für beide Werke analog.

Bereits lange Zeit vor seiner Ankunft in die Stadt, in der sich die Handlung des Romans abzuspielen beginnt, wurde sich Kudret Yanardağ dessen bewusst, dass er die Ehrerbietungen und Bewunderung, die man ihm überall wo er nur erscheint, angedeihen liess, nicht seiner aristokratischen Herkunft zu verdanken hat — der Ruhm und Reichtum seiner Ahnen sind unwiderruflich verlorengegangen — sondern seiner mannhaften Figur, dem tadellosen Geschmack seiner Kleidung, den erlesenen Manieren. Dass man aus diesen Devisen auch etwas mehr als blosse Ehrerbietung herausholen kann, begreift er mit Hilfe des schlauen İdris, als er in einem Kreisstädtchen in Anatolien als Schreiber wirkt. Hier erkennt er, wie sich unter dem Eindruck seiner Erscheinung und einiger passend gewählten Worte die Geldbörsen der leichtgläubigen Provinzler öffnen.

Diese Vorgeschichte erfahren wir erst im Verlauf der aktuellen Handlung aus den Reflexionen und Erinnerungen der Gestalt. Kudret Yanardağ erscheint gleich auf

[5] Otyam, Fikret: *Arkadaşım Orhan Kemal ve Mektupları* (Mein Freund Orhan Kemal und seine Briefe). Ankara. E Yayınları 1975. S. 348.

[6] Die Begebenheit wird genau im Buch Uğurlu, N.: *Orhan Kemal'ın İkbal Kahvesi*, Seiten 380, 383—389, 391 besprochen.

der ersten Seite des Romans, aber im ganzen ersten Kapitel erfährt der Leser über ihn lediglich das, was das Publikum im Weinkeller, den er betreten hat, sieht. Er notiert dessen zur Schau getragene Wichtigkeit und gemeinsam mit den Menschen im Weinkeller rätselt er, wer dieser „Mann", dieser „Herr", dieses „grosse Tier" wohl sein könnte? Ein Inspektor, ein Abgeordneter, oder sogar der Minister selbst?

In den folgenden Kapiteln jedoch „... geht der Autor von der objektiven Schilderung der Gestalt und der Situation zur Schilderung der subjektiven Verfassung der Gestalt (unter Nutzung ‚der Sprache der Gedanken') über und auch die Dekoration schildert er teilweise mittels des Mediums der Gestalt, d.h. nicht aus des Autors Blick von oben her, sondern als das, was die Gestalt sieht".[7] Das Hauptgewicht der Erzählung wird auf die inneren Erlebnisse Kudret Yanardağs übertragen, in denen nach und nach nicht nur seine Charakterzüge, sondern auch der Charakter seiner Tätigkeit, seiner Vergangenheit, das Familienleben, die Beziehungen zu seinen Kumpanen in Istanbul, seine sozialen Verhältnisse enthüllt werden. Dadurch wird gleichzeitig auch die soziale Realität mit ihren Missständen enthüllt.

Bereits hier deutet Orhan Kemal den Prozess der Demoralisierung des menschlichen Charakters als ein Ergebnis der negativen Erscheinungen in der türkischen Gesellschft an. Voll entfaltete der Autor diesen Gedanken jedoch erst im Roman *Der Betrüger*. Im *Inspektor der Inspektoren* ist Kudret Yanardağ eher eine tragikomische Gestalt, ein passives Opfer der gesellschaftlichen Gebrechen, die über seine Vergangenheit auf ihn eine Rückwirkung ausüben und ihn fast gegen seinen Willen auf Abwege schleppen. Kudret Yanardağs Verbundenheit mit der Vergangenheit unterstreicht Orhan Kemal auch so, indem er die Ebene der Erzählung in aktueller Gegenwart mit der Ebene der Erinnerungen abwechselt. Es ist als deuteten im letzten Teil des Romans Kudret Yanardağs Reflexionen in Momenten seiner geistigen Depressionen beinahe eine Richtung zu seinem moralischen Wiederaufleben an. Die Strafe, die schliesslich in Form einer Gefängnishaft kommt, die gänzliche Stimmung des Abschlusskapitels des *Inspektor der Inspektoren* bestärken diesen Eindruck noch mehr.

Die Konzeption der Gestalt Kudret Yanardağs im Roman *Der Betrüger* weicht von der Konzeption im *Inspektor der Inspektoren* grundsätzlich ab. Hier erfüllt sie vor allem die Funktion der Form, in die sich der sozial-politische Inhalt spiegelt. Im Kampf um die Erreichung eines Abgeordnetenmandats fallen von Kudret Yanardağ alle moralischen Skrupel, die Demoralisierung seines Charakters vollzieht sich und, gigantische Ausmasse annehmend, erreicht sie eine groteske Gestalt. In Kudret Yanardağs demagogischen Bemühungen um die Gunst und Unterstützung des Wählers widerspiegelt sich der erbitterte Kampf der Demokratischen Partei um die Einnahme der führenden Positionen im Lande zu Beginn der fünfziger Jahre. Im

[7] Hrabák, J.: *K morfologii současné české prózy* (Zur Morphologie der tschechischen Gegenwartsprosa). Brno, Blok 1969, S. 108.

Roman *Der Betrüger* spielt sich im Kleinen das ab, was in riesigen Ausmassen seinerzeit in der ganzen Türkei vor sich ging.[8]

In beiden Teilen der Dilogie weicht Orhan Kemal einer expliziten Charakterisierung der agierenden Personen konsequent aus. Seine Beziehung zu den dargestellten Gestalten kommt in einer ironischen, ja manchenorts sogar sarkastischen Intonation zum Ausdruck.[9] Im Bestreben nach einer objektiven Abbildung seiner Gestalten nützt der Schriftsteller die Methode der „vielerlei Anblicke" aus.[10] Den Charakter von Kudret Yanardağ sowie die Charaktere einiger weiterer Gestalten erkennen wir aus den inneren Monologen, Dialogen, aber auch daraus, wie sie den anderen Gestalten im Roman erscheinen, sowie aus deren gegenseitigen Beziehungen. Solche, aus mehreren, voneinander oft sehr unterschiedlichen Quellen stammende und in einige Ebenen geschichtete Informationen über den Charakter der Gestalt vermitteln dem Leser eine geschlossene Vorstellung von der Gestalt, wobei auch solche Charakterzüge auftreten, die bei einem einseitigen Anblick nicht zum Vorschein kommen könnten. Auf diese Weise gelang es Orhan Kemal die verschiedentlichen Elemente und Mittel des Charakteraufbaus vielseitig auszunützen.

Seine Bedeutung hat bei der Charakterisierung auch der Name Kudret Yanardağs (übersetzt heisst er etwa Allmacht Vulkan), als ob er das Imposante seiner Gestalt noch unterstreichen und ihr Glanz verleihen würde. Kudret Yanardağ erbte den Namen und sein angenehmes mannhaftes Äusseres, um daraus jedoch Kapital schlagen zu können, war es wichtig beides in günstigen Bedingungen gehörig zu nützen. Damit seine Gestalt zur Geltung komme und den erforderlichen Eindruck hervorrufe, ist auch eine angemessene Kleidung notwendig:

— In riesenhaften gelben Schuhen, braunem gestreiften Anzug, der ihm nicht nur

---

[8] Vergleiche mit Novičev, A. D.: *Turcija* (Die Türkei). Moskau, Nauka 1965, S. 201: „In ihrer Bemühung die Macht an sich zu reissen zögerte die Demokratische Partei nicht davor die regierende Republikanische Volkspartei zu kritisieren, wodurch sie die Sympathien der Unzufriedenen, hauptsächlich auf dem Lande erwerben konnte. Sie sparte nicht mir Versprechungen. Den Werktätigen versprach sie das Streikrecht, die Ausweitung der Arbeitsgesetzgebung usw. Sie spekulierte auch mit den religiösen Vorurteilen eines Teils der Bevölkerung, hauptsächlich der Bauern. Die Demokratische Partei gewann ständig an Popularität. Um die Macht behalten zu können, stützte sich die Regierungspartei hauptsächlich auf Gewalt."

[9] Auf diesen charakteristischen Zug von Kemals Schaffen macht schon S. Uturgauri bei der Bewertung des erzählerischen Schaffens Orhan Kemals aufmerksam. Uturgauri, S. M.: *Tvorčestvo Orhana Kemalja — novelista* (Das Schaffen Orhan Kemals — des Novellisten). Moskau, Institut narodov Azii AN SSSR 1963.

[10] Vergleiche mit Dneprov, V.: *Čerty romana XX veka* (Die Zeichen des Romans des 20. Jahrhunderts). Moskau—Leningrad, Sovetskij pisatel' 1965, S. 544: „Im Roman des 20. Jahrhunderts nimmt eine immer grössere Bedeutung das Prinzip an, nicht aus einem, sondern aus vielen Standpunkten aus darzustellen... Das objektive Bild entsteht aus der Summe der subjektiven Vorstellungen und Wahrnehmungen der Wirklichkeit, die sich sozusagen übereinanderschichten und im Endergebnis ihre Eintönigkeit abgeschwächt wird."

gut steht, sondern ihm auch Wichtigkeit verleiht, in einem Hut mit hochgeschlagener Krempe und einer gelben Aktentasche in den Händen begab er sich den Weg. Die Fussgänger, aber noch mehr die Handwerker vor ihren kleinen Läden, lüfteten mit Ehrerbietung ihre Mützen und grüssten ihn, sich bis zur Erde verneigend.[11]

Die gelben Schuhe, deren Knarren nicht minder wichtig klingt als die Worte ihres Besitzers, der braune Anzug, die Krawatte, das gestärkte Hemd, der Hut und die grosse Aktentasche werden durch deren ständiges Betonen zu einen Leitmotiv, zu Requisiten, die von der Gestalt nicht wegzudenken sind.[12] Hierzu reiht sich auch das nette Notizbuch, das im Verlaufe der Handlung seine Funktion ändert. Vorerst dient es Kudret Yanardağ lediglich zu fingierten Eintragungen der Mängel, die bei der „Inspektion" aufgetreten waren, später vermerkt er darin seine plötzlichen Einfälle, die er bei seinen Vorwahlsreden passend anwenden könnte.

Der Eindruck, den der so gerüstete Kudret Yanardağ hervorruft, wird auch durch sein angenehmes Benehmen verstärkt:

— Das ist nicht nur der Chef aller türkischen Inspektoren, sondern der Inspektor der Gouverneure, der Polizeipräfekten, der Abgeordneten und überhaupt der grossen Tiere in der ganzen Türkei. Das erkennt man gleich an seiner Anziehungskraft, seinem Benehmen, daran, wie er das Glas, die Gabel, das Messer hält, wie er sich einen Happen abschneidet, wie er ihn auf die Gabel spiesst, wie er den Salat in die Tunke eintaucht, an seinem Gang, wie er hinter dem Tisch sitzt, wie er spricht, ja sogar wie er sich in sein schneeweisses, schön gefaltetes Taschentuch schneuzt,[13]

konstatiert der Fiakerkutscher, der Kahlköpfige Mistik, der bei der Entfaltung des Sujets beider Romane eine bedeutende Rolle spielt.

Zu Kudret Yanardağs Waffenarsenal, mit dem er die Rückständigkeit, die Verängstigung und das Vertrauen der einfachen Leute, aber auch das schlechte Gewissen der Unternehmer und Staatsbeamten angreift, gehört auch seine mächtigste Waffe — der sprachliche Ausdruck. Mit einem reichen Vorrat an arabischer Lexik, mit bombastischen, auf die jeweilige Situation massgeschneiderten Phrasen versetzt er seine Zuhörer in Verwirrung, Verwunderung, Begeisterung. Er weiss genau, wann ein einziges, sorgfältig gewähltes Wort eine effektivere Wirkung haben kann als langmächtige Sätze. Wie ein Peitschenhieb wirkt das Wort Ankara auf den

[11] MM, S. 216.

[12] Vergleiche mit Mukařovský, J.: *Studie z estetiky* (Studien aus der Ästhetik). Prag, Odeon 1966. In: *Estetická funkce, norma a hodnota jako sociální fakty*, S. 21: „Durch ihre Isolierfähigkeit kann die ästhetische Funktion auch zu einem sozial-differenzierenden Faktor werden: ... die absichtliche Ausnützung der ästhetischen Funktion zur Betonung der Bedeutung der Machthaber und zu derer Isolierung vom übrigen Kollektiv (z.B. die Kleidung des Machthabers als solchen, oder seiner Dienerschaft, sein Sitz usw.)".

[13] MM, S. 48.

Gouverneur und seinen Stellvertreter.[14] Auf die Gendarmen, die ihn nach Istanbul zum Strafvollzug eskortieren, wirken seine Worte dermassen verwirrend, dass sie dem Häftling nicht nur die Handschellen abnehmen,[15] sondern ihm auch noch die Hände küssen.[16] Es gelingt ihm sogar die echten Inspektoren aus Ankara irrezuführen.[17] Zum wirklichen Meister der Demagogie wird Kudret Yanardağ jedoch erst in der Vorwahlkampagne, als die von seiner Rede fanatisierte Menschenmenge massenhaft Anmeldungen in die Neue Partei unterschreibt, den vorsichtigen und berechnenden Kahlköpfigen Mıstık nicht ausgenommen.[18]

Sich stets unter allen Umständen ausfinden, aus einer jeden Lage für sich Nutzen ziehen zu wissen — das ist das Kredo, das Kudret Yanardağ von seinen Grossvätern und von seinem Vater, geehrten Staatswürdenträgern — geerbt hat.[19] Und Kudret Yanardağ bemüht sich aus allen Kräften dem Vermächtnis seiner Ahnen treu zu bleiben. Geschickt nützt er jede Gelegenheit zu seinem eigenen Vorteil. Die Bartstoppeln, zu seiner eleganten Kleidung und würdevollem Auftreten so unpassend, bringen ihn auf die Idee: sich im Gefängnis für einen verfolgten Politiker auszugeben.[20] Sofort beginnt er diese Idee in Tat umzusetzen. Mit welchem Erfolg, das zeigt der Abschluss des Romans *Der Betrüger*: von begeisterten Ovationen seiner Wähler begleitet reist Kudret Yanardağ als neugewählter Abgeordneter zum Parlament nach Ankara.

Der zum Äussersten gesteigerte Egoismus Kudret Yanardağs wird zum personifizierten Prinzip der kapitalistischen Moral. Der Egoismus, die Oberflächlichkeit und das Amorale von Kudret Yanardağs Charakter, die Armut seines seelischen Lebens kommt am krassesten in seiner Beziehung zu den Frauen zum Ausdruck. Der zweite Teil der Dilogie, in dem die Demoralisierung der Hauptgestalt ihren Höhepunkt erreicht, stellt in ein neues Licht auch Kudrets Beziehung zur Mutter, die im *Inspektor der Inspektoren* als eine der wenigen positiven Charakterzüge auftritt. Hier erscheint Kudret Yanardağ als zärtlicher und ergebener Sohn, der mit rührender Sorgfalt seine todkranke Mutter pflegt, welche ihrem vergötterten einzigen Kind ihr ganzes Leben geweiht hatte. In Gedanken kehrt er immer wieder zu ihr zurück, in Erinnerungen an die glückliche Kindheit bei seiner Mutter sucht er Trost in Momenten von seelischer Depression. Die in Kudret Yanardağs sentimentale Überlegungen verborgene Ironie des Autors deutet das wahre Gesicht seiner Beziehung zur Mutter bereits an:

---

[14] Ibid., S. 236.
[15] Ibid., S. 398.
[16] ÜK, S. 19.
[17] Ibid., S. 197—199.
[18] Ibid., S. 257—263.
[19] Ibid., S. 57.
[20] Ibid., S. 60.

— Wehmütig erinnerte er sich seiner Mutter. Seine Mutti, sein Alles! Sie ist das wohl stärkste Band, das ihn mit dieser Welt verbindet. Schliesst sie einmal ihre Augen für immer, hat das Leben für Kudret Yanardağ keinen Sinn mehr!...

Tränen, die aus seinen Augen traten, fielen auf den verstaubten Fussboden beim Bett. Nein wirklich, was soll er nur beginnen, wenn seine Mutti, wenn sein Mütterchen einmal gestorben ist?

Lange hat er erfolglos darüber nachgedacht. Nicht nur dass ihn der Mut verlässt, vielleicht verliert er sogar seine Fähigkeit die Leute mit seinem Aussehen zu täuschen.[21]

Nie hat Kudret Yanardağ jemand selbstlos geliebt. Im Rückblick erweist sich auch seine Beziehung zur Mutter als rein egoistisch. In Istanbul, seinen schmarotzenden Freunden, seiner Frau und den Kindern auf Gnade und Ungnade ausgeliefert, ist die Mutter der einzige Mensch, der ihm das bietet, ohne was er nicht existieren kann: vergötternde Bewunderung. Sie schenkt ihm ihre Liebe ohne einen Gegenwert dafür zu erwarten. Sobald jedoch Yanardağ in neue, günstigere Verhältnisse gerät, wenn sich die begeisterten Blicke Nefises, ihres Schwagers, der Mithäftlinge and ihn heften, verschmerzt er leicht den Verlust seiner Mutter. Die Nachricht von Mutters Tod wirkt störend in seiner Gemütsruhe.[22] Wenn dann später die Reihen seiner Bewunderer von Tag zu Tag anwachsen, erinnert er sich seiner Mutter überhaupt nicht mehr.

Eine wichtige kennzeichnende und thematische Komponente bildet die von verschiedenen Gesichtswinkeln gesehene Beziehung zwischen Kudret Yanardağ und seiner Frau Şehvar. Mit Şehvar wird der Leser anfangs in den Reflexionen Kudret Yanardağs bekannt gemacht und sieht sie so, wie sie jenem erscheint. Bei der Erinnerung auf Şehvar verfinstert sich Kudrets Miene automatisch. In seinen Gedanken tauchen ihre kleinen schielenden wimpernlosen Augen auf.[23] Die Angst vor seiner Frau verfolgt ihn auch im Schlaf, ihn graut es vor ihren hysterischen Anfällen. Mit ihrem Alkoholismus, ihrer Schwäche für junge Mädchen und Frauen, ihrem rücksichtslosen Benehmen zum Gatten und dessen Mutter scheint gerade Şehvar die verantwortliche für die gescheiterte Ehe, für den Zerfall der Familie zu sein, der sich nach und nach in Familienszenen, in Dialogen der Familienmitglieder und Nachbarn, in ihren eigenen inneren Monologen enthüllt. Ein neuerlicher Blick auf die Gründe der Ehekrise, der sich nach den inneren Monologen von Kudret[24] und Şehvar[25] auftut, enthüllt als den wahren Schuldigen Kudret Yanardağ, der eines tieferen und dauerhafteren Gefühls, der Erwiderung der ihm erwiesenen Liebe nicht fähig ist.

[21] Ibid., S. 52—53.
[22] Ibid., S. 99.
[23] MM, S. 151.
[24] ÜK, S. 144.
[25] Ibid., S. 315.

Frauen sind für Kudret Yanardağ lediglich ein Gegenstand seiner beutegierigen Interessen. Es ist ihm an ihrem Alter nicht gelegen, wichtig ist nur das, was sie ihm gewähren wollen und können. Er ist gewillt sich mit ihnen nur so lange zu befassen, bis er sein Ziel erreicht:

— Noch einmal überflog er mit den Augen Frau Dürdânes Brief. Wie soll er in ihrem Fall vorgehen? Mit Sema und Nefise verglichen haben ihre weiblichen Vorteile keinerlei Wert, sie verspricht jedoch ihr ganzes Eigentum, die Wertpapiere und das Geld auf ihn zu übertragen. Des Besitzes willen wird er sie doch nicht gleich heiraten. Und wozu auch. Er hat doch Nefise mit ihren unübersehbaren Feldern. Morgen beteiligt er sich an der Wahl als Grossgrundbesitzer und unter diesem Titel wird er auch im Parlament figurieren. Deshalb... Und was geschieht, wenn ich keine von ihnen heirate? Alle drei Frauen vergöttern mich. Nur ins Parlament gelangen. Und dann? Dann ergeben wir uns in Gottes Hände... Du bist doch der übergrosse Kudret Yanardağ. Du bist zur Welt gekommen um in die Luft zu reden und doch das Ziel nicht zu verfehlen. Darin liegt die Weisheit deines Entstehens. Diese Einfaltspinsel brauchen doch auch kluge Leute wie ich es bin. Gott ist gnädig. Seinen Sklaven, die sich mit dem Überfluss keinen Rat wissen, schickt er, selbstverständlich, Fresser zur Hilfe.[26]

Und Kudret Yanardağ begegnet auf seinem Lebensweg genug solcher „Einfaltspinsel", auf deren Rechnung er in Hülle und Fülle leben kann, dank der Fähigkeit seine Opfer einzuschätzen und die Taktik richtig zu wählen. Betont er während seiner „Inspektionen" ein einfacher schlichter Bürger zu sein, der lediglich seiner Unzufriedenheit mit den Missständen Ausdruck verleiht, handelt er so mit Absicht, da er weiss, dass er in den Leuten gerade die Überzeugung vom Gegenteil festigt. Schon als kleiner Betrüger, der den gewissenslosen Unternehmern Schmiergelder entlockt, vermag er mit seinem vorgetäuschten Interesse für Ordnung zu Gunsten des armen Volkes die Masse auf seine Seite zu gewinnen.[27] Als potenzieller künftiger Kandidat für ein Abgeordnetenmandat begreift er, dass Versprechen das billigste und dabei wirksamste Mittel sind um die Gunst der Masse zu gewinnen. Er beginnt sie daher bereits im Gefängnis reichlich auszuteilen. Zu einer Zeit, da sich im Lande der religiöse Fanatismus auszubreiten beginnt, versteht er es auch auf dieser empfindlichen Saite seiner künftigen Wähler zu spielen:

— „Die Religion, die Religion!" rief er. „Dieses Volk, dieses edelmutige Volk kann hungrig sein, kann Durst erleiden, aber seine Religion gibt es nicht auf!" Mit einem Blick überflog er die Zuhörer, Antwort von ihnen erwartend. Aber die Zuhörer waren von seinen Worten berauscht. Er erhöhte die Stimme. „Ich frage euch, könnt ihr ohne Religion leben?" Wie unter einem Schlag ins Gesicht erbebten die Zuhörer und donnerten los: „Nicht um die Welt. Wir wollen nicht!"[28]

[26] Ibid., S. 204—205.
[27] MM, S. 43—44, 89.

Es genügt jedoch nicht von der Religion nur zu sprechen und Reden zu halten. Als Vorsitzender des Provinzkomitees der Neuen Partei muss auch Kudret Yanardağ, in Religionsfragen nur sehr lau, der Anforderung der Zeit sich anpassend zu beten beginnen. Der Entschluss, sich zur Unterstützung seiner Interessen in einen eifrigen Gläubigen zu verwandeln, spielt wieder in einer äusserst grotesken Lage. Die beschränkte Bewegungsmöglichkeit im Gefängnis und das damit verbundene Anwachsen seines Körpergewichts bringen Kudret Yanardağ auf den Gedanken durch tägliches rituelles Beten einerseits die überschüssigen Kilos loszuwerden und gleichzeitig seine Autorität in den Augen seiner frommen Mithäftlinge, sowie Nefîses anzuheben. Um diesen plötzlichen Wandel nicht verdächtig erscheinen zu lassen, nimmt er sich einen fiktiven Traum zur Hilfe, der aus ihn in den Augen des naiven und rückständigen Publikums fast einen Heiligen macht.[29]

Bescheid wissend, dass sich fast ein jeder Durchschnittsbürger der Türkei für einen Nachfahren des grossen Osmanischen Reichs hält, greift Kudret Yanardağ auch diese schwache Seite seiner Zuhörer an, seine Aufrufe zur Wiederherstellung der Traditionen des osmanischen Sultanats werden von Rede zu Rede immer nachdrücklicher:

— „Millionen von Quadratkilometern, die das Schwert des osmanischen Sultanats eroberte, das sind Horizonte deren unsere Nation zweifelsohne würdig ist, Freunde! Die müssen wir zurückgewinnen, die Welt wieder auf des Schwertes Schneide nehmen! Wir wollen nicht unter der Botmässigkeit der europäischen Kultur und Zivilisation stehen!" Wieder ertönte Applaus, Ovationen. „Wir werden nicht unter ihrer Botmässigkeit stehen, Freunde. Die Welt wird unter unserer Botmässigkeit stehen, sie wird vor uns zittern und, so wie einst, wieder wird man unfolgsame Kinder mit den Türken schrecken".[30]

In seiner blinden Rücksichtslosigkeit, die in gleichem Verhältnis zur steigernden Begeisterung der Masse anwächst, schreckt Yanardağ auch davor nicht zurück, sich mit der leuchtendsten Gestalt der türkischen Geschichte, mit dem nationalen Volksaufklärer Namık Kemal gleichzustellen,[31] ja er bildet sich ein, dass er, Yanardağ, eine noch grössere, noch bedeutendere Persönlichkeit sei.

Den tragikomischen Kontrast zwischen dem falschen Selbstbewusstsein und dem Grössenwahn der Gestalt und ihrer tatsächlichen Nichtigkeit und Bedeutungslosigkeit hat Orhan Kemal bereits in seinem unvergesslichen *Murtaza* meisterhaft gestaltet.[32] Wie Murtaza, so auch Kudret Yanardağ, verblendet vom Gefühl der eigenen Autorität, erniedrigt diejenigen, die es nicht können oder es nicht wagen

[28] ÜK, S. 307.
[29] Ibid., S. 218.
[30] Ibid., S. 341.
[31] Ibid., S. 61, 202, 206, 244.
[32] Orhan Kemal: *Murtaza*. Istanbul, Varlık Yayınları 1952.

sich gegen ihn aufzulehnen. Einem, durch seine Position oder durch moralische Qualitäten höher stehenden Menschen gegenübergestellt, verliert er den Boden unter seinen Füssen, er wird demütig und unterwürfig. (Die Szene mit dem Prokurator im vorletzten Kapitel des Romans *Der Betrüger.*)

Im Roman *Der Betrüger* prangert Orhan Kemal Seite für Seite die sozial-politischen Verhältnisse um die Wende der vierziger und fünfziger Jahre an, ohne des Autors direkte Bewertung in den Vordergrund treten zu lassen. Ein Vorteil von Kemals schöpferischer Methode ist es, dass die Gebrechen der Gesellschaft, ihre Missstände wie von selbst auf die Oberfläche treten, sich in den Taten und im Denken der handelnden Personen widerspiegelnd.

Der Mittelpunkt, um den sich die meisten sozial-politischen Momente des Romans konzentrieren und aus dem sie hervorgehen, ist Kudret Yanardağ. Schon im Roman *Inspektor der Inspektoren* sind einige der Aussprüche und Überlegungen Kudret Yanardağs eine Satire auf die gesellschaftlichen Verhältnisse.[33] In *Der Betrüger* entfaltet sich dieses Moment bereits ganz ausdrucksvoll. Kudrets Kritik der politischen Methoden der Opposition z.B., durch die er die Gunst des Leutnants, eines Angehörigen der Regierungspartei gewinnen will, avisiert so symbolisch seine eigenen Methoden im zukünftigen politischen Kampf.[34] Seine plötzliche Eingebung, sich für einen verfolgten politischen Funktionär auszugeben, wird von Überlegungen über den Grundsatz der Tätigkeit von Oppositionsparteien begleitet, die ihm nichtig vorkommt.[35] Nicht sehr schmeichelhaft ist auch seine Meinung über seine zukünftigen Wähler,[36] die bereit sind ihn und ihm ähnliche Individuen zu Herrschern über die Nation zu machen, in ihnen Rächer des vom herrschenden Regime verursachten Unrechts sehend.[37]

In Kudret Yanardağs demagogischen Reden und in den Reaktionen des Publikums auf diese Reden erreicht Kemals Satire ihren Höhepunkt. Mit improvisierten Reden vor einer kleinen Schar seiner Mithäftlinge beginnend, wächst Kudrets Demagogie und das Bombastische seiner Phrasen in dem Verhältnis an, wie sich die Anzahl seiner Zuhörer erhöht, bis seine Reden zuletzt nicht nur für die Regierungspartei, sondern auch für die oppositionelle Neue Partei (unter diesem Namen figuriert im Roman die Demokratische Partei) gefährlich werden. Greifen die Funktionäre der ersten gegen Kudret Yanardağ nicht ein aus Furcht, dass durch die Verhaftung des Publikumslieblings seine Popularität noch anwachsen könnte, so ist für die zweite am wichtigsten die Tatsache, dass dieser „fürchterliche Demagog" die Menschenmenge an sich reissen und sie in ihre Reihen führen kann.[38]

[33] MM, S. 90, 97, 216—217.
[34] ÜK, S. 44, 64.
[35] Ibid., S. 57—58.
[36] Ibid., S. 218.
[37] Ibid., S. 206.
[38] Ibid., S. 321—322.

Der Vorsitzende des Provinzkomitees der Neuen Partei begreift bei der ersten Zusammenkunft mit Yanardağ, dass er einen Menschen vor sich hat, den die Partei braucht,[39] gleichzeitig kommt er aber mit Bitterkeit ins Klare darüber, dass Demagogen vom Typ Kudret Yanardağ die Partei nur auf Abwege führen können, wie dies bei anderen Parteien in fernerer und jüngster Vergangenheit der Fall gewesen war.[40] Der Dienst an den Bedürfnissen und Interessen des Volkes, die edlen Ideale, die ihn zur Mitgliedschaft in der Oppositionspartei führten, sind jetzt, wo der Sieg in Reichweite gerückt ist, für diese Partei überflüssig.

Seine Überzeugung, dass den Hauptanteil der Schuld für die Lage, die sich in der Türkei in den fünfziger Jahren entwickelte, Menschen haben, denen alles, ausser ihren eigenen Profits gleichgültig ist, brachte Orhan Kemal in den Überlegungen der episodischen Gestalt des Zimmergenossen von Kudrets Kumpan zum Ausdruck.[41]

Die aktuelle Zeitabgrenzung beider Romane ist verhältnismässig kurz, der Raum, in dem sich die Ereignisse abspielen, ist nicht sehr breit, zu einem Milieuwechsel kommt es nur einige Male, durch maximale Konzentration und Dynamik der Handlungsepisoden erfasst jedoch der Autor trotz dieses engen Rahmens einen weiten Umfang.

In Anbetracht der Tatsache, dass die Handlung beider Romane in eine konkrete historische Epoche situiert ist und dass obwohl beide Romane eng aneinander anknüpfen — die Abschlusssituation im Roman *Inspektor der Inspektoren* ist gleichzeitig die einleitende Situation des Romans *Der Betrüger* — die historische Zeit im ersten Teil der Dilogie mit der historischen Zeit der Fortsetzung nicht zusammenfällt, ist es notwendig diese Diskrepanz zu erklären.

Beim Verfassen des Romans *Inspektor der Inspektoren* dachte Orhan Kemal über dessen mögliche Fortsetzung noch nicht nach. Er situierte die Handlung des Romans in das Jahr 1957,[42] d.h. in die Zeit, da die Willkür der berüchtigten reaktionären proamerikanischen Demokratischen Partei mit all ihren, für das türkische Volk auf sozialem und politischem Gebiet unheilvollen Auswirkungen gipfelte. Die Verhältnisse dieser Zeit widerspiegeln sich im *Inspektor der Inspektoren* eher auf dem Hintergrund der persönlichen Probleme Kudret Yanardağs als direkt. Die empfindliche Reaktion der Leser auf die gesellschaftliche Problematik im Roman führte Orhan Kemal zum Verfassen des Romans *Der Betrüger.* Diesmal entschloss sich der Schriftsteller einen schiefen Spiegel der Gesellschaft vorzuhalten, die es der Demokratischen Partei im Mai 1950 ermöglichte die Staatsführung für die nächsten zehn Jahre in ihre Hände zu nehmen. Von einem tückischen, vorzeitigen Tod überrascht schaffte es Orhan Kemal nicht mehr den Roman *Inspektor der*

[39] Ibid., S. 250—251.
[40] Ibid., S. 259.
[41] Ibid., S. 289—290.
[42] MM. S. 175, der Kalender in der Wohnung des Polizeipräfekten zeigt das Datum 12. August 1957.

Inspektoren umzuarbeiten und ihn zeitlich, vor allem jedoch gedanklich mit dem Roman *Der Betrüger* in Einklang zu bringen, noch sein weiteres Vorhaben auszuführen, den dritten Teil zu schreiben, der das Regime der Demokratischen Partei anprangern sollte, wieder mit Kudret Yanardağ, diesmal bereits als Staatsmann in der Hauptrolle.[43]

Die Handlung der ersten dreizehn Kapitel des *Inspektor der Inspektoren* spielt im Verlauf einer einzigen Nacht und des folgenden Vormittags in einer kleinen Residenzstadt der ostanatolischen Provinz. Diese dreizehn Kapitel umfassen jedoch die Mehrzahl der satirischen Momente des Romans. Kudret Yanardağs Weg durch die Stadt, vom armseligen Weinkeller bis zum Verwaltungsgebäude der Provinz wird zu einer wahrhaftigen Inspektion der Verhältnisse in der Stadt. Die Rolle eines urwüchsigen Kommentators dieser Verhältnisse und eines aktivierenden Faktors spielt hier der Kahlköpfige Mıstık, durch dessen Zutun die ganze Stadt in Bewegung gerät und ihr Gesicht voll enthüllt.

Die chronologische Folge der Ereignisse im Roman wird durch assoziativ beigereihte retrospektive Szenen unterbrochen. Der Fluss der Zeit wird beinahe in einem jeden Kapitel entweder von der handelnden Gestalt oder direkt vom Erzähler angedeutet.

Das dreimal sich wiederholende Motiv des Aufsteigens über die Treppe im Roman *Inspektor der Inspektoren* ist mit der Verschiebung der Zeitebene verbunden, zweimal in die Zukunft und einmal in die Vergangenheit. Im Hause des Hotelbesitzers über die Treppe steigend erinnert sich Kudret Yanardağ an seine Mutter, die nicht nur die Treppe, sondern das ganze Haus reingehalten hat.[44] Wenn er die Treppe im Gebäude der Provinzverwaltung besteigt, wächst Stufe für Stufe seine Erregung an (parallel damit wächst auch die Erregung der Menschenmenge an, die ihn beobachtet). Um das Angstgefühl loszuwerden und sich ein Herz zu fassen denkt er an den Vorfall des Herrn Niyazi, der sich auch dem Minister gegenüber wagte.[45] Zum dritten Mal wiederholt sich dieses Motiv nach Kudrets Rückkehr nach Istanbul, wo er die Treppe zu seiner Wohnung hochsteigt. Das Zusammentreffen mit seiner Frau befürchtend, denkt er an die Zukunft, an die Verwirklichung seiner Pläne ein Häuschen für sich und seine Mutter zu bauen.[46]

Die meisten der Digressionen im *Inspektor der Inspektoren* sind funktionell motiviert, sie dienen der Charakterisierungsvertiefung der Gestalten. In diesem Roman jedoch gelang es dem Autor auch solche Szenen nicht zu vermeiden, die das Dynamische der Handlung retardieren, sie mit überflüssigen, funktionslosen Details

[43] Über diese Absicht Orhan Kemals schreibt sein langjähriger Freund, der sowjetische Turkologe Radij Fiš im Vorwort zur Auswahl aus dem Schaffen des Schriftstellers. *Orchan Kemal.* Sostavitel (Editor) S. Uturgauri. Moskau, Progress 1975, S. 19.

[44] MM, S. 100.

[45] Ibid., S. 230—232.

[46] Ibid., S. 289.

belasten. Zu diesen gehört die Beschreibung des Familienglücks eines jungen Polizeipräfekten im zehnten, die trivialen Szenen im Hause des Bürgermeisters im elften, der Klatsch der Nachbarinnen im neunzehnten, der Streit Şehvars mit Dürdâne im zwanzigsten Kapitel. Im Roman *Der Betrüger* gelang es dem Autor zwecklose Digressionen und Details zu vermeiden. Die genaue Wiederholung einiger Begebenheiten aus dem Roman *Inspektor der Inspektoren* soll diese dem Leser in Erinnerung bringen, bzw. den Leser, der den ersten Teil nicht kennt, mit ihnen bekannt machen.

Wir erwähnen hier eine der Digressionen im Roman *Der Betrüger*, die keine direkte Beziehung zur Handlung hat, trotzdem jedoch in den Rahmen der Romankomposition passt. Es ist dies der mit einigen Sätzen umrissene Vorfall des Häftlings Ömer,[47] die lakonische, ja schroffe Darstellung, verbunden mit einem hohen Ideengehalt erinnert an die frühen Erzählungen Orhan Kemals, sowie an die Erzählung *Der Kanal* von Sabahattin Ali.

Ganz ausserordentlich ist die Zeitfolge in der Haupthandlungslinie im vierzehnten und fünfzehnten Kapitel gestört. Die Handlung des vierzehnten Kapitels spielt ungefähr eine Woche nach Kudret Yanardağs Abreise aus der Provinzstadt nach Ankara und folgt die Ankunft Semas, der Geliebten des Hotelbesitzers nach Istanbul. Der Autor benützt diesen Vorgang um jene Gestalten, die der Leser bislang nur durch Kudret Yanardağs Gedankengang kannte, genau, in ihrer Tätigkeit darzustellen, noch bevor sie mit Yanardağ zusammentreffen. Das fünfzehnte Kapitel kehrt dann wieder zurück, es folgt Kudret Yanardağ am Tage seiner Ankunft nach Ankara.

Die Rückkehr Kudret Yanardağs nach Istanbul und sein Leben in dieser Stadt haben in der Romankompostition ihre Bedeutung. Die Änderung des Milieus dient zur Vertiefung der Charakteristik der Hauptgestalt. Im anatolischen Städtchen, wo er den Leuten Respekt und Ehrfurcht einflösst, gibt sich Kudret Yanardağ anders als zu Hause, wo er von der Familie und den Freunden verkannt, erniedrigt und verhöhnt wird.

Der Roman *Inspektor der Inspektoren* endet mit Kudret Yanardağs Verhaftung und seinem Weg in Fesseln in dasselbe anatolische Städtchen, in dem er in der Romanexposition erschienen war. Hier erwartet ihn das Gefängnis und das Gericht. Gerade bei diesem Punkt nimmt die Handlung des Romans *Der Betrüger* ihren Anfang. Der Zug mit dem verhafteten Yanardağ läuft im Bahnhof des Städtchens ein. Eine kampflustig gestimmte Menschenmenge erwartet ihn, bereit ihm die unannehmlichen Momente heimzuzahlen, die er ihnen einst verursachte. Eine Situationswendung, deren Urheber wieder der Kahlköpfige Mıstık ist, ändert Kudret Yanardağs Weg der Pein in einen neuen Triumphalzug.

Die Handlung des Romans *Der Betrüger* spielt von März bis Mai 1950. Die

[47] ÜK, S. 113—114.

fiktiven Ereignisse sind in einen konkreten historischen Rahmen eingesetzt, in eine Zeit, in der zwischen der Republikanischen Volkspartei und der Demokratischen Partei ein verbitterter Kampf um die führende Stellung und Macht im Staat verlief. Den Zeitverlauf deutet der Erzähler in den Expositionen der jeweiligen Kapitel an.

Im Vergleich zum *Inspektor der Inspektoren* ist das Statische des Milieus ausdrucksvoller geschildert, hier durch den Aufenthalt der Hauptgestalt im Gefängnis bedingt, was mehr als die Hälfte der Romanhandlung einnimmt. Kudret Yanardağs Kontakt mit der Aussenwelt und damit auch das Eindringen anderer Milieus in das Sujet geht mittels der Gestalten Nefises und İdris', wie auch mittels eines Briefwechsels vor sich.

Das Thema des Gefängnislebens hat seinen festen Platz im Schaffen Orhan Kemals. Es ist nicht nur durch seine persönlichen Erfahrungen bedingt, sondern von der ganzen Situation im Lande her, wo die überfüllten Gefängnisse für viele empfängliche und begabte Menschen zu einer wahren Schule des Lebens wurden, von der aus sie ihre Schriftstellerlaufbahn beschritten. Das Gefängnis mit seinen unfreiwilligen Bewohnern wurde zum Thema vieler Erzählungen Kemals, seiner ausgezeichneten Novelle *Die 72. Zelle,* das Thema des Gefängnislebens drang auch in einige Romane des Schriftstellers ein.

Das Bild des Gefängnisses im Roman *Der Betrüger* unterscheidet sich von Kemals früheren Bearbeitungen, es tritt hier in einer satirischen, hyperbolisierten Gestalt auf. Das Gefängnis, vom Autor mit einer Markthalle verglichen,[48] erscheint hier als eine komische Institution, wo jeder nur das tut, was er für angebracht erachtet, wo nur ein einziges Gesetz gilt, das Gesetz des Mammons. Bald erfährt Kudret Yanardağ, dass seine Furcht vor dem Gefängnis, vor der Eintönigkeit, der erdrückenden Langeweile der ziellos dahinfliessenden Tage, die ihn bei jeder „Inspektion" verfolgt hatte, unbegründet gewesen war. Das Gefängnis bietet ihm mehr Erregung und Gelegenheiten zu Machinationen, wie das Leben in der Freiheit, es wird zur ersten Stufe auf seinem Weg zur Macht.

Auch im Roman *Der Betrüger* sind die Episoden der Handlung chronologisch gereiht. In der Retrospektive werden lediglich Ereignisse aus dem ersten Teil der Dilogie erwähnt, die Betonung liegt auf der aktuellen Handlung.

Eine interessante Methode der Komposition wählte der Autor im fünfzehnten Kapitel des Romans *Der Betrüger.* Nach seiner Entlassung aus der Haft und dem ersten öffentlichen Auftreten geht Kudret Yanardağ in Nefises Haus. Unterwegs macht er in sein Notizbuch eine Eintragung: „Das Thema über die Kastration des Volkes weiter ausführen!"[49] Wie er dieses Thema weiter ausführte und welchen Anklang es bei seinen Zuhörern gefunden hat, wie Kudret Yanardağs Beliebtheit wuchs, erfahren wir indirekt durch Kudrets Freund Deve. Deve kommt aus Istanbul

[48] Ibid., S. 122.
[49] Ibid., S. 267.

in die Stadt, wo Yanardağ wirkt, wobei er bereits von seinen ersten Schritten an mit Informationen über Yanardağ, dessen Reden und Auftritten sozusagen überflutet wird. Die begeisterte Bewunderung, die Zustimmung der Stadtbewohner mit seinen Reden zeugen davon, dass Yanardağs Demagogie auf fruchtbaren Boden gefallen war. Die satirische Wirkung, die der Autor auf diese Weise erreicht, ist sehr eindrucksvoll.

In der Komposition beider Romane kommt das Traummotiv relativ oft vor. Entweder träumt die Gestalt wirklich und reagiert im Traum auf die Anregungen der Aussenwelt (im Zug nach Istanbul träumt Yanardağ, der sich vor dem Zusammentreffen mit seiner Frau fürchtet, wie sie ihn zu Hause empfangen wird),[50] oder sucht er in den Träumen Flucht aus der unangenehmen Wirklichkeit (eine Katastrophe erwartend kehrt Yanardağ im Traum in die Zeit seiner sorglosen Kindheit zurück),[51] oder aber denkt er sich seinen Traum nur aus ein konkretes Ziel damit verfolgend. Der fiktive Traum des Kahlköpfigen Mıstık ist eine parodistische Stilisierung der Legenden von den guten Geistern, die den edlen und gerechten Menschen im Traum erscheinen, um ihnen den rechten Weg zu weisen. Mıstık erfindet diesen Traum um beim leichtgläubigen Gastwirt umsonst essen und trinken zu können.[52] Um die Umgebung von der Aufrichtigkeit seines religiösen Gefühls zu überzeugen, nimmt Kudret Yanardağ einen erdachten Traum vom Heiligen, der ihn zu beten befohlen hat, zur Hilfe.[53] Die Weiterverbreiter dieses angeblichen Traumes fügen immer mehr neue Details hinzu, bis sie Yanardağs Erfindung in eine Legende verwandeln.

In der Hyperbolisierung und Verdrehung von Zitaten, Phrasen und seinen eigenen Aussprüchen bei jeder neuen Wiederholung liegt die Komik des sprachlichen Ausdrucks Kudret Yanardağs. Mit Vorliebe zitiert er die Worte des Grossvesirs Mehmed Paşa Sokollü von der osmanischen Nation, die ihre Schiffe aus Gold und deren Segel aus Atlas erzeugen könne,[54] wobei Gold und Atlas mit immer kostbareren Stoffen ersetzt werden. Dieser Zitat, verdreht und in einem unpassenden Kontext gebraucht, klingt grotesk, die fanatisierten Zuhörer nehmen jedoch davon keine Notiz.

Im Bestreben die Situation zu meistern, als einmal der Parteiobmann,[55] ein anderes Mal Şehvar[56] oder aber auch ein zufälliger Zuhörer in seine Reden eingreifen, bekommen Kudret Yanardağs Repliken einen peiorativen Einschlag.[57]

Die sprachliche Meisterschaft Orhan Kemals, seine gefühlsvolle Arbeit mit

[50] MM, S. 272.
[51] ÜK, S. 53.
[52] Ibid., S. 23.
[53] Ibid., S. 220.
[54] Ibid., S. 259, 261—262, 342.
[55] Ibid., S. 260.
[56] Ibid., S. 361—364.
[57] Ibid., S. 342.

künstlerischen Sprachmitteln, die für sein ganzes Schaffen kennzeichnend sind, konnten sich in der Dilogie voll entfalten. Beim häufigen Wechsel der Dialoge und Monologe von Gestalten, die verschiedenen Gesellschaftsschichten angehören, kam des Autors Fähigkeit die Sprache seiner Helden zu individualisieren ausgezeichnet zur Geltung. Konsequent mied Orhan Kemal diesmal Dialektisme, deren übermässige Benützung nicht nur eine problematische Seite der frühen Werke des Schriftstellers bildet, sondern in den türkischen Literaturkreisen noch immer als aktueller Gegenstand von Kontroversen und Diskussionen geblieben ist. Mit viel Sinn für Mass bedient er sich in der Sprache seiner Helden der Archaismen, Kolloquialismen, Ausdrücken des Slangs und Vulgarismen. Noch mehr als auf lexikaler Ebene ist die Sprache seiner Helden von der stilistischen Seite her individualisiert. Das gilt hauptsächlich für Briefe, die der Autor ausgezeichnet in die Komposition des Romans *Der Betrüger* eingliedern konnte. Der Brief für Dürdâne, für Sema und der Brief für Deve, das sind Proben dreier maximal voneinander abweichenden Stile, auch wenn ihr einziger fiktiver Verfasser Kudret Yanardağ ist. Er passt sich hier dem Stil des jeweiligen Partners an, mit dem er gerade in den Briefwechsel eingeht.

In der Autorensprache hat Orhan Kemal die literarische Form der Umgangssprache mit ihren kennzeichnenden phraseologischen Wendungen zur Geltung gebracht. Die übertriebene Nutzung von Sprichwörtern und Volkssprüchen in den Äusserungen der Gestalten, sowie in den Autorenkommentaren verstärkt den ironischen Aspekt der künstlerischen Absicht des Verfassers.

Die Sprache Orhan Kemals konnte auch der Dichter Tevfik Akdağ in seiner sonst äusserst ungünstigen Rezension des *Inspektor der Inspektoren* nicht ungeschätzt lassen.[58] Aus der Position der Anhänger des „neuen Romans" verurteilt Akdağ die Romankomposition als veraltet. In seiner Rezension hat er auch das ideelle Grundprinzip ausser Acht gelassen. Den einzigen Wert des Werkes sieht er gerade nur in dessen sprachlicher Meisterschaft.

In der Dilogie ist die Situationskomik reich vertreten. Wir möchten einige Beispiele anführen. Die Szene, in der sich der Gouverneur aus Angst vor dem „Inspektor" hinter dem Vorhang versteckt und an seiner Stelle seinen Stellvertreter verhandeln lässt,[59] erinnert an Szenen aus klassischen Komödien. (Sie spielt jedoch eine bedeutende Rolle auch in der weiteren Entwicklung der Ereignisse. Yanardağ sieht den Gouverneur nicht, er kann daher nicht richtig reagieren, als ihn der Gouverneur enthüllt. Infolgedessen kommt er ins Gefängnis.) Anderenorts kommt Yanardağ mit seiner Suite auf eine Baustelle, die sie vorher als passendes Objekt der „Inspektion" gewählt hatten. Sie sind verwirrt, als sie dort niemanden vorfinden, um sich aber vor den Lenkern keine Blösse zu geben, setzen sie die begonnene Komödie

[58] Akdağ, Tevfik: *Müfettişler Müfettişi.* Papirüs 1966, Nr. 6, S. 40—41.
[59] MM, S. 227.

fort.[60] Das Maximum an Komik enthält die kurze Szene, in der Kudret Yanardağ und die ihn begleitenden Gendarmen in den Fiaker steigen.[61] In der Szene, in der ein Laiengeistlicher mit seinen entstellten arabischen Gebeten die Menschenmenge am Gefängnishof direkt in einen hypnotischen Zustand versetzt, geht die Komik schon in Sarkasmus über.[62]

Eines der Mittel zur Erreichung der humoristischen Wirkung in der Dilogie ist die Wechslung der Stilebene des Erzählens. Die ernste psychologische Passage im IX. Kapitel des *Inspektor der Inspektoren* wird plötzlich durch den Auftritt des Hoteliers auf komödialer Ebene unterbrochen. Durch Wiedergabe einer und derselben Begebenheit auf zwei verschiedenen Stilebenen (Kudret Yanardağs Empfang auf dem Revier, wie sie vom Erzähler geschildert wird und wie sie den naiven und betörten Gendarmen erscheint;[63] die Begegnung Yanardağs mit echten Inspektoren im Gefängnis, wie sie sich in Wirklichkeit abspielte und wie sie von den Häftlingen gesehen wurde)[64] entstehen von jeder Begebenheit zwei, in den ihnen entsprechenden Relationen gleichsam gültigen Wahrheiten.

Durch die kennzeichnende Funktion der Dialoge und Monologe, die der Autor in der Dilogie in einem erhöhteren Masse zur Geltung brachte als in seinen übrigen Romanen, wird nicht nur die Charakterisierung seiner Gestalten vertieft, sondern vor allem mit einer satirischen Übertreibung in die gesellschaftliche Lage Licht gebracht. Bei dieser Charakterisierung der gesellschaftlichen Lage kam in der Dilogie eine bedeutende Rolle der namenlosen Komparserie zu. In unkritischen, bejahenden Widerhallen der Masse auf Yanardağs demagogische Reden und Auftritte kommt ihre Verblendetheit zum Ausdruck, aus der Kudret Yanardağ und desgleichen Kapital schlagen. Und gerade darin liegt die ideologische Hauptwirkung von Kemals Satire: der Gesellschaft, die von demagogischer Propaganda verblendet und fanatisiert schon einmal nicht zögerte ihre Erzfeinde auf führende Positionen im Staate zu stellen, eine Warnung zu geben, einen ähnlichen verhängnisvollen Irrtum nie wieder zuzulassen.

„Ich kann nicht umhin, an die Unschuld auch des verdorbensten der Bürger meiner Heimat zu glauben."[65] Diese Worte Orhan Kemals könnten als Motto aller seiner Werke dienen. In der Menschenliebe und in dem Enthüllen wahrer Ursachen, denen ihre Schuld entspringt, sieht Orhan Kemal die erstrangige Pflicht und Mission eines Schriftstellers. Dieses Prinzip lässt Kemal auch in den Romanen *Inspektor der Inspektoren* und *Der Betrüger* nicht ausser Acht. Der Autor verurteilt nicht direkt

[60] Ibid., S. 382—383.
[61] ÜK, S. 13.
[62] Ibid., S. 382—383.
[63] Ibid., S. 33—36.
[64] Ibid., S. 197—203.
[65] Uğurlu, N.: *Orhan Kemal'ın İkbal Kahvesi*, S. 440.

Kudret Yanardağ, er urteilt über ihn namentlich nichteinmal dann, wenn sich Yanardağ im Abschluss des Romans *Der Betrüger* aller edler menschlicher Eigenschaften entledigt. Er prangert die Gesellschaft an, die den Menschen in eine abstossende Kreatur verwandelte. Unter anderen Umständen hätte sich aus dem tatkräftigen, aufgeweckten und begabten Einzelwesen, wie es Kudret Yanardağ im Grunde war, ein völlig anderer Mensch entwickeln können, seine Energie und Aktivität hätte er für ganz andere, gesellschaftlich dienliche Ziele anwenden können.

Orhan Kemal, dieser Bewunderer des Satirikers Aziz Nesin,[66] hat mit seiner Dilogie, hauptsächlich jedoch mit deren zweiten Teil, dem Roman *Der Betrüger,* den man mit Recht als den Gipfel seines Romanschaffens betrachten kann, einen ehrenvollen Platz unter den Schöpfern der neuzeitigen türkischen Satire eingenommen. Der grosse Schritt vorwärts, den der Roman *Der Betrüger* im Vergleich zum *Inspektor der Inspektoren* ideologisch und künstlerisch darstellt, lässt ahnen, welche vielversprechende Perspektiven sich vor dem Schriftsteller aufgetan hatten, dass er im satirischen Genre noch zu bemerkenswerten Ergebnissen hätte gelangen können.

[66] Die Bewunderung Orhan Kemals für Aziz Nesin stammt noch von der Zeit seiner Haft im Gefängnis in Bursa (1939—1944). Nesin, auf Grund dessen damaligen Pseudonyms für eine Frau haltend, schickte ihm der junge Bewunderer seiner Verse einen Liebesbrief. Otyam, F.: *Arkadaş'ım Orhan Kemal ve Mektupları.* S. 348.

REVIEW ARTICLES

AFRICAN LANGUAGE STRUCTURES

PETR ZIMA, Prague

0. Every linguist who has spent along period of time in the service of research into and the teaching of a particular specialization begins to see the whole scope and subject of the study of languages through the prism of his own experience. In fact, the type of 'his' particular languages thus gradually becomes not only the aim of his activity, but increasingly also its frame of reference. Sooner or later, every mature scholar — specialist in a particular area — becomes involved in finding various sorts of 'areally limited' universals, paradoxical though this construction and label may seem. Attempts to publish such collected and mature areal experience are always welcome, both for those who were unable to follow the master's courses personally and for those who work in related or general fields of language study.

0.1 In the field of African languages, relatively few such attempts are available in their published form today. The most recent publications intending to introduce an interested specialized reader into this field — a French and a Polish one[1] — are on the whole oriented mainly toward a study of the relationship between language and society, their remarks on problems of lingustic description or analysis being marginal in character. Hence, Maurice Houis' book, an extensive and reliable introduction to the study of language structures spoken in the so-called 'Black Africa', has remained for many years the only available work with such aims and topic.[2] A major work on African language structures published recently by one of the founders of modern description of African languages in the U.S.A., Prof. Wm. E. Welmers,[3] therefore, fills a very noticeable gap in the English-written literature of this sort. Summarizing the results of more than three decades of patient work, the author offers his readers a rich field for thinking and re-thinking; on many occasions he provokes them even

[1] Alexandre, P.: *An Introduction to Languages and Language in Africa.* (Translated by F. A. Leary.) London, Heineman 1972. Ohly, R.: *Języki Afryki.* Warsaw, PAN 1974. See our review of this latter publication in Asian and African Studies *11*, 1975, pp. 311—312.

[2] Houis, M.: *Aperçu sur les structures grammaticales des langues négro-africaines.* Lyon 1967. See our review in Archiv orientální, *38*, 1970, pp. 369—373.

[3] Welmers, Wm. E.: *African Language Structures.* Berkeley — Los Angeles — London, University of California Press 1973. 488 pp.

— in his own characteristic and highly informal way — to engage in academic disagreement, the right to which is certainly close to his heart. The author leaves no doubt, however, that this book is written primarily for the purpose of a presentation of his own, at times highly personal, opinions, results, achievements and even field data. It is up to the reader or analyst to place the data and opinions in the book into the context of his own analytical thinking, or that of other linguistic schools and orientations. Much though one must respect this mature specialist's declared intention of not overloading his personal credo with disturbing masses of references and bibliographical comments, when reading this book one increasingly realizes the fact that it is becoming less and less possible today to base any broad generalizations in such a rich and quickly developing international field of research (as African linguistics certainly is)[4] more or less exclusively upon the work of one individual, or even a centre or country, no matter how rich the experience or skill or possibilities and scope may be. This may be a plausible excuse for one who is analysing certain aspects of Welmers' book and introducing simultaneously his conclusions and data into the context of achievements of other contemporary scholars in this field. This concerns recent works published in English, French and German,[5] and also the two volumes of contributions to the descriptive and typological problems of African language structures edited by N. V. Okhotina and B. A. Uspenskoi[6] and published in Russian almost simultaneously with the above-mentioned works. All these contributions and books complement, in fact, most sections of Welmer's book, sometimes from a comparable and sometimes from a different platform. Thus, they throw interesting and contrastive light on the common achievement of our discipline in this — in some respects — small contemporary world of ours.

0.2 The main bulk of the abundantly rich data on African language structures introduced by Welmers is focused on the so-called Niger-Kordofan language family, and material from its Mande group of languages is obviously the richest and most valuable among them. Data on other families, branches or groups of African languages are presented unevenly. The basic necessary material is, however, supplied for most of them. Thus, data on West Atlantic languages and Fula, Kwa, Gur, Togo-Remnant and Benue-Congo (including data on Bantu languages) are presented fairly adequately. The Afro-Asiatic language family material is — as far as first-hand data are concerned — represented primarily by Cushitic languages. Data on Chadic languages are rather sporadic and their value is ralatively lower. Evidence

[4] See our article *African Linguistics Becomes of Age.* Archív orientální, *43*, No 2, 1975, pp. 178—184.

[5] See works further quoted in section 2.

[6] Okhotina, N. V., Uspenskoi, B. A. (Eds.): *Problemy afrikanskogo yazykoznaniya* (Problems of African Linguistics). Moscow, Nauka 1972, 328 pp. Okhotina, N. V. (Ed.): *Voprosy afrikanskoi filologii* (Questions of African Philology). Moscow, Nauka 1974, 266 pp.

on Hausa is based either upon seconded findings (R. G. Schuh[7]) — a fact rather exceptional within the overall conception of this book — or else it is based upon astonishingly 'classicist' sources of information, reflecting very little of the immense progress achieved in this field, especially during the last two decades. Yu. K. Shcheglov's critical survey of this process,[8] though covering only a part of these achievements (most contributions of the French and German schools being omitted from Shcheglov's survey, concentrated as it is primarily on English-writing authors) signalizes, in principle, the importance of this period, so crucial for the grammatical analysis of Hausa.

0.3 All these structures are analysed in terms of their respective levels. Of the total of 15 chapters in Welmers' book, four are devoted to phonemic problems (vocalic systems, consonantal systems, tonal systems and their functions), and ten to grammatical questions in their broadest sense, including morphology, syntax, derivation and general problems of the parts of speech classification.[9] The remaining one (in fact the introduction) is devoted to classification.

1. Virtually, every chapter and every section of this comprehensive book would deserve special attention, analysis or marginal comments. Instead of scattering our remarks over different sections and fields, we prefer, however, to concentrate most attention to one major problem, and analyse it critically within the limits of this paper.

2.0 This opportunity is clearly offered in the grammatical section of Welmers' book where the whole complex of questions concerning the grammatico-syntactical categories of nouns is extended over more than three major chapters: Noun Class and Concord Systems, Functional and Vestigial Noun-Class Systems, Non-Class Noun Systems. Abundant data from different language families and groups are used in these sections (the only exception being that of Khoisan, which is dealt with in a short marginal remark only, on page 248). Different sections of this complex fulfil differing functions. Initial passages on more or less non-problematic noun class systems in various Bantu languages (with Swahili serving most frequently for these purposes) are intended to initiate beginners or introduce linguists specialized in

---

[7] Schuh, R. G. together with Newman, P., authors of the monograph *Hausa Aspect System*. Los Angeles, Undena Publications 1974.

[8] Shcheglov, Yu. K.: *Obzor nekotorych rabot po yazyku khausa* (A Selective Survey of Contributions to Hausa Language). In: *Voprosy* ..., pp. 92—98.

[9] Particular attention is devoted also the relevant questions of the so-called ideophones. V. Ya. Parkhomovskii has devoted to this problem a special paper under the title: *Nekotorye osobennosti foneticheskikh struktur slova v yazyke khausa* (Some peculiarities of the phonetic structures of word in Hausa). In: *Voprosy*.. pp. 92—98. His conception of the phonetic structure of words is, in fact, not far from that founded by Vilém Mathesius for what he called 'the phonology of the lexicon'. See Mathesius, V.: *La structure phonologique du lexique du tchèque moderne*. Travaux du Cercle Linguistique de Prague, *I*, 1929, pp. 67—84.

other fields into the present stage of research. Other sections are oriented toward more sophisticated analytical problems such as those of the so-called personal/impersonal category in non-class Mande languages. Finally, a broader hypothesis is formulated on the origin of present-day noun-class types in Africa.

2.1 The question of the noun-class exponents and their possible development in the so-called Niger-Kordofan language family of Africa undoubtedly deserves more analytical attention. As is well-known, sub-Saharan Africa's languages have already offered more than three generations of linguists a wide spectrum of systems of noun classes ranging from the so-called 'regular' ones manifested by prefixes and concord (as displayed in several Bantu languages) to certain noun class systems expressed by suffixes and partly functioning concords (some languages of West Africa). Systems with suffixes and initial consonantal permutation (reflecting, perhaps, a prior prefixation) are well documented in the West Atlantic languages in general and Fula in particular;[10] systems with a full manifestation of both prefixes and suffixes functioning together are comparatively rare. In this connection, two questions are still open to discussion:

(a) Are all these typologically similar noun-class languages in Africa also genetically related, or is this typological similarity due to some sort of mass contacts in the past?

(b) If all these noun-class languages are really genetically related, then which form of affixes is to be postulated as the diachronically original one?

2.1.1 In agreement with Greenberg,[11] but contrary to Guthrie's[12] view, Welmers clearly replies yes to the first question, and thus accepts the concept of a genetically-related Niger-Kordofan language family. This standpoint of his is, moreover, already expressed in the initial chapter on genetic classification. Further on he states that the mere existence of a noun-class system in a particular language — even though this typological pattern often appears in the language systems of this family — should by no means be interpreted as a source of diachronical evidence of genetic affinities. The case of the Mande languages which — though displaying no formal features of noun-class systems — still evidently belong to the Niger-Kordofan family, also illustrates this situation. Basing his hypothesis upon such an assumption of the existence of a genetic relationship of the whole Niger-Kordofan family of languages, Welmers develops an interesting hypothesis about a possible typology of what he calls a Proto-Niger-Kordofanian noun-class system. After considering data from such differing language systems as those of Yoruba and Ibo (Kwa), Kebu (Togo

[10] Especially after the publication of D. W. Arnott's *The Nominal and the Verbal System of Fula*. London, O.U.P. 1970. See our review of this book in Asian and African Studies, *8*, 1972, pp. 254—258.

[11] Greenberg, J. H.: *The Languages of Africa*[2]. Bloomington, 1966.

[12] Welmers quotes explicitly Malcolm Guthrie's paper: *Bantu Origin, A Tentative Hypothesis*. Journal of African Languages, *1*, 1962, pp. 9—21.

Remnant), Gurma and Suppire (Gur), Fula and various other West Atlantic languages as well as Tiv and some Bantu languages, Welmers comes to the conclusion that the original Proto-Niger-Kordofanian noun-class system was an all-prefix and all-suffix one (op. cit., p. 209). He thinks that the possibility exists of the Tiv system[13] having been derived from an all-prefix and all-suffix pre-Bantu one, and he concieves of the three main types of contemporary noun-class systems (all-prefixes, as in many Bantu languages and some vestigial systems, all suffixes, as in some Gur languages, and all prefixes together with all suffixes, as supposingly in other Gur languages) as originating from this hypothetical base.

2.1.2 While the general sense of Welmers' hypothesis seems convincing, some of the data might perhaps be put into different contexts if contrasted with some most recent works published by other authors. Thus, Gabriel Manessy's work on Gurma[14] seems to prove that this language cluster does not display both prefixes and suffixes in the classical sense, but that the former should be analysed rather as anteposed pronouns expressing the category of definiteness/indefiniteness. Similarly, a recent analysis of the Kebu language (Togo Remnant Group), which was formerly thought to display both prefixes and suffixes, appears to prove only the suffixes to be relevant for classes (B. Heine).[15] Moreover, the data published by Serge Sauvageot[16] on the so-called 'discontinuent elements' in the Dyolof dialect of Wolof and those published earlier by Gabriel Manessy[17] on the Bwamu noun-class system might well have offered a basis for a certain re-orientation of the data available for such a large-scale hypothesis. The same may be said about the tentative hypothesis formulated on this same problem on the basis of the Dakarkari noun-class type by C. Hoffman,[18] and certain other theoretical postulates of the Aix-en-Provence C.N.R.S. seminar on noun-class systems in Africa, which, unfortunately, remained outside Welmers' main focus of interest.[19]

2.2 Possible similarities and contrasts between the noun-class system and systems

[13] When discussing the Tiv system, D. W. Arnott's important paper *Some Reflections on Content of Individual Classes in Fula and Tiv.* In: *La Classification Nominale dans les Langues Négro-africaines,* Paris, C.N.R.S. 1967, pp. 45—74 is not even mentioned.

[14] Manessy, G.: *Les langues gurma.* Bull. I.F.A.N., *33,* 1973, serie B, No 1, pp. 117—246.

[15] Heine, B.: *Die Verbreitung und Gliederung der Togorestsprachen.* Berlin, D. Reimer 1968, p. 276.

[16] Sauvageot, S.: *Description synchronique d'un dialecte Wolof: le parler de Dyolof.* Dakar, I.E.A.N., 1965.

[17] Manessy, G.: *La morphologie du nom en Bwamu (bobo-oulé) dialecte de Bondoukouy.* Paris 1960.

[18] Hoffmann, C.: *An Outline of the Dakarkari Noun-class System and the Relation between Prefix and Suffix Noun-class Systems.* In: La classification nominale dans les langues négro-africaines. Paris, C.N.R.S. 1967, pp. 236—260.

[19] See our paper: *Le problème de la classification nominale dans les langues africaines.* Archiv orientální, *38,* 1970, pp. 332—347.

displaying other nominal categories are subject to a further consideration. In this respect, one must appreciate Welmers' analysis of the distinction between the so-called relational and free or personal and impersonal nouns in terms of their grammatical features. The main weight of these findings is clearly to be found in the Mande languages data and especially in those from Loma and Kpelle where the author's conclusions appear to be most convincing. His attempt to expand on the material basis of these findings and to discover such categories, or at least their traces in other vastly differing areas and languages are promising, though they need not always constitute the last word in this discusion. The idea of a possible distinction of so-called relational nouns and their morpho-syntactic evaluation, if functioning as so-called postpositions in the Mande languages, might have, after all, a broader and even areal typological basis in Africa, if conceived in very general terms. In fact, the possibility, or even necessity of using certain types of nouns (which usually — though not always — express vague semantic notions of time, period, place, way, reason, etc.) as grammatical links with other adverbially used nouns, nominal constructions or even clauses is generally known to be extended in language systems of Africa. Thus, they function as pre- or postpositions and even conjunctions, though apart from this mainly grammatical function they may also play the role of full nouns. Welmers' statement, which attributes this typological feature to the whole Niger-Congo branch (op. cit., p. 457) is by no means an overstatement but rather an understatement. Many Chadic languages, including Hausa, use this type of pattern: in Hausa, this is the case of many so-called oblique nominals (a category discussed in detail by F. W. Parsons,[20] C. Gouffé[21] and the present author[22]) which, when linked with a following nominal in the so-called genitive construction, may serve as a basis for such 'pre or post- positions'. As has been shown recently by N. V. Okhotina,[23] even the so-called possessive construction in Swahili must be interpreted not only as a sort of genitival link, but also as one of the origins of different types of relational-modifying constructions (temporal, locative, modal, etc. in their nature). Data produced by Okhotina for Swahili, by Welmers for the Mande languages and by participants in the above-mentioned Hausaists' discussion for Hausa and Chadic prove that, if these features are analysed within the context of the entire grammatical system of their respective languages (which has not been, unfortunately, the case in many typological or comparativist works in the not too distant past), they display

[20] Parsons, F. W.: *The Operation o/f Gender in Hausa*, I—III. African Language Studies, *1*, 1960, pp. 117—136; *2*, 1961, pp. 100—124; *4*, 1963, pp. 166—207.

[21] Gouffé, Cl.: *Le problème de l'aspect en haousa*, I — III. G.L.E.C.S., *10*, 1963—6, pp. 151—165; *11*, 1966—7, pp. 29—67; *12*, 1967—8, pp. 27—51.

[22] Zima, P.: *Problems of Categories and Word Classes in Hausa*. Prague, Academia (Dissertationes orientales, vol. 33), 1972.

[23] Okhotina, N. V.: *Status konstruktus v yazyke svakhili*. Voprosy ..., pp. 3—14.

striking typological similarities. These typological similarities exceed, in fact, even the limits of the Niger-Kordofan genetic family and also affect at least the Chadic languages of the Afro-Asiatic language family.

2.3 The so-called gender systems are studied separately from, and in some respects in contrast to those of noun classes. While rejecting attempts to interlink these two categories even for typological purposes, Welmers nevertheless admits that certain noun-class systems are developing toward such a simplification, that it becomes virtually impossible not to classify them as genderlike in their typological character (op. cit., p. 211). Moreover, the development of the possible originally rich noun-class system toward a binary animate-inanimate distinction is apparently by no means limited to some of the marginal Benue-Congo languages. Both the two above-mentioned French scholars, G. Manessy and S. Sauvageot have proved this[24] with all the subtleties of the modern systemic method of language analysis on the basis of such distinct structures as the Bondoukouy dialect of Bwamu and the Diolof dialect of Wolof. Thus, the tendency toward re-structuring an original richer noun-class system into a binary animate/inanimate gender-like pattern must be postulated in several areas of the sub-Saharan Africa. The earlier typological findings and comparison (Vl. Skalička,[25] Otto Rössler [26]) find, in such a way, their support in the real dynamics of language development. Moreover, as has been pointed out, the notions and terms 'noun class' and 'gender' in their Bantuistic and the respective IE or Afro-Asiatic usages should at least be coordinated, as stressed by D. W. Arnott[27] and W. H. Whiteley.[28] Otherwise, contrastive analysis of language systems in transitional or contact areas of the great language families (such as the zone of the Niger-Kordofan and Afro-Asiatic interference in Northern Nigeria and the Chad Basin) would contrast similar or compare incomparable data, misled as they might be by terminological and methodical ambiguities.

3. For these reasons, such compendia covering extensive fields with different language structures from various language families are extremely useful. The case of the nominal categories has been used for the analytical purposes of this paper. Other section of Welmers' book could well have offered similar opportunities: that on the verbal categories, that on the problems of serialization of verbs or that dealing with the so-called relative constructions and relative forms of verbs: incidentally, Chadic languages could well have offered many rich materials in this latter field, as well (see

---

[24] See works quoted in footnotes 14, 16, 17 etc.

[25] Skalička, Vl.: *Über die Typologie der Bantusprachen.* Archiv orientální, *15*, 1944, pp. 93—127.

[26] Rössler, O.: *Afrikanische Klassensprachen und afroasiatische Genussprachen.* Africana Marburgensia, *2*, 1, pp. 3—8.

[27] *La classification nominale* ..., p. 396.

[28] Ibid., p.397.

e.g. Jungraithmayr,[29] and our earlier paper on Hausa verbal forms[30]). The same can be repeated about the different phonetic and phonemic chapters. Such complexes of methodical and typological questions as that of the vowel systems and their harmony (analysed, in detail, also in Vinogradov's paper[31]), or that on the forms and functions of tones[32] manifest the necessity of analysing languages in as broad contexts as possible. Without going into details of all these or different complexes, we may say in conclusion that it is this deep insight into the rich inventory of African language data that we appreciate so much in Welmers' book. The attentive reader of this book is advised not to ingnore the fruits and flowers growing outside the limited confines of his own 'language plots'. And in the rich forest of African language trees, he is guided by Prof. Welmers along the path of his great adventure represented in his patient and diligent life-work.

---

[29] Jungraithmayr, H.: *Die Ron-Sprachen.* Glöckstadt, 1970, p. 336 ff.

[30] See e.g. our paper *On Syntactic Alternation of Verbal Forms in Hausa.* Mitteilungen des Inst. f. Orientforschung (Berlin), *13*, 1967, pp. 188—198.

[31] Vinogradov, V. A.: *Tipologiya singarmonicheskikh tendentsii v yazykakh Afriki i Evrazii* (Typology of synharmonic tendencies in languages of Africa and Eurasia). Problemy ... , pp. 125—163.

[32] There is a clear general tendency to extend the typological method of analysis also to the tonological level. This tendency is expressed to some extent in Welmers' tonemic chapters, but also in works of different schools. From among the Prague linguists, we mention Milan Romportl's attempt at a general *Intonational Typology.* In: Phonetic Pragensia, *3*, 1972, pp. 221—227. See also our contribution *On the Function of Tones in African Languages.* Travaux Linguistiques de Prague, *2*, 1966, pp. 151—156. This same typological approach penetrates also into various contributions of the two collections of papers Voprosy ... and Problemy ... :

Loginova, I. V.: *K voprosu o tipakh tonalnykh sistem v yazykakh so slogovym akcentom* (On the Question of Types of Tonal Systems in Languages with Syllable Accent). Problemy ... pp. 181—196.

Mayanc, V. A.: *Imennaya gruppa v yazyke yoruba* (Yoruba Nominal Group). Voprosy ... pp. 144—156.

There is also an interesting informative and critical survey of the discussions on the function and form of tone in Hausa:

Vishnevskaya, L. Ya.: *K voprosu o tonalnosti yazyka khausa.* Voprosy, pp. 77—91. We disagree, however, with her appreciation of H. H. Wängler's contribution on tonality in Hausa. See our own critical analysis of this latter work of Wängler's in Archiv orientální, *33*, 1965, pp. 673—678.

ASIAN AND AFRICAN STUDIES XIII, 1977

AN ANNOTATED BIBLIOGRAPHY OF SWAHILI NOVELS AND STORIES PUBLISHED BETWEEN 1960—1975

ELENA ZÚBKOVÁ BERTONCINI, Naples

Foreword

Listed here are major original Swahili prose works published since 1960, insofar as is known to me. No account has been taken here of stories published in magazines and newspapers, but only of books — novels, short stories and fairy tales. Likewise, the works of Shaaben Robert as well as non-fiction books (history, traditions, biographies etc.) are not included.

The bulk of this work is represented by titles I bought on the occasion of my visit to Tanzania in the summer of 1974. Thus, rather than an exhaustive list of existing Swahili novels and stories, this gives a rough outline of what was being offered on the Tanzanian book market at that time. However, from discussions with some writers and teachers of Swahili literature at the Dar es Salaam University I deduce that I have not missed any important literary work.

Here I should like to thank my Tanzanian friends who helped me greatly in my task, namely Mrs. Penina Mlama, Mr. Euphrase Kezilahabi, Mr. George Mhina, Mr. Alidina and Mr. Maganga from Dar es Salaam.

Swahili novels and stories listed in alphabetic order according to their authors[1]

1. ABDULA, Muhammed Said:
   Mzimu wa watu wa kale (A place of worship). 81 pp., 14 chap. EALB 1960 (3rd ed. 1968).
   The 1st prize winner in the Swahili Story-writing Competition 1957—1958.
   A thriller.
2. *Kisima cha Giningi* (The well of Giningi). 101 pp., 12 chap. Evans Brothers 1968 (3rd ed. 1973).
   A prize winner in the Creative Writing Competition.
   A thriller.

[1] I have taken as determinant the last name even if it is not always correct, especially in the case of Muslims.

3. *Duniani kuna watu* (There are people in the world). 122 pp., 9 chap. EAPH 1973.
   A thriller.
4. *Siri ya sifuri* (A secret of the zero). 121 pp., 10 chap. EAPH 1974.
   A thriller.

(5.)[2]

Uchafu wenye jina (Dirt which has a name)?
   A thriller.

6. AKWISOMBE, Jacob B.:
   Jero Sikitu. 72 pp., 18 chap. TPH 1972.
   Propaganda for the Tanzanian agriculture.
7. AMIR, Ali Jemaadar:
   Nahodha Fikirini (Captain Fikirini). 50 pp., 7 chap. Oxford University Press 1973.
   Navigation between East African ports.
8. BAALAWY, Suleiman Omar Said:
   I. *Hadithi za Bibi Maahira* (Stories of Mrs. Maahira). 91 pp.
   II. *Bibi Maahira tena* (Mrs. Maahira again). 95 pp.
   Evans Brothers 1968—1969.
   A prize winner in the Creative Writing Competition. 29 stories and tales each one illustrating a Swahili proverb.
9. BAKA, Abdul:
   Salome. 36 pp., 8 chap. TPH 1972.
   A girl ruined in a big town, but redeemed by a good man.
10. BANZI, Alex T.:
   Titi la mkwe (His daughter-in-law's teat). 86 pp., 11 chap. TPH 1972.
   A modern marriage and superstitions.
11. BUYU, John:
   Mtugeni. 120 pp., 15 chap. Longman 1971.
   Traditional tribal life.
12. CHADHORO, S. J.:
   Kifo changu ni fedheha (My death is a scandal). 65 pp., 4 chap. Longman 1972.
   A man ruined by a city girl.
13. CHIUME, Murray W. K.:
   Sunia ngumu (A hard world). 44 pp., 20 chap. TPH 1969 (3rd ed. 1973).
   Sufferings of an orphan.

[2] The titles listed in brackets are taken from catalogues and I had no occasion to read the books.

14. *Mbutolwe — Mwana wa Umma* (Mbutolwe — a son of the national community). 55 pp., 11 chap. TPH 1973.
Propaganda for the socialist village.

15. CHUM, Haji:
Kisa cha ndugu wawili (A story of two brothers). 50 pp., 17 chap. Evans Brothers 1969.
A prize winner in the Creative Writing Competition. A long tale situated in Arabia.

16. CHUMA, Ali Kondo:
Fadhili — Msiri wa Naugua (Fadhili, a confidant of Naugua). 77 pp., 12 chap. TPH 1971.
A fantastic story on witchcraft.

17. FARSY, Muhammad Saleh:
Kurwa na Doto (Kurwa and Doto). 62 pp., 5 chap. EALB 1960. A 1st prize winner in a writing competition. "A novel depicting life in a typical Zanzibar village."

18. GANZEL, Eddie:
Ndoto ya mwendawazimu (The dream of a madman). 93 pp., 10 chap. EALB 1972.
A thriller.

19. ISSA, N. N. Hassan:
Kisa cha Kitwana na bahati yake (The story of Kitwana and his fortune). 70 pp. TPH 1972.
Irin; a folk tales.

20. *Hekaya za kuburudisha* (Amusing stories). Longman 1969—1972.
I. *Mapenzi ni kikohozi* (The love is like a cough).
II. *Vituko duniani* (Accidents in the world).
III. *Pavumapo palilie* (After shouting comes crying).
Short stories broadcasted by the BBC in 1967—1968, situated in the Swahili Muslim society.

21. KACHARIA, Suleiman—MBOMERE, Christopher:
Mikasa iliyompata Machomanne (Mischances of Machomanne). 76 pp., 5 chap. Longman 1972.
Five unlucky marriages of the hero.

22. KAREITHI, P. Munuhe:
Kaburi bila msalaba (Graves without the crucifix). 128 pp., 10 chap. EAPH 1969 (3rd ed. 1971).
The Mau-Mau insurrection.

23. KATALAMBULA, Faraji H. H.:

Simu ya kifo (A killing telephone). 76 pp., 14 chap. EALB 1965 (5th ed. 1972).

A thriller.

24. KEZILAHABI, Euphrase N.:

Rosa Mistika. 119 pp., 13 chap. EALB 1971.

A conflict between the old and the new values illustrated on the life of a girl.

25.

Kichwamaji (An empty head). 218 pp., 14 chap. EAPH 1974.

An "uprooted" intellectual in search of a sense of life.

26.

Dunia uwanja wa fujo (The world is a tumultuous place). 190 pp., 14 chap. EALB 1975.

A novel illustrating all the main problems of modern Tanzanian society.

27. KIIMBILA, J. K.:

Lila na fila (For good and bad). 48 pp., 22 chap. Longman 1966 (3rd ed. 1972).

A 1st prize winner in the Writing Competition of the "Jumuiya ya Kustawisha Kiswahili".

An allegorical story, strongly moralistic.

28.

Ubeberu utashindwa (Imperialism will be overcome). 133 pp., 24 chap. Institute of Swahili Research, DSM 1971 (3rd ed. 1973).

The war of independence in Mozambique.

29.

Visa vya walimwengu (Adventures of human beings). 84 pp. Longman 1972.

9 moralistic short stories illustrating Swahili sayings.

(30.) KIRUMBI, P.S.:

Nataka iwe siri (I want it to be a secret). 50 pp.(?) Institute of Swahili Research, DSM?

Too many secrets interfere with the love of two young people and bring the girl to suicide.

31. KITAMBI, Bernadetta:

Hadithi zetu (Our tales). 26 pp. TPH 1973.

6 short tales.

32. KOMORA, Yuda:

Usininyonye (Don't sponge on me). 40 pp., 5 chap. Longman 1970.

A half-allegorical story on exploitation.

33.

Samatongo na hadithi nyingine (Samatongo and other stories). 51 pp. EAPH 1972.
5 short tales.

34. KUBOJO, Nacksso Joseph:

Mbojo: Simba-mtu (Mbojo — a human lion). 105 pp., 8 chap. EALB 1971.
A thriller on witchcraft.

35. KUHENGA, Casimiri:

Kovu la pendo (A scar of love). 65 pp., 11 chap. Longman, ?
The story of an unsuccessful marriage, situated between 1958—1960.

36. MBELWA, H.C.M.:

Mfu aliyefufuka (A dead man who resuscitated). 112 pp., 18 chap. EALB 1974.
Witchcraft.

37.

Donda ndugu (A spreading ulcer). 81 pp., 17 chap. TPH 1973.
Two unsuccessful love-stories of the hero.

38. MBENNA, I. C.:

Kuchagua (Choosing). 34 pp., 5 chap. Maarifa Publishers, DSM 1972.
A reflective short story on the importance of choosing the right name.

39. MBONDE, J. P.:

Mikasa ya Afrika (African incidents). 31 pp. T.P.M. Book Dept., Tabora 1964.
Harmfulness of witchcraft explained to children.

40.

Hadithi za Kiboko Hugo (Adventure of Hippo Hugo). 67 pp., 7 chap. TPH 1968.
The story of a hippopotamus.

41. MHINA, George A.:

Mtu ni utu (Man means humaneness). 81 pp., 20 chap. TPH 1971.
Sufferings of an orphan and praise of collectivism.

42. MHOZA Ally R.:

Pendo la kifo (A killing love). 39 pp., 4 chap. TPH 1972 (2nd ed. 1974).
A thriller.

43. MKABARAH, Jumaa: *Siibi tena* (I don't steal anymore).

MACHA, W. A.: *Nyoka wa mauzauza* (A tricked snake). 26 pp. Maarifa Publishers, DSM 1972.
Two short stories, about a redeemed thief and about a dreadful snake. The second one was published also in *Parapanda.*

(44.) MKABALAH, Jumaa:

Salum Abdallah. Institute of Swahili Research, DSM, ?
Biography of a Tanzanian musician.

45. MNYAMPALA, Mathias E.:

Kisa cha Mrina asali na wenzake wawili (The adventures of a honey gatherer and his two friends). 64 pp., 12 chap. EALB 1961 (3rd ed. 1968).
After many adventures in the bush the hero becomes a progressive farmer and a modern king.

46.

Kisa cha Bahati na wazazi wake (The adventures of Bahati and his parents). 59 pp., 15 chap. Ndanda Mission Press 1967.
A tale of two children left in the bush and helped by animals.

47. MOHAMED, Mohamed S.:

Kiu (Thirst). 128 pp., 9 chap. EAPH 1972.
The lst prize winner in the Swahili Story-writing Competition, 1970.
A girl — victim of a rascal.

48. MUNGIA, Justin D.:

Hadithi za Mfalme Sinsin (Tales about king Sinsin). 30 pp., 6 chap. TPH 1971 (3rd ed. 1973).
The adventures of two of the king's sons.

(49.) MUNG'ONG'O, C.:

Mirathi ya hatari (A dangerous inheritance). TPH, ?
Witchcraft in modern society.

50. MUSHI, J. S.:

Baada ya dhiki faraja (After difficulties comes relief). 54 pp., 10 chap. TPH 1969 (2nd ed. 1972).
Traditional tribal life.

51. MUSIBA, Aristablus Elvis:

Kufa na kupona (Dying and escaping death). 117 pp., 10 chap. EALB 1974.
A thriller: espionage.

(52.) NCHIMBI, B. R.:

Penzi la dawa (Love by charms). TPH 1973—1974?
Crisis of a modern marriage.

53. NDIBALEMA, Charles Mshubiro:

Nimeponzeka (I am in danger). 55 pp., 9 chap. Longman 1970.
A criminal tries to kill the lover of his niece.

54. *Fimbo ya ulimwengu* (A stick of the world). 83 pp., 9 chap. Heinemann 1974.
A good boy ruined by bad friends loses his father's blessing.

(55.)

Chuki iliyonakshiwa (A carved dislike). Longman, ?

56. NDUNG'U, Joseph:

Mtoto ni wa nani? (Whose child is it?). 101 pp., 11 chap. Seven Lakes Publications, Nairobi, ?

A jealousy drama in a modern marriage.

57. NG'ANG'A, Daniel S.:

Ewe mla gizani (You who eat in the darkness). 60 pp., 8 chap. Njogu Gitene Publications, Nairobi, ?

Life of a criminal.

58. NJAI, Mary Wanjiru:

Mapenzi gani haya? (What kind of love is this?). 64 pp. Njogu Gitene Publications (between 1972—1974?)

17 fables and short tales.

59. NKWERA, Felician N. V.:

Mzishi wa baba ana radhi (Who buries his father gets his blessing). 119 pp., 15 chap. EALB 1967.

Folklore: uses of the Pangwa.

60. NURRU, Saidi M.:

Ndoa ya Mzimuni (Marriage in the other world). 61 pp., 9 chap. EALB 1974.

A fantastic story of a girl who kills her fiancé — a spirit.

61. NYASULU, Godfrey:

Wikondeji. 102 pp., 8 chap. In: *Michezo ya kuigiza na hadithi* (Dramas and stories). EALB 1970.

Traditional life of the Sukuma.

62.

Laana ya Pandu (Pandu's curse). 98 pp., 4 chap. EALB 1974.

A simpleton ruined by a city girl.

63. OMARI, Cuthbert K.:

Mwenda kwao (Going home). 157 pp., 11 chap. Institute of Swahili Research, DSM 1971 (2nd ed. 1973).

A marriage of an African with an American negro girl.

64.

Hadithi za bibi (Grandmother's tales). I—II, TPH 1972.

I. Animal fables. II. Folk tales.

65.

Barabara ya tano (the fifth avenue). 40 pp. TPH 1973.

Four short stories — episodes from modern life.

(66.) OMOLO, Leo Odera:

Mtaka yote hukosa yote (Who begs for everything gets nothing). Longman (before 1968?).

67.

Tajiri mjanja (A cunning merchant). 30 pp. EAPH 1967 (3rd ed. 1971).
Three tales and stories.

68.

Kisa cha Hamisi (The adventures of Hamisi). 28 pp., 11 chap. Longman 1968 (2nd ed. 1970).
A theft prevented by the hero.

69.

Taabu za Mambo (The troubles of Mambo). 24 pp., 12 chap. Longman 1969 (2nd ed. 1970).
Troubles of a boy who ran away from his family.

70.

Shujaa na nyati na hadithi nyingine (A hero and a buffalo and other stories). 36 pp. Longman 1969 (2nd ed. 1970).
Four tales and short stories.

71.

Mikasa ya Joseph Juma (Misadventures of Joseph Juma). 70 pp., 8 chap. Longman 1971.
The story of a criminal.

72.

Mwerevu hajinyoi (A shrewd man does not shave). 56 pp., 6 chap. Longman 1971.
An honest man ruined by women in Nairobi.

73.

Uhalifu haulipi (Rebellion does not pay). 50 pp. 7 chap. Longman 1971.
A story of a thief and crook.

74.

Ya Mungu ni mengi (The ways of God are manifold). 69 pp., 10 chap. Longman 1972.
A licentious life of the hero in Nairobi.

75. *Parapanda* (The trumpet of the last day). 75 pp. EALB 1974.
Six stories written by the students of the university for Adults of DSM.

76. RWECHUNGURA, Gabriel R.:

Hadithi za mapokeo (Traditional stories). 66 pp. TPH 1972.
12 animal fables and tales.

77. SANGIJA, D.:

Bado mmoja... (One more...). 131 pp., 22 chap. Ndanda Mission Press 1973.
A thriller.

78. SEME, William B.
Njozi za usiku (Night dreams). 104 pp., 10 chap. Longman 1973.
Nostalgia of the past and blame of the Western culture.

79. SIMBAMWENE, John:
Mwisho wa mapenzi (The end of a love). 70 pp., 10 chap. Longman 1971.
A man ruined by unscrupulous women.

80.
Kwa sababu ya pesa (Because of the money). 70 pp., 7 chap. Longman 1972.
A group of thieves caught by the police.

81. SOMBA, John Ndeti:
Kuishi kwingi ni kuona mengi (Who lives long sees much). 137 pp., 7 chap. EAPH 1968 (3rd ed. 1972).
Life of an average man in modern society.

82.
Alipanda upepo na kuvuna tufani (He sowed the wind and gathered a storm). 83 pp., 8 chap. Heinemann 1969.
Story of an unscrupulous politician.

83. SULEIMAN, Omari:
Pwagu na Pwaguzi (A master thief). 24 pp. Foundation Books, Nairobi 1973.
Eight jokes and funny stories.

84. THONYA, Lucius Mabasha:
Siasa hapo kale (Wisdom of the past). 95 pp. EALB 1960 (2nd ed. 1970).
29 stories illustrating Ngoni sayings.

85. "TONGE NYAMA":
Juma — mtoto yatima (Juma — a little orphan). 85 pp., 12 chap. EALB 1974.
Sufferings of an orphan.

86. UGULA, Paul O.:
Ufunguo wenye hazina (A key to a treasure). 110 pp., 24 chap. Evans Brothers 1969.
An allegorical story.

87. *Vitabu vya darubini I—IV.* EAPH 1970—1974.
Four booklets of short stories illustrating Tanzanian politics.

This short bibliography is by no means complete, though it is hoped that it will give an idea of what has been written in this field and delineate a kind of literature almost unknown or ignored. In this way the bibliography is meant to stimulate the interest of scholars and students of African literatures.

Abbreviations

DSM — Dar es Salaam.
EALB — East African Literature Bureau, Nairobi.
EAPH — East African Publishing House, Nairobi.
TPH — Tanzania Publishing House, Dar es Salaam.

A Few Critical Notes

The most outstanding figure in contemporary Swahili literature is incontestably Euphrase Kezilahabi, born in 1944 on the Ukerewe island in Lake Victoria — an environment which he has described in a masterly way in his novels. The principal heroine of his first work *Rosa Mistika* is a country girl who during her stay at a boarding school threw away all moral restraints. Shee fails to find permanent satisfaction in her loose way of life and though she gives it up, she remains marked by it: her past will be an obstacle to her happiness and will eventually drive her to self-destruction. In his second novel *Kichwamaji,* Kezilahabi has given the best expression to the feeling of alienation of modern Africans. Kezilahabi's hero is an undergraduate whose education estranged him from his parents and friends in his native village. However, he fails to find his place also in the modern world; he looks in vain for a sense in life and ultimately commits suicide. In Kezilahabi's latest novel *Dunia uwanja wa fujo,* we find practically all the principal topics of Swahili literature: everyday life in a small village with its traditional morals and customs, witchcraft, conflicts between the generations, life in the town where marked social differences, not met with in the village, prevail, the crisis of modern marriage and finally African socialism. Here too, the principal hero Tumaini perishes, this time because he could not get square with Tanzanian policy. In addition to the three novels just mentioned, Kezilahabi has written an anthology of poems *Kichomi* which is perhaps the best evidence of the author's close links with the actual social topic and his unreserved dedication to the ideals of Nyerere's socialism.

Kezilahabi's heroes, tragically split in personality, vainly searching for a sense in their own life, belong among those best portrayed in Swahili literature whose traditional drawback has been precisely a shallow insight into the characters' way of thinking. From an artistic point of view, Kezilahabi has no corresponding pattern in Swahili literature: a parallel might be seen rather in East African literature written in English. His plastically moulded characters of Africans disillusioned by Western civilization come close, for instance, to heroes of the novel *Never Forgive Father* by the young Kenyan writer George Kamau Muruah (EALB 1972).

A contemporary Swahili prosaist, best known in the West, is Muhammed Said Abdulla from Zanzibar, author of five psychological detective novels: *Mzimu wa watu wa kale; Kisima cha Giningi, Duniani kuna watu, Siri ya sifuri,* and *Uchafu wenye jina.* Their plot structure is set on the author's native island; without being

actually a pentalogy, they seem part of one whole, united through the principal hero Bwana Msa, some sort of an African Sherlock Holmes, and through some of the minor figures. These novels are characterized by a fresh but refined language, a faithful reproduction of the words and actions of the characters, a graphic description of the milieu, a delicate satire and irony. Nor does the author neglect a deeper processing of the characters of his personages, but his underplots are rather overdone and his solutions unconvincing.

Detective novels and tales are a favourite genre in Swahili literature. Tanzanian critique has made much of the long story by Faraji Katalambula *Simu ya kifo,* marked by an ingenious structure and the use of modern narrative procedures.

One of the most remarkable pieces of Swahili prose of recent years is *Titi la mkwe* by Alex Banzi which takes note of the new marriage relationships in contemporary Tanzanian society, full of contradictions, and of the confidence enjoyed by medicine men even among educated Africans. The author wields the language with feeling and devotes considerable care to the construction of the plot. — One of the best Swahili stylists is H. C. M. Mbelwa. His novel *Mfu aliyefufuka* deals with a subject that is rather exotic to us, but which today forms part of Arican reality: witchcraft. In addition to an interesting plot, the book comprises suggestive nature descriptions that attest to the author's depth of feeling.

Among fine narrators belong also John Buyu, Haji Chum, Muhammad Saleh Farsy, George Mhina, Mohamed S. Mohamed, John Ndeti Somba — unfortunately, they cannot be dealt with here in detail.

In closing, I should like to draw attention to the collection of stories *Parapanda.* Although the editor Gabriel Ruhumbika states that the authors had no previous literary experience, some of the stories surprise by their artistic maturity. This is especially the case of *Nyoka han mjomba,* dealing with black magic, by W. A. Macha, taken over with minor stylistic adjustments from the little book *Siibi tena* where it had been originally published under the title *Nyoka wa mauzauza.* Manamba Kabashi also set his story *Mabula na mila zake* in the countryside: his simple plot documents the disruption of traditional values of the tribal society. Finally, the story *Wali wa ndevu* by G. Tilumanywa is a rare example of political satire in Swahili literature.

BOOK REVIEWS

Problemy semantiki (Problems of Semantics). Edited by V. M. Solntsev. Moscow, Nauka 1974. 384 pp.

This collection of papers has been stimulated by a discussion on semantic problems that had taken place in the Oriental Institute of the Academy of Sciences of the U.S.S.R. during 1971. The volume covers a fairly wide range of topics, the preference being given to open questions. While some of the papers are purely theoretical, others discuss various semantic aspects of particular Oriental languages.

The introductory article (pp. 3—11) by V. M. Solntsev draws a brief characteristics of the contents of this collection and proceeds to defining some basic notions of the discipline. Thus, e.g., understanding is interpreted by Solntsev as a kind of a resonance thought (p. 5), which amounts to saying that the thought as such is by no means transmitted in the literal sense from the speaker to the hearer; it can only be evoked through resonance. This explains why the adequacy of understanding may and does vary within the range between full understanding on the one hand and no understanding whatsoever on the other. The notional content (= meaning) turns up in the process of reflecting the facts of reality, remodelling and generalizing them. This is, naturally, a social process. Further on, the meaning of a word is identified by Solntsev with notion (pp. 6—7). However, while meaning may coincide with notion, there are sufficient words for which such an equation would not hold. Afterwards, Solntsev actually modifies his statement to the point of reducing meaning to "what is constant in the notion", to a set of features that are familiar to all speakers of the language in question (p. 7). Solntsev opposes meaning as constant to notion as changing and developing. The reviewer would rather view this as an opposition of more versus less constant.

Another interesting issue raised by Solntsev is that of structuration of meaning (pp. 7—8). In his opinion, the systemic nature of the linguistic meaning is the combined result of two factors, (1) the systemic nature of objective reality and (2) the mutual interaction of various meanings (p. 8). Put in a different manner, it is both external an internal factors that render the systemic interpretation of vocabulary possible.

Solntsev also makes an interesting attempt to define the so-called grammatical meaning (p. 9). The latter is highly abstract and there are two basic types of grammatical meanings. The first type, in the long run, reflects merely intralinguistic

relations (i.e. relation between language units) while the other one reflects the extralinguistic reality, although in a distorted way.

As far as the componential analysis of meaning is concerned, Solntsev stresses its subjective nature. He denies the distinctive features any degree of objective existence, maintaining that they appear largely as by-products of a comparative study of meanings (p. 10). However, this attitude of Solntsev does not amount to his complete rejection of the method.

The general section of the book (pp. 12—126) includes ten studies dealing with theoretical issues, e.g., the position of semantics within the framework of linguistic description (I. F. Vardul, pp. 12—24), semantics and typology (S. K. Shaumyan, pp. 35—40; V. B. Kasevich, pp. 120—126), language and thought (G. P. Melnikov, pp. 25—34), semantics and syntax (Y. K. Vannikov, pp. 41—46; I. P. Susov, pp. 58—65), principles of synchronous semantics (Y. K. Lekomtsev, pp. 47—57), analysis of meaning (L. A. Kiseleva, pp. 66—75), meaning, sense and semiotics (G. P. Shchedrovitskii, pp. 76—111; M. P. Papush, pp. 112—119).

Doing justice to this collection of interesting papers would be a very hard task indeed. Most of them witness to considerable achievements of Soviet linguists who, unlike many of their colleagues in the U.S.A. and western Europe, never dismissed meaning as extralinguistic and irrelevant.

The second section is confined to an analysis of grammatical semantics (pp. 127—247). The most extensively discussed subject is that of voice and transitivity (V. S. Khrakovskii, pp. 127—135; E.E. Kordi, pp. 181—188; L. I. Shkarban, pp. 196—213; N. P. Golubeva, pp. 221—228), but other problems are touched upon as well, e.g., semantics of grammatical constructions (B. Y. Gorodetskii, pp. 136—143; N. V. Omelianovich, pp. 175—180), pronouns (Y. V. Bolshova, pp. 150—158), gender (V. P. Liperovskii, pp. 214—220), qualitative adjectives (E. A. Potseluevskii, pp. 229—247).

The third section (pp. 248—339) is concerned with problems of lexical semantics. Various contributors examine functioning of words within higher units (A. A. Leontiev — T. N. Naumova, pp. 248—254; A. E. Suprun — B. A. Plotnikov, pp. 255—262), motivation of meaning (L. B. Nikolskii, pp. 279—285; Z. P. Komolova, pp. 333—339), polysemy and homonymy (B. M. Leikina, pp. 263—271; L. V. Malakhovskii, pp. 272—278), and phraseology (Y. A. Rubinchik, pp. 308—316; V. D. Ushakov, pp. 317—322; R. R. Yusipova, pp. 323—329; Abd el-Sasie Fauzi Attia, pp. 330—332).

The last section (pp. 340—381) is devoted to the relationship between semantics and language history. Only six papers are included in this part of the volume but the reviewer appreciates their methodological unconventionality, especially the method of the so-called isosemantic series used by V. P. Starinin (pp. 349—354), N. A. Syromiatnikov (pp. 355—364), and T. M. Garipov (pp. 369—375).

The present collection as a whole is of interest not only to Orientalists (data from

Oriental and European languages are amply used throughout the book), but to all scholars interested in the recent advances of general linguistics.

Viktor Krupa

Kapp, V. (Ed.): *Übersetzer und Dolmetscher* (Translator and Interpreter). Heidelberg, Quelle und Meyer 1974. 220 pp.

This volume has appeared as the No. 325 in the series of Uni-Taschenbücher (University Textbooks) and discusses theoretical questions, education and practice of translators and interpreters. It includes sixteen contributions by various authors ranging from general linguists to experienced professionals. Although the aim of the publication is predominantly practical and consists in giving initial information to future translators and interpreters, it also contains some papers that are of relevance to the translation theory as well.

The individual contributions are grouped in four sections. Section I (pp. 7—25) is introductory, including an article by V. Kapp on both theoretical and practical problems in the education of translators and interpreters; the growing importance of translation in the modern world is discussed by W. Wilss who also gives some interesting statistical data on the issue.

Section II (pp. 26—71) is certainly the most relevant from the point of view of general linguistics since it deals with theoretical questions. H. Vernay has written a study (pp. 26—37) in which he discusses the aims of the science of translation and suggests that the language community ought to be distinguished from the communicative community (p. 29). He stresses that the science of translation of education of translators cannot do without a comparative cultural anthropology or ethnosociology (p. 31). H. Vernay notices that there is also such a thing as intralinguistic translation (pp. 31—32). This is, in the reviewer's opinion, a very important fact; being aware of it, we cannot overestimate the interlinguistic variability and diversity that was wrongly regarded by some linguists as an insurmountable barrier to translatability. An article by D. Seleskovitch (pp. 37—50) is devoted to the theory of interpreting. The latter discipline needs even more attention than translation; it is true that both activities have much in common, but an interpreter is confronted with many problems which cannot be solved within the realm of the translation theory. L. Wolf (pp. 50—61) mentions some essential problems of semantics. He believes that the vocabulary of any language is structured (p. 51). The reviewer thinks, however, that the extent of structuration varies within the vocabulary, being fairly high with such domains as, e.g., kinship terms, colours, pronouns, etc., and trivial with others. Wolf stresses the theoretical importance of onomasiological gaps which, according to him, manifest the extralinguistic character of partial notional systems (p. 57). He is also right whin maintaining that motivation

is essentially irrelevant from the synchronous functional viewpoint (p. 59), an issue that was misunderstood by linguistic relativists. However, Wolf fails to evaluate vocabulary as that linguistic level which is in constant interaction with reality and thus ought to accomodate to it. That is why vocabulary is not merely arbitrary but also reflects the advance in human cognition.

W. Dressler discusses the contribution of text linguistics to the science of translation (pp. 61—71). He points out that the controversy concerning translatability versus untranslatability of languages enters a new phase with the rise of text linguistics (p. 61). The translational relation is regarded by W. Dressler as asymmetrical, intransitive, and irreflexive, which accounts for an absence of the translational equivalence in the sense of invariance (p. 62). The text linguistics helps to explain why a sentence, when considered in isolation from its context, cannot be translated correctly and why the effects of translational inequivalence can be compensated only for the text as a whole (p. 63).

Section III (pp. 72—185) comprises eight papers dealing with various aspects of the education of translators and interpreters. Section IV (pp. 186—209) gives some information on the professional practice for those who intend to become translators or interpreters.

The publication is complemented with a list of institutions specializing in educating translators and interpreters (p. 210); however, only Western Europe and the United States are covered here. Besides, there is a selective bibliography of relevant works (pp. 211—215), a subject index (pp. 216—217), and a list of contributors (p. 218).

The volume under review is a welcome contribution to the theory of translation and, what is perhaps even more important, it shows one of the ways in which linguistics may prove to be useful to the whole society.

Viktor Krupa

Deutsch, Eliot: *Studies in Comparative Aesthetics.* Monographs of the Society for Asian and Comparative Philosophy, No. 2. The University Press of Hawaii 1975. ix-xiv + 95 pp.

Professor E. Deutsch has expressed a noteworthy conviction in the booklet under review: "Comparative aesthetics, I believe, ought to be carried out not with the intention of transplanting exotic ideas ... but rather with the hope that through the study and creative reconstruction of other cultural ideas, ideals and preferences we may enrich the possibility of our understanding philosophically the nature of art and aesthetic experience. Comparative aesthetics, in short, as with comparative philosophy generally, ought to serve philosophy itself" (pp. xi-xii).

It might perhaps be right to supplement this statement with the words: aesthetics is not merely a part of philosophy, but through functional components, norm and value

forming elements, it is present in every work of art. It amounts to saying that comparative aesthetics ought to serve all branches of art including literature. And of course, comparative aesthetics ought to serve primarily aesthetics itself, aid it in formulating theoretical aesthetics of future times, certain general aesthetic canons or laws, insofar as any exist.

The book consists of three studies. The first two are concerned with aesthetic theories or principles and their value for comparative aesthetics. The third one deals with the possibilities of aesthetic comparative criticism.

In the study entitled *Reflections on Some Aspects of the Theory of Rasa,* Professor Deutsch endeavours to point to those aspects that would be applicable outside the "traditional Indian drama, poetry or music". *Rasa,* the most important category of Indian aesthetics, is far from being a firmly defined term. G. B. Mohan Thampi, in his article *"Rasa" as Aesthetic Experience,* in the Journal of Aesthetics and Art Criticism, XXIV, No. 1, Part 1 (Fall, 1965), p. 75, enumerates 16 meanings, not forgetting to add that in different periods "new meanings evolved out of earlier ones and indifferent disciplines rasa acquired different connotations."

This theory, formulated for the first time in connection with aesthetic problems relating to old Indian drama, calls for a comparison with the theory of *mimesis* which in its Aristotelian apprehension also originated in a close connection with the tragedy and other forms of Greek art. The term *mimesis* or imitation is indeed fairly hazy in Aristotle, but its message is, on the whole, quite clear. Nature (or life) as objects of art are not to be imitated in *sensu stricto,* but the aim should be: "a likeness or image of nature" (seeWimsatt, Jr., W. K.—Brooks, C.: *Literary Criticism. A Short History.* New York, Alfred A. Knopf 1966, p. 26). Mimesis is rather unsuitable term. Aristotle had in mind essentially human beings in action, their passions, characters; he did not consider poetry and art in all their breadth. Similarly, his statement that history has the task of relating what actually happened, while poetry of what may happen, should be interpreted in a non-didactic and non-dogmatic way. Aristotle was concerned with an "artistic" expression of reality. The essence of art as a complex aesthetic phenomenon, even though cognizable and to a large extent also known, embodies and will for a long time to come embody something ineffable and that is not easy to define. This is brought about by the complex structure of art itself.

When we pass from the Greek world, gnoseologically so translucent, clear even though very profound, into the Indian world full of dreamy and very indefinite neither ... nor ..., it is not .. but it is ..., into a world which transcends spatial and temporal determinations, where the most sophisticated and delicate philosophical discussions are always on the order of the day and where simple things are spoken of in a complicated manner, where reality is not recognized from fancy, every philosophical or aesthetic issue is made into an enormously complex problem.

By *rasa* used to be understood the mood that was formed in the onlooker as a response to the experiencings of a theatrical performance. Cf. Alikhanova, Yu. M.:

Nekotorye voprosy ucheniya o dhvani v drevneindiiskoi poetike (Some Problems of the Teaching of Dhvani in the old Indian Poetics). In: *Problemy teorii literatury i estetiki v stranakh Vostoka* (The Problems of the Theory of Literature and Aesthetics in Oriental Literatures). Moscow, Nauka 1964, pp. 24—25. Such was evidently the case up to the 7th—8th century. Later — 10th — 11th century — *rasa* "acquired a different, more specific meaning of aesthetic emotion, which is in contrast to the ordinary one, is not conditioned by causal, temporal and spatial factors and consequently has not a personal, but a general character" (loc. cit.).

We read in the text by Professor Deutsch that the essential quality of aesthetic experience (i.e. of *rasa*) "is neither subjective nor objective, it neither belongs to art-work nor to the experiencer of it, rather it is the process of aesthetic perception itself..." (p. 2). What then is *rasa*? An aesthetic experience or the process of aesthetic perception? Both? But even that is not enough yet, for *rasa* is also a "generalized emotion" and "awakening or manifestation of various innate states" (pp. 5—6).

In this theory, and especially in its developed form, Deutsch sees one of the possible approaches to a study of a work of art. He studies the problem of *rasa* as a "potentionally universal (and possibly prescriptive) concept in aesthetics — East and West" (p. 1). For his own needs, it suits Deutsch best in the form of *śāntarasa* as put forward by Abhinavagupta (10th century). *Śānta* means silence. According to this theory, the work-art is a "centre of silence and requires for its right apprehension an inner quietude, a silencing of desires and thought" (p. 18). This last is not very helpful to an understanding of art, yet Deutsch believes in it. In his view "all experience (artistic is meant, M. G.) is *śāntarasa*" (p. 19). He cautions that this applies only to those "enlightened". This is no scholarship, but mysticism.

The second study called *An Invitation to Contemplation: The Rockgarden of Ryōanji and the Concept of Yūgen*, bears a considerable likeness to the first study. It differs in being more meditative. Stones and gravel in the garden of Kyoto lead the author to considerations on the character of this beauty in connection with the term *yūgen* which is meant to be some definition of beauty insofar as a definition may be rendered by a single, very indefinite and at the same time multi-meaningful word. *Yūgen* reminds Deutsch of *śāntarasa*, but this is rather his wishful thinking; otherwise, something that is very difficult (conceptually), but very simple (ontologically). *Yūgen* (in Chinese: *yu hsüan*) means profound, mysterious, occult, subtle, abstruse, recondite (see Kenkyusha's *Japanese-English Dictionary*). Between this "simple" and "difficult" there exist considerable opportunities for author's "self-realization" — primarily in the stylistic domain, and Deutsch makes full use of them. With all due respect to the achievement of cultural, artistic, literary and other values, which I bear towards the nations of the East, I should not overestimate their contribution to the domain of aesthetics. In any aesthetic and critical works of these peoples, we should not forget the oriental cult of the word and the art of

suggestiveness. And if aesthetics is a branch of scholarship, then with words and suggestiveness only will hardly suffice to write a good piece of criticism.

In the study entitled *Pieter Bruegel and Ma Yüan: A Philosophical Inquiry Into Possibilities of Comparative Criticism,* the author compares the pictures The Massacre of the Innocents by Bruegel (ca 1525—1569) and Bare Willows and Distant Mountains by Ma Yüan (late 12th-early 13th century) and on this basis he muses whether it is possible or not to understand a work of art produced in a foreign environment. It looks as if we had met a different author in this study. In it he points out four factors that affect the aesthetic relevance of the art-work in a foreign milieu: cultural *Weltanschauung* of the area where the author creates, then an aesthetic preference of the author's cultural realm, then the so-called "formal content", i.e. "the realized composition or design, the resolution of contrasts and tensions, the inner vitality that is the art-work in formal terms" (p. 54), and finally, symbolic values of different kinds. The author takes a very correct view of art-work and artist not as independent entities, but philosophically and socially under the impact. Every cultural sphere has a cultural-authorial aesthetic preference which the researcher in the field of comparative criticism must respect. Professor Deutsch does not emphasize the existence of certain general laws of principles governing the formal contents of art, but their eventual existence he does not even refute. But he certainly accentuates the fact that there are no such qualities which, taken by themselves, will make art-work attractive or beautiful (p. 61). Art-work is a "structured or organic whole" (p. 62), and this probably signifies that its aesthetic value may become manifest only when it is considered as a bond of various qualities and factors among which aesthetic qualities and factors are included. Aesthetic relevance possesses different dimensions in different cultural spheres and those dimension must be known. Mutual knowledge alone will then make possible a mutual understanding and positive results in research pursuits.

Marián Gálik

Oliver, Douglas L.: *Ancient Tahitian Society.* Three Volumes. Honolulu, The University Press of Hawaii 1974. 1420 pp.

This monumental publication by a well-known anthropologist deals with the culture of pre-European Tahiti. The latter as a whole has been extinct for many decades and that is why Oliver's work may be regarded as a reconstruction of the original Tahitian culture and social structure rather than its description. The author began preparing his book some twenty years ago. He soon found out that many generalizations about the pre-European Tahitian society current in literature were untenable. In addition to published sources Oliver uses a variety of unpublished data. He is aware of many inconsistencies in the spelling of Tahitian words. This is

due to his principle according to which the spelling of the source used is invariably preserved.

Oliver's remarkable work is subdivided into three volumes. Volume One (pp. 1—578) is titled Ethnography. This is a detailed and profound analysis of the subject. It includes chapters devoted to the geography of the islands (pp. 7—26), their population (pp. 26—41), cosmology (pp. 47—65), religious ideas (pp. 65—122), time division (pp. 123—132), tools and crafts (pp. 133—151), grooming (pp. 152—161), house construction (pp. 162—193), boats and navigation (pp. 194—219), food production (pp. 220—314), amusement (pp. 315—349), sexual life (pp. 350—374), warfare (pp. 375—408), and the human life cycle (pp. 409—528).

Volume Two (pp. 579—1170) contains an extensive analysis of the social relations of ancient Tahitians. Topics discussed by the author are sex and age (pp. 597—615), kinship structure (pp. 616—748), social stratification (pp. 749—798), marriage (pp. 799—841), friendship (pp. 842—850), occupations (pp. 851—880), cults (pp. 881—964), territorial and tribal organization (pp. 965—1073). The last chapter includes a variety of generalizations concerning the Tahitian value scales, social units and roles, property, interrelations of classes as well as the overall evolution of the Tahitian society prior to 1767 (pp. 1074—1132).

Volume Three (pp. 1171—1420) deals with that short but crucial period of the Tahitian history from the arrival of the first Europeans, to the christianization of the islanders, which coincides with the Pomare era. The chief issues discussed in this volume are the political power in the early European period (pp. 1171—1216), emergence of the Pomares (pp. 1217—1236), Tahiti and Mo'orea (pp. 1237—1255), the Bounty mutiny and its consequences (pp. 1256—1271), the Matilda incident (pp. 1272—1287), arrival of missionaries (pp. 1288—1313), fall of the Pomares (pp. 1314—1332) and their repeated rise (pp. 1333—1350).

Each volume is supplied with notes to the individual chapters and with numerous reproductions of black and white prints as well as maps. Besides, Volume Three contains a bibliography of books and articles quoted by Oliver (pp. 1367—1384) and three indices arranged according to subject (pp. 1385—1404), place (pp. 1405—1411), and name (pp. 1411—1419).

Oliver's publication contains a wealth of data and many of them are hardly available elsewhere. There is some overlapping of subjects. Thus, religious concepts are discussed in chapters Three, Twenty-Two and Thirty-Two; sex and marriage in chapters Eleven and Nineteen, etc. This, however, is inevitable in books of this kind.

Writing an adequate review of Oliver's tremendous work would be an extremely exacting task and it was not the aim of the reviewer who only hopes that the future will bring more such synthetic publications that are especially welcome in our era of an ever increasing specialization.

Viktor Krupa

Kolb, Albert: *Die Chinesen, Japaner und Inder auf den Philippinen* (Chinese, Japanese and Indians in the Philippines). Wiesbaden, Otto Harrassowitz 1974. 142 pp.

The book under review is a result of Professor A. Kolb's own research and his evaluation of important literature. In his work, he discusses three Asian minorities in the Philippines, two of which — the Chinese and the Indians — belong to the most migratory nations and the most influential residents in the neighbouring as well as more distant countries. The way of Japanese immigration in general was diametrically different, especially from that of the Chinese, and was concentrated to Hawaii, the west coast of the U.S.A., some parts of Latin America, and to Korea under Japanese rule; thus, it took place much later than Chinese immigration.

A special position of the Philippines in Southeast Asia and, to some extent, even in the whole of Asia, results from its historical development. An outline, a sort of introduction into this special position of the Philippines in Southeast Asia together with its human ecological milieu is briefly but competently presented in the first two chapters (pp. 9—14).

The most important minority group in the Philippines are the Chinese; the Indians are not numerous, and the Japanese, settled largely in Davao, Mindanao, had to leave the country after the Second World War.

Problems connected with the Chinese are analysed in Chapter III (pp. 15—66).

As far as minorities are concerned, the Chinese are rather sparsely settled in the Philippines in comparison with their numbers in other Southeast Asian countries — e.g. Indonesia, Malaysia, Vietnam, not to say Singapore. At the beginning of the Spanish domination, there were no more than some 40—50 Chinese, all of them living in the area of Manila but, towards the end of the Spanish colonial rule, some 90,000 of them were settled in the Philippines. During the intervening period, i.e. in 17th and 18th centuries, the Chinese were persecuted, massacred and expelled from the country. Nevertheless, their numbers continued to increase during the American occupation and even afterwards. According to official data, there were 181,600 Chinese in the country in 1960, but eleven years later, the figure dropped down to 96,090. However, this figure maybe somewhat misleading and is probably much higher (some 200,000), because many Chinese entered the country illegally. Together with their naturalized and seminaturalized compatriots they may be estimated at some 500,000 members. This represents no more than 1.25 % of the total population, but their share in the Philippine national product amounts to between 15—20 %.

The author discusses the problem of Chinese minority at full length: he deals with their expansion, the role of mestizos (i.e. offsprings of Chinese men and Filipino women), their origin, position in the Philippine economy, organizations and institutions, as well as their naturalization and assimilation. His clear and lucid

interpretation is accompanied with photos of Metropolitan Manila and pertinent explanations (pp. 69—103) which vividly picture the dislocation of the Chinese in that area.

There are only some 250 Japanese in the Philippines now, mostly in Greater Manila. They are outnumbered not only by the Chinese and Indians, but even by groups of non-Asian extraction, however, their group consciousness is more intensive than that of the non-Asians. The Japanese influence on the Philippine economy is greater than it was before the Second World War despite their small numbers. These problems are discussed in Chapter IV (pp. 105—124).

Chapter V (pp. 126—131) gives a synopsis of the Indians in the country and of former Indian influence, especially in the cultural domain. The Indians — some 1,350 people — live for the most part in the Manila region and like the Japanese, separately from the Filipinos.

The book is provided with an English summary and two maps are added (Spread of Chinese Population and Metropolitan Manila) that greatly facilitate a graphic perception of the issues.

This is a useful book as it throws some light on some of the problems and issues facing the minorities that have come to settle in the Philippines.

Jozef Genzor

Dahm, Bernhard: *Emanzipationsversuche von kolonialer Herrschaft in Südostasien* (Indigenous Response to Colonial Rule in Southeast Asia). Wiesbaden, Otto Harrassowitz 1974. 171 pp.

The present study is the first part of a comparative analysis of indigenous response to colonial rule in some Southeast Asian countries. In this volume the developments in the Philippines and Indonesia are analysed. A further study by the same author dealing with similar developments in Vietnam and Burma is to follow shortly.

Bernhard Dahm focuses his attention on the developments in the colonial period which ended with the arrival of the Americans in the Philippines (1898) and the Japanese conquest of Indonesia (1942).

The study is divided into two sections: the Philippines (pp. 11—59) and Indonesia (pp. 61—149). The first chapter in each section is an analysis of religio-cultural, economic, and social developments under the colonial rule.

The second chapter of each section deals with the response to colonial rule in the period before 1870. The author sees the major differences between the Philippines and Indonesia in this period in "the general acceptance of Catholic norms and values by the Filipinos and in the gradual process of Islamization in Indonesia. The Phillipine rebels of the time did not question the presence of the Spanish but fought for justice and equality within the Spanish system. The Indonesian rebels, in

contrast, rallied behind their own symbols and values, more and more dominated by the teachings of the Prophet" (p. 152, Summary).

The third chapter in each section discusses the emergence of revolutionary movements after 1870. The author shows that despite the significant changes that took place within the structure of the indigenous society having their origin in the increase of economical and cultural penetration of colonial powers to Southeast Asia, the developments in this phase followed the previous pattern which originated from the different acculturation policy exercised by the Dutch and the Spanish. Thus "the new emerging élite of Filipinos (Jaena, Rizal, del Pilar) fought for reforms, for liberal rights and racial equality and a restriction of the arbitrariness of the monks with little inclination for a separation from Spain. Only after all appeals to the Spanish authorities and public had led to nothing but increasing despotism, a revolutionary movement like the Katipunan could gather momentum" (p. 152). In Indonesia the dissatisfaction of all groups of Indonesian society with the foreign rule was general. Nevertheless, the movement centralized in Sarekat Islam was too heterogeneous to become a real threat to the colonial power. The headings of the respective chapters — "Forced Revolution" and "Delayed Revolution" — are illustrative of the author's views.

The final chapter in each section discusses the role that in response to colonial rule was played by traditional concepts and norms. In the Philippines, the Spanish policy of acculturation left almost no trace of the pre-colonial past. The Filipino leaders searched for their models in Europe and the Filipino revolution stood, in aims and methods, clearly in the tradition of the French bourgeois revolution of 1789. In Indonesia, on the contrary, a multitude of traditional concepts and values survived, making it thus impossible for the emerging élite to organize a disciplined movement capable of challenging the colonial power.

The book contains an English Summary (pp. 151—153), a Glossary of foreign expressions used in the text (pp. 155—156), a Bibliography (pp. 157—163) and an Index (pp. 164—171).

Štefan Fatura

Alieva, N. F.: *Indoneziiskii glagol. Kategoriya perekhodnosti* (Indonesian Verb. Category of Transitivity). Moscow, Nauka 1975. 142 pp.

N. F. Alieva, a well-known Soviet Indonesianist, has set herself a difficult task to describe the category of transitivity in Bahasa Indonesia. The problem of interrelations of the verb with its subject and objects is one to which increasingly more attention is being paid in linguistic literature. It cannot be solved without taking into account such categories as case, voice, verbal and nominal subclassification. Alieva is

well aware of this fact and investigates the transitivity in the Indonesian language in all of its connections. The discussion of the Indonesian verb is preceded by a theoretical chapter titled Expression of the Objective Relations and the Category of Verbal Transitivity (pp. 5—22). Thus she has constructed a theoretical framework which enables her to see the Indonesian category of transitivity as one of several possible ways of expressing the same content. This chapter is recommendable to all those who are engaged in the study of typology. Bahasa Indonesia is characterized as a language that does not clearly distinguish the lexical and grammatical levels (p. 8). At the same time, typological features of particular languages are not evaluated in isolation; Alieva's approach is an illustration of relational typology, which is considered by the reviewer as a result of applying the systemic method to language (cf. her remarks in the last paragraph on p. 9).

The bulk of the volume deals with the transitivity in the Bahasa Indonesia. An Indonesian verb is recognized as transitive if it occurs in both active and passive varieties (p. 25). There are two types of transitivity and, accordingly, two types of objects may be distinguished which are termed movable and immovable by Alieva (p. 29); the author is right when regarding this opposition as purely linguistic.

Chapters III, IV and V (pp. 34—115) discuss the various morphological ways of expressing transitivity, voice, and functions of verbal affixes. The last chapter (pp. 116—124) describes the affixal ways of expressing the objective relations in several other Indonesian languages, i.e., in Javanese, Sundanese, Balinese, Tagalog, and Malagasy.

In conclusion (pp. 125—129), the category of transitivity is characterized as the marked member of the opposition. Alieva stresses its heterogeneous nature, an internal differentiation, interrelation with the category of voice, and variability of the means for expressing one and the same action, process or state. She also notices that the verbal morphology is utilized here for expressing the objective relations and that the transitive suffixes are highly productive and enable a considerable semantic differentiation.

Alieva mentions the question of cognitive value of the grammatical category of transitivity (cf. pp. 14—19 and 29). Her attitude coincides with that of the reviewer who believes that the role of grammatical categories is purely intralinguistic and therefore their meaning does not correlate exactly with the objective reality.

The publication is furnished with a rich bibliography (pp. 131—135) and also with an English summary (pp. 136—140). As a whole, it may be characterized as a sound analysis of the transitivity in Indonesian and as a valuable contribution to typological studies.

Viktor Krupa

Turner, Robert F.: *Vietnamese Communism. Its Origins and Development.* Stanford, Stanford University 1975. 517 pp.

In 1975, a further voluminous book of over 500 pages on the history of Vietnamese communism was added to existing publications on the Vietnamese issue. The protracted armed conflict came to an end in that same year by the victory of the Vietnamese revolution and this fact permits a comparison between the concrete results of a prolonged and persevering effort of the Vietnamese people and many of the aspects brought forward by Robert Turner in his book, and in particular the chapter dealing with the prospective road to peace.

The book under review does not present a systematic history of the revolutionary struggle of Vietnamese communists and their allies, nor a rounded review of the development of theoretical conceptions, ideological work inside the party and the practical activity of Vietnamese communists in every sphere. The author chose a pragmatical approach to his theme, presenting in a chronological sequence the course of weighty moments from the history of the Vietnamese resistance, the Vietnamese communist movement, military economy, transition to setting up socialism in the DRV, and events from the diplomatic fight for Vietnamese independence within the framework of international politics. In his exposition the author focused exclusively negative views on the activity of Vietnamese communists, taking support principally in various statements by adversaries of the revolution and publicists of similar orientation and in certain critical remarks that are currently published in the DRV with the aim of remedying deficiencies by the method of criticism and self-criticism. This is an approach that brings in numerous details but does not permit the author to present an all-sided, comprehensive and truthful picture of the phenomenon under study.

A short biography of Ho Chi Minh makes up the first chapter, which also deals with the preparatory period prior to the foundation of the Communist Party of Indochina. The subsequent chapters are devoted to the origin of the Communist Party of Indochina, the formation of the anti-colonial organization Viet Minh, to diverse issues of the inner party policy of the Vietnam Workers' Party (which, as of 1951, is the continuer of the CPI) and its role in the fight with the American intervention and its preparation to the transition to socialism. The perspectives and significance of the Paris Agreement are dealt with in Chapter 10 which also contains the author's partial political conclusions. A final chapter deals with the relations of the VWP towards diverse issues that arose within the international communist movement.

For his data the author draws on the voluminous literature on the Vietnamese question, but especially on American literature. He referred to French authors exceptionally only, although it must be observed that several of these, thanks to their close personal knowledge of Vietnam as well as to various persisting relations

between France and Indochina, have brought a far deeper insight in their work on the Vietnamese question than authors from the United States of America.

Since political personalities and historians in the DRV have published numerous weighty and detailed studies on the history and policy of their country, their contribution and notions may not be ignored any longer in any serious work. Turner, too, often makes use of and quotes extensively from the literature and official documents published in the DRV and the publishing house of the National Front for the Liberation of South Vietnam. In some passages he also makes use of his knowledge acquired during his term of service as a civil and U.S. army specialist assigned to the American Embassy in Saigon. The book includes a supplement of 182 pages which contains 16 documents, 13 of which come from Vietnamese revolutionary organizations. It is primarily this documentary section which will enable the reader to become acquainted with the political positions of the Vietnamese revolution.

As regards the author's own text, it would seem that here he adhered to the method of selecting individual facts and events which he supports by quotations from the literature or documents, but as a rule, he himself neither comments on them nor evaluates them. For instance, he reproduces statements in the Vietnamese press and radio according to which the DRV considered it its duty to provide aid to South-Vietnamese revolutionaries. However, he fails to investigate the whole issue more deeply and to consider the crucial question, i.e. whether the South-Vietnamese people under conditions of the Saigon dictatorship had or had no right to resistance or to aid from their northern countrymen. Without a definite reply to this question, it is not possible to write an objective history of the Vietnamese revolt nor of the party that led it.

The book contains an extensive and thorough note material. The number of references could have been reduced. For instance, regarding the unquestioned and generally known fact that on September 2, 1945, Ho Chi Minh read in Hanoi the declaration of Vietnamese independence, the author brings page references to as many as three books which contain the same data. On p. 111 there is even a reference to the page of a large dictionary in which the author found the exact translation of the Vietnamese term patriotism. Where Turner dates the various events, he simultaneously draws attention, often in the notes, on erroneously stated dates in the works of other authors. He also corrects their minor mistakes. For example, he explains that B. Fall who once gave the correct date (11. XI. 1945) and another time a wrong one (10. XI. 1945) for the dissolution of the CPI, may have been mistaken by the International date line. Turner has thereby shown that his claim on exactness in other authors is high. It is therefore all the more surprising when on p. 26 he himself wrongly states that the Soviet-German pact of non-aggression was signed in 1938 and had reportedly some influence on the strategy of the CPI. As a matter of fact, the pact was signed a whole year later, in August of 1939.

On pp. 51—52 we meet with an exposition of the Viet Minh's designs which does not correspond to facts. After the end of World War II, the Vietnamese revolutionary leadership was not faced with two possible alternatives. According to Turner, it was then possible to choose between a victory over the French with the aid of Vietnamese rightist nationalists, and the possibility of strengthening the communist control of the entire resistance movement at the price of a prolongation of the struggle and even a possible defeat. Such a choice did not in fact exist. Both the poles of such an alternative represent a mere artificial construct. The Vietnamese rightist nationalists formed but minor groups, oriented for the most part towards the Chinese Kuomintang and towards terrorist methods of fighting. To carry on in cooperation with them was no guarantee of victory, it rather concealed the danger of an immediate war with France under disadvantageous conditions.

The author does not consider the subsequent decisive battle around Dien Bien Phu to have been a great military victory (p. 85) and admits rather its political significance. However, the fight for Dien Bien Phu in 1954 could never have acquired its downright symbolical and historical significance had it not been an unequivocally decisive military operation of a considerable temporal and spatial range which culminated in the capitulation of the French garrison and brought proof of the strategic superiority of the resistance.

On pp. 96, 106 and elsewhere, the author regularly denotes the Concluding Declaration — one of the principal elements of the Geneva Agreements of 1954, as an "unsigned document". This provokes the impression that there is question of an invalid document. In reality, the Concluding Declaration which includes also the provisions for a unification of divided Vietnam through elections has not been signed, but with the exception of two delegations, all the other missions expressed oral agreement with it in the form of special official declarations. This oral assent, duly recorded in the protocol, confirms that the document worked out in common has been accepted, is valid and binding just as if it had been signed. Moreover, it should be borne in mind that the delegation of the United States of America which did not give its assent to the text of the declaration bound itself in a formal statement that the U.S.A. would not use force against an implementation of its provisions. The author failed to include this American statement with the text of the Geneva Agreements given in the supplement.

The liquidation of the feudal system had its concrete form in the land reform and the popular courts of justice with antirevolutionary land-owners. One of these proceedings was attended also by W. Burchett. He published its course and expressed also his own impression that here accounts were being rendered by those whom nobody could judge for thousands of years in the past. On p. 136 Turner quotes this passage together with Burchett's concluding expressive statement, but appends the ironical question, how many of those condemned were a thousand years old. It ought to have been evident that Burchett did not write about thousand-year

old land-owners, but about a social class, about feudalism, whose thousand-year old oppression has, right up to the present times, marked deeply the social relationships in Vietnam and in Asia and has become one of the principal motives of contemporary revolutionary movements in this part of the world.

The author illustrates the revolutionaries' policy towards collaborators in a one-sided manner by the statement of one of the collaborators who holds that the partisans eliminate personally honest village mayors and support and encourage such as take bribes and look solely after their own interests. In this manner, adds Turner, they endeavour to provoke a "revolutionary situation" (p. 176). If the consequences of such a "policy" be projected in a concrete form in a Vietnamese village, it is evident that is should provoke rather an opposite effect were it truly applied by anyone.

On the whole, the author has succeeded in gathering a large quantity of data from diverse sources, however, he does not, as a rule, differentiate the varying degree of their reliability. In general, he does not evaluate the data in their developmental affinity, he likes to expresses his standpoints best by a sequence of quotations and only rarely does he formulate his own conclusions. The author has made no attempt at a complex evaluation of the Vietnamese revolution which is the most significant outcome of the efforts of the VWP, or an evaluation of its role in the history of the national liberating movement and the world-wide contest against colonialism, its place and significance in the international working-class movement and the international situation in general. Nor does he investigate the important issue of a close relationship of the Vietnamese communist movement to the living and deep national and revolutionary traditions. Turner's book does not set itself such aims. It lacks precisely that by which a historical work differs from a comprehensive informative material, abundantly provided with notes and arranged chronologically, a material selected in conformity with a predetermined political position. For this reason it neither answers nor puts the question whether and in what the Vietnamese revolution was an expression of a regular historical process in modern Vietnamese history.

Ivan Doležal

Wu, Yuan-li: *The Strategic Land Ridge.* Stanford, Stanford University 1975. 97 pp.

The victorious national-liberating struggle of the nations of Indochina was the principal axis of the contemporary history of Indochina during the course of the thirty-years' period following World War II. By its impact and its consequences it exerted an influence on the political development of the whole of South-East Asia and has come to be a significant element also in the world international-political relationships.

As the conflict became protracted from year to year, criticism of American intervention gradually increased and in the United States of America a polemic came to develop concerning the fundamental question of a justification and purposefulness of their intervention in the States of Indochina. One of the constantly recurring arguments of the adherents to and realization of American direct military engagement was the famous domino theory.

According to this, a victory of the communist-oriented national-liberating movement in Vietnam and in Indochina generally, must of necessity result in that one country after another in the whole of South-East Asia would fall into the hands of communist forces, just as a set of domino pieces placed on top of one another will tumble down when the lowest of the lot is knocked out. In order to forestall such a far-reaching development, American military circles insisted up to the last moment that a "prestige" military victory had to be achieved in Vietnam in order to hold on to positions there.

On the other hand, promoters of a peaceful solution refuted the domino theory and in harmony with the view of the most experienced orientalists maintained it to be wrong on the grounds, among others, that it schematically simplifies the situation in South-East Asia where the various countries have very different historical, political and social conditions. Consequently, the victory of a revolution in one area need not automatically result in the development or instigation of a revolutionary movement in a neighbouring or nearby country. The assumption of the revolution being exported from Indochina into further countries of South-East Asia which formed part of the domino theory, is not realistic according to the adversaries of that theory and cannot be supported by an analysis of the theory, political practice or the programmes of revolutionary movements in Indochina.

While the war lasted, these were but two contradictory hypotheses. After the victory of the Vietnamese, Laotian and Cambodian revolutions and the establishment of peaceful conditions in Indochina, a time has come for verifying which of the two hypotheses was the correct one.

In this connection and also in connection with the world policy, a group of 4 States has come to the forefront of attention, viz. Thailand, Malaysia, Singapore and Indonesia which constitute a contact zone between the Pacific and the Indian oceans. The strategic aspects of their position are a theme dealt with by the American professor Yuan-li Wu in his study *The Strategic Land Ridge*. The book is part of a broader programme of study within whose terms of reference he intends to study the strategic, political and economic interests of the United States of America in Western Pacific within the novel international situation which has come about in the seventies.

The author devotes three principal chapters to an analysis of foreign relations of the countries under study and specially their relations toward the People's Republic of China. In the closing chapter he cogitates on whether following the American

failure in Vietnam, the governments of this group of States will orient their policy towards neutrality, or to a cautious balancing of the measure of contacts and cooperation with the world great powers so as to achieve a certain stability in foreign influences. He comes to the conclusion that if the local governments wish to maintain the social and national-political status quo, they will have to rely on nationalism, a common defence policy and particularly on American aid which the author considers as the decisive factor. In this connection, on p. 75 he addresses several appeals to the United States of America to take up a more energetic stand in this part of the world if they are not to drop back to a "number two power". By these conclusions and ideas the author has not gone beyond the earlier traditional concepts of American foreign policy which have proved incompetent in the present stage of the historical evolution, as is also evident from the lessons derived from the results of the war in Vietnam.

Likewise, the concept of "vacuum" which appears in Chapter Four, is meeting with disagreement in many countries because it implicitly suggests the idea that the territory of smaller independent nations represents but a power vacuum which may, or even unavoidably must be filled in by the influence of the great powers.

The work is based on materials which must be taken into account when dealing with a topic from contemporary history, i.e. also reports of news agencies and particularly on records from various official — or, even more frequently, revolutionary broadcasting stations. Temporally, it processes the decade 1965—1975. The author devotes considerable attention to the consequences of the American-Chinese rapprochement and the departure of American armies from Vietnam for the changes in the foreign policies of the countries studied. The author has designedly confined his work to 4 noncommunist countries of South-East Asia which geographically constitute a connecting chain between China and Indonesia and simultaneously form a ridge between the Indian and the Pacific oceans. Nevertheless, it appears that a more complete picture would be achieved by an extension of the view to include also the foreign-political relations of neutral Burma and the popular democracies of the States of Indochina.

The material which the author has marshalled does not support the domino theory, nor any perspective of impending radical changes in South-East Asia. It rather impels to the conclusion that a transition period has set in of a gradual adaptation to the novel conditions for the governments and States which had relied on the aid of the United States of America and became confused and startled by their pragmatic turn towards a policy of rapprochement with the People's Republic of China.

A voluminous array of notes and an author and subject index are added.

Ivan Doležal

Anthologie de la littérature vietnamienne. Tome III. Deuxième moitié du XIXe siècle — 1945, Hanoï, Editions en langues étrangères 1975. 655 pp.

L'année dernière, le troisième volume de l' *Anthologie de la littérature vietnamienne* a paru dans les fameuses Editions en langue étrangères de Hanoï. Jusqu'ici c'est le plus compréhensif des sept volumes de ce cycle et comprend la période dynamique et révolutionnaire dans le développement de la littérature vietnamienne. Dans l'introduction relativement déployée, le lecteur peut prendre connaissance des facteurs principaux qui étaient mis en cause dans la vie littéraire vietnamienne de cette époque — tant au caractère littéraire qu'extra-littéraire. La vietnamiste française bien connue, Mireille Gansel, fit part du collectif des compilateurs et des collaborateurs dans la préparation de cette œuvre.

Le livre, en outre de l'introduction déjà citée, est divisé en trois parties, qui par leur délimitation historique, correspondent approximativement aux trois grandes étapes dans le développement de la littérature vietnamienne.

La première partie «Une littérature essentiellement patriotique» (1858—1900) contient principalement des extraits de la prose rythmée patriotique de Pham Van Nghi (1805—1880) et d'un patriotisme interprété dans un sens très large (la patrie, la nation, le roi, le peuple) dans la poésie de Nguyen Dinh Chieu (1822—1888). C'est le plus grand poète de la deuxième moitié du XIXe siècle et les auteurs de la partie introductoire le caractérisent en cette manière : «La figure littéraire dominante de toute l'époque est sans conteste Nguyen Dinh Chieu, homme du Sud : ses œuvres, dès le début de l'agression française jusqu'à sa mort en 1888 ont collé littéralement aux événements principaux et Nguyen Dinh Chieu reste le modèle de l'écrivain patriote qui consacre sa vie à défendre par la plume aussi bien la patrie en danger que la «voie» qui constitue le fondement de sa vie propre» (p. 23).

Dans cette partie les poètes satiriques méritent une attention toute spéciale — Nguyen Khuyen (1835—1909), Tran Te Xuong (1870—1970) et d'autres qui ne sympathisaient pas avec l'administration française et protestaient contre elle dans leur poésie. Leurs vers pleins de lyrisme et leurs œuvres sont considérées comme le commencement du réalisme dans le domaine de la poésie vietnamienne plus récente.

La seconde partie «Les débuts d'une littérature moderne» (1900—1930) est dévouée aux personnages littéraires — écrivains et poètes — dont les efforts ont aidé à bâtir les fondations pour un développement de la littérature vietnamienne moderne. Il s'agit avant tout de l'activité littéraire, ayant pour but la renaissance nationale et un siècle de lumière, de deux représentants les plus éminents du mouvement national vietnamien — Phan Boi Chau (1867—1940) et Phan Chau Trinh (1872—1926). Dans leurs appels au peuple ils entendaient le patriotisme joint à une rénovation sociale et le progrès scientifique-technologique. Le développement et la légalisation de l'écriture nationale *(chu quoc ngu)* et la pénétration de la culture européenne (surtout française), apportaient des changements essentiels dans la

littérature vietnamienne. De nombreuses œuvres littéraires et philosophiques occidentales étaient traduites et publiées, mais aussi des ouvrages chinois et japonais, ce qui était preuve des efforts pour une modernisation de la vie littéraire. De nouveaux journaux politiques et littéraires étaient lancés et sur leurs pages on discutait polémiquement sur tous les problèmes portant sur la littérature et l'art en général. Dans l'anthologie sont représentés par leurs travaux tous les auteurs principaux adhérant au mouvement progressif de la littérature vietnamienne et des idées nouvelles (Ngo Duc Ke, Huynh Thuc Khang, Dong Nguyen Can, Tran Cao Van et autres).

Cette période embrasse aussi la première génération des prosateurs qui commençaient à publier des nouvelles et contes, mais graduellement aussi des romans. Il faut mentionner Pham Duy Ton (1883—1924) et sa plus fameuse nouvelle «Vous pouvez tous crever» *(Song chet mac bay).* Il y traite du caractère anti-humain de l'administration coloniale et de la cruauté du mandarinat. Au point de vue artistique, il y succombait à l'influence de la nouvelle française du XIXe siècle. Un autre des premiers prosateurs, Nguyen Ba Hoc (1857—1929) dans sa nouvelle «Une nuit de noces» *(Cau chuyen mot toi tan hon)* se préoccupe des aspects singuliers, peu communs, de la société et s'éfforce de résoudre les conflits qui en découlent sur la base de la morale classiciste et des maximes instructives. L'écrivain sud-vietnamien Ho Bieu Chanh (1885—1958) pose la solution des problèmes sur la base d'un retour aux normes de la morale confucianiste, lors même que des éléments du libéralisme apparaissent aussi dans ses ouvrages.

Le fondateur du drame vietnamien moderne Vu Dinh Long (1901—1960) est représenté dans l'anthologie par sa pièce «La tasse de poison» *(Chen thuoc doc)* où «il défend la morale traditionnelle, basée sur les normes du confucianisme, contre les corruptions causées par le capitalisme naissant dans la société vietnamienne» (p. 274).

En 1925 est apparu le roman *To Tam* de Hoang Ngoc Phac (1896—1973) considéré comme le fondateur du romantisme dans la prose vietnamienne moderne. L'auteur y fait preuve d'aperçus profonds dans le monde intérieur des personnages, son style s'approche de près du style de la prose rythmique. Plus tard, dans la troisième décade de ce siècle, il prit part à la discussion vive sur l'art. La création abondante de l'écrivain et poète doué Tan Da (1888—1939) est représentée dans l'anthologie par plusieurs spécimens de sa poésie où il exprime son propre état spirituel, ses désirs et imaginations transposés au plan du destin de l'homme. Tan Da a des mérites pour la réforme de la poésie vietnamienne et en outre, il a traduit beaucoup d'ouvrages classiques vietnamiens et chinois dans le vietnamien moderne. Il est l'auteur du premier roman vietnamien dont le sujet est une fantaisie (Petit rêve — *Giac mong con)* et de nombre d'autres œuvres prosaïques qui, lors même qu'ils ne soient pas bien cristallisés comme genre, néanmoins, sont dignes d'attention. Il est à regretter qu'aucun spécimen n'en était inclu dans l'anthologie.

La seconde partie est conclue par une sélection des travaux du premier président vietnamien, le penseur et poète Ho Chi Minh (1890—1969). Ses articles qu'il publiait d'ordinaire sous le nom de plume Nguyen Ai Quoc dans la presse française, sont des révélations perspicaces et pénétrantes des dessins de la politique coloniale des pouvoirs capitalistes.

La troisième partie intitulée «Une période mouvementée» (1930—1945) comprend la période la plus dynamique et en même temps la plus complexe dans le développement de la littérature vietnamienne d'avant la révolution d'août (1945). L'essor vigoureux à leur propre création comme aussi l'activité de traduction, une prise de connaissance de la culture européenne, une défense des valeurs traditionnelles classiques, une absorption des valeurs nouvelles, des efforts radicaux pour créer leurs propres conceptions de l'activité artistique et beaucoup d'autres facteurs constituaient le sol nutritif de la vie littéraire et des discussions des années de 1930—1940. Cette période a donné à la littérature vietnamienne (et non seulement vietnamienne) un grand nombre d'ouvrages littéraires éminents. Parmi leurs auteurs il suffit de mentionner les noms tels que Ngo Tat To, Tu Mo, Nguyen Cong Hoan, Nguyen Hong, To Huu, Xuan Dieu et beaucoup d'autres.

Cette partie de l'anthologie commence, à juste titre, avec la poésie révolutionnaire (Xuan Thuy, Tran Huy Lieu, Le Duc Tho, Song Hong), car c'est précisément elle qui occupait une place importante dans la littérature des années 1930—1940 (tout particulièrement pendant la période du Front démocratique), et en fin de compte, est devenue l'avant-garde de toute la poésie progressive. Ses poètes les plus illustres sont Ho Chi Minh et To Huu (1929—). Le fameux Carnet de prison *(Nguc trung nhat ky)* de Ho Chi Minh, aujourd'hui connu dans le monde entier, porte preuve d'une perfection poétique et d'une profondeur de pensée de son auteur, figurativement exprimée dans l'abréviation poétique. C'est de la poésie écrite dans la forme classiciste, mais son contenu idéologique est nouveau; il s'en dégage une volonté indomptable d'un combattant qui n'avait jamais perdu le sentiment de l'amitié et une compréhension pour l'autrui. To Huu est un poète plein de saillies artistiques, de pensées expressives, un lutteur enflammé mais aussi un lyric délicat. Ses poèmes de cette période, plus tard publiés dans le recueil Depuis *(Tu ay)*, ont joué un rôle prépondérant dans le développement de la poésie vietnamienne moderne et de nos jours encore sont une source de connaissances pour les poètes et les lecteurs plus jeunes.

Ensuite viennent des spécimens des ouvrages d'auteurs dits poètes-romantiques dont la poésie, inventives sous plusieurs aspects, a apporté son dépôt pour le développement de l'artistique dans le domaine de ce genre.

La prose de cette période est abondamment représentée dans l'anthologie par les œuvres critico-réalistiques de Nguyen Cong Hoan (1903—), Ngo Tat To (1894—1954), Nguyen Hong (1918—), Nam Cao (1914—1951) et autres écrivains. La base philosophique de leurs travaux était l'objectivisme historique, une recherche

de la substance, de l'essentiel dans la vision de la réalité et son objective expression dans une œuvre littéraire. Leur trait spécifique était un effort de peindre en détail le caractère des personnages dans le développement et le développement de la situation afin qu'il corresponde à la logique historique. Leurs contes et romans stigmatisent le régime semi-féodal du colonialisme et viennent en défense de l'homme et de ses droits humains.

Les compilateurs du 3e volume de l'*Anthologie de la littérature vietnamienne* ont réussi à faire et à présenter un choix abondant de réelles valeurs de la littérature vietnamienne et ont permis ainsi à beaucoup de lecteurs étrangers d'en prendre connaissance. C'est un acte méritoire, car la littérature vietnamienne est digne qu'elle soit connue.

Le livre est conclu par un Tableau synoptique, un Index des œuvres et un Index des noms de personnes.

Ján Múčka

The Economic Development of East and Southeast Asia. Ed. by Shinichi Ichimura. Monographs of the Center for Southeast Asian Studies, Kyoto University. Distributed as an East-West Center Book. Honolulu, The University Press of Hawaii 1975. 393 pp.

The problems discussed in the present book are concerned with eight countries, i.e. Indonesia, Singapore, Malaysia, Thailand, the Philippines, Hong Kong, Taiwan and Korea. All the articles deal with post-war economic development and were written by representative economists of the particular countries. Originally, they were read the International Conference on Economic Development of Southeast Asia co-sponsored by the Kyoto University Center for Southeast Asian Studies and the Kansai Economic Research Center in October, 1972. The papers as presented here have been partly revised and slightly updated by the respective authors but, as the editor remarks, not consistently and not in the required measure, largely for lack of time. Moreover, from the end of 1972 onwards, many significant changes with a global impact have taken place in that part of the world, as also elsewhere (the oil crisis, the normalization of Sino-Japanese relations, the cease-fire in Vietnam followed by the unification of the country etc.). In addition, the editor is aware of the necessity to include Burma and three countries in Indo-China ; therefore he and the authors plan to revise the entire book to bring it up to date. However, in the reviewer's opinion, without inserting the People's Republic of China and the Democratic People's Republic of Korea it will still remain incomplete and cannot be in harmony with its title — East and Southeast Asia.

The book can serve students and economists at least as an introduction to the economic problems of the countries dealt with and the bibliographies following each chapter will prove very useful to this end.

Jozef Genzor

Markova, S. D.: *Maoizm i intelligentsiya. Problemy i sobytiya (1956—1973 gg.)* (Maoism and the Intelligentsia. Problems and Events. 1956—1973). Moscow, Nauka 1975. 245 pp.

The Soviet sinologist Svetlana D. Markova takes as her aim in the book under review to examine the fate of Chinese creative intelligentsia during the period 1956—1973 and the events in Chinese cultural life that are closely related to the position of this part of the intellectuals. Hence, the topic of the book is unusually complex and the aspect of contemporary Chinese problems — particularly that of the intellectuals, or as their class is termed intelligentsia and its output in relation to the leadership of the Peoples's Republic of China is of immense interest.

S. D. Markova divided the problem discussed into six basic chapters, preceded by a rather extensive introduction. In it she points out the specific position of the intelligentsia in China and deals with the question of Mao Tse-tung's theoretical contribution in the various aspects of art and culture. From an analysis of Mao Tse-tung's views she comes to the conclusion that all the fundamental principles had already been in Lenin's works and that Mao Tse-tung's forcible effort at his own contribution by supplementing or concretizing Lenin's theses in practice amounts to their falsification and vulgarization. Here resides the basic view and the methodological approach of the whole of Markova's book; she simultaneously points to some repeated attempts on the part of the Chinese creative intelligentsia to resist this falsification and vulgarization.

The introductory chapter deals with the first ideological campaigns that began to develop from the year 1951: criticism of the film *The Story of Wu Hsün*, a revaluation of the novel *The Dream of the Red Chamber*, the criticism of Hu Shih and Hu Feng. Referring to Chinese sources published later, S. Markova infers that the initiator and ideologist of these and subsequent campaigns was Mao Tse-tung himself. The most extensive part of the book deals in great detail with the Hundred Flowers campaign. Of interest is the passage showing the evolution in the interpretation of the contents of the slogan *"pai hua ch'i fang, pai chia cheng ming"* starting from its meaning of "all flowers, all schools" to its reduction down to "hundred flowers and hundred schools". Like other authors concerned with this problem, Markova also asks what did Mao Tse-tung really follow by this campaign. Markova, having emphasized that no definite conclusion may be drawn on the basis of

materials accessible at the present time, formulates certain hypotheses: By the campaign, Mao Tse-tung tried to stimulate a creative activity among the intelligentsia so that the Chinese leadership might better exploit its possibilities, furthermore, he hoped in this manner to win over to his side public opinion at home but especially abroad; he was conscious that difficulties would arise during the course of the campaign, however, he overestimated his influence and the results of past measures brought to bear on the intelligentsia, he failed correctly to appraise the real danger of his far-reaching, adventurous liberalization. In the section dealing with the struggle against the bourgeois right, the authoress stresses that the fight against the activated right was necessary, but simultaneously shows that while the punishment meted out to the real ideological enemies was temporary and benevolent, the sharp edge of the persecution was turned against true communists from the ranks of the intelligentsia. Markova has succeeded in concentrating numerous facts documenting the situation at the time of the Great Leap Forward in the cultural sphere. She assesses positively several works of art published during this period but observes with some emphasis that it would not be correct to consider them to be a direct success of the Great Leap Foward, for they did not ensue as a consequence of the campaign, but of assiduous creative work. The subsequent parts of the book make an analysis of the genesis and course of further phases of the cultural policy: the renewal of the slogan Hundred Flowers, the discussion on precedence given to the "reds" or "specialists", the ideological preparation of the next stage of the attack against the intelligentsia, campaigns in the domain of the theatre, film, music, criticism of the theory "portraying an average hero". Markova devotes special subchapters to an analysis of the criticism of four outstanding personalities: Wu Han, T'ien Han, Teng T'o and Chou Jang (it may be of interest to observe that similarly as another Soviet sinologist, V. Volzhanin in the journal Problemy Dalnego Vostoka (Problems of the Far East) No. 1/1972, neither Markova doubts the authenticity of Chou Jang's well-known *Ten Theses about Literature and Art* from the year 1961, published in 1969). The authoress pays special attention to the power struggles of the CCP regarding the questions of the Cultural Policy at the time of the preparations of the Cultural Revolution as also to the impact of this revolution on the fate of the intelligentsia. The closing chapter analyses various aspects of the cultural policy and the reprisals against the intellectuals in the period 1968—1973.

S. Markova processes the various problems in a complex manner and a useful feature is that she does so not solely from the aspect of the period and situation in which they arose and exerted directly their influence, but simultaneously gives an outline of their subsequent reappraisals and interpretation in the PRC, particularly during the Cultural Revolution.

The book under review belongs among the most complex and erudite studies on these problems and incontestably contributes to a deeper knowledge on them. The authoress has made good use of the abundant Chinese source material including

several Chinese journals and newspapers, rather difficult of access, as well as several of the existing results of surveys in the world scientific literature (in the bibliography listing 15 books in West-European languages, several important and interesting items are missing; references to journals in West-European languages are more abundant).

Markova's book designedly takes contact with preceding Soviet studies on kindred topics, e.g., the book by J. M. Nadeev: *"Kulturnaya revolyutsiya" i sudba kitaiskoi literatury* ("Cultural Revolution" and the Fate of Chinese Literature), Moscow 1969, L. S. Kyuzadjan: *Ideologicheskie kampanii v KNR 1949—1966* (Ideological Campaigns in PRC 1949—1966), Moscow 1970, and also with articles in the quarterly already referred to Problems of the Far East.

S. Markova's book *Maoism and Intelligentsia* belongs among basic works elucidating issues of Chinese cultural policy towards creative intellectuals, from a Marxist point of view. One of its incontestable priorities is its systematic processing of an extensive range of problems over a relatively prolonged time lapse. What really detracts from its value and its practical usability is the absence of an Index; a work designed on such a scale as this would deserve it.

Anna Doležalová

Han Shan: *150 Gedichte vom Kalten Berg.* Aus dem chinesischen Han Shan Shih übersetzt, kommentiert und eingeleitet von Stephan Schuhmacher. Düsseldorf — Köln, Eugen Diederichs Verlag 1974. 177 S.

Nach der englischen Übersetzung von Burton Watson, *Cold Mountain. 100 Poems by Han Shan* aus dem Jahre 1962 erschien am Büchermarkt eine umfangreichere deutsche Ausgabe. Zu den 150 Han Shan zugeschriebenen Gedichten fügte der Übersetzer Schuhmacher noch ein Gedicht von Han Shans Freund Shih Te und eins von Feng Kan hinzu. Weder die Zahl und der Umfang der übersetzten Gedichte, noch die Hinzufügung der Probe aus Shih Te und aus Feng Kan sind die einzigen Unterscheidungspunkte, in denen Watson und Schuhmacher auseinandergehen. Watson trat an Han Shan als ein Scholar heran. Han Shan interessierte ihn als vorwiegend buddhistischer Dichter, seine Werke als ein Eingriff in die Struktur der chinesischen Dichtkunst und dessen Folgen. Dieser Eingriff, ähnlich den Eingriffen anderer vom Buddhismus beeinflussten Dichter, bedeutete lediglich einen gedanklichen Impakt: die system-strukturelle Anordnung der chinesischen Poesie veränderte sich dadurch nicht. Schuhmacher sieht den Sinn der Übersetzung von der Han Shan zugeschriebenen Poesie einmal in etwas Ähnlichem als Watson: deshalb entschied er sich „eine deutsche Übertragung der Gedichte vom Kalten Berg aus

dem chinesischen vorzunehmen, in der Hoffnung, manchen deutschen Leser ebenso durch den Geist des Han Shan beflügeln zu können" (S. 10). Der zweite Anlass zur Übersetzung der Gedichte war sehr unterschiedlich. Durch seine Übersetzungen wollte Schuhmacher „die Erfahrung der allerersten Schritte auf einem Weg zum Selbst, den vor über tausend Jahren auch der Dichter Han Shan eingeschlagen hat, den der Praxis zen-buddhistischer Versenkung" (loc. cit.) illustrieren. Han Shan diente dem Übersetzer als Führer auf dem Zen-Weg, und genauso sollte oder soll er dem Leser auch dienen.

Dies ist aus des Übersetzers ganzer Auffassung von Han Shan sowie aus der Erklärung von dessen Poesie ersichtlich. Alles Nichtbuddhistische, insbesondere Taoistische, ist für den Übersetzer ein Beginn. Und das im chronologischen Sinn, weil Chuang-tzu und Lao-tzu bei Han Shan ursprünglich sehr beliebt waren, aber auch im schöpferischen Sinn, als Quellen, als Material nicht zu logischen Überlegungen, zur Meditation, sondern zur zen-buddhistischen Versenkung. Gesellschaftskritik finden wir praktisch im ganzen Han Shan, Schuhmacher jedoch entspricht anscheinend mehr jene, die „ihre anfängliche Bitterkeit verliert" und „den Menschen, die ‚in Dunkelheit und Staub' leben, den Wahnsinn eines Lebens auf, das sich von den ‚Spielregeln' der Gesellschaft nicht befreien kann, einer Gesellschaft, die von Grundübel der ‚sinnlichen Begierde' motiviert, nur nach Reichtum, Macht und ‚eitlem Ruhm' strebt" (S. 8) zeigt.

Watson erinnert daran, dass die taoistischen Kritiker sich bemüht hatten aus Han Shan einen taoistischen Dichter zu machen. Es ist nicht verwunderlich, und wir können mit ihnen ganz gut sympathisieren, wenn wir die Unmenge taoistischer Anspielungen, ja sogar Zitate in mehr als 300 Gedichten Han Shans in Betracht ziehen. Manchmal ist ein Teil des Gedichtes ausgeprägt taoistisch, ein anderer wieder buddhistisch. Die ersten vier Verse im Gedicht Nr. 141 sind taoistisch: „Am Han Shan gibt es einen nackten Käfer /Der hält zwei Schriften in der Händ/ Eine vom Weg und eine von der Tugend". Die vier folgenden wieder sind buddhistisch: „Wo er sich niederlässt baut er nicht Herd und Kessel auf /Reist er umher, schleppt er keine Gewänder mit/ Doch schwingt er stets das scharfe Schwert Erkenntnis /Den Räuber sinnliche Begierde will er erschlagen."

Zwei Schriften vom Weg und von der Tugend deuten klar an, dass es sich um das bekannte Buch handelt, Lao-tzus Tao-te-ching. Erkenntnis *(jnāna)* und sinnliche Begierde *(kleśa)* wieder weisen auf die buddhistische Lehre hin.

Han Shan (Kanzan) war in Japan beliebter als in China. Davon zeugt auch die Tatsache, dass er in China keine Nachfolger gefunden hat, während seine Gedichte in Japan einige Kommentatoren aus den Reihen der Zen-Mönche fanden. Es ist nur selbstverständlich, dass die Zugehörigen des Zen aus Han Shan ihren eigenen Dichter zu machen trachteten. Dasselbe gilt auch von Schuhmacher. Den chinesischen Ausdruck *tso* (japanisch *za-zen*), d.h. sitzen erklärt er immer im zenistischen Sinn, also als „sitzen in Versenkung", was an manchen Stellen eher ein normales

Sitzen bedeutet, wie z. B. im Gedicht Nr. 77. Dies ist, freilich, auch auf die Art des Zen-Buddhismus zu erklären.

Nach Amerika und Europa kam Han Shan nicht aus China, sondern aus Japan. Watson hält den japanischen Wissenschaftler Yoshitaka Iriya sogar für den Mitübersetzer seines Buches und Schuhmachers Übersetzung und Erläuterungen gehen in vielem einerseits aus Yoshitaka Iriya und andererseits aus der kompletten Übersetzung Han Shans von Sensuke Iritani und Takashi Matsumura hervor.

Siebenundzwanzig Gedichte von Han Shan wurden von Arthur Waley im Jahre 1954 und weitere von einem der Beatnik-Poets Gary Snyder im Jahre 1956 übersetzt. In der zweiten Hälfte der 50-er Jahre verzeichnete die Zen-Bewegung im Westen einen intensiven Anfang. Dazu trugen die Bücher *The Dharma Bums* des Dichters Jack Kerouac (1956) oder *The Way of Zen* des Philosophen und Schriftstellers Alan Watts (1957) bei. Diese Bücher halfen dann die intellektuellen Voraussetzungen für die Hippie-Bewegung der 60-er Jahre zu schaffen. Han Shans Gedichte waren in Watsons Übersetzung wahrscheinlich nur ein Öl-ins-Feuer-giessen. Viel entnahmen die *flower children who smell* Han Shan nicht, oder konnten es auch nicht — ausser der Ablehnung der Gesellschaft und deren Establishment und der Bewunderung für die Natur. Wenn jemand die Möglichkeit hat Jost Hermands Buch *Pop International. Eine kritische Analyse* zu lesen, hat er die Möglichkeit die Geringfügigkeit (in ihren Endfolgerungen) des zenistischen Impakts auf diese Bewegung zu beurteilen. Auch Beat-Zen ist nach Christmas Humphreys, *Buddhism*, lediglich eine von den „passing phases of no value", aber das ist das Urteil des Präsidenten der Buddhistischen Gesellschaft, London. Auch Eric Zürcher bezweifelt nicht zwar den Einfluss des Zen-(oder Ch'an)-Buddhismus auf die zeitgenössische abendländische Kultur, aber das, ob „this tender exotic plant will survive a transplantation into foreign soil" (*The Legacy of China*, ed. by Raymond Dawson, London 1971, S. 79). Um gerade so eine Transplantierung geht es sehr wahrscheinlich auch S. Schuhmacher. Er sollte diese warnenden Worte nicht unbeachtet lassen.

Das rezensierte Buch hat einen grossen Vorteil. Einige kalligraphische Reproduktionen und eine Reihe von Tuschezeichnungen.

Viele der Gedichte sind Perlen der chinesischen Poesie. Es wird wohl richtig sein sie als Kunstwerke, nicht als zen-buddhistische Propaganda zu lesen.

Marián Gálik

Sunflower Splendor. Three Thousand Years of Chinese Poetry. Co-edited by Wu-chi Liu and Irving Yucheng Lo. Bloomington — London, Indiana University Press 1975. 630 pp.

The title of the book under review has its origin in Conrad Aiken's *A Letter from Li Po:* "Each morning we devour the unknown. Each day / we find, and take, and spill, or spend, or lose, / a sunflower splendour of which none knows the source".

In the eyes of both the editors the content of this book probably should fulfil the demands of this mysterious symbol. That is also probably why they gave it this name. Otherwise, this is the most comprehensive anthology ever devoted to a translation of Chinese poems.

It includes some 1,000 pieces. When compared to the other editions where the number of poems usually varies between one and two hundred, eventually a little bit more, the difference here is striking. But is it truly so comprehensive? Is it much when one single collection *Ch'üan T'ang shih* (Collected Poems of T'ang Dynasty) comprises some 49,000 poems by about 2,300 poets? Is this much when the poet Lu Yu (1125—1210) alone wrote over 10,000 poems?

On the other hand, it was probably no mere chance that led Kenneth Rexroth to select no more than 90 poems written in the classical metres for his collection edited together with Lin Chung and entitled *The Orchid Boat. Women Poets of China,* from the year 1972. Poetry, particularly lyrical poetry — and such is the great majority of Chinese poetry — cannot be read like novel-river.

The editors of the book under review may have perhaps been concerned with presenting a wide picture of the development of Chinese poetry, rather than giving a pure enjoyment to the reader. The translated texts were to have been illustrations of lyrical and generally artistic achievements of Chinese poetry. True, nothing of this is evident from what the two editors betray in the *Preface,* or Professor Lo in his *Introduction,* nonetheless, it is clear from the whole undertaking that their aim had been to create an abundant source of translations of various genres of Chinese poetry to which the reader might return when he feels the need. Hence, their aim was not a book for a few moments of delight.

However, the source idea fails when it comes to the long and descriptive *fu* poems. Not a single specimen of this genre has been included in the book and therefore there is no mention either of Ssu-ma Hsiang-ju (179—118? B.C.), the greatest poet of the Han period. Likewise few specimens are there of *yüeh-fu* from the same period. On the other hand, in the book there are translations of many poems of different genres written by men of letters of the neglected post-Sung era. Long poems, such as *Li-sao* by Ch'ü Yüan (343?—278 B.C.) are only partly translated.

As is generally admitted, the history of Chinese literature, is predominantly a history of poetry — and lyrical poetry at that. Plays, novels, short fiction, began to appear only at a later stage of development of Chinese literature — in the second

half of the first millennium A.D., and spread for the most part only in the second half of our millennium. Translations of Chinese poetry — the most significant part of Chinese literary legacy — are known to the whole cultural world. Over the past decades, scores of anthologies have been translated into major world languages. Since for the time being *slavica non leguntur*, which is of course to the detriment of sinological research, it will suffice to point to the quantity that has been translated into Western languages. Pages 523—532 of the book under review carry a bibliography of translations of ancient or classical Chinese poetry into English, besides background and general studies, studies and translations of individual poets. There are very few titles either in French or in German. This is not meant as a criticism aimed at the editors whose choice must stand in its own right, for they had not proposed to elaborate a total bibliography of translations of Chinese classical poetry and studies that had been devoted to it. However, the eminently theoretical though immensely important question: how to translate Chinese poetry, has received far less attention. This does not imply that the various translators did not strive to give it an answer. Quite the contrary, practically every one of them attempted to, but this issue has never been resolved with sufficient emphasis and adequate consistency. The matter requires that several authors give their attention to the translation aspect, as did D. Hawkes, for instance, in his study *Chinese Poetry and the English Reader*, see Dawson, R. (Ed.): *The Legacy of China.* Oxford University Press 1971, pp. 90—115.

Wu-chi Liu and Irving Y. Lo have also presented their "philosophy of translation". They wrote in the Preface: "...we recognize the inherent difficulties, especially in view that Chinese is an allusive and non-inflectional language. But we do not subscribe entirely to the theory that poetry is untranslatable from one language to another. We have paid, therefore, the most scrupulous attention to the original text and insisted upon accuracy as well as readability. The translation aims at preserving, in idiomatic English, the identity of the original, including most of its grammatical and stylistic features (parts of speech, word order, line length and enjambment, the use of parallelism, and sometimes even auditory devices); however, no attempt has been made, except in rarest instances, to reproduce the rhyme scheme" (p. x).

From this it ensues that a translation ought to be adequate, philologically correct, even though stylistically polished. If then we take into account the purported statement by Mallarmé, that poems are made "avec des mots", it is easy to imagine what insistence on linguistic may mean when translating from classical Chinese into modern language, when manipulating very divergent systemo-structural entities. And such indeed are American poetry of the seventies of this century and old Chinese poetry over three millennia.

Here, in my view, it imports to take note of the content of the last two sentences. Each language has its own stylistic *langue* and a translation semantically, lexically

and maybe also formally correct is usually inadequate, for the various entities must of necessity differ from the systemic and structural point of view. There is no help to it. Man of our age who, too, has behind himself a three thousand years of development of European poetry, must read the lines from *Shih-ching (Book of Songs)* in a certain transformation in order to be able to appreciate it, at least in some little measure, the way Confucius did two thousand and five hundred years ago.

Among Czech translators there was one — B. Mathesius (1888—1952) who translated, among others, also a great number of Chinese poems. This man was one of the first to have formulated in Czech literary scholarship, the principles of a modern theory of translation. Mathesius took as his starting point the idea that "we approach closest to the original when for the reception of a foreign poetical work we choose that form which, within the set of forms of the given poetic language, will functionally, not outwardly, correspond to the original form".

After many years of translation work in the field of Chinese poetry, Mathesius wrote the following: "The principal and the important is to grasp the author's design, both conscious and subconscious, to arouse the tension which the author had in mind, to provoke the ideational and artistic impression he had in mind when shaping the text. Hence, my task is not merely to convey the meaning, but also to mould the author's material in my own vocabulary and to equip it with that emotional expressiveness which forms the basis of every good work of art... Only then is it possible to select from the vocabulary of one's own language that linguistic key which fits the matter in question, to switch it, so to say, from its original key to that of the receiving language and to translate the spirit of the work, not words and phrases but ideas and feelings, and this not by the measure used by the author, but by its analogy that would evoke in the reader or the listener similar impressions. Such a transposition of work... is able, I am convinced, to efface the differences due to epochs, local conditions, literary standards and traditions..."

With the exception of the questionable statement concerning "words and phrases", "ideas and feelings" that might excuse every paraphrase, one may agree to the above, or at least ponder deeply over the message this long quotation purports to convey. Translators of classical Chinese poetry should take note of it and get even with it. Neither "accuracy", nor "readability", nor yet "identity of the original", if these are taken to mean semantic and stylistic entities, will be fully satisfactory, one reason being that Chinese poetry has always been structurally different from its European or American counterpart. Certain shifts in these translations are imperative precisely because of this structural heterogeneity and it would not be correct to attempt to avoid them. Every literary work, lyrical poem or quatrain, represents a set of values. Much is being written about the "particle of art" in the connection with the latest Chinese literature, but would it not be worthwhile to think this issue over also with respect to translations of old Chinese poetry?

These musings and considerations are of course not specifically meant to the book under review, but all translations should devote attention to these ideas.

The book contains poems of some 140 named authors and a large number of anonymous poets. The closing section called *Background on Poets and Poems* will be welcome by readers as an informational source on the life and work of the various authors.

Marián Gálik

Ostasienwissenschaftliche Beiträge zur Sprache, Literatur, Geschichte, Geistesgeschichte, Wirtschaft, Politik und Geographie. Wiesbaden, Otto Harrasowitz 1974. 439 S.

Das rezensierte Buch kommt als Band 11 der Veröffentlichungen des Ostasien-Instituts der Ruhr-Universität Bochum heraus. Dieses Buch „enthält Beiträge von Abteilungsangehörigen der verschiedenen Sektionen und vermittelt einen Einblick in die Arbeitsbereiche" des Instituts (aus dem *Vorwort).*

Es handelt sich hier um eine Sammlung von 26 Beiträgen, die in drei Teile eingeordnet sind: Sprache und Literatur, Geschichte und Geistesgeschichte, Wirtschaft, Politik und Geographie. Die Sinologie und die Japanologie sind ungefähr gleichmässig vertreten: jede von ihnen mit zehn Beiträgen. Vier Beiträge stammt aus dem Bereich der Koreanistik. Ausserdem befinden sich dort noch zwei Beiträge von ausgesprochen komparatistischem Charakter: einer betrifft die japanische Literatur und der zweite die chinesische Geschichte.

Ein solches Buch adäquat zu rezensieren überschreitet höchstwahrscheinlich die Kräfte eines einzelnen Menschen. Ich werde daher versuchen wenigstens einige Anmerkungen zu jenen Stoffen zu äussern, die meinen wissenschaftlichen Interessen nahestehen.

So ein Stoff ist gleich der erste Beitrag des rezensierten Buches, Barbara Changs, *Hao Jan's Roman Yen-yang t'ien (Strahlender Himmel).* Es geht im Wesentlichen lediglich um die Inhaltsangabe des dreiteiligen Romans, der in den Jahren 1964—1966 erschienen ist und im Jahre 1972 reprinted wurde, sowie teilweise um die Charakterisierung der einzelnen beteiligten Gestalten, verbunden mit ideologischer Propaganda. Nur selten lässt sich B. Chang in theoretische Erwägungen ein, wie z. B. dass die Literatur *(wen-hsüeh)* „Kunst der Sprache ist. Reichtum und Leben eines literarischen Werkes werden durch den Reichtum und das Leben der Sprache geschaffen; durch sie finden die Charaktere, das Leben, die Atmosphäre, die Hintergründe ihren unmittelbaren Ausdruck und wird der Leser mitten in das Geschehen des Inhalts versetzt" (S. 14). Diese Worte, so scheint mir, könnten aus dem Munde Hu Shihs stammen, z. B. Hu Shih, *Chien-she-ti wen-hsüeh ko-ming lun*

(Die Theorie der konstruktiven Literaturrevolution), in Chao Chia-pi (Ed.), *Chung-kuo hsin wen-hsüeh ta-hsi* (Grosse Anthologie der neuen chinesischen Literatur), Vol. 1, S. 29. Ansonsten sollte man in einer seriösen literarischen Analyse von „Inhaltsangaben" absehen (insofern diese zum Begreifen des analysierten Werkes nicht unbedingt erforderlich sind), noch sollte man „moralische" Belehrungen aus dem vorbildlichen Leben „der Helden" und abstossende Taten „der Bösewichte" anführen. Eine literarische Analyse ist etwas mehr als chemisches „Auslaugen".

Zu Hu Shih kehrt ganz bewusst Alfred Hoffmann in der Studie *Die literarische Revolution in China* zurück. Prof. Hoffmann hat sich in der Geschichte der europäischen Sinologie durch zwei hervorragende Übersetzungen und durch die wissenschaftliche Bearbeitung der Text-Liederform *tz'u* einen Namen geschaffen: *Die Lieder des Li Yü* und *Frühlingsblüten und Herbstmond.* Beide erschienen im Greven Verlag, Köln 1950 und 1951. Nachher widmete er sich wissenschaftlich überwiegend der Ornithologie. Das Ergebnis dieser Tätigkeit ist das *Glossar der heute gültigen chinesischen Vogelnamen,* Wiesbaden 1975, 382 S. Die rezensierte Studie ist eine Rückkehr zu Hoffmanns wissenschaftlichen Bemühungen der 30-er und 40-er Jahre und ist vielleicht auch ein Ausdruck des Dankes zu Hu Shih, der ihm beim Studium der chinesischen Poesie behilflich gewesen war. Faktisch ist hier Hoffmanns deutsche, aus dem Jahre 1935 stammende Übersetzung des letzten Kapitels der Autobiographie Prof. Hu Shihs *(Ssu-shih tzu-shu),* sowie einiger seiner Tagebucheintragungen bearbeitet. Die Studie kann als ein kurzer, aber wertvoller Beitrag zur Geschichte der modernen Literaturkritik charakterisiert werden.

Im Beitrag *Wider die Charakterisierung von T'ang-Lyrik als „romantisch"* weist Wolfgang Kubin am Beispiel des Vergleichs von Li Pos Gedicht Gedanken in stiller Nacht *(Ching yeh ssu)* und Joseph von Eichendorffs *Mondnacht* auf das unbegründete Benützen des Epithetons „romantisch" für die Poesie des Zeitraums T'ang (618—905) hin. Kubin geht vor allem aus dem Studium des Buches Yunyu Kitayamas, *West-östliche Begegnung. Japans Kultur und Tradition* hervor, sowie aus dessen Idee der unterschiedlichen Auffassung des Begriffs „Natur" im Westen und im Fernen Osten, weiter aus einigen Prämissen Ludwig Wittgensteins und wahrscheinlich auch aus der mathematischen Linguistik. Der „gravierendste Unterschied zwischen Li Po und Eichendorff, aus dem sich alle anderen Unterschiede ableiten lassen, liegt in der Auffassung von Wirklichkeit, von Natur" (S. 89), so W. Kubin. Man muss Kubin beipflichten, dass es nicht richtig sei „Epochbegriffe aus der abendländischen Literaturgeschichte zur Charakterisierung der chinesischen Literatur" auszusuchen, sondern „ein exaktes Hinschauen, Erkennen und Darstellen der Eigenart der Literatur Chinas" (loc. cit.) anstreben. Ausserdem sei es unumgänglich sich auch mit anderen theoretischen Kenntnissen zu wappnen, die den Forschern auf dem Gebiet der chinesischen Literatur manchmal fehlen. Was z. B. die Probleme des Romantismus betrifft, wäre es von Vorteil die in Henry H. H. Remaks

Studie *West European Romanticism. Definition and Scope*, in N. P. Stallknecht und H. Frenz (Ed.), *Comparative Literature. Method and Perspective*, Carbondale und Edwardsville 1971, pp. 275—311 angeführte theoretische Literatur zu beachten.

Claus M. Fischers *Mishima Yukios „Shishi" — eine japanische Medea* ist eine schöne Studie aus dem Gebiet der vergleichenden Literaturforschung. Die Arbeit von Mishima ist eine der häufigen Bearbeitungen von Euripides' *Medea*. Diesmal ist es jedoch ein Prosawerk im Gegensatz zu den übrigen, die die dramatische Form beibehalten.

Wirklich beachtenswert ist die Studie von Irmela Hijiya-Kirschnereit, betitelt *Kritische Bemerkungen zur japanischen Literaturkritik*, die einen Versuch darstellt die „Physiologie" der modernen japanischen Kritik zu umreissen. Sie wirft ihr eine „Unbestimmtheit des Ausdruckes", „indirekte Aussage", „hohen Abstraktionsgrad", „Informationsmangel", ein Streben nach „Inhaltsangabe" vor. Die Wertungskriterien dieser Kritik sind unklar, die Urteile beschränken sich auf die Aufzählung von Leerformeln. Als Gegengewicht einer solchen Kritik betrachtet sie die Literaturwissenschaft von der Art, wie sie Ju. M. Lotman oder H. R. Jauss darstellen.

Insbesondere an den tschechischen Strukturalismus knüpft die Studie von Katharina May unter dem Titel *Variation und Variante in Yosano Akikos Lyrik — Midaregami* an. Die Studie mit dem Titel *Autoren, Leser und Verbreitung der Kanazōshi* von Ekkehard May betrifft die sog. Wirkungsästhetik, und ist von einem literarisch-soziologischen Charakter.

Von den historischen Studien ist die von Prof. Tilemann Grimm, *Bitterer Protest oder radikaler Neuanfang?* beachtenswert, die Feng Kui-fens (1809—1874) Angabe zur Auswahl westlicher Studien *(Ts'ai Hsi-hsüeh i)* gemeinsam mit der Übersetzung des ganzen Texts analysiert.

Allen Forschern-Historikern, die sich für die chinesische Geschichte interessieren, erwies jedoch Rudolf Herzer, übrigens auch der Redakteur der rezensierten Publikation, den grössten Dienst mit der Studie *Kuang-ming jih-pao als geschichtwissenschaftliches Publikationsorgan*. In seinem Beitrag versucht er 333 Folgen der mit Shih-hsüeh (Geschichtswissenschaft) sowie 9 Folgen der mit Hsin shih-hsüeh (Neue Geschichtswissenschaft) betitelten Rubriken zu klassifizieren, die in der Zeitung Kuang-ming jih-pao (KMJP) vom 4. 4. 1953 bis zum 15. 6. 1966 und vom 18. 2. 1967 bis zum 28. 6. 1967 veröffentlicht wurden. Die meisten Beiträge sind der Thematik der Bauernaufstände (über 150 Artikel) gewidmet, mehr als 40 Beiträge haben einen ökonomisch-historischen Charakter, in ungefähr 20 Artikeln werden gesellschaftsgeschichtliche Probleme behandelt. Die historische Bearbeitung der chinesischen Geschichte der Neuzeit (seit dem Jahre 1840) ist schwächer, es wird ihr eine geringere Aufmerksamkeit gewidmet. Einige davon können trotzdem von bedeutendem Wert sein, z.B. die Bearbeitung wichtiger Zeitschriften um die des 4.-Mai-Bewegung in den 11 Folgen des KMJP aus dem Jahre 1957. Es wäre sehr

nützlich, fände R. Herzer Nachfolger, die es unternehmen würden in ähnlicher Weise die weiteren Spalten des KMJP zu bearbeiten: Wen-hsüeh i-ch'an (Literarisches Erbe), Che-hsüeh (Philosophie), Wen-tzu kai-ke (Schriftreform) und Ching-chi-hsüeh (Ökonomie).

In seinem kurzen Beitrag mit dem Titel Diskussion über die alte politische Geschichtsschreibung der neukulturellen 4.-Mai-Bewegung ergänzt Cheng Tien-mu das, womit wir beim Lesen der Arbeiten *Classical Heritage and May Fourth Movement* von B. Staiger, in *The May Fourth Movement in China. Major Papers Prepared for the XX International Congress of Chinese Studies*, Prag 1968 und *Ku Chieh-kang and China's New History. Nationalism and the Quest for Alternative Traditions*, von L. A. Schneider, Berkeley, Los Angeles, London 1971 bekanntgemacht wurden. Dabei erwähnt er diese überhaupt nicht. Einige seiner Anmerkungen sind bis zur Unverständlichkeit kurzgefasst, z.B. die auf den Seiten 367—368. Dies ist besonders dort der Fall, wo der Leser etwas Neues erfahren könnte.

Ausser dieser Studien sind im rezensierten Buch noch andere, die ausserhalb meines Interessenkreises stehen, und zu denen ich es daher nicht wage Stellung einzunehmen.

Marián Gálik

Hsüan Tsang: *Ch'eng Wei-shih Lun. The Doctrine of Mere-Consciousness.* Translated from the Chinese Text by Wei Tat. The Ch'eng Wei-shih Lun Publication Committee, Hong Kong 1973. 818 pp.

The book under review belongs among the most important treatises of Chinese philosophy and is a great work of the Buddhist monk, scholar and translator Hsüan Tsang (596—664), but simultaneously also the first complete translation of this work into English. The central theme of the book turns around the idea that "all sense impressions of the phenomena of the universe are illusory and that nothing exists except in the consciousness". As a philosophical exposé of the teachings of Yogacara or Dharmalaksana (Wei-shih) this treatise played a significant role immediately on its appearance, then during the late Ch'ing and in the first decades of the present century. In recent times, Mere-Consciousness teaching is being studied especially in Fa-hsiang hsüeh-hui (Dharmalaksana Buddhist Institute) in Hong Kong. In this institution, however, religious motives appear to be stronger in the study of this doctrine than scientific efforts.

Professor Wei Tat, the translator of the work under review, also belongs to the circle of investigators attached to this institute and is in perfect agreement with it insofar as the study of works of representatives of the Buddhist Wei-shih school is concerned. In the *Translator's Preface* we find, *inter alia*, the following words: "At

least, I hope, I have brought out the essential teaching of the lengthy Treatise (*Ch'eng Wei-shih lun* is meant, M. G.). If thereby I have, even in a modest way, helped aspirants along the path toward Enlightenment, I shall consider my labours well rewarded" (p. XXIII).

The translation of Hsüan Tsang's work is preceded by an *Introduction* made up of three parts. The first constitute a historical analysis of the life and work of Hsüan Tsang and includes a brief reference to the work of K'ui Chi, Hsüan Tsang's best pupil and disciple. In the second part the reader may become acquainted with a concise history of the modern "Buddhist Revival" by Yang Wen-hui (1878-1911) who was the father of this movement, until the formation of the Dharmalaksana Buddhist Institute in Hong Kong in 1964. The third part is in fact a synopsis of the entire *Ch'eng Wei-shih lun*, made necessary by the intricate nature and length of Hsüan Tsang's treatise "which may deter the reader" (p. LVII).

Throughout the book the Chinese text is always appended to the English translation.

It may be noted in general that the English translation is not exact. This may be due to the fact that the translator was not even concerned with a word-for-word translation. He endeavoured to incorporate into his translation that which in reality should be included in footnotes, for instance, certain exegetic elements. There is of course no intimation that the translator did not understand the text. He had studied it for too long and had devoted many years of his life to it. But he wanted the reader to understand him without any disturbing notes and also intended to exert an influence on him along the religious aspect, to convince him of the "truth" of the Wei-shih School.

In the next few lines we shall take note of several aspects of interest to a study of Wei-shih and shall endeavour to point out the measures of precision of Professor Wei Tat's translation.

The first of these aspects is the problem of the so-called atmagraha (Real Atman according to Wei or ego-clinging according to Bodde's translation of Fung Yu-lan) and dharmagraha (Real Dharmas or dharma-clinging).

The real Atman is in Mere-Consciousness not real in the sense we understand it, and the real dharmas are not real in the sense we apprehend it. The first two lines from *The Thirty Stanzas (San-shih sung)* by Vasubandhu run as follows in Hsüan Tsang's text: "Yu chia shuo wo fa, yu chung chung hsiang chuan". Professor Wei translates them as follows: "Concepts of Atman and dharmas do not imply the existence of real Atman and real dharmas, but are merely fictitious constructions (produced by numerous causes). Because of this, all varieties of phenomenal appearances and qualities arise" (pp. 9—10).

This rendering should be taken as too descriptive and explanatory. Professor Wing-tsit Chan is more precise when translating the passage as: "Because the ideas of the self (atman) and dharmas are (constructions produced by causes and

therefore) false, their characters of all kinds arise" (*A Source Book in Chinese Philosophy*, Princeton, Princeton University Press 1963, p. 347). But neither is this translation entirely exact, for the reader fails to apprehend all that is implied by so versatile a word as "characters". Both "all varieties of phenomenal appearances and qualities", and "characters" are nothing but "unreal substances", for if Atman (i.e. ego) or dharmas (i.e. all things) do not in fact (in reality) exist, then that which is said about them outside Mere-Consciouness is merely a false assumption. In the present concrete case there is question of a poem in which besides philosophical claims, poetic demands, too, had to be satisfied: hence the lack of clarity. I feel that the following translation of the above Chinese text would be adequate: "A false understanding of Atman and dharmas gives rise to the most diverse assumptions" with the required explanation being appended.

A second such problem is that of the permanency or impermanency of Alayavijnana (Storehouse consciousness), the most important of the three general categories of consciousness according to the Wei-shih School, and the basis of its teaching.

A rather telling example of Professor Wei's translation is seen in two lines: "A-lai-yeh shih wei tuan wei ch'ang? Fei tuan fei ch'ang, i heng chuan ku". In his rendering they are: "Is the Alayavijnana permanent or impermanent? It is neither permanent nor impermanent, for, says Vasubandhu, it is in perpetual evolution like a violent torrent" (pp. 170—171).

The first line is translated correctly. The second one speaks neither of Vasubandhu, nor of a "violent torrent", and the translation ought to run simply: "It is neither permanent nor impermanent, for it is in perpetual evolution".

Something similar applies also to the sentences immediately following: "Heng wei tz'u shih wu shih shih lai i lei hsiang-hsü ch'ang wu chien tuan. Shih chieh ch'ü sheng shih she pen ku. Hsing chien t'o chung chin pu shih ku". In the book under review they are translated as follows: "By 'perpetual' is meant that, since before the beginning of time, this consciousness has evolved in a homogenous series without interruption, because it is the creative basis of manifestations of the transmigratory course through the three realms of existence (Dhatus), the five directions of reincarnation (Gatis) and the four forms of birth (Yonis), and also because in its essential nature it is firm enough to hold Bijas without allowing them to be lost" (loc. cit.).

The text, however, does not speak of "the five directions of reincarnations", nor of "three realms of existence", nor of "the four forms of birth", but about something that in Professor Bodde's translation is given as "manifestations of the transmigratory course through various realms" (Fung Yu-lan, *History of Chinese Philosophy*, vol 2, Princeton, Princeton University Press 1953, p. 311). The simpler translation is the better one.

Scholars interested in a study of the most significant work of Chinese Wei-shih School must use Wei Tat's translation with caution, even though they can rely for the

most part on the message which the author endeavours to make accessible in English. With a greater measure of a certain self-discipline and the use of better methods, this translation, though a truly painstaking and awe-inspiring, could have been far more valuable.

The translator made a relatively good use of existing translations of excerpts from Ch'eng Wei-shih lun, as they are known from Bodde or Wing Tsit-chan, and he had taken over a large number of Sanskrit terms from reading a rather free translation od *Ch'eng Wei-shih lun* by Louis de la Vallée Poussin published under the title *Vijnaptimatratasiddhi: La Siddhi de Hiuan-Tsang,* 2 vols, Paris 1928—1929.

Marián Gálik

Wilhelm, Richard: *Botschafter zweier Welten.* Düsseldorf — Köln, Eugen Diederichs Verlag 1973. 207 S.

Richard Wilhelm (1873—1930), der Mann, der beinahe die Hälfte seines Lebens in China als Pfarrer, Pädagoge, Missionär und später als wissenschaftlicher Beirat der Deutschen Gesandtschaft in Peking und Professor an der Pekinger Reichsuniversität verbrachte, trug den chinesischen Namen Wei Li-hsien. Wei sollte den Beinamen darstellen. Für dieses Wei wurde manchmal das Zeichen Mathews 7089 gebraucht, das insbesondere beschützen, schützen bedeutet. Der Name Li-hsien setzte sich aus den Zeichen Mathews 3886 und 2671 zusammen. Li ist der Sammelname für die ganze Gruppe von Normen ethisch-kulturellen Charakters, er bezeichnet Riten, Sitten, Sittlichkeit, rechtes Verhalten usw. Hsien ist eigentlich hsien-jen, d.h. der Weise. Die wörtliche Übersetzung des ganzen Namens heisst daher: der Weise, der li, der die Quintessenz der chinesischen Kultur beschützt. Li war nämlich ein Grundbegriff des chinesischen traditionellen philosophischen Systems, zumindest in unserem Jahrtausend. Es konnte kaum ein anderer Name das Leben und Werk R. Wilhelms kennzeichnen! Manchmal wurde für den Beinamen das Zeichen Mathews 7112 benützt, der einen der pai-hsing (hundert Namen) bezeichnet. Das jedoch ändert kaum etwas am Sinn jener „Botschaft", die der chinesische Name R. Wilhelms China, Deutschland oder der Welt verkünden sollte.

Ziehen wir die zeitlichen und räumlichen Relationen in Betracht, war dies, freilich, nicht ein Name der im zweiten oder dritten Jahrzehnt unseres Jahrhunderts ein besonderer Anlass zum Stolz gewesen wäre. Gewiss nicht in China. Das traditionelle chinesische ethisch-philosophische System zu verteidigen bedeutete auf den Positionen des Konservativismus und der Reaktion zu stehen. Wilhelm gelang es jedoch aus dem Studium der alten chinesischen Kultur und Philosophie viel

Interessantes insbesondere für seine deutschen Landsleute herauszuholen. Eine Reihe seiner Arbeiten und vor allem die Übersetzungen aus der chinesischen Philosophie sind ein Beweis dafür. Er vollbrachte aber in dieser Zeit auch etwas sehr Positives für China. Gemeinsam mit Chou Hsien z.B. übersetzte er ins Chinesische Kants Werk *Von der Macht des Gemüts durch den blossen Vorsatz seiner krankhaften Gefühle Meister zu sein*, 3. Auflage, Shanghai 1914, er schrieb am 21. Juni 1921 von den Zusammenhängen zwischen der deutschen und der chinesischen Philosophie in Chüeh-wu, der literarischen Beilage der Zeitung Min-kuo jih-pao (Tagblatt der Republik), sowie den Artikel *Ko-te yü Chung-kuo wen-hua* (Goethe und die chinesische Kultur), der im Jahre 1927 in einer Sonderausgabe von Hsiao-shuo yüeh-pao (Monatsblatt für Belletristik) veröffentlicht wurde.

Die im rezensierten Buch dargebotene und von Prof W. Bauer zusammengestellte Auswahl soll wahrscheinlich das Typischste aus dem Werk R. Wilhelms darstellen. Von grösstem Interesse für mich war zweifelsohne der erste Teil *Zur Einführung* überschrieben, mit einer einleitenden Studie vom Zusammensteller verfasst, und *Die Alten von Tsingtau*, was eine sehr fesselnde Schilderung R. Wilhelms über seine Erfahrungen ist, die er bei Kontakten — formellen und informellen — mit Darstellern der chinesischen Intelligenz sowie anderer Komponenten der chinesischen Gesellschaft vor dem ersten Weltkrieg gewann. Der Die Grundlagen des I Ging betitelte Teil enthält zwei Studien Wilhelms: *Das Buch der Wandlungen* und *Gegensatz und Gemeinschaft* in gekürzter Fassung. Im Teil Der Schlüssel des Lebens sind ebenfalls zwei Studien: *Tod und Erneuerung* und *Chinesische Schicksalbeherrschung*. Beide stellen eine gewisse Wilhelmsche Lebensphilosophie dar, so wie die beiden früher erwähnten wieder einen der möglichen Zutritte zum Studium des Buches *I-ching* darstellten. Der letzte Teil besteht ebenfalls aus zwei Beiträgen: *Licht aus Osten* und *Ost und West.* Insbesondere letzterer, der aus Wilhelms Buch *Die Seele Chinas* (Berlin 1926) stammt, ist für jene zum Lesen bestimmt, die sich für Sino-Western relations interessieren.

Alle Essays, bis auf *Die Alten von Tsingtau*, sind geistesgeschichtliche Essays ungefähr in dem Sinne, wie diesen Bereich des menschlichen Wissens und Strebens die George-Schule praktizierte. Mich zumindest erinnert sein Stil an Gundolf. Vielleicht hängt dies damit zusammen, dass Wilhelm mehr Prädiger als Wissenschaftler gewesen ist, die Macht des Wortes war für ihn sehr schwerwiegend wegen dessen Wirkung, die folgen sollte, vielleicht aber auch damit, dass das alte China für ihn ein Objekt unermesslichen Interesses und Liebhaberei war. Wilhelm verzichtete in seinen Arbeiten vollkommen auf ein Anmerkungsapparat, er forderte vom Leser ihm ein unermessliches Vertrauen zu schenken. Mir selbst erscheinen einige seiner Studien als das Streben eines Malers nach monumentalen Wandmalereien oder Gemälden. Dieses Dranges nach Wahrheit (Wilhelm war sein Leben lang Goethes Bewunderer) ist dort zwar zur Genüge, als Endergebnis kommt dann Wilhelm doch etwas heraus, was mit der Wahrheit schon weniger Gemeinsames hat. Das Monu-

mentale geht dann im Bereich der Gnoseologie ins Mythologische über, was keineswegs ein Ziel wissenschaftlichen Strebens ist. R. Wilhelm soll seine Leser haben, er sollte jedoch keine Nachfolger finden. Zur Bewunderung des Werks R. Wilhelms müssen wir eine kritische Stellung einnehmen, auch wenn sie der Feder C. G. Jungs oder P. Pelliots entstammt.

Marián Gálik

Wolf, Margery — Witke, Roxane (Eds): *Women in Chinese Society.* Stanford, Stanford University Press 1975. 315 pp.

The book under review includes a substantial part of the papers originally presented in June 1973 as a conference on Women in Chinese Society in San Francisco. The very title of the book and of the conference indicates the fundamental orientation: the majority of the papers are presented from an anthropological or sociological point of view. What is new about this book and that edited by Marilyn B. Young, entitled *Women in China,* Ann Arbor 1973, is that this one is an attempt at bringing closer also the literary aspect much neglected up to now. Leo Ou-fan Lee who read a paper at the conference on the so-called "two emancipated Noras" in modern Chinese literature, evidently decided not to include his work in this book.

The book under review begins with papers of a historical character, the first one being a study by Joanna F. Handlin entitled *Lü K'un's New Audience: The Influence of Women's Literacy on Sixteenth-Century Thought.* In it is rightly criticized the "cry of twentieth-century Chinese women for social and economic equality" which, even though justified and necessary, " led to an overemphasis on the subordination of woman at the expense of other important features of traditional Chinese life" (p. 13).

Mary Backus Rankin's study *The Emergence of Women at the End of Ch'ing: The Case of Ch'iu Chin* is historically connected to Handlin's work. Rankin is an outstanding authority on the political history of the period she analyses and also the author of the book *Early Chinese Revolutionaries. Radical Intellectuals in Shanghai and Chekiang, 1902—1911.* She is less at home as regards the literary aspect of the story. She does not mention a single study in which Ch'iu Chin's poetic contribution would be specially analysed and it would appear that the principal source on which the authoress drew in this respect was part of the book by Ch'en Tung-yüan, *Chung-kuo fu-nü sheng-huo shih* (A History of the Life of Chinese Women), Shanghai 1928. It must have escaped her attention that Liang I-chen had written a relatively voluminous book called *Ch'ing-tai fu-nü wen-hsüeh shih* (A History of Women Literature During the Ch'ing Dynasty), Shanghai 1927. In a supplement to this book the author states that the literature written by Chinese women under

Manchus is so extensive that it cannot be adequately dealt with in one book. In this same supplement he lists the names and courtesy names of 309 Chinese women writers, their birthplaces, works and other books that can be made use of in a study.

Yi-tsi Feuerwerker (Mei I-tz'u) contributed to the book by her study *Women as Writers in the 1920's and 1930's.* Hers is a relatively broad take for she presents an analysis of 7 women writers: Ting Ling, Su Hsüeh-lin, Hsieh Ping-ying, Ping Hsin, Huang Lu-yin, Ling Shu-hua and Feng Yüan-chün. She comes up with an interesting idea. According to her "the creative phase in the lives of most women writers was mainly coterminous, an often did not outlast the period following emergence from adolescence" (p. 158). As an exception to this rule she mentions Ting Ling. She looks at Ting Ling primarily through the eyes of Shen Ts'ung-wen who wrote a book about her; however, with one exception (Su Hsüeh-lin) she does not endeavour to judge Chinese women writers also according to their own criteria, memories, etc. Huang Lu-yin wrote a whole book called *Lu-yin tzu-chuan* (Autobiography of Huang Lu-yin), Shanghai 1934. Ping Hsin, too, wrote about herself even before 1949, as did also Ting Ling, for example, in the preface *I-ko chen-shih-ti jen-sheng* (The Life of a True Man) (her husband Hu Yeh-p'in is meant) or *Wo-ti ch'uang-tsò sheng-huo* (My Creative Life).

Roxane Witke's *Chiang Ch'ing's Coming of Age* is not a study properly speaking, but rather a brief extract from about sixty hours of interview accorded by Chiang Ch'ing to Mrs. Witke. This is one part of a book due to be written on the basis of "voluminous notes" taken by the authoress from their meetings first in Peking and later in Canton. The weakest part are the memories from childhood. At times they do not even seem to be memories of a definite being, but rather evocations induced in accordance with certain clichés which might have happened to many a girl of Mrs. Mao Tse-tung's generation. Better and more trustworthy are her reminiscences from her student years and her first steps on the stage.

Among anthropological studies, *The Women of Hai-shan: A Demographic Portrait* by Arthur P. Wolf and *Women and Suicide in China* by Margery Wolf, have sources fairly in common: Japanese data from the end of the last century until the year 1945. Both these studies, but especially that by A. P. Wolf show that the female aspect of the traditional Chinese life as have known it thus far, is an "illusion", that the "reality appears to be both more complex and a great deal more interesting" (p. 90). For example, taking the widows in Hai-shan as a case in point, he shows them not to have been celibate, hence, such as they had appeared to Pan Chao or Liu Hsiang. That which these two praise and recommend in their books, Margery Wolf calls "niceties of thinking an behaviour" (p. 112). To many peasant women in China, suicide was a "socially acceptable solution to a variety of problems that offer no other solution" (loc. cit.). Chinese women easily lead as regards the number of suicides when compared to the remaining countries of the world (if not all, then certainly the women in Taiwan)!

A. P. Wolf is probably right when he states that the "phrase 'women in China' should appear in quotation marks until we discover the core of experience that justifies the use of such a categorical term" (p. 109). There has never been and there is no uniform "pattern" for women's life and the one represented by Confucian ethics was rather an ideal than reality, it held more for the gentry than for the female population of the lower social strata. This is exquisitely illustrated by Marjorie Topley on a somewhat extravagant, tough real custom from three districts (*hsien*) in southern China in a study called *Marriage Resistance in Rural Kwantung.* There were a large number of unmarried women (*tzu-shu nü*) who did not live in monasteries, but in *ku-p'o wu* (spinster's houses) or *tzu-mei wu* (sister's houses). Among them were also such as were formally married but who lived and worked away from their families and who not only contributed to their family's sustenance, but even kept concubines for their husbands! Insofar as the so-called precious volumes (*pao chüan*) are concerned, more reliable sources on the literature of this type exist than the observations by Mrs. Edward Thomas Williams from the end of the last century. *Pao-chüan* did not contain only biographies of model women, but they were literary creations of *shuo-ch'ang wen-hsüeh* (literature to be narrated or sung) of a religious (Buddhist, Taoist or mixed) character, or secular works with a strongly moralizing tendency. *Pao-chüan* about Kuan Yin referred to by M. Topley really existed. It was called *Hsiang-shan pao-chüan* (Precious Volume About Perfumed Hill). The future Kuan Yin is described here as Princess Miao Shan and later as a nun whom her own father had put to death. Another *pao-chüan* in which Kuan Yin was also the principal figure, is called *Yü-lan pao-chüan* (Precious Volume About a Fisherwoman's Basket). Kuan Yin had come among bad people in order to bring them to the true way — to eat a vegetarian diet and do good. She even promised a marriage to the worst of them if, in addition to doing good and keeping the vegetarian diet, he would also learn by heart the sutra called *Lien-ching* (Lotus of Good Law), otherwise "the most popular sutra in China" (Kenneth Ch'en, *Buddhism in China,* Princeton 1964, p. 381) which "contained the most comprehensive statement on the revolutionary Mahāyāna doctrines of the eternal Buddha and universal salvation" (loc. cit.). The beautiful young girl did not live fully to keep her word. She died in the evening before the nuptial night. About these two *pao-chüan,* see Cheng Chen-to, *Chung-kuo wen-hsüeh yen-chiu* (Studies in Chinese Literature), vol. 3, Peking 1957, pp. 1072—1075.

With regard to the novel *Chin P'ing Mei* which is likewise mentioned in the book under review, it may be of interest to note that reference there is made to a *pao-chüan* called *Hsiao-shih Chin-kang k'o-i* (Explication of the Diamond Sutra According to Individual Sections) where Kuan Yin also figures. Many of the female characters of this novel liked to listen to a recitation of *pao-chüan.* For more details on this point see E. S. Stulova, *K voprosu o bytovanii baotszyuan v epokhu Min* (On the Question of Existence of Pao-chüan During the Ming Dynasty). In: *Literatura*

i kultura Kitaya (Chinese Literature and Culture), Moscow 1972, pp. 221—229.

Two studies, one by Emily M. Ahern entitled *The Power and Pollution of Chinese Women* and the second by Elisabeth Johnson, *Women and Childbearing in Kwan Mun Hau Village: A Study of Social Change,* are the products of field work in Taiwan and Hong Kong's New Territories.

Delia Davin, the authoress of the closing study of the book under review, has been engaged for a long time on a preparation of a book on the women's movement in the People's Republic of China. Her study *Women in the Countryside of China* ranges practically over the whole countryside of PRC and follows up the evolution of the women emancipation from its inception up to the beginning of the 1970's.

Marián Gálik

Eberstein, Bernd: *Bergbau und Bergarbeiter zur Ming-Zeit (1368—1644)* (Mining and Mining Workers during the Ming Period). Mitteilungen der Gesellschaft für Natur- und Völkerkunde Ostasiens (OAG), Band LVII. Hamburg 1974. 243 pp.

Eberstein's book is a welcome contribution to the Ming History, to the economic history of the late imperial China and, last but not least, to some concepts concerning generalizations on China's history. In this case we have in mind the so-called "elements of capitalism" which might a priori be believed to exist in such large scale operation as that of mining. It might also be supposed that the relatively great numbers of specialized mining workers might give rise to the regular institution ot hired labour or, in other words, to the rise of the workers' class.

All of that, however, is not corroborated by Eberstein's findings. Mining was organized in traditional way. It was of course paid more attention to by the government, especially during the civil and other wars as a source for the production of weapons, while in other conditions, the government's attitude was critical and even negative towards mining. This was motivated by the government's concern about the people's welfare. The people had to contribute in several ways (corvée, taxes, etc.) to the establishment and running of the mines. Nevertheless, the reason might have been more simple, viz. by the government's suspicion of an instability of such heterogeneous groups as those of miners, made up as they were of soldiers, convicts, peasants, semi-professional miners and, of course, of elements not interested in being officially registered.

It was also the scarcity and inefficiency of some natural resources and the quickly changing attitude of the government already referred to, which caused the miners, first, to devote a part of the year to other activities like work in agriculture, if

available, secondly, to moving from one part of the province to another. Of course, it was an official opinion that not only peasants, but everybody should work at home and not migrate. The migrating people (*liu-min*), whatever the reason for their instability might have been, were under suspicion of being actual or potential rebels. This was especially the case when the mines were located in muontainous and remote regions, for instance on the frontier of two or more provinces, accessibble with difficulties and delays only. On the other hand, the government's restrictive policy was neither constant nor effective since a lot of mines existed even after they had been officially closed.

All these conditions were decisive for the fact that the miners hardly became a stabilized professional group, that they suffered not only because of the limits as given by the conditions of nature, but especially by the inflexible, unreasonable, if somehow consistent policy of the ruler and his subordinates. If, for example, the peasants had to work in the mines against their wish, only to find later that there was for them no more work in the mines or in the fields, there was not much choice left over for them.

Of course, Eberstein does not concentrate his efforts on corroborating the general conclusions already presented by others by examples from other fields of Chinese political and social life. His book is essentially divided into two parts, the first of which deals in chapters III-V with the mining of iron, silver and copper respectively, while the second one, in chapters VI-IX, with the broader issues of the social origin of miners, of the enterpreneurs and traders, the specific traits of the miners as a social group (including their ideas) and the organization of the mines.

Without regard to the government's traditional Confucian policy of supporting agriculture only, the development of financial economy based on the coins in Ming China brought about an increasing demand for metals, the most important of which was of course iron. It was produced in such quantities that it became sufficient both for the home economy and even for export, in contrast to silver and copper which were rather scarce; although the production of the last two metals significantly increased, it could not satisfy the needs. Especially the Yün-nan province became such a rich source of silver and copper. The increase in metal production was important not only for the quantitative rise, but especially later, during the Ch'ing period, it contributed to the formation of an independent branch of the national economy — mining being no more subjected to the all-powerful agriculture, but gaining its own specific "autonomy".

There is no doubt that Eberstein's book, the first of its kind, and inspired in some points by the Marxist method, represents a serious contribution to the study of China's history and does not have the character of a monograph study only.

It might be added that another book on Ming economic history was published a year later, in 1975, by N. P. Svistunova, *Ustanovleniya o soli i chae* (Regulations on Salt and Tea), Moscow, Nauka, 278 pp. This book represents an account on the

government monopoly on salt and tea, two products that were perhaps still more instrumental than the metals, being used in the trade for appeasing the barbarians. Svistunova's book consists, however, in an extensive translation of chapter 80 of the *Ming shu* which is systematically corroborated by other sources. Her introduction is excellent but unfortunately unduly short (pp. 3—31).

Josef Fass

Hook, Peter Edwin: *The Compound Verb in Hindi.* The Michigan Series in South and Southeast Asian Languages and Linguistics No. 1. The University of Michigan, Center for South and Southeast Asian Studies 1974. 318 pp.

The compound verb in Indian languages poses numerous and complex problems whith engross the attention of many linguists. The book under review, dealing with the compound verb in Hindi, will be of interest to at least some of them.

The work captivates the reader's attention right from the start by its methodological approach to the problem. The author refuses to limit himself to inferences made on the basis of a textual attestation which, in his view, has hindered some authors studying the compound verb in Hindi, in their investigations. Hook's methodology has, therefore, been based on an eliciting of responses and reactions to utterances which he presented to speakers of Hindi. Being aware of the dangers and pitfalls inherent in such an approach, he tried to find out the ways how to avoid them. He has elaborated certain methods of verification of respondents' explanations by various indirect means. These methods appear satisfactory, convincing, and therefore reliable.

The author is, naturally, familiar with all the important theories regarding the compound verb in Hindi and quite often confronts his own conclusions with them, e.g. those by Bahl, Hacker, Pray, Vale, Kachru, Van Olphen and others. The thesis by the Czech Indologist V. Pořízka provides a point of departure for the conception of the function of the simple : compound verb developed in the book under review. In addition, Hook consulted several Indologists before publishing his book and all this, besides his personal knowledge and abilities, has created the conditions for writing a good book, such as the present work undoubtedly is.

The whole book may be divided into parts. The first one includes the chapters in which the compound verb in Hindi is defined on the basis of some formal and semantic criteria. Further the second component of the compound verb, here called the vector verb, is discussed and this is followed by a list of twenty-four vector verbs which have been determined by the criteria of grammaticalization, sensitivity to negation, and generality (i.e. the item occurs with more than five different main verbs, p. 119). Some attention is paid also to those vector verbs which are less well-established in the grammatical literature of Hindi.

The second part of the book constitutes its real core. Hook tries to show here what are the functions of a compound verb in opposition to the corresponding simple verb (the relation of compound to simple verb is considered as a privative, aspectual one, with the compound expressing completion of action), and then what governs the choice of a compound verb over a simple one, or vice versa. He attempts to discover, delimit and generalize as many simple and compound environments as possible. Simple environments are defined as environments "which do not permit the expression of an activity by means of a compound verb at all or which strongly prefer .... a simple verb" (p. 201). "Compound environments are those which do not permit expression of an activity with a simple verb or which strongly prefer a compound verb" (p. 261). Many of the simple environments and all of the compound ones are being noted in the present book for the first time.

After an analysis and comparison of these environments and the attempts to find out their basic semantic distinctions, as well as the syntactic conditions which limit the manifestation of their opposition, Hook comes to the conclusion that "the opposition compound: simple verb in Hindi functions not only to express aspectual contrast but in addition performs the communicative functions which in English are associated with the oppositions some: any and the: a" (p. 318).

The book under review, introducing some entirely new conclusions, is well-thought-out and well-designed study which enriches the grammatical literature of Hindi and in addition, can serve as a stimulus for further investigation of some of the problems presented by the compound verb in Hindi and, perhaps, in some other Indian languages, too.

Anna Rácová

Grintser, Pavel: *Drevneindiiskii epos* (The Old Indian Epic). Moscow, Nauka 1974. 418 pp.

The aim of this excellent book by Grintser is a typological study of the old Indian epics *Mahābhārata* and *Rāmāyaṇa*, their typological comparison with other epic monuments and folklore genres. The author determines the general typological features of *Mahābhārata* and *Rāmāyaṇa* and tries to establish the specificity of the poems as products of Indian culture. For his typological comparison of *Mahābhārata* and *Rāmāyaṇa* with other epics, the author use folklore principles and methods of analysis of the oral nature of epic text. This, in his view, helps to rule out extremes of the prevailing mode of approach to the problem based on the written text, and throws new light on traditional questions of the origin, formation and structures of the epics.

The work is divided into two parts, i.e. The Oral and the Written Traditions of the

Old Indian Epic, and The Typology of the Old Indian Epic. The two appendices follow (The Formulae of the Old Indian Epic, and The Parallel Formulae), and a rich bibliography of Sanskrit Sources, texts, translations and theoretical works in Russian and other European languages (463 entries).

In the first part of the monograph, the author introduces many instances serving as evidence of a prolonged existence of the old Indian epic and of the way of its oral performance. Special attention is paid to one of the most characteristic features of the epic poetry, i.e. numerous repetitions. Grintser comes to the conclusion that the theories produced by M. Parry and A. Lord regarding the formulaic character of the epic language, that have arisen on the basis of the Homeric and the Serbo-Croatian epics, can be fully applied to the old Indian epic, too.

Grintser, classifying the formulae of *Mahābhārata* and *Rāmāyaṇa*, divides them into six groups: the attributive, the narrative, the auxiliary (including those of time and place), of the direct speech, the maxims and the similes. The formulae are regarded as characteristic of the oral epic style only if their direct correspondence with the metre — allowing the epic chanter to construct automatically the lines with their help — is evident.

In *çloka*, the main Sanskrit epic metre, almost all the formulae are built around vehicle words usually standing at the end of semi-verses. A lot of synonyms and synonymic expressions enable chanter to construct several formulae and formulaic expressions of various meanings on the basis of the same vehicle word. The formulaic nature of *Mahābhārata* and *Rāmāyaṇa* proves their oral origin and their oral performance.

It was also the use of traditional "themes" in the old Indian epic that has caused numerous repetitions. They are thematic as will as athematic, the latter, usually unrelated to any certain epic situation, being close to formulae. In the epic, even whole episodes are repeated. The reason for such repetitions lies either in the aim of the creators to put stress on the most important scenes of the poem or, more probably, in peculiarities of the oral performance of the poem.

The oral tradition of the old epic is proved also by the abundance of various contradictions, by the existence of catalogues of people, phenomena and objects, by short descriptions of the contents of the epic, or of some of its most important parts which are functionally close to the catalogues, as well as by the existence of numerous inserted episodes.

The oral transmission od the old Indian epics *Mahābhārata* and *Rāmāyaṇa* resulted also in the absence of any canon and in the existence of several versions contained in many manuscripts. Taking into account the oral existence of the poems, the author comes to the conclusion that the differences among versions did not exist only in their diachronic perspective, but also in the synchronic one. This is why the author considers as untenable the aims of some scholars to reconstruct the epic original, or to find out the non-organic interpolations in the text. Further on,

Grintser shows how the intervention of written tradition has affected the most characteristic feature of oral poetry, i.e. the formulaic character of its language. He introduces some instances from *Rāmāyaṇa* serving as evidence that the creators of *Rāmāyaṇa* considered sometimes the epic formulae as ineffective verbal schemes, the real meanings of which have been forgotten and thus it was found necessary to make them more concrete by special stylistic means. Such an understanding of formulae was, according to Grintser, possible only when their use had ceased to be topical, i.e. in the written stage of the adaptation of the poem.

In the next chapter, the problem of the absolute and relative chronology of *Mahābhārata* and *Rāmāyaṇa* is discussed. Grintser comes to the conclusion that in spite of some differences, *Mahābhārata* and *Rāmāyaṇa* are identical in many respects (in their mythological and legendary repertory, in composition, in description of life, in characteristics of heroes, in their phraseology, stylistics and metre), and therefore it is possible to presume that both these old Indian epics were formed in parallel. The process of formation of *Mahābhārata* and *Rāmāyaṇa* lasted for several centuries and thus we can speak about the presence of several strata, contradictory in their reflecting the political, social, and cultural conditions of life in Indian society. This, as well as the intactness of archaic features in the poems again point to their oral tradition.

In the second part of his work, Grintser compares the old Indian epic with different genres of folklore. He starts by comparing *Rāmāyaṇa* with the fairy-tale and finds that their compositions, categories, functions and attributes of heroes are often corresponding. He also pays attention to the compositional peculiarities of *Mahābhārata* and to the relation between *Mahābhārata* and the fairy-tale and finds both to have nearly the same composition which could support the view that the epic has originated from the fairy-tale. However, before drawing such a conclusion, it should be established, as the author himself stresses, whether both the epic and the fairy-tale could not have originated from a common compositional model. Grintser has found an archetype for the plot common not only for the epic and the fairy-tale, but also for the myth. The archetype contains such links as the hero's crossing from this world into the other, the offence of a goddess, etc.

According to Grintser, the myth, the fairy-tale and the epic cannot be considered as having originated one from another, or as being the continuators one of another. They are to be taken as isomorphous genres that have originated from a common source and which, at a certain stage of their development, were influenced by heterogeneous compositional stimulae. Though using the same compositional set-up, they are quite distinct in contents. Therefore, Grintser takes as incorrect the views of those representatives of mythological and neomythological schools who, proceeding from the identity of the plots of the myth and the epic, take the epic as an allegory of the myth. The traditional compositional set-up served as the means for the organization of the heterogeneous epic material, but not as the source of the

content of the epic. The content of the epic is characterized mainly by features representing the specificity of the heroic poetry. As the epic monuments have been formed in different countries and at different periods of time, each of them contains, besides the general typological features, also a concrete meaning determined by the historical and cultural milieu in which it was created. Both the old Indian epics are studied from this point of view, i.e. the author studies the ways in which *Mahābhārata* and *Rāmāyaṇa* transformed the heroic-epic material.

The creators of *Mahābhārata* kept intact the heroic story but treated it from a new, ethical, viewpoint under the influence of contemporary religious-philosophical theories. Thus the organic unity of didactic and epic strata came into existence and Grintser considers this as the basic specificity of *Mahābhārata's* contents.

The main specificity of *Rāmāyaṇa* appears, according to the author, in its special literary qualities which differentiate the poem from other epic monuments. During several centuries of its formation, *Rāmāyaṇa* went from the heroic to the literary epic. The heroic plot started to serve as means for the realization of a new, aesthetic role. The main stress was laid on the emotional aspect of the epic to which all other elements of the poem were subordinated. In *Rāmāyaṇa,* the lyric verses gained the upper hand over the heroic and the poem became in this respect the precursor of the Indian artificial epic, *"mahākāvya".*

The last pages of the book are devoted to a discussion of the reasons for and character of the changes which *Mahābhārata* and *Rāmāyaṇa* underwent during their formation.

Grintser has written a penetrating work which will draw the attention not only of Indologists, but also of everyone interested in the study of folklore genres. He has shown an ample knowledge and a profound insight into the numerous theories on the epic, the myth and the fairy-tale in general and on the old Indian epic in particular. His work, correcting in many aspects the existing theories on the origin, the formation and the structure of the old Indian epic, represents an outstanding contribution to the study of the problem.

Anna Rácová

Kalinnikova, E. Ya.: *Angloyazychnaya literatura Indii* (Indian Literature in English). Moscow, Nauka 1974. 245 pp.

The author of the book under review examines Indian literature written in English, i.e. the literature on India by Indians of which two different views exist in Soviet literary criticism. According to the first one, this literature cannot be examined as a separate unit, but different Indian writers writing in English should be included in their national literatures.

Conformably to the second view, Indian literature in English as a whole has a special position among other Indian literatures. It started to develop as a result of specific conditions about 150 years ago. It is to be considered as a unit in spite of the fact that its authors live all over the Indian subcontinent, and some even abroad, and their works have some specific features reflecting their national traditions and customs. They depict the life, the habits, the historical as well as geographical backgrounds and the cultural settings of their own nations. The national specificity is reflected also in the authors' ways of apprehending reality and in their styles.

The author of the present book supports the second view. The aim of her book, the first one of this kind in Soviet literary criticism, is to study in detail the production by Indian writers using English as their medium of expression, to examine the reasons for the existence of an Indian literature in English, investigate the manner of its development, and analyse the works by the most important authors.

After the battle at Plassey in 1757, the East Indian Company became the effectual political and economic power in West Bengal which resulted, besides many other things, also in the declaration of English as the official language in India. But the forced introduction of English had a paradoxical effect: The English language revealed the wealth of world culture to the Indians and its humanistic ideas inspired them in their struggle against the British rule. A knowledge of English also helped the Indians to became acquainted with the English poetry, the influence of which became evident in different Indian national literatures and conditioned also the origin of Indian poetry in English. The life and works of the first important representative of this poetry, Henry L. V. Derozio, is analysed in the first chapter of the book under review.

Then Kalinnikova writes about the development of press in India that enabled Indian writers to publish their works. She analyses the major trends of the literature as well as the works by the most important Indian writers of that period, such as the Dutts, Sarojini Naidu, and the brothers Manmohan and Aurobindo Ghoshes.

In the third chapter, the Indian literature in English of following period is studied. The twentieth are considered to be a turning point in the development of Indian literature in English. After some unsuccessful attempts, the first Indian novel in English appeared and elicited some attention among Indian readers. This was a novel by K. S. Venkataramani whose prose, showing some features of romanticism and of an enlightened realism, proved to be the only worthy precursor of the realistic Indian novel in English. R. K. Narayan, Venkataramani's follower, became one of the greatest Indian novelists writing in English. Kalinnikova gives a good characterization of the production of both these authors as also of the works by some others, epecially those by Bh. Bhattacharya, M. R. Anand, Kh. A. Abbas. She pays special attention to the life and work of the realistic poet H. Chattopadhyaya, the author of numerous social, political, and lyrical poems.

The next pages are devoted to Indian writers writing in English but living outside

India, e.g. Raja Rao, Kushwant Singh, Arthur Lal, Rajan Balachandra, Kamala Markandaya, Santa Rama Rau, etc.

Then comes Kalinnikova's analysis of the production of the débutants of more recent years whose works appear to be a response to the situation in the country which has not completely resolved many of its serious problems even after Independence.This led to a disenchantment among the Indian intelligentsia and brought into existence a division of ideas that became even strengthened by the spiritual crisis of the intelligentsia in Europe. European modernist literature showed a considerable influence on young Indian authors writing in English. An "antihero" with complexes, fears, inability to believe in people and in the future appears in their novels. These tendencies were most evident in the existentialistic novels by Anita Desai and Arun Joshi. The production of the young writer Najantary Sahgal who writes about problems facing modern life, stressing that presented by fatal loneliness of an individual, appears to Kalinnikova to deviate a little from the common trend.

Novels by some other authors, e.g. those already mentioned (Kushwant Singh), or Manohara Malgonkara, to whom several pages are devoted, depict the bloody riots between Hindus and Muslims after Independence. Kalinnikova stresses Malgonkara's ability to depict realistically and dynamically modern problems and his beautiful style which made him one of the most popular authors in India.

Along with the new novel, naturally, also new poetry came into existence in India. It assumed new forms and topics. Kalinnikova shows the most characteristic features of the poetry of Agyey, Dom Moraes, Nissim Izekil and Kamala Das.

Kalinnikova has mastered well the task she had taken upon herself. She has written a good and useful book which represents a valuable contribution to the study of the Indian literature in English.

Anna Rácová

Béteille, A. — Madan, T. N. (Eds): *Encounter and Experience.* Personal Accounts of Fieldwork. Honolulu, The University Press of Hawaii 1975. 225 pp.

It is generally known that the method of social survey or the method of intensive fieldwork is suitable for a study of social life of a group of people. The second one of the two seems to be the more progressive. As only very few handbooks that could help a fieldworker at his work are available, the editors of the book under review have thought it opportune to ask several anthropologists to describe their personal experience and methods used in the process of their fieldwork.

The book, dedicated to two Indian antropologists T. C. Das and D. N. Majumdar, consists of eleven essays by authors from the U.S.A., the U.K., Japan and India. Nine of them treat of fieldwork in India, two others deal with fieldwork by Indians abroad

— among Indian plantation workers in Malaysia in one case and among the Zuni Indians of America in the other.

The book is undoubtedly an interesting one. The experience and results achieved by different authors are quite heterogeneous which is due to the different methods used as well as to various objective and subjective factors: the authors of the essays are Indians as well as non-Indians, men as well as women, trained as well as untrained anthropologists who study Indian as well as non-Indian society, rural as well as urban society, in foreign as well as in their own cultural settings.

The book opens with the essay by the Japanese author Chie Nakane whose chief interest centres in Hindu families in West Bengal. She vividly describes her experience in India as well as how the knowledge of Indian social life quickened her interest in her own, i.e. Japanese society.

Then follows the essay by Adrian C. Mayer, examining the life in an Indian village. In contrast to some other authors, Mayer knows quite precisely what he is going to study right from the very beginning and subordinates everything he does to his design. He achieves a non-controversial position among villagers and, becoming "part insider and part outsider", he obtains a great deal of valuable information.

Satish Saberwall, the author of the next essay, studies the urban community in a town in Punjab.Proceeding according to an exactly prepared plan of research he tries to learn about the status and social stratification in the urban context. In contrast to the two previous fieldworkers, he knows language as well as the cultural setting of the society he studies as he himself comes from it.

Harold A. Gould describes his fieldwork in India that lasted over a span of twenty years during which he studied many various problems of Indian society, e.g. life in Indian village, structural problems of Indian family, urban migration, the structure of urban system, political behoviour, Indian castes, etc.

McKim Marriott, depicting the festival of Holi, shows that one can learn much about a society through participating in a ritual enactment only when he has grasped its idioms through observing everyday events of the society.

In the next essay, André Béteille describes his experience as fieldworker in a village in Tamil Nadu. He concentrates on those problems only which bear on the high degree of the stratification of community in the village. He lived among Brahmans, the highest stratum in the village, and therefore, examined the social hierarchy from the top down.

On the other hand, Joan P. Mencher tries to show that this approach to the study of Indian society, which may be considered as traditional today, is a distortion of reality, since it presents a one-sided view of social processes. She tries to view the hierarchy from the bottom up. Mencher worked in three vilages in Tamil Nadu, mainly among the Adi-Dravidas. She has come to the conclusion that "things just did not look the same from the bottom of the hierarchical system as from the top, or even from the middle" (p. 117). The Adi-Dravidas do not take the social orders as a natural thing,

They do not accept the usual rationalization of inequality in terms of Hindu religion, or in terms of social harmony. The majority of the Harijans describe their relations with higher-caste people in terms of power, both economic and political.

T. N. Madan tries to demonstrate the importance of the element of subjectivity in social anthropological research and introduces the theoretical as well as practical experience he achieved in the process of studying his own society, i.e. the society of Kashmiri Pandits.

In the next essay, Leela Dube speaks about her three fieldworks in three different cultural settings of her own society in which she studied the life of Indian family, especially that of Indian women. She shows that it is not only the anthropologist who examines a society, but he is simultaneously being examined by the society which attempts to fit him into their own traditional framework, a fact capable of influencing the results of his fieldwork.

R. K. Jain deals with the community of rubber-plantation workers of Indian origin in Malaysia, and Triloki Nath Pandey treats of Pueblo Indians of the American south-west. Pandey's being an Indian, his sympathy and regard for the Zunis were helpful in his fieldwork. Pandey succeeded in his research even where some white anthropologists had failed as the Zunis identified them with white colonizers. In this essay, the element of subjectivity and its importance in anthropological research are again stressed.

The book makes interesting reading even for a non-anthropologist who may learn much about numerous aspects of the problems involved. In particular, he may learn about the importance of a formal anthropological training, about the role of an anthropologist's personality, his character and mode of approach to people, about the role of social origin of a fieldworker according to which the examined society assigns him to a hierarchical system and expects him to behave in a certain way; how various fieldworkers can examine the same phenomenon differently according to their social origin, their knowledge of the milieu, etc.

Anna Rácová

O'Malley, L. S. S.: *India's Social Heritage.* London, Curzon Press — New York, Octagon Books 1975. 194 pp.

The present work is a reedition of the book originally published in 1935. It is intended to show the principal features of the social system of India where "society is still largely communal in the sense that it is organized in groups" (Preface) which are of several different kinds, i.e. tribes, village communities, castes and joint families. The author pays due attention to all of them.

The book is divided into nine chapters. It is opened by an essay on the caste system describing its origin and analysing the most important beliefs of the members of castes and the most rigid of the rules laid down by castes regarding a common

ancestor, marriage, idea of purity and impurity, the question of occupation, the sanction of caste rules, etc.

Then follows a chapter on depressed classes. The author explains the epithet "depressed" which covers not only low status in the hierarchy of caste combined with religious and social disabilities, but also a low economic condition. He discusses the origin of depressed classes in the south as well as in the north of India, the modes of obtaining their livelihood, the difficulties resulting from the discrimination against them, and the struggle for equality of their rights.

In the following two chapters O'Malley treats of different Indian tribes which fall into three main groups according to their geographical distribution in the north-west, the north-east, and the interior, and belong to different racial stocks. He describes their social and political organizations, the basis of social justice, their habits, religious beliefs and customs.

The subsequent pages are devoted to the village community. The author speaks about the existence of two types of village in India, i.e. the joint village found in the north-west of India, and the *ryotwari* village found elsewhere. He deals with the most characteristic features of their organization and the changes which have resulted mainly from the spread of communications and the development of trade and industries.

Then the family, the fundamental unit of Indian society, is studied. The author treats of the Hindu joint family, its organization, the rights and duties of its members, the reasons for the decline of the joint family system, etc. Further the traditional type of family among Muslims is discussed as well as the family of agricultural tribes of Punjab and that of various non-Aryan tribes.

The following chapter is devoted to marriage (both Hindu and Muslim) including the notes on early marriage, widow remarriage, divorce, etc.

The next chapter deals with the origin of the *purdah* system in India, its intensity in different localities and in different communities, its effect on woman's health and horizon as well as with a movement among the educated classes in favour of the abolition of *purdah.*

The book is concluded by the chapter named "Social Changes" analysing the problems involved in social reforms of India and the stimuli which could help these to be realized. Special attention is paid to the woman's movement and that which aimed at the uplift of the depressed classes.

The book under review came into existence fourty years ago. Naturally, much has changed in Indian society since then and besides, many books have appeared which discuss the problems introduced by O'Malley in more detail and depth. In spite of this we consider the new edition of the book to be useful for it includes the basic data on the problems discussed and as such it can, even today, serve as suitable material for the study of Indian society.

Anna Rácová

Islamkundliche Abhandlungen aus dem Institut für Geschichte und Kultur des Nahen Orients an der Universität München. Hans Joachim Kissling zum 60. Geburtstag von seinen Schülern. Redigiert von H. G. Majer. Müchen, Dr. R. Trofenik 1974. 194 S. Beiträge zur Kenntnis Südosteuropas und des Nahen Orients. XVII. Band.

Der Nachfolger F. Babingers am Lehrstuhl für Turkologie und Direktor des Instituts für Geschichte und Kultur des Nahen Orients und für Turkologie an der Universität München Prof. Dr. Hans Joachim Kissling erreichte im Jahre 1972 bei voller Blüte seiner schöpferischen Kräfte sein sechzigstes Lebensjahr. Zu diesem Anlass bereitete ihm eine Gruppe seiner Schüler und Mitarbeiter eine Festschrift, die — wie der Redakteur H. G. Majer im Vorwort sagt — die Interessen des Jubilars im Laufe seiner wissenschaftlichen Laufbahn widerspiegelt.

Für die Kenntnis des Werkes H. J. Kisslings ist sein von Liselotte Schiemann Zusammengestelltes Schriftenverzeichnis (S. 9—16) vom grossen Wert. Es ist nur Schade, dass es nicht alle Rezensionen des Autors enthält, die hinblicklich des sprichwörtlich gewordenen kritischen Charakters ein wertvoller Bestandteil des Werkes des Autors bleiben.

Man kann sagen, dass der Inhalt der Festschrift noch bunter ist als Kisslings wissenschaftliches Schaffen, das in groben Zügen auf den Bereich der türkischen Linguistik, das Studium der Derwischorden im Osmanischen Reich und die Problematik der osmanischen Geschichte im Zeitraum des Aufstiegs des Reiches reduziert werden kann.

Bedriye Atsız, *Über eine Urkunde Sultan Süleyman's des Prächtigen* (S. 17—29) bringt den Text und die Übersetzung einer Urkunde Sultan Süleyman's an Balı Beg aus dem Jahre 1532, die die Geschichte des osmanischen Hofzeremoniells, die Auffassung von Pflichten und die persönliche Moral des Sultans beleuchtet.

Buğra Atsız, *Mülhimename* (S. 29—35) befasst sich mit einem weniger durchforschten Bereich der Islamistik, wie es die Weissagungen und Prophezeiungen sind. Im Beitrag wird der Text und die Übersetzung der Abhandlung mit den Weissagungen nach dem alttürkischen Tierkreis für die Jahre 1033—1044 h. veröffentlicht.

Von kulturhistorischem Charakter ist der Beitrag K. Binswangers, *Einiges über Brutanstalten in Nordafrika* (S. 36—48). Er weist auf die interessante Tradition der künstlichen Brutanstalten hin, die in Nordafrika, vor allem in Ägypten schon seit der Zeit der Pharaonen existierten. Hierzu kann auch der Beitrag von H. - P. Laqueur, *Einige Anmerkungen zur Weinbereitung im osmanischen Reich im 16. Jahrhundert* (S. 127—129) zugereiht werden, der ähnlich wie Binswanger, auf Grund von Reiseberichten auf die Erzeugung und Konsumierung von Wein im Osmanischen Reich hinweist.

Rechtsfragen betreffen zwei der Beiträge: K. Dilger, *Rechtsvorbildung durch „Siyāsa" dargestellt am Beispiel des Talâq in Iran* (S. 49—62) verfolgt die

Änderungen, die im Scheidungsverfahren im Iran nach der Einführung des neuen Gesetzes im Jahre 1967 eingetreten sind, und B. Erbel, *Einige Anmerkungen zum jordanischen Personenstandsgesetz des Jahres 1966* (S. 63—69) kommentiert die Veränderungen im jordanischen Bürgerrecht.

James B. Evrard, *Die Statthalter Syriens im letzten halben Jahrhundert der Mamlukenherrschaft: Safad* (S. 70—83) veröffentlicht aus seiner nichtpublizierten Dissertation *Zur Geschichte Aleppos und Nordsyriens im letzten halben Jahrhundert der Mamlukenherrschaft (872—921 A. H.) nach arabischen und italienischen Quellen* jenen Teil, der der Statthalterschaft Safad in den Jahren 1464—1516 gewidmet ist. Die Studie beruht auf reichhaltigem Quellenmaterial.

K. Kreiser, *Beşir Çelebi — Hofarzt Ibrâhîm Qaramans und Vertrauter Mehmeds II. Fâtih* (S. 92—103) bringt eine Analyse von Handschriften und die Photokopien einer kurzen Abhandlung Beşir Çelebis über die Geschichte Edirnes.

Der Derwischproblematik sind drei Beiträge gewidmet. E. Krüger, *Vom Leumund der Derwische* (S. 104—115) bringt vorwiegend aus der persischen Literatur Belege über den Ruf der Derwische in der islamischen Gesellschaft. A. Krup, *Neue Wege zur Erforschung des Volksislam* (S. 116—126) fasst im Grunde den Beitrag des Jubilars zu diesen Fragen zusammen. Ş. Yola, *Zur Ornithophanie im Vilâyet-nâme des Hâğğî Bektaş* (S. 178—189) analysiert in seinem folkloristischen Beitrag die Motive der Verwandlung von Menschen in Vögel in den Wunderbüchern der Derwische (*Vilâyet-nâme*). Er beweist, dass wir hier ausser an islamische Elemente auch an die Einflüsse und Überreste des Schamanismus antreffen, ja sogar an die epische Tradition der Byzanz und Südosteuropas.

In einem interessanten Beitrag bringt der Zusammensteller der Festschrift H. G. Majer, *Ein Brief des Serdars Yeğen Osman Pascha an den Kurfürsten Max Emanuel von Bayern vom Jahre 1688 und seine Übersetzungen* (S. 130—145) die Kopie und die Abschrift eines Briefes des Befehlshabers des osmanischen Heeres Yeğen Osman Pascha an den Befehlshaber der kaiserlichen Heere bei Belgrad Max II. Emanuel von Bayern, dessen Übersetzungen und die Wortlaute in zeitgenössischen publizistischen Arbeiten. Die Studie ist von einer wietgreifenden methodischen Bedeutung, da wir auch bei anderen zeitgenössischen Übersetzungen osmanischer Urkunden mit ähnlichen Problemen zu tun haben.

H. Reindel untersucht die Miniaturen der Mittelmeerhäfen und -inseln im Werk Naṣûḥ Maṭraqčı's *Tarih-i Feṯḥ-i Šiqlôš ve Estürġôn ve Üstûnî Belgrâd*, sowie die Vorlage dieser Miniaturen, das Werk Christoforo Buondelmontis (*Zu einigen Miniaturen und Karten aus Handschriften Maṭraqčı Naṣûḥ's*, S. 146—171).

Zu den linguistischen Arbeiten gehören die Studien R. E. Fesers, *Probleme der etymologischen Erforschung der altajischen Sprachen, dargestellt an einigen gleichklingenden türkischen Wurzeln* (S. 84—91) und D. Theodoridis', *Türkeitürkisch Torik* (S. 172—177).

Zum Abschluss wurde die Studie M. Zoroufis, *Forûġ Farroḫzâd Persiens Dichte-*

rin der sinnlichen Liebe (S. 190—194) eingereiht, die die Analyse und einige Proben aus dem Schaffen dieser persischen Neuererin bringt.

Die Festschrift ist eine schöne Aufmerksamkeit der Münchener Orientalisten ihrem Lehrer und Kollegen gegenüber.

Vojtech Kopčan

Doerfer, G.: *Türkische und mongolische Elemente im Neupersischen*. Unter besonderer Berücksichtigung älterer neupersischer Geschichtsquellen, vor allem der Mongolen- und Timuridenzeit; Band IV: Türkische Elemente im Neupersischen (Schluss) und Register zur Gesamtarbeit; Wiesbaden, Franz Steiner Verlag GMBH 1975; 640 S. 8° (= Akademie der Wissenschaften und der Literatur; Veröffentlichungen der Orientalischen Kommission, Band XXI).

Die ersten drei Bände der grossangelegten Monographie von G. Doerfer haben in der Fachwelt ein breites Echo gefunden. Die grosse Zahl der Besprechungen, die rege Diskussion um einige Probleme des Buches haben eindeutig bewiesen, dass man in diesem Werk einen wichtigen Meilenstein der altaistischen Forschungen sehen kann. Nun liegt auch der angekündigte vierte Band dieser Arbeit vor, der den Abschluss bildet.

Die Zielsetzung des Verfassers, die methodische Verwirklichung seiner Vorstellungen und die linguistische, historische und kulturhistorische Bedeutung seines Werkes wurden in den bisher erschienenen Besprechungen, auch in meiner Rezension über die ersten drei Bände (cf. AAS, 1971 [1973], S. 149—155), ausführlich erörtert. Auf diese Belange wird deshalb im Folgenden verzichtet.

Der vierte Band bildet eine organische Fortsetzung und gleichzeitig einen Abschluss des Gesamtunternehmens. Die relativ grosse Zeitspanne zwischen den früheren (I = 1963, II = 1965, III = 1967) und diesem IV. Band (= 1975), gab dem Verfasser die Gelegenheit, zu einigen Problemen neues Material zu liefern, neue Gedanken zu entwickeln, und sogar auch zu Fragen, die in der Diskussion um das Buch auftauchten, Stellung zu nehmen. G. Doerfer, der ein leidenschaftlicher Diskussionspartner ist und im Meinungsaustausch auch an sich selbst hohe Forderungen stellt, hat von der Möglichkeit Gebrauch gemacht, die Diskussion im vierten Band selbst fortzusetzen und damit zwischen seinem Werk und dem bisherigen Meinungsaustausch eine organische Verbindung herzustellen. Wegen des erweiterten Charakters des Buches vermisst man aber ein Vorwort des Verfassers, das den Leser mit der speziellen Struktur des Buches bekannt machte.

Die Gliederung des vierten Bandes ist die folgende: Stichwörter 1707—1945 (S. 1—225). Es handelt sich um den eigentlichen Abschlussteil des Lexikons, vom *kāf*

bis *je*. Nachtragsstichwörter 1946—2135 (S. 255—317). Nachträge und Berechtigungen (S. 318—495). Registerteil (S. 496—519).

Die einzelnen Stichwörter sind mit der bekannten Gründlichkeit des Verfassers erarbeitet. Die linguistischen Belange stehen natürlich im Mittelpunkt, den historischen und kulturhistorischen Momenten wird dabei jedoch eine entsprechende Aufmerksamkeit geschenkt. Einzelne Stichwörter wie *giräj munǧūq, yābān, yārġū, yāsāq, yāsāl, yām, yabġū, yarliġ, yasāvul, yināl, yūrt, yīdī qūt, yīrāų, yīl, yaılāq* usw. bilden eigentlich — wie das auch in den früheren Bänden oft der Fall war — kleine Spezialstudien zum jeweiligen Thema.

Einige Bemerkungen zu den Stichwörtern: 1719 (S. 7—8): Die Form **böyük* ist in den anatolisch-rumelischen Dialekten bekannt. — Im Falle der bulgarischen Wortdokumentation wäre es vielleicht ratsamer gewesen, als Quelle Gerovs Wörterbuch zu benutzen. 1720 (S. 8—9): Kann man die sprachlichen Fakten der Brahmi-Texte für das Alttürkische als allgemeingültig betrachten? Würde die Vorsicht nicht verlangen, diese Quellengruppe als Vertreter eines der alttürkischen Dialekte zu betrachten? 1726 (S. 11): Die heutige türkeitürkische Form *giyim* ‚Kleidung, Tracht' (Steuerwald 331) wäre ebenfalls zu erwähnen. 1787 (S. 55—56): Anhand der altosmanischen Angaben wäre eine Ausgangsform *yardum* zu bevorzugen. 1916 (S. 216—220): Ist es richtig, den Vokalklassenwechsel im Falle des Dubletts *yorï ~ yöri* auf Assimilation zurückzuführen?

Den Mittelpunkt des Kapitels „Nachträge und Berichtigungen" (S. (S. 318—489) bilden die „Bemerkungen zur Altaistik" (S. 318—347). Der Verfasser reagiert damit noch einmal und zwar in einer zusammenfassenden Form, auf die Diskussion, die um diese Frage hauptsächlich durch seine Monographie ausgelöst wurde. Im Teil „Bemerkungen zu den Nachträgen" (S. 348—364) erhalten wir eine interessante Zusammenfassung der bisher erschienenen Rezensionen des Werkes des Verfassers (z. T. auch seine Stellungnahmen dazu), eine Ergänzung zur Quellenliste und auf Grund der neuen Quellen verschiedene Berichtigungen zu einzelnen Stichwörtern. Die Liste der Druckfehler in den ersten drei Bänden wird auf S. 365—368 aufgeführt. Die „Nachträge" selbst machen mehr als 100 Seiten aus (S. 369—489). In ihnen bringt der Verfasser neue Angaben oder neue Überlegungen zu den einzelnen Stichwörtern der früheren Bände und nimmt zu den inzwischen bekannt gewordenen Gegenmeinungen Stellung.

Mit dem Registerteil, der von dem wissenschaftlichen Mitarbeiter des Verfassers Hiu Lie zusammengestellt wurde, erhalten wir Sachregister, Wortregister, Kategorienregister (einen Überblick über die Herkunft der Wörter) und ein Variantenregister. Dieses letztere soll die Orientierung unter den verschiedenen Schreibvarianten der behandelten Wörter in arabischer Schrift erleichtern. Äusserst nützlich wäre ein Register der im Buch verstreut vorkommenden Bemerkungen des Verfassers zu Erscheinungen in den einzelnen Turksprachen gewesen.

Der vierte Band, der für die weitere Diskussion nicht weniger Zündstoff bietet als

die früheren, ist ein würdiger Abschluss dieses bedeutenden wissenschaftlichen Unternehmens. In diesem Werk kann man die tatsächlichen Dimensionen der Altaistik als Disziplin sehr plastisch dargestellt sehen, denn man wird zu der Problematik und den Realien geführt, deren Behandlung den Namen Altaistik tatsächlich verdient und nur unter diesem Etikett geführt werden kann.

Am Ende der Arbeit gebührt dem Verfasser jedoch nicht nur Dank der wissenschaftlichen Öffentlichkeit. Er muss auch an die Aufgaben erinnert werden zu deren Erfüllung sein vorliegendes Werk praktisch als eine Vorstudie gilt. Man erwartet von G. Doerfer die Synthesen der historisch-vergleichenden Studien der altaischen Sprachen, für die er die notwendigen Forderungen gestellt und die Methoden erneuert hat.

Georg Hazai

The Cambridge History of Iran, Volume 4: The Period From the Arab Invasion to the Saljuqs. (Edited by R. N. Frye.) Cambridge, Cambridge University Press 1975. XIII + 734 pp.

A further volume, namely Volume 4 has been added to the first *(The Land of Iran)* and the fifth *(The Saljuq and Mongol Periods)* volumes of the *Cambridge History of Iran.* Its editor is Professor Richard N. Frye and the volume which is one of the most important in the planned eight-volume survey of Iranian history and culture, deals with a difficult and crucial period of Iranian history: the period of transition of Zoroastrian Iran to Islamic Iran and the first formative centuries of Islam in Iran; the period of the emergence of the New Persian language and literature and its first centuries of flourishing.

As in the previous volumes and as stated by the editorial board, the aim is to provide a collection of readable essays rather than a catalogue of information, Volume 4 also consists of a number of essays, twenty-one altogether, written by nineteen scholars who, naturally, differ very much both in their approach to the subject and in the style of the presenting the topic to the reader. The main theme and vehicle of nearly all of them, is the process of religious conversion and its influence upon the remoulding of the old Iranian culture into a new one. The majority of the sources for this period are in Arabic and very often they rather deal with the general Islamic history than only with Iran's past but as it is rightly expressed by the editor of the volume: ".... this volume is only the history of Iran under Islam, and is not intended to repeat the *Cambridge History of Islam;* yet, as mentioned, it has proved very difficult to separate the two" (p. XII).

The Persian kingdom of the Sāsānians, although outwardly a great power, succumbed all too rapidly under the Arab assault, partly as a result of the continual

struggle against Byzantium, partly owing to the disturbed situation at home. The Arabs had no need to spread the new faith by means of the sword: the intolerance of the Zoroastrian priesthood, a great disparity between rich and poor and the confused state of the country as a whole helped the Arabs to win new followers of the doctrine of Muḥammad. The situation in the occupied country was far from idyllic, nonetheless, in due course, Islam succeeded in taking root so deeply that at last only very vague memories of the glorious past remained. The political subjugation of Iran was actually completed in a very short time but the old social structure continued to exist for long and the Sāsānian bureaucratic order persisted. Though the Arab victory brought with it the destruction of the Sāsānian empire, this same fate did not befall Persian culture. Still, the latter underwent the greatest revolution in the whole history of Iran.

The equality of rights proclaimed by Islam soon showed itself to be mere propaganda and the new converts could advance only in the ranks of the *mawālī*. But in due course, the Persians entered the service of the Arabs and very often occupied important posts in the government and at the court. The financial organization was also the work of Persian officials. The Persian element became more actively prominent in the Abbasid period. Many of the educated Islamic Persians were clandestinely true to the old faith and old customs but at the same time it was these very men who had taken upon themselves the task of translating the works of the Middle Persian literature into Arabic, thus making them accessible to the Islamic world.

During the early Islamic period, Arabic predominated as the written medium but almost simultaneously with the Ṭāhirids, Ṣaffārids, Sāmānids and the early Ghaznavids, the political and literary revival of Persian language began. The conquest of Islam inderectly contributed to the spread of Persian to territories where other Iranian languages had been in use and very soon the established New Persian language written in Arabic script became the *lingua franca* of the eastern part of the caliphate.

It is beyond the scope of the present review to deal with all the essays or chapters of the volume separately. We consider it enough to emphasize that all of them were written by the prominent scholars in the respective field. Without any attempt at evaluations, we can mention some of the contributors to the volume: Professor Zarrīnkūb from the University of Tehrān (Chapter 1: The Arab Conquest of Iran and Its Aftermath, pp. 1—56), Professor Bosworth from the University of Manchester (Chapter 3: The Ṭāhirids and Ṣaffārids, pp. 90—135; Chapter 5: The early Ghaznavids, pp. 162—197), Professor Frye from Harvard University (Chapter 4: The Sāmāndis, pp. 136—161), Professor Grabar from Harward University (Chapter 9: The visual Arts, pp. 329—363), Professor Kennedy from the American University of Beirut (Chapter 11: The Exact Sciences, pp. 378—395), Professor Nasr from the University of Tehrān (Chapter 12: Life Sciences, Alchemy and Medicine, pp.

396—418; Chapter 13: Philosophy and Cosmology, Ṣūfism, pp. 419—463), B. S. Amoretti from Rome Univesity (Chapter 15: Sects and Heresies, pp. 481—519), Professor Lazard from the University of Paris (Chapter 19: The Rise of the New Persian Language, pp. 595—632), L. P. Elwell-Sutton from Edinburgh University (Chapter 20 (a): The "Rubā'ī" in early Persian literature, pp. 633—657) and Professor Boyle from the University of Manchester (Chapter 20 (b): ʿUmar Khayyām: Astronomer, Mathematician and Poet, pp. 658—663). The volume is supplemented by a Bibliography (pp. 665—697) and an Index (pp. 699—734).

In a detailed review of this volume one could point out some ommissions or reveal one's disagreement with some of the opinions expressed on its pages but there is no doubt that the editor's hope "... the reader will find here the information he may want in regard to this period " (p. XII) is well-founded.

Kamil Baňák

Iran. Natur, Bevölkerung, Geschichte, Kultur, Staat, Wirtschaft (Buchreihe Ländermonographien, Band 5, herausgegeben vom Institut für Auslandsbeziehungen, Stuttgart). Herausgegeben von Ulrich Gehrke und Harald Mehner. Tübingen—Basel, Horst Erdmann Verlag 1975. 471 S. mit 68 Fotos und 6 Karten.

Niemand würde heutzutage mehr leugnen, dass Länder mit einem grossen energetischen Potential eine wichtige Rolle in der Weltökonomik spielen können und dies auch tun, und das auch dann, wenn ihre eigene Wirtschaftsentwicklung das Niveau anderer wirtschaftlich hochentwickelter Staaten nicht erreicht. Das ausdrucksvollste Beispiel dessen ist der Iran, der einerseits seine Konzeption des Erdölhandels hart verteidigt und als Wirtschaftspartner der europäischen Länder aufzutreten beginnt, andererseits zu einer grosszügigen Entfaltung der eigenen Ökonomik herantritt. Es besteht daher kein Zweifel, dass der deutschsprachige Leser den neuen, der Reihenfolge nach bereits den fünften Band aus der Buchreihe Ländermonographien begrüsst, die das Institut für Auslandsbeziehungen, Stuttgart, vorbereitet und der Horst Erdmann Verlag herausgibt, und deren Ziel es ist eine vielseitige, gleichzeitig jedoch fundierte und aktuelle Übersicht über dieses Land zu bieten. Als Verfasser zeichnen Ulrich Gehrke und Harald Mehner.

Kein Hanbuch über ein bestimmtes Land kann auf eine wenn auch noch so kurze geographische Charakteristik verzichten. Die Autoren des rezensierten Buches ersuchten Dr. Günther Schweizer um eine kurze geographische Beschreibung, die den ersten Abschnitt des Buches (Der Naturraum, S. 13—39) bildet. Die Autoren weisen in der Einführung (S. 9—12) darauf hin, dass eine geographisch orientierte Länderkunde Irans für den Druck vorbereitet wird.

Die folgenden Kapitel tragen die Titel Mensch und Gesellschaft (2. Abschnitt, S.

41—91), Die Kultur (3. Abschnitt, S. 93—145) und Geschichte und Staat (4. Abschnitt, S. 147—328). Ein jeder Abschnitt besteht aus einigen Abhandlungen, deren Verfasser Ulrich Gehrke ist. Der Autor bemühte sich bei seinen Informationen um eine möglichst grosse Anzahl von neuesten Angaben und Einsichten in die gesellschaftliche Problematik des zeitgenössischen Iran. Er meidet auch den älteren historischen Hintergrund einiger wichtiger Meilensteine des modernen gesellschaftpolitischen Geschehens im Iran nicht, der Hauptakzent und der Schwerpkunkt liegen jedoch auf den neuesten zeitgenössischen Aspekten. Dieses sein Bestreben ist z. B. auch daraus ersichtlich, dass er sich in den ersten zwei Abhandlungen im Abschnitt Die Kultur (und zwar: 1. Sprache, Literatur und Theater, S. 95—104; 2. Massenmedien, Verlagswesen und Bibliotheken, S. 105—125) mehr, und wir möchten gleich hinzufügen, dass mit Recht, den neuesten Äusserungen des schöpferischen Geistes der Iranier widmet, und zwar dem Theater- und Filmschaffen, die in vielen ähnlichen Übersichten ausser Acht gelassen worden sind. Obwohl der Autor keine Bestätigung unserer Ansicht anführt, ist es nicht auszuschliessen, dass er sich für eine solche Konzeption hinsichtlich der heutzutage bereits zugänglichen und grösstenteils auch zufriedenstellenden Übersichten über das moderne literarische Leben des Iran bewusst entschieden hat.

Während die ersten vier Abschnitte mit Hinblick auf ihren Inhalt und Bearbeitung dem breitesten Leserkreis dienlich sein können und auch die wichtigsten turistischen Informationen bieten, ist der Beitrag Harald Mehners über die Ökonomik des Iran (5. Abschnitt: Die Wirtschaft, S. 329—431) eher einem Kreis von Fachleuten bestimmt. Der Autor führt genaue Angaben über die Innen- und Aussenwirtschaft des Iran und die Wirtschaftspläne der iranischen Regierung an, deren Ziel eine Entwicklung der Ökonomik und selbstverständlich eine Steigerung des wirtschaftlichen Ansehens des Iran am Weltmarkt ist. In einer Arbeit dieser Art wäre es zwecklos kritische Standpunkte und Vorbehalte einzunehmen dazu, ob einige vorhergesehene Massnahmen und Pläne begründet oder real sind, und der Autor mied einen solchen Zutritt mit Recht. Sein Beitrag konzentriert sich darauf, eine möglichst komplette Übersicht der ökonomischen Lage und der Pläne des Landes zu bieten.

Den letzten Teil des Buches bildet der Anhang (S. 433—459), der Daten, Tabellen, Übersichten nebst einer systematischen Literaturübersicht, sowie auch einen Sach- und Personenregister (S. 461—471) enthält.

Wie wir bereits angeführt hatten, enthält der 5. Band der Erdmann Ländermonographien die wichtigsten zeitgemässen Angaben und eine Übersicht über den Iran von heute. Seine Autoren bereiteten so einen unentbehrlichen Behelf genau so für den Interessenten aus Laienkreisen wie auch für den professionellen Arbeiter, der mit dem Iran ob nun im wissenschaftlichen, geschäftlichen oder im publizistischen Bereich in Kontakt kommt.

Kamil Baňák

Biobibliografičeskij slovar' otečestvennych tjurkologov. Dooktjabr'skij period. Pod redakciej i s vvedenijem A. N. Kononova (Bio-bibliographisches Wörterbuch der vaterländischen Turkologen. Die Voroktober-Periode. Unter der Redaktion und mit Einleitung von A. N. Kononov). Moskau, Nauka 1974. 340 S.

Der grosse Beitrag und die bahnbrecherischen Arbeiten der russischen Turkologen sind in der Welt allgemein bekannt und anerkannt. Namen wie V. V. Barthold, V. V. Veljaminov-Zernov, V. A. Gordlevskij, A. K. Kasem-Beg, S. E. Malov, A. N. Samojlovič, vor allem jedoch F. W. Radloff und weitere Forscher haben die russische Wissenschaft im Ausland nicht nur berühmt gemacht, sondern mit ihren theoretischen Arbeiten, mit dem Sammeln von Text-, folkloristischem und lexikalischem Material auch die Grundlagen eines in der Gegenwart sich vielversprechend entwickelndes Fachs gelegt. Die Tatsache, dass die Arbeit im Bereich der Turkologie ohne der russischen Sprache mächtig zu sein unmöglich ist, ist der beste Beweis für diese Behauptung.

Im Vorwort weisen die Zusammensteller auf einige Tatsachen bei der Zusammenstellung des Wörterbuches hin. Die ursprüngliche Absicht war nämlich die, dass in das Wörterbuch lediglich Turkologen-Philologen und Lehrer der Turksprachen an Instituten für Russen aufgenommen werden sollten. Später wurde das Wörterbuch auch um Turkologen-Historiker und Ethnographen erweitert, die zur Forschung der Turksprachen beigetragen haben. Die Übersetzer aus den Turksprachen, Diplomaten und andere Personen, die diese Sprachen praktisch beherrschten, Ethnographen und Historiker, die sich nicht mit Sprachforschung befassten, sowie Lehrer der Turksprachen an turksprachigen Schulen waren jedoch nicht mitinbegriffen.

Der einleitende Artikel von A. N. Kononov *Aus der Geschichte der Turksprachenforschung in Russland. Voroktober-Periode* (S. 9—90) soll eine Vorstellung von der Geschichte der russischen Turkologie, den einzelnen Institutionen, wo die Turksprachen erforscht und unterrichtet wurden, den bedeutendsten Darstellern und schliesslich von der Entwicklung der Forschung einzelner Turksprachen vermitteln. Den Interessenten für die genauere Geschichte der russischen Turkologie steht jedoch das Buch des Autoren der Studie (*Istorija izučenija tjurkskich jazykov v Rossii. Dooktjabr'skij period.* Leningrad 1972 (Die Geschichte der Forschung der Turksprachen in Russland. Voroktober-Periode) zur Verfügung.

Die Stichwörter enthalten biographische Angaben mit den wichtigsten Daten über das Leben der Persönlichkeiten, die Bibliographie, diese jedoch nur in den Fällen, wo sie nicht komplett veröffentlicht wurde, und schliesslich einen Überblick der verwendeten Literatur.

Den Zusammenstellern gelang es Angaben von mehr als dreihundert Turkologen zu sammeln, die im Zeitraum vor der Revolution tätig waren. Es gelang ihnen jedoch bei fast der Hälfte von ihnen die beiden grundlegenden biographischen Daten (das Geburts- und Todesdatum) nicht zu gewinnen. Es ist verständlich in den Fällen der

weniger bekannten Lehrer der Turksprachen, bzw. der Verfasser längst nicht mehr benützter Lehr- und Wörterbücher, aber in Fällen wie V. A. Moschkov (der bekannte Forscher der Gagausen) sollte das nicht vorkommen. Offen bleibt auch die Frage, warum die Zusammensteller in ihr Wörterbuch A. Olesnickij und weitere nicht aufgenommen hatten, da ihn doch Kononov in der Einleitung (S. 53) erwähnt. Problematisch erscheint die Einreihung von H. J. Klaproth; danach würde auch D. G. Messerschmidt oder sogar F. J. Strahlenberg im Wörterbuch ihren Platz haben. Man sollte auch erwägen,ob nicht ein Verzeichnis der Werke (eine Bibliographie) aller Turkologen anzuführen wäre, da diese in vielen Fällen in heutzutage schon schwer erreichbaren Zeitschriften, Sammelbüchern und Festschriften veröffentlicht wurden.

Die Liste der Abkürzungen zeigt, dass die Zusammensteller aus einem umfangreichen Material geschöpft haben und in so mancher Hinsicht kann ihre Arbeit als bahnbrechend bezeichnet werden. Ein Namen- und Sachindex (S. 328—341) schliesst das Buch ab.

Das *Biobibliografičeskij slovar' otečestvennych tjurkologov* kann trotz der angeführten Mängel als ein grundlegendes Handbuch zur Geschichte der russischen Turkologie begrüsst werden.

Vojtech Kopčan

Dąbrowski, K. — Nagrodzka-Majchrzyk, T. — Tryjarski, E.: *Hunowie europejscy, Protobułgarzy, Chazarowie, Pieczyngowie* (Europäische Hunen, Protobulgaren, Chasaren, Petschenegen). Wrocław — Warszawa — Kraków — Gdańsk, Ossolineum — PWN 1975. 647 S. Kultura Europy wczesnośredniowiecznej. Red. W. Hensel. Zeszyt 4.

Die asiatischen Nomaden, die seit Ende des Altertums, vor allem jedoch im frühen Mittelalter Ost-, Südost- und Mitteleuropa angegriffen hatten, spielten in der Geschichte dieser Gebiete eine bedeutende, wenn auch nicht immer positive Rolle. Gegenstand des rezensierten Buches sind Abrisse der Kulturgeschichte vierer asiatischer Nomadenvölker — der Hunen, reduziert auf die sog. europäischen Hunen, Protobulgaren, Chasaren und Petschenegen. Unserer Ansicht nach sollten in diesem Komplex auch die Awaren behandelt werden, und zwar nicht nur wegen ihrer Berührungspunkte mit der Geschichte der Protobulgaren, sondern auch wegen dem festen Platz, den sie in der Geschichte Mittel- und Südosteuropas im 6.—8. Jahrhundert einnahmen.

Man kann sagen, dass die Erforschung dieser Völker und die einzelnen Probleme ihres gesellschaftlichen und kulturellen Lebens in vieler Hinsicht lediglich Hypothesen darstellen, die auf einem sehr dünnen Eis des Quellenmaterials beruhen. Wird

die Zugehörigkeit dieser Völker zur Turksprachenfamilie zugegeben, ist die Frage ihrer ethnischen Zugehörigkeit bei weitem komplizierter. Es geht hier meist um Stammesverbände, die die verschiedensten ethnischen Elemente in sich aufgenommen hatten, ob schon während ihres schrittweisen Vordringens nach Westen oder in den neuen Siedlungsgebieten in Ost- und Südosteuropa. Auch wenn die Zugehörigkeit der meisten dieser Völker zu den turksprachigen allgemein zugegeben wird, bestehen grosse Probleme mit der genaueren Eingliederung dieser Sprachen im Rahmen der Turksprachenfamilie. Die meisten dieser Völker hinterliessen nämlich keinerlei schriftliches Zeugnis und Informationen über sie selbst und ihre Sprachen haben wir lediglich von fremden Autoren. Das sind Tatsachen, welche nur durch sensationelle, kaum jedoch vorauszusetzende Entdeckungen geändert werden könnten. Die Erfolge der historischen Archäologie haben jedoch in den letzten Jahrzehnten die Erforschung der materiellen Kultur der Nomadenvölker ungewöhnlich bereichert, was sich auch in der polnischen Arbeit widerspiegelt hat.

Die Problematik der sog. europäischen Hunen bearbeitete K. Dąbrowski (S. 13—146). Seine Arbeit fasst der Autor als „einen Versuch um einen neuen Blick auf die Rolle der Hunen in Mitteleuropa und ein Vertiefen dieser Aspekte des Problems, die auf den neuentdeckten archäologischen Funden aufgebaut sind" auf. In der Analyse der Quellen und der Literatur weist er richtig auf das Tendenziöse des ungarischen Werkes *Attila és Hunjai* hin, eine grössere Aufmerksamkeit hätte er jedoch dem Werk F. Altheims widmen können, und auch die neueste Synthese O. J. Maenchen-Helfens hätte er zumindest in der Korrektur erwähnen sollen. Eine Übersicht der politischen Geschichte bietet grundlegende Informationen über die Beziehungen der asiatischen und europäischen Hunen, eine kurze Geschichte der europäischen Hunen und einen kurzen Exkurs über Polen unter Attilas Herrschaft. Die folgenden drei Kapitel bringen einen Überlick der archäologischen Funde zur Hunenproblematik in der UdSSR, Rumänien und Ungarn. Die problemreichsten Fragen aus der Geschichte der Hunen verfolgt der Autor im Kapitel Die gesellschaftliche Organisation, wirtschaftliche und geistige Kultur. Betrachtungen über Attila und ein Versuch um die Einschätzung der Rolle der Hunen in Europa beschliessen den ersten Teil des Buches.

Die ausführliche Bibliographie, aus der ausser anderem die Abhängigkeit des Autors von den Arbeiten ungarischer Fachleute ersichtlich ist, könnte um B. Hómans Studie *A Hun-probléma megoldása,* MNy, *17,* 1921, S. 195—198 und um R. Groussets Buch *Attila, Gengis Khan, Tamerlan,* Paris 1972 ergänzt werden.

Den komplizierten Problemen der Protobulgaren ist die umfangreichste Studie des Buches (S. 147—376) gewidmet, die der Feder E. Tryjarskis entstammt. Man kann sagen, das Tryjarski sich dieser komplizierten Aufgabe erfolgreich entledigte und in einem Meer von sich widersprechenden Ansichten und Hypothesen eine kritische Haltung bewahrte.

Nach den einleitenden Kapiteln, die dem Ursprung und dem ethnischen Charak-

ter der Protobulgaren, der ältesten Geschichte der Bulgaren, Gross-Bulgarien, sowie der materiellen und geistigen Kultur der frühen Protobulgaren gewidmet sind, befasst sich der Autor eingehend mit drei protobulgarischen Gruppen: den Protobulgaren an der Wolga, den pannonischen Protobulgaren und den Protobulgaren an der Donau. Bei der Erforschung dieser Gruppen wählte er jedoch kein einheitliches schematisches Verfahren. Beim Abriss der Kulturgeschichte der Protobulgaren an der Wolga (Kama) geht Tryjarski vor allem aus den Berichten islamischer Geographen und Historiker hervor. Er untersucht also jene Fragen der Wirtschafts-, Sozial- und Kulturgeschichte, denen die islamischen Autoren als den charakteristischen Fragen für diese protobulgarische Gesellschaft ihre Aufmerksamkeit geschenkt hatten. Ähnlich auch im Kapitel von den Protobulgaren an der Donau richtet er sein Augenmerk auf jene Fragen, die vom Gesichtspunkt der Geschichte dieses Ethnikums am wichtigsten erscheinen. In einem Gewirr einander widersprechender Ansichten bemüht sich Tryjarski um ein objektives Behandeln der angeführten Probleme, ohne nutzlosen, bei diesem Thema so häufigen Polemiken, dabei bietet er jedoch eine Fülle von Informationen und Überlegungen, sodass der Leser ein treffendes und objektives Bild von der Kultur der Protobulgaren an der Donau vermittelt bekommt.

Der Bibliographie wäre noch ein Beitrag zuzureihen: A. Avenarius, *Prabulhari v prameňoch VI.—VII. stor.* (Die Protobulgaren in den Quellen des VI.—VII. Jahrhunderts). In: Slovanské štúdie, *8,* 1966, S. 185—204.

T. Nagrodzka-Majchrzyk hatte bei der Bearbeitung der Kulturgeschichte der Chasaren (S. 377—476) von allen Autoren die relativ leichteste Aufgabe. Im Gegensatz zu anderen Nomaden existiert hier eine unverhältnismässig reichhaltigere Quellenbasis (die jüdisch-chasarische Korrespondenz, griechische, arabische, persische und armenische Quellen), die ständig sich vermehrenden archäologischen Funde (die jüngste Expedition N. Gumiljevs), eine reichhaltige Literatur (das Interesse für die Chasaren reicht bis ins 17. Jahrhundert hinein) und, nicht zuletzt, die soliden Bearbeitungen dieser Problematik von A. Zajączkowski, D. M. Dunlop und M. I. Artamonov. Ihre Aufgabe stellt sich die Autorin wie folgt: „Der Gegenstand der Bearbeitung ist der Anteil der Chasaren und deren Staates, des chasarischen Kaganats, an der Entwicklung des frühmittelalterlichen Europas". Nagrodzka-Majchrzyk schuf eine interessante und inhaltsreiche Übersicht der materiellen, gesellschaftlichen und geistigen Kultur der Chasaren, auch wenn sie in vielen Fällen die Ansichten renommierter Forscher übernimmt.

Die Bibliographie der Autorin möchten wir ebenfalls ergänzen, und zwar um die Studie M. Kmoskos, *Araber und Chasaren.* In: KCsA, *1,* 1924,S. 280—292; *2,* 1925, S. 356—368, wo der Autor eine interessante Hypothese zum Ausdruck bringt, dass, hätten die Chasaren die Araber am Kaukasus nicht aufgehalten, wären die Araber auf dem erprobten Weg der Nomaden nach Europa gekommen und das Kräfteverhältnis zwischen dem Christentum und dem Islam hätte sich anders

entwickeln können. So stellt er die chasarische Verteidigungslinie gegen die Araber der erfolgreichen Verteidigung von Konstantinopel und des französischen Poitiers gleich. Den zweiten bedeutenden Beitrag von A. A. Bikov, *Iz istorii denežnogo obraščenija Chazarii v VIII i IX vv.* In: Vostočnye istočniki po istorii narodov Jugo-vostočnoj i Centralnoj Jevropy III, 1974, S. 26—71 konnte die Autorin jedoch nicht in Betracht ziehen. Auf Grund eines umfangreichen numismatischen Materials erbringt der Autor Beweise, dass im chasarischen Kaganat ein Münzwesen existierte, das die verschiedenen Typen der arabischen Dirhame nachahmte.

Die letzte Studie des Buches gehört den Petschenegen, deren Rolle in der Geschichte Ost- und Südosteuropas E. Tryjarski (S. 479—625) bearbeitete. Es ist interessant, dass sich Tryjarski an ein ähnliches Schema hielt wie Nagrodzka-Majchrzyk — gleichmässig widmet er sich der materiellen, gesellschaftlichen und geistigen Kultur dieses Stammesverbandes. Es steht ausser Zweifel, dass die Aufgabe des Autors äusserst schwierig war. Im Unterschied zu den Bearbeitungen der vorherigen Turkvölker gibt es keinerlei komplette Monographie über die Petschenegen, auch wenn Teilversuche (ältere Arbeiten von P. Golubovskij und V. G. Vasilevskij, C. A. McCartney, Gy. Györffy, A. N. Kurat, P. Diaconu, S. A. Pletneva, O. A. Rasovskij) existieren. Tryjarskis Studie fasst die Ergebnisse der bisherigen Forschung in eine wirkungsvolle Übersicht aller Erscheinungen der Kulturgeschichte der Petschenegen zusammen und tritt an die Lösung der Fragen schöpferisch heran. Von den kleineren Fehlern muss die Angabe über die Regierung des ungarischen Königs Aba Samuel auf 1041—1047 und nicht 1041—1071 korrigiert werden, ebenfalls auch die Angabe über Thuróczys Chronik *Chronica Hungarorum,* die nicht aus dem 13., sondern aus dem 15. Jahrhundert stammt, was jedoch auch Druckfehler sein können, deren es im Buch über alle Massen gibt.

Es wäre Angebracht die Bibliographie um die Studie G. Fehérs, *Zur Geschichte der Steppenvölker von Südrussland im 9. —10. Jahrhundert.* In: Studia Slavica, *5,* 1959, S. 257—326 zu ergänzen.

Das Buch der polnischen Autoren, das den Turknomaden des Frühen Mittelalters gewidmet ist, kann zweifelsohne als eine wertvolle Zusammenfassung dieser komplizierten Problematik betrachtet werden.

Vojtech Kopčan

Günday, Dündar: *Arşiv Belgelerinde Siyakat Yazısı Özellikleri ve Divan Rakamları* (Die Eigentümlichkeiten der Siyakat-Schrift in den Archivdokumenten und die Zahlzeichen des Diwans). Ankara, Türk Tarih Kurumu Basımevi 1974. IX. 259 S. Türk Tarih Kurumu Yayınlarından VII. Dizi. Sayı 57.

Die Bedeutung der Siyakat-Schrift für die Wirtschaftsgeschichte des Osmanischen Reiches, die von der osmanischen Finanzverwaltung vier Jahrhunderte lang benützt

wurde, muss nicht erst betont werden. Diese Schrift war jedoch in weiten Kreisen der osmanischen Bürokratie auch zu der Zeit nicht allgemein bekannt, da sie laufend verwendet wurde. Sie war eher ein Vorrecht der Beamten der zentralen und der provinzionellen Defterhane. Es ist daher nicht verwunderlich, dass das Problem der Kenntnis der Siyakat-Schrift für die jüngeren Kader von Historikern und Archivaren auch in der Türkischen Republik entstand, und das nicht nur deswegen, dass diese bereits ein halbes Jahrhundert mit Erfolg die lateinische Schrift gebraucht.

Bereits vor Jahren erschienen in der Türkei Handbücher mit dem praktischen Ziel die Siyakat-Schrift zu lesen lehren (S. Elker, M. Yazır), heutzutage sind sie jedoch kaum erreichbar und sind natürlich auch veraltet. Der Autor des rezensierten Buches Dündar Günday wollte mit seiner Arbeit die auf diesem Gebiet entstandene Lücke füllen. Er steckte sich dabei keinerlei hohe Ziele. Eher ging es ihm um die praktische Seite der Beherrschung der Siyakat-Schrift und der Siyakat-Zahlzeichen.

Das Buch ist in fünf Grundteile geteilt, von denen die in Siyakat geschriebenen Archivdokumente (Photokopien oder Faksimile) und deren Transkription in die arabische und lateinische Schrift den wesentlichen Teil darstellen.

Im Vorwort weist der Autor auf die Ziele hin, die er mit der Herausgabe der Publikation anstrebte, und fügt praktische Anmerkungen über die Art der Zusammenstellung des Buches hinzu. Es wäre notwending die kurze Bibliographie, die ein Verzeichnis der benützten Archivfonds aus Başbakanlık Arşivi enthält, sowie die bisherigen Abhandlungen über die Siyakat-Schrift um die Arbeit des bulgarischen Turkologen N. Popow, *Particularités paléographiques des adjectifs numéraux cardinaux dans l'écriture siyáqat*, Sofia 1955 (sie enthält den bulgarischen, russischen und französischen Text der Auslegung und 12 Urkunden) zu erweitern.

Der erste Teil (Die Siyakat-Schrift und Siyakat-Zahlzeichen, S. 1—32) bringt eine kurze Geschichte der Entwicklung dieses Schrifttypus, das Schreiben einzelner Buchstaben und Ligaturen, die Hauptaufmerksamkeit wird jedoch auf das Schreiben der Zahlwörter gelenkt, was letztenendes ein kompliziertes Problem darstellt. Die Erläuterungen sind kurz und es überwiegen Reproduktionen der Urkunden. Einen wesentlichen Teil des Buches bildet der zweite Teil (S. 33—174), in dem sich 43 Proben aus verschiedenen Defters und Urkunden aus dem Zeitraum der Jahre 1451 bis 1819 befinden. Die Proben sind in des Autors Handschrift abgeschrieben und es ist auch eine Transkription in die lateinische Schrift hinzugefügt. Der Auswahl der Urkunden ist wirklich repräsentativ, nicht alle Proben sind jedoch gut leserlich und es scheint uns, dass der Autor auch kleinere Fehler nicht unterlassen hat. Zu den Hauptteilen des Buches gehört auch der dritte Teil (S. 175—204), der das Schreiben von Zahlwörtern (Zahlen) in Grundkonskriptionen *(Tapu defterleri)* behandelt. Ähnlich wie im vorangehenden Teil sind auch hier die Proben aus *Tapu defteri* in die arabische und lateinische Schrift übertragen worden. Die Proben betreffen die Jahre 1445—1601. Es ist Schade, dass der Autor es nicht versucht hat auch die Orts- und Personennamen aus den bosnischen Defters zu lesen.

Die letzten zwei Teile des Buches haben den Charakter von Behelfsteilen. Der vierte Teil (S. 205—251) bringt zuerst die Erläuterung der im Başbakanlık Arşivi (Istanbul) benützten Kodes und gleichzeiteg damit auch eine kurze Erklärung über die Funktionen der einzelnen Zentralämter des Osmanischen Reiches, deren Material sich heutzutage in diesem Zentralarchiv befindet. Weiter ist hier ein alphabetisch zusammengestelltes Verzeichnis der am häufigsten verwendeten Ausdrücken und Abkürzungen in den Siyakat-Schriftstücken. Dieser Teil stellt einen sehr wertvollen Behelf dar, da die Proben einem umfangreichen Quellenmaterial entnommen wurden. Ein besonderer Teil ist den Ligaturen gewidmet.

Der fünfte Teil (S. 251—259) stellt schliesslich ein Wörterbuch der am häufigsten verwendeten Termini in den in der Siyakat-Schrift geschriebenen Schriftstücken dar. Hierher sind arabische und persische, heutzutage nicht mehr geläufige Ausdrücke eingereiht, überflüssigerweise finden wir hier jedoch auch Ortsnamen wie: Adalya (Antalya), Amid (Diyarbakir) usw.

Wir sind der Ansicht, dass der Ausdruck *menapolye* (S. 193) zutreffender als *monopolye* und ähnlich auch der Ausdruck *nakdiye* laut L. Fekete (*Siyāqat-Schrift in der türkischen Finanzverwaltung I*, Budapest 1955, S. 238) als *nakdine* zu transkribieren wäre.

Der Beitrag von Günays Buch liegt vor allem in der reichhaltigen Dokumentation der Entwicklung und der einzelnen Muster der Siyakat-Schrift. Die Einleitungs- und Begleitkommentare hätten hinsichtlich des Zieles der Publikation und des Herausgebers umfangreicher und sorgfältiger bearbeitet werden sollen.

Vojtech Kopčan

Memoiren eines Janitscharen oder Türkische Chronik. Eingeleitet und übersetzt von R. Lachman. Kommentiert von C. P. Haase, R. Lachman, G. Prinzing. Graz—Wien—Köln, Verlag Styria 1975. 233 S. Slavische Geschichtsschreiber. Hrsg. von G. Stöckl. Band VIII.

Kronika turecká oder *Pamiętniki Janczara* gehört zu den wichtigsten Werken der slawischen Geschichtsschreibung zum Problem des osmanischen Vordringens auf dem Balkan im 14. und 15. Jahrhundert, vor allem jedoch zu den Balkanfeldzügen Sultan Mehmed II. Als Verfasser dieses Werkes wurde im allgemeinen der serbische Janitschar namens Konstantin aus Ostrovica angeführt, solange bis die kritische Forschung seine Urheberschaft mit Hinweis auf den heterogenen Charakter des Werkes in Frage stellte. Der italienische Slawist A. Danti geht sogar so weit, dass er bezweifelt, dass der Autor überhaupt ein Janitschar gewesen war, und behauptet, dass die Türkische Chronik lediglich eine zu einem bestimmten Ziel zusammengestellte Redaktionsarbeit sei. Derselbe Autor bewies auch, dass das Original des

Werkes in tschechischer Sprache verfasst wurde, wobei die älteste erhaltene polnische Handschrift, der die vorliegende deutsche Übersetzung folgt, demnach als Übersetzung des nicht erhaltenen tschechischen Originals, bzw. als eine Version desselben zu betrachten ist.

Das Werk weist vor allem Zeichen von Memoiren und Chroniken auf, aber offensichtlich sind darin auch Elemente eines Traktats aufzufinden. Doch auch wenn es nicht um ein nur auf des Autors Erlebnissen basierendes Originalwerk, sondern um eine Kompilation auf verschiedenen Ebenen geht, bringt es eine Fülle detaillierter Erkenntnisse, die in der westlichen und türkischen Geschichtsschreibung hinsichtlich der sprachlichen Barriere bislang noch nicht allgemein bekannt sind. Mit Rücksicht auf diese Tatsache ist die deutsche Übersetzung des Werkes in der Edition „Slavische Geschichtsschreiber" zu begrüssen, da sie zweifelsohne zu dessen gründlicheren Ausnützung beitragen wird.

Die deutsche Übersetzung geht aus der kritischen Ausgabe von J. Łoś hervor, die in Krakau 1912 erschienen war. Die Übersetzerin R. Lachmen macht in der Vorbemerkung darauf aufmerksam, dass sie auch die textkritischen Anmerkungen A. Dantis zu Łoś's Edition, sowie die serbische Übersetzung von Đ. Živanović berücksichtigte.

In einer umfangreichen Einleitung (S. 20—50) bringt die Übersetzerin grundlegende Angaben über das Werk und dessen Erhaltung, autobiographische Anmerkungen über den Autor, sowie die Übersicht der Erforschung über die Memoiren eines Janitscharen. Als originellen Beitrag der Übersetzerin können wir die Analyse der serbischen Elemente im Werk betrachten, ob es sich nun um Elemente aus der serbischen Herrschervitenliteratur oder aus der serbischen Volksepik handelt.

Die deutsche Übersetzung der Memoiren eines Janitscharen oder Türkische Chronik (S. 53—175) ist fliessend und dürfte als literarisches Denkmal auch den Nichtfachmann fesseln. Die in der Chronik erfasten Begebenheiten, Namen und fremdsprachigen Termini werden in den gehaltreichen Anmerkungen (S. 117—228) erklärt, die die Übersetzerin und G. Prinzing zusammengestellt haben, während die Erklärungen zu den islamischen Realien von C. - P. Haase stammen. Zum Kapitel 44 Über die *martolos* und die *voynuk* wäre es wohl angebracht die Monographie von M. Vasić, *Martalosi u jugoslovenskim zemljama pod turskom vladavinom* (Die Martalosen in den jugoslawischen Ländern unter der Türkenherrschaft, Sarajevo 1967) zu erwähnen, die sich der Angaben aus den Memoiren eines Janitscharen auch reichlich bedient. Zu den Legenden über die Gerechtigkeit des Sultans Murad II. im Abschluss des 46. Kapitels kann hinzugefügt werden, dass man ähnliche „Anekdoten" auch über Sultan Mehmed II. erzählte, der angeblich vierzehn Pagen den Bauch aufschlitzen liess um festzustellen, „welcher die Gurken eines armen Weibes gegessen" (Hammer, GOR II, 208).

Die Übersetzung der *Memoiren eines Janitscharen oder Türkische Chronik* macht einem breiteren Kreis von Historikern und Turkologen, die der slawischen

Sprachen nicht mächtig sind, auf hohem Niveau eine neue, nicht uninteressante Quelle zur Umbruchsepoche der Geschichte Südosteuropas zugänglich.

Vojtech Kopčan

Karpat, Kemal H. and Contributors: *Turkey's Foreign Policy in Transition (1950—1974).* Leiden, E. J. Brill 1975. 233 pp. Social, Economic and Political Studies of the Middle East. Vol. XVII.

The changes witnessed in Turkish policy over the past fifteen years, characterized mainly by a gradual relinquishing of a unilaterally pro-American course, an improvement of relations with the Soviet Union and the non-aligned nations, and a search for ways to carry out its own independent policy, are attracting the interest primarily of American politologues. Some years ago an outline of the foreign policy of the Turkish Republic was made by Ferenc A. Váli in his book *Bridge Across the Bosporus. The Foreign Policy of Turkey* (Baltimore and London 1971). Váli's book provides a historical review of Turkish foreign policy since the fall of the Ottoman empire up to the most recent problems in its foreign policy, such as the question of Cyprus, relationships between Turkey and the countries of the Near East, and of course its relations to the Soviet Union, the U.S.A. and NATO.

The interest of the book under review is somewhat different. As its compiler Kemal H. Karpat, a professor at the University of Wisconsin says in the introduction: "The purpose of this book is to study the foreign policy of Turkey after WW II, and especially after the 1960's, when the country began to improve its relations with the Soviet Union and the non-aligned bloc while maintaining its affiliation with NATO and other Western international organizations".

It is self-evident that these changes did not take place from one day to the next and that they are not the outcome of chance, but of a whole series of home and foreign events, and this not solely in the case of a unilateral orientation to the West, but likewise in its leaning away from this orientation. Kemal H. Karpat remarks in his introduction: "In order to place the Turkish foreign policy in 1960—1974 in a proper perspective, it is necessary to review first, the major events which produced Turkey's alignment with the West, second, the objectives of her foreign policy, and third, the manner in which Turkey understood and implements her pro-Western policy".

In keeping with the above aims, the book brings seven papers written in an essayist form, each dealing with one major area of Turkish foreign policy, such as its relations with the United States of America, NATO on the one hand, and the Soviet Union, the Middle East on the other, further, with the Cyprus dispute, the war in Cyprus and

foreign aid. The authors are all exclusively Turkish and American specialists. The book comprises the following papers: Mehmed Gönlübol: NATO and Turkey (pp. 13—50); George S. Harris: Turkey and the United States (pp. 51—72); Kemal H. Karpat: Turkish-Soviet Relations (pp. 73—107); Kemal H. Karpat: Turkish and Arab-Israeli Relations (pp. 108—134); Suat Bilge: The Cyprus Conflict and Turkey (pp. 135—185); Kemal H. Karpat: War on Cyprus: The Tragedy of Enosis (pp. 186—205); and Baran Tuncer: External Financing of the Turkish Economy and Its Foreign Policy Implications (pp. 206—224).

From the above list it ensues that analytical papers on bilateral relations and attitudes of Turkey to the Cyprus question predominate. However, it may be noted that extraordinary attention is devoted to the Cyprus question not only in the special studies (Suat Bilge and Kemal H. Karpat). This issue of Cyprus has in fact motivated in many respects the foreign-political decisions of the Turkish Republic including an improvement in its relations to the Soviet Union and a certain cooling off towards the West. Even though the book in the majority of cases, documents well known events (hence, there is no question of the results of studies of diplomatic documents or an investigation of the background to the various actions, which would in fact be hardly possible), yet there is an interesting endeavour to summarize and present an overall balance of Turkish policy in the various areas. However, the results are not always plausible, for instance, in evaluating Soviet foreign policy in which several of the authors are guilty of wrong statements and accuse the Soviet foreign policy of aims that are rather inventions on the part of bourgeois propaganda than supported facts.

In our view, the starting point ought to have been in facts which may be found, for instance, in the conclusion of Baran Tuncer's study: "...it should be reemphasized that the present state of heavy dependence on external resource transfers seriously limits Turkey's ability to pursue a more flexible foreign policy suited to her interest, and narrows her options" (p. 224). An analysis of the foreign policy in close connection with economic issues may be very fertile, as shown by Baran Tuncer's study.

The book is supplemented by a list of the highest Turkish representatives — Presidents, Prime Ministers and Foreign Ministers during 1938—1974 (p. 225), a Selected Bibliography on Turkish Foreign Policy with Emphasis on the Period 1950—1974 (pp. 226—231) and an Index (pp. 232—233).

Despite its drawbacks the book may be considered to be a successful summarization of problems in the Turkish foreign policy over the past few years.

Vojtech Kopčan

Okay, Orhan: *Batı Medeniyeti Karşısında Ahmed Midhat Efendi.* Atatürk Üniversitesi Yayınları NO : 429 (Ahmed Midhat Efendi in der Opposition zur abendländischen Kultur. Publikationen der Atatürk-Universität Nr. 429). Ankara, Baylan Matbaası 1975. 431 S.

Der Journalist, Literaturkritiker und Schriftsteller Ahmed Midhat Efendi zeichnete sich nicht durch seine ausserordentliche literarische Begabung, sondern durch seine Wissbegierde und Bemühung aus, die errungenen Kenntnisse mittels seiner Romane einem weiten Leserkreis weiterzugeben. Seine Romane sind mit Digressionen vom Hauptthema durchdrungen, in denen er den Leser mit Begriffen aus dem Bereich der Wissenschaft, Technik, Kultur u.ä. aufs genaueste bekanntmacht. Das Epigraph in der Einleitung zur rezensierten Publikation drückt Ahmed Midhat Efendis Lebens- und Schaffensprinzip treffend aus: alles zu lernen, auch wenn die errungenen Kenntnisse nicht vollständig sein sollten.

Der Titel, den Doz. Dr. Okay seiner Arbeit gab, erfasst die Beziehung Ahmed Midhat Efendis zur abendländischen Kultur nicht richtig. Dem Titel wäre zu entnehmen, dass Ahmed Midhat Efendis Einstellung zur abendländischen Zivilisation und Kultur ausschliesslich negativ gewesen war. Dass jedoch Ahmed Midhat Efendi zwei Gesichter der europäischen Zivilisation unterschieden hat, das beweist der Autor auf Grund einer Analyse von Ahmed Midhat Efendis Romanen, sowie seiner Aussprüche eindeutig. Ahmed Midhat Efendi betrachtet die beiden Kulturen, die des Morgenlandes und die des Abendlandes, nicht als zwei Monolithen ähnliche Ganzheiten, er bemüht sich vielmehr um die Erkenntnis derer einzelnen Elemente, um deren Einschätzung. Aus diesem Aspekt geht auch die Arbeit Orhan Okays hervor. Das hierin bearbeitete Material ist in Kapitel gerade auf Grund der von Ahmed Midhat Efendi unterschiedenen Elemente beider Kulturen unterteilt.

Drei Quellen ermöglichten Ahmed Midhat Efendi die Bekanntschaft mit der abendländischen Kultur und Zivilisation: das Lesen und Übersetzen der französischen Literatur, das Wohnviertel Beyoğlu in Istanbul mit seinen europäischen Bewohnern, vor allem jedoch seine Reisen durch Westeuropa. Technische Errungenschaften erwecken bei ihm grösstes Bewundern. Im Unterschied zu den Neuosmanen, die die Freiheit des Denkens und die politische Freiheit als eine Vorstufe des Fortschritts betrachten, sieht sie Ahmed Midhat Efendi im materiellen und kulturellen Bereich. Der Autor konfrontiert Ahmed Midhat Efendis Ansichten über diese Frage mit den Aussprüchen des verbissenen Gegners der Bewegung der Neuosmanen Sultan Abdülhamid II. und findet in ihnen eine überraschende Übereinstimmung. Es muss jedoch hinzugefügt werden, dass während Ahmed Midhat Efendi den technischen Fortschritt aus purem Enthusiasmus propagiert, war es des Sultans Absicht die Aufmerksamkeit des Volkes von solchen brennenden Forderungen, wie es die Verfassung, das Parlament, die Freiheit waren, abzulenken.

Der begeisterte Bewunderer der Errungenschaften der abendländischen Technik

Ahmed Midhat Efendi ist sich dessen bewusst, dass diese nur zu propagieren nicht ausreicht um in der Türkei zu ihrer breiten Anwendung zu gelangen. Dazu ist die Produktion und die mit ihr verbundene Entfaltung der Naturwissenschaften unumgänglich. In diesem Bereich sieht er keinerlei Grund für Zwistigkeiten zwischen Ost und West.

Zu Widerspruchserscheinungen kommt es bei Ahmed Midhat Efendi erst bei seinen Ansichten auf die Lebensweise. Er hebt die moralische Reinheit, den Edelmut, die Humanität der osmanischen Türken mit einem Pathos des romantischen Patriotismus hervor. Die osmanische Familie stellt er hoch über die europäische. Er hält die Teilung der Wohnhäuser in einen männlichen und einen weiblichen Teil für richtig. Den Frauen gesteht er jedoch das Recht auf ein auf gegenseitiger Liebe beruhendes Ehebündnis zu, was ohne freie Wahl des Partners ausgeschlossen ist. Auch Frauen hätten Recht auf Bildung. Da verbirgt sich jedoch ein Haken, auf den Okay nicht aufmerksam macht. Ahmed Midhat Efendi befürwortet die Erziehung der Kinder ausser Hauses, so wie dies im Westen üblich ist, nicht, da das beim Kind seiner Ansicht nach zu einer gefühlsmässigen Verarmung führe. Er betont gleichzeitig, es sei notwendig für die Erziehung der Kinder eine wissenschaftliche Persönlichkeit ins Haus zu gewinnen. Wie viele osmanische Familien konnten jedoch ihren Kindern eine so aufwendige Erziehung zuteil werden lassen?

Ahmed Midhat Efendi sieht im Osmanischen Reich keine Klassenunterschiede. Seiner Ansicht nach bestehe eine wirkliche Gleichheit nicht in Europa, wo trotz der Grossen Französischen Revolution der Adel und die grossen sozialen Unterschiede weiterbestehen, sondern gerade im Osmanischen Reich. Hier müssen wir wieder unser Erstaunen zum Ausdruck bringen, dass diese Ansicht vom Autor der Publikation kommentarlos gelassen wurde. Es ist kaum vorauszusetzen, dass Ahmed Midhat Efendi ein so verblendeter Idealist gewesen war. Nach seiner bitteren Erfahrung aus dem Jahre 1873, wo er für seine allzu freimütigen Ansichten nach Rhodos verbannt wurde (bis 1876), bemühte er sich jedoch um eine loyale Einstellung zum herrschenden Regime.

Idealistisch betrachtet Ahmed Midhat Efendi auch das Sklaventum, das im Osmanischen Reich auch am Ende des 19. Jahrhunderts noch überlebt. Er verteidigt das Patriarchalische, die menschliche Seite dieser Institution, die Kritik von seiten des Westens hält er für unbegründet.

Auch in Fragen der Religion und der Philosophie ist Ahmed Midhat Efendi ein eifriger Verteidiger der östlichen Systeme. Die Idee des Islams habe seiner Ansicht nach nie mit der Kultur und Wissenschaft gekämpft. Ebenso unkritisch hebt er die Toleranz der Osmanen zu den Minderheitsreligionen im Reich hervor, was zum Teil auch als seine Regimetreue betrachtet werden kann. Ahmed Midhat Efendis Polemik mit den abendländischen philosophischen Systemen hält Okay für sehr oberflächlich.

Ausser des technischen Fortschritts bewundert Ahmed Midhat Efendi auch das

europäische Bildungssystem. Sein Wunsch war es das osmanische Schulwesen zu modernisieren, der Jugend Schulbücher nach dem Vorbild der im Westen herausgegebenen zu geben. Die Zugänglichkeit der Bibliotheken, Museen, Galerien und der Literatur für das Volk betrachtet er als ein grosses Positivum der abendländischen Kultur. Die türkische Literatur sollte sich von den alten Traditionen losreissen und sich der europäischen Literatur annähern, im Unterschied zu dieser jedoch sollte ihre moralische Seite in den Vordergrund treten. Das Thema literarischer Werke solle das Volk und dessen soziale Realität, in keinem Falle jedoch die verbotene Liebe und Untreue sein.

Das letzte Kapitel der Publikation ist der Analyse der Gestalten aus Ahmed Midhat Efendis Romanen und Theaterstücken, die sich auf das gegebene Thema beziehen, gewidmet. Als negative Typen treten in Ahmed Midhat Efendis Werken oberflächliche Nachahmer des westlichen Lebensstils, blinde Bewunderer der Pariser Mode, die alles Einheimische verachten. Seine idealen Helden bewahren die nationalen Werte, eignen sich jedoch die positiven Errungenschaften der abendländischen Zivilisation und Kultur an.

Im Abschluss seiner Arbeit stellt Orhan Okay fest, dass Ahmed Midhat Efendi weder ein absoluter Bewunderer des Westens, noch ein fanatischer Verteidiger des Ostens gewesen sei. Die negativen Seiten beider Kulturen einer Kritik unterziehend, habe er sich um deren fruchtbare Synthese bemüht. Auch diese seine Absicht müsse beim Leser seiner Werke, die dem heutigen Leser in vielem als naiv erscheinen, in Betracht gezogen werden. Mit seinem ganzen Werk wollte doch Ahmed Midhat Efendi seine Leser belehren, ihnen mit Ratschlag beistehen und den Horizont ihrer Kenntnisse erweitern. Die Literaturgeschichte müsse Ahmed Midhat Efendis Persönlichkeit im Zusammenhang mit seiner Zeit betrachten.

In dem auf Bearbeitung von einem umfangreichen Material beruhenden Werk vermissten wir einen nachdrücklicheren Beitrag des Autors, seine Kommentare und eine Polemik mit den Ansichten Ahmed Midhat Efendis.

Xénia Celnarová

Ergün, Mehmet: *Hikâyemizde Bekir Yıldız Gerçeği* (Bekir Yıldız' Realität in unserer Erzählung). Istanbul, a Yayınları 1975. 147 S.

Wohl zu keinem anderen Schriftsteller nahm die türkische Kritik so gegensätzliche Standpunkte ein, wie gerade zu Bekir Yıldız. Schon seine ersten Sammlungen von Erzählungen vom Ende der sechziger Jahre wurden nicht nur zum Gegenstand eines grossen Interesses, sondern auch vieler Streitigkeiten über ihren künstlerischen Wert, über ihren Beitrag für die türkische Literatur.

Mehmet Ergüns Studie ist die erste monographische Arbeit über das Schaffen Bekir Yıldız'. Sie besteht aus drei Teilen. Der erste stellt eine kurze informative

Übersicht über die Entwicklung der türkischen Erzählung dar, in dem des Autors subjektiver Gesichtspunkt vorherrscht. Für den eigentlichen Begründer der Gattung der Erzählung in der türkischen Literatur hält Ergün erst Ömer Seyfettin. Eine neue Etappe in der Entwicklung der Erzählung beginne mit Sabahattin Ali und Sait Faik Abasıyanık. Während jedoch Ergün das erzählerische Schaffen Sabahattin Alis zu hoch einschätzt, sieht er in Sait Faik lediglich den Vorläufer der späteren existentialistisch gestimmten Richtung *bunalım* in der Literatur, seine Erzählungen bezeichnet er als eine Sammlung von Widersprüchen.

Die Entwicklung der türkischen Erzählung nach 1936 sieht er in zwei diametral auseinandergehenden Linien verlaufend. Die erste geht aus Sait Faik hervor und zielt zum Schaffen der Schriftsteller der *bunalım*-Richtung, im Gegensatz zu dieser steht die zweite, sozial-realistische Linie, die mit Sabahattin Ali in ihren Anfängen und mit Orhan Kemal als einem ihrer bedeutendsten Repräsentanten in den sozialistischen Realismus hinüberwächst.

Kurz charakterisiert der Autor die Grundrisse der Erzählung der *bunalım*-Richtung. Das Ende der sechziger Jahre nennt er die Krisenjahre der türkischen Erzählung. Zu diesem Zeitpunkt erscheint Bekir Yıldız als Erneuerer des erzählerischen Genres.

Den Kern der Monographie bildet deren zweiter Teil (S. 41—118), in dem der Autor das erzählerische Schaffen Bekir Yıldız' erforscht, an welches er hauptsächlich aus der ideologischen Position herantritt. Er bewertet Yıldız' Ansicht über die Funktion der Kunst, einmal so, wie sie dieser in Gesprächen mit Journalisten persönlich zum Ausdruck bringt, zum zweitenmal so, wie sich diese Ansicht in dessen Schaffen kristallisiert. In Bekir Yıldız' Erzählungen findet Ergün eine immer deutlicher sich offenbarende Tendenz die rückständige Gesellschaft aus ihrer Letargie zu wecken und sie zur Bewegung vorwärts zu zwingen, ein Bestreben den Leser zum Nachdenken über seine Erzählungen zu bewegen.

Bei der Erforschung von Yıldız' Werk vom Gesichtspunkt seiner Gestalten kommt Ergün zum Schluss, dass für die Erzählungen Bekir Yıldız' das Ausbleiben des Durchdringens in die innere Welt der Gestalten kennzeichnend sei. Ihre Charaktere kommen lediglich bei Handlungen und Taten zum Ausdruck. Zu den weiteren spezifischen Zügen der Erzählungen Yıldız' gehört eine auf Konfliktverwirrungen, auf Spannung und offenem Abschluss der Erzählungen bauende Komposition.

Mit der Analyse der sprachlichen Mittel hängt auch die Frage des Dialekts in den Werken Bekir Yıldız' eng zusammen. Ergün hält die Benützung der Mundart in Dialogen für funktionell begründet, der individuellen und sozialen Spezifizierung der Gestalten dienend.

In der Entwicklung der Erzählungen Bekir Yıldız' findet der Autor eine Kontinuität, er erwähnt nicht das Sich-Wiederholen, die Einseitigkeit, die die türkische Kritik seinen letzten Erzählungen vorwirft, im Gegenteil, Ergün spricht davon, dass der

Schriftsteller immer erfolgreicher jene Mängel im thematischen und kompositionellen Aufbau überwindet, die für seine Erstlingswerke kennzeichnend gewesen waren.

Im Abschluss des zweiten Teiles bewertet der Autor, wenn auch genug schematisch und verallgemeinernd, Bekir Yıldız' Beitrag für die türkische Erzählung. Diesen sieht er vor allem in der Förderung der Gattung der kurzen Erzählung und in der Einführung einer neuen Dimension in diese Gattung.

Im letzten Teil (S. 119—142) befasst sich Ergün mit dem gegenwärtigen Stand des erzählerischen Schaffens in der Türkei, er vergleicht die Werke von Bekir Yıldız mit Erzählungen einiger anderer zeitgenössischer türkischer Prosaiker. Die Behauptung, dass die Erzählungen Bekir Yıldız' alles übertroffen hätten, was bisher auf diesem Gebiet in der türkischen Literatur geschaffen wurde, ist jedoch zu kühn.

In des Autors Zutritt zur Problematik überwiegt der subjektive Faktor, seine eindeutig bewundernde Haltung Bekir Yıldız gegenüber führt zu einer ungenügend kritischen Bewertung von dessen Schaffen. Die aus so einer Bewertung sich ergebende Schlüsse können dann nicht objektiv sein, da sie nicht genügend untermauert sind. Als Ganzes betrachtet bringt jedoch die Arbeit Mehmet Ergüns, eines Studenten der Technischen Hochschule mehr, als von einem so jungen Autor zu erwarten wäre. Es ist vorauszusetzen, dass Mehmet Ergün in der Zukunft einen bedeutsamen Beitrag für die türkische Literaturwissenschaft leisten wird.

Xénia Celnarová

Yavuz, Kerim: *Der Islam in Werken moderner türkischer Schriftsteller. 1923—1950.* Freiburg im Breisgau, Klaus Schwarz Verlag 1974. 559 S.

Die Erfüllung der anspruchsvollen Aufgaben, die sich der junge türkische Staat mit seinem ersten Präsidenten Atatürk steckte, erforderte die Verwirklichung einer ganzen Reihe von Reformen. Zu den wichtigsten gehörten jene, die die Position des Islams schwächten und dadurch den Weg der Europäisierung und Modernisierung bahnten. Diesen Weg zu betreten, ohne das Volk vom rückständigen, jahrhundertelangen Diktat der Religionsdogmen zu befreien, war unmöglich.

Die umwälzenden Veränderungen, die in der türkischen Gesellschaft in den ersten Jahrzehnten nach der Gründung der Republik verliefen, mussten in der Literatur unvermeidbar seine Widerspiegelung erfahren. Die Literatur hat diesen Prozess nicht nur widerspiegelt, sondern ihn auch direkt beeinflusst. Es war sozusagen eine Pflicht und ein moralisches Kredo eines Schriftstellers zum Propagator und Popularisator der Reformen zu werden. Nicht alle Schriftsteller nahmen jedoch zu den Reformen eine eindeutig positive Einstellung ein. Oppositionelle Ansichten und Einwände kamen im Schaffen einiger Schriftsteller entweder offen oder nur in Andeutungen zum Ausdruck.

Die Dissertation Kerim Yavuz' befasst sich mit den Ansichten bedeutender Darsteller der beiden intellektuellen Hauptrichtungen in der neuen Türkei auf die Fragen des Islams, auf dessen Platz in der neuen Gesellschaft. Die modernistische Richtung ist von drei grossen Persönlichkeiten der türkischen Literatur vertreten: Yakup Kadri Karaosmanoğlu, Halide Edib Adıvar und Reşat Nuri Güntekin. Die konservativere nationalistische Richtung repräsentieren in ihren Werken Ziya Gökalp, Hamdullah Suphi Tanrıöver und Peyami Safa.

Die Arbeit ist in vier Teile geteilt: A. Einleitung (S. 1—80), B. Der Islam bei den Modernisten (S. 81—285), C. Der Islam bei den Nationalisten (S. 286—487), D. Schlussbetrachtungen (S. 488—497).

In der Einleitung charakterisiert Yavuz die geistigen Strömungen in der modernen türkischen Literatur mit einem Akzent auf den Modernismus und Nationalismus mit Hinblick auf den Gehalt der Arbeit. In seiner Arbeit geht es Yavuz darum, die religiösen Motive aus den Werken der ausgewählten Repräsentanten des Modernismus und Nationalismus nicht einfach zu abstrahieren, sondern in ihnen gleichzeitig das subjektive, mit des Autors inneren Überzeugung verknüpfte Moment von dessen objektivem Charakter zu unterscheiden.

Bevor der Autor zu einer Analyse der Werke der Repräsentanten des Modernismus herantritt, erläutert er im zweiten Teil der Arbeit die persönliche Überzeugung und die Beziehung zum Islam bei Yakup Kadri, Reşat Nuri und Halide Edib in verschiedenen Abschnitten ihres Lebens. Yavuz betont, dass sich die Repräsentanten des Modernismus in ihren Werken nicht mit der Religion als solcher, mit ihrem Grundsatz und Sinn befassen, sondern an die Religion als an ein Kardinalproblem herantreten, mit dem sich die Gesellschaft auf dem Wege zur Europäisierung auseinanderzusetzen hat.

K. Yavuz analysiert die Werke der Modernisten aus verschiedenen Gesichtspunkten, er verfolgt z.B. wie sich in ihnen die religiösen Ideen des Menschen von Heute widerspiegeln, ihre Polemik mit den Glaubensinhalten, die Frage des Generationsproblems u.ä. Auf Grund dieser Analyse zieht der Autor dann Schlüsse über die subjektive Überzeugung der Schriftsteller, über ihre innere Einstellung zu den Fragen der Religion und deren Einwirkung in der geistigen wie auch in der gesellschaftlichen Sphäre. Der Autor erläutert zumindest kurz die einzelnen Begriffe aus dem Bereich der Glaubenslehre, der Philosophie und Psychologie, auf die in der Analyse Nachdruck gelegt wird und konfrontiert deren offiziellen Wortlaut mit der Bedeutung, die sie in den Werken einzelner Schriftsteller auf sich nehmen. So z.B. bevor er die konservative und moderne Familienauffassung in den Werken der Modernisten behandelt, charakterisiert Yavuz die Institution der Ehe im Islam. Man kann jedoch mit der von einigen türkischen Autoren übernommenen Ansicht Yavuz' nicht übereinstimmen, dass die islamische Religion im Vergleich zur vorislamischen Ehe ein qualitativ neues Stadium einer wichtigen Entwicklung, was die Frauenrechte betrifft, darstellt, da gerade der Islam ein Werkzeug der Verskla-

vung der Frauen auch in der Urheimat der Türken, in Mittelasien war, wo die Frau in der vorislamischen Gesellschaft über eine verhältnismässig grosse Freiheit verfügte.

Die Analyse der Werke und der Ansichten der Repräsentanten des Nationalismus im dritten Teil der Publikation verläuft parallel zu der Analyse um zweiten Teil, der Autor tritt an sie von denselben Aspekten heran. Er befasst sich eingehend mit der Entwicklung des Denkens von Ziya Gökalp, konfrontiert dessen Anschauungen über religiöse Fragen mit der Lehre Durkheims, der von den abendländischen Denkern Gökalp am meisten beeinflusst hat. Yavuz stellt fest, dass Gökalp, in dessen Philosophie die Glaubenslehre des Islams vom türkischen Volk untrennbar ist, gerade unter Durkheims Einfluss zum Laizismus neigt, und die Religion als individuelle Gewissenssache und nicht als eine offizielle, vom Staat unterstützte Institution auffasst.

Yavuz kommt zum Schluss, „dass im Denken der Nationalisten die Religion einen wichtigen Platz einnimmt und der Glaube bei ihnen eine Rolle spielt" (S. 318). Sie sind jedoch überzeugt von der Notwendigkeit die Religion auf eine neue Grundlage zu stellen, die sie zum Urislam näher brächte, sie vom Fanatismus und Ignoranz zu befreien, damit sie kein Hemmschuh des Fortschritts werde, sondern damit sie diesen Fortschritt vor allem im geistigen und moralischen Bereich passend in die richtige Bahn lenken möge. Im Zutritt zu den Problemen der Ethik findet Yavuz bei den Repräsentanten des Nationalismus einen diametralen Unterschied. Während Gökalp zur Moral vom soziologischen Gesichtspunkt herantritt, sie für einen Bestandteil der Kultur, und zwar den wichtigsten nach der Religion, hält, interessiert sich Peyami Safa für die psychische Struktur und das geistige Leben der Menschen seiner Epoche. Bei Hamdullah Suphi hingegen widerspiegelt sich das Problem der Moral nur oberflächlich. Das entspricht dem gänzlichen Zutritt dieser Autoren zur Problematik, die sie in ihren Werken behandeln. Bei Gökalp überwiegt der soziologisch-philosophische, bei Peyami Safa der psychologisch-philosophisch-pädagogische, bei Hamdullah Suphi der praktisch-politische Aspekt. Aus diesen Aspekten geht dann bei ihnen auch die Kritik der Einseitigkeit der herrschenden Ideologie hervor. Die Bedeutung der Religion finden sie in ihrer Wirkung als sanierender Faktor in einer Welt, in der das materielle Prinzip über das moralische Prinzip immer ausdrucksvoller Oberhand zu gewinnen beginnt.

In der Ansicht auf die osmanischen Traditionen sind Gökalp und Safa einheitlich. Sie sind sich dessen bewusst, dass eine erneuerte Nation diese Traditionen nicht vorbehaltlos als eigen annehmen könne. Beide sehen den Ausweg in der Übernahme des japanischen Models der Verwestlichung, in dem sich die abendländische Zivilisation günstig mit der eigenen nationalen Kultur vereinte, wobei die Religion erhalten blieb.

Im abschliessenden Teil der Arbeit fasst Kerim Yavuz die Erkenntnisse zu denen er in seiner Arbeit gelangte, zusammen. Er kommt zum Schluss, dass die Modernisten zu keiner klaren Antwort auf die Frage nach der Bedeutung und dem Ziel der

Religion gelangten. Ihr Standpunkt zu diesem Problem käme am klarsten bei der Kritik der Traditionen des Islams zum Ausdruck, Yavuz jedoch hält sie für eine einseitige, die Verdienste dieser Traditionen für die Entfaltung der türkischen Kultur nicht voll würdigende Kritik. Es ist noch hinzuzufügen, dass schon beim Herantreten an die bearbeitete Problematik die positive Einstellung des Autors zur nationalistischen Richtung zum Vorschein gekommen war. Das widerspiegelt sich nicht nur in der konsequenteren und eingeweihteren Auslegung der Gedanken und Ansichten der Repräsentanten des Nationalismus, sondern vor allem in der Bewertung dieser Ansichten, in der Bevorzugung der Verdienste der Nationalisten für die Entwicklung des zeitgenössischen Denkens in der Türkei vor dem Beitrag der Modernisten. Yavuz' Sympathien kommen insbesondere in seiner Beziehung zu Peyami Safa zum Ausdruck, den er als „einen der grössten und talentiertesten Schriftsteller, Literaten, Denker und Journalisten der republikanischen Zeit" (S. 295) charakterisiert. Der Beitrag des literarischen Werkes Peyami Safa's (wir denken dabei an seine psychologischen Romane, die er unter seinem eigenen Namen veröffentlichte und nicht an die, unter dem Pseudonym Bedi Server herausgegebene Boulevardliteratur) für die moderne türkische Literatur ist von grosser Bedeutung, seine Romane jedoch für das Beste zu halten, was in der zeitgenössischen türkischen Literatur erreicht wurde, ist eine gewissermassen übertriebene Einschätzung. Yavuz hält die Anschauungen Peyami Safa's für eine fruchtbare Synthese des Alten und des Neuen, der Liebe zur Tradition mit der Zuwendung zur Modernisierung.

Die Arbeit Kerim Yavuz' stellt einen seriösen Zutritt zur gegebenen Problematik dar, der auf einer guten Kenntnis des Quellenmaterials beruht, zu welchem nicht nur die Werke der behandelten Autoren, sondern auch eine umfangreiche literaturgeschichtliche, literaturtheoretische, philosophische, psychologische und soziologische Literatur, sowie Abhandlungen über die Religion gehören.

Ausser einer inkonsequent kritischen Einstellung zu den Repräsentanten der nationalistischen Richtung und der unvollkommenen Würdigung der Bedeutung der Modernisten, wäre der Arbeit noch auch eine Weitschweifigkeit, die durch übermässiges Wiederholen der angeführten Erkenntnisse, durch häufige Rekapitulierungen verursacht wurde, vorzuwerfen. Als Ganzes kann jedoch die Publikation Kerim Yavuz' als bedeutender Beitrag zur Erkenntnis der gedanklichen und ideologischen Entwicklung in der Türkei in der ersten Hälfte unseres Jahrhunderts gewertet werden.

Xénia Celnarová

Al'kajeva, L. O.: *Iz istorii tureckogo romana. 20—50-je gody XX v.* (Aus der Geschichte des türkischen Romans. 20-er bis 50-er Jahre des 20. Jahrhunderts). Moskau, Nauka 1975. 277 S.

Die Publikation von L. O. Al'kajeva über die wichtigsten und symptomatischen Erscheinungen der Entwicklung der Romangattung in der türkischen Literatur von der Entstehung der Republik bis zum Ende der fünfziger Jahre knüpft an ihr Buch Sujets und Helden im türkischen Roman am Ende des 19. und zu Beginn des 20. Jahrhunderts (*Sjužety i geroji v tureckom romane konca XIX — načala XX veka,* Moskau 1967) an.

Im einleitenden Kapitel (S. 4—30) charakterisiert die Autorin die politisch-ökonomische und kulturelle Entwicklung in der Türkei der 20-er bis 50-er Jahre. Bei der literarischen Entwicklung der 30-er Jahre weist sie auf eine Verschiebung im Genresystem der türkischen Literatur und auf die Änderung der Beziehung der Intelligenz zu den Bauernmassen hin. Sie unterscheidet im kulturellen Geschehen dieses Zeitraums vier Flügel — das konservative, das liberale, das kemalistische und das volksdemokratische. Als Repräsentanten des letzteren nennt sie Sabahattin Ali, Nazım Hikmet, Sadri Ertem und Reşat Enis. Die literarischen Erscheinungen in der Türkei am Ende der vierziger und in den fünfziger Jahren betrachtet sie in einer analogen Beziehung zum Geschehen im Westen, wobei sie den grossen Einfluss des Existentialismus auf einige Schriftsteller betont.

Das folgende Kapitel, betitelt Der Intelligenzler und das Volk (Inteligent i narod, S. 31—52), dokumentiert auf Grund einiger Romane von Yakup Kadri Karaosmanoğlu die Entwicklung der Ansichten, der Ideen und der Psychik der bourgeoisen Intelligenz jener Zeit. Der gründlichsten Analyse unterzieht Al'kajeva Kadris Roman Sodom und Gomorrha (*Sodom ve Gomore,* 1928) als die typischeste Probe von Kadris Stil.

Al'kajeva folgt den Zerfall der humanistischen Ideale in der bourgeoisen türkischen Gesellschaft als Leitmotiv des Romanschaffens Reşat Nuri Güntekins im Kapitel Die verlorenen Illusionen des „kleinen Mannes" (Utračennyje iljuzii „malen'kogo čeloveka", S. 53—61).

Das mit Volk — der Held der Geschichte (Narod — geroj istorii, S. 62—70) betitelte Kapitel ist der Analyse des ersten Versuchs um einen sozial-historischen realistischen Roman in der türkischen Literatur, dem Werk Sadri Ertems Wenn die Spinnräder stehen bleiben (*Çıkrıklar Durunca,* 1931) gewidmet.

Mit Nazım Hikmet als Prosaiker macht die Verfasserin den Leser im Kapitel Der erste proletarische Roman (*Pervyj proletarskij roman,* S. 71—94) bekannt. Sie gleicht die Komposition des Romans von Nazım Hikmet Das Blut redet nicht (*Kan Konuşmaz,* 1963) an die Technik des Films an, seine ideologisch-thematische Hauptlinie sieht sie in der Darstellung der seelischen Evolution und im Erkennen

des Klassenbewusstseins der Werktätigen. Eine besondere Aufmerksamkeit widmet die Autorin der Beziehung zwischen dem Roman und Hikmets Poesie, sowie auch dem Vergleich mit dem Roman Die Mutter von Maxim Gorki.

Mit dem Schaffen des bedeutenden Repräsentanten der türkischen Literatur der zweiten Hälfte der dreissiger und der ersten Hälfte der vierziger Jahre, Sabahattin Ali befasst sich Al'kajeva im Kapitel Die Festigung des Wertes der menschlichen Persönlichkeit und der Protest gegen die soziale Ungerechtigkeit (Utverždenije cennosti čelovečeskoj ličnosti i protest protiv socialnoj nespravedlivosti, S. 95—132). In der Enthüllung der Determiniertheit des Charakters und der Taten des Helden durch soziale und politische Umstände und im faktischen Aufruf zu einem radikalen Wechsel der bestehenden Wirklichkeit sieht Al'kajeva das Neuerertum Sabahattin Alis. Der Enthüllung der Beziehung des Menschen und der Umwelt, sowie derer Wechselwirkung widmeten schon vor Sabahattin Ali die Schriftsteller, die die Methode des kritischen Realismus in der türkischen Literatur entfalteten eine grosse Aufmerksamkeit. Im Gegensatz zu diesen können wir Mehmet Rauf nennen, der die Charaktere seiner Gestalten nicht aus der sie umgebenden Realität, sondern aus deren angeborenen Dispositionen ableitet. Auch mit der Behauptung der Verfasserin, Sabahattin Ali wäre in seinem Schaffen in vielem der Methode des sozialistischen Realismus nähergekommen, kann man nicht vorbehaltlos übereinstimmen. Weder in seinen, noch in den Werken seiner Nachfolger können ausgeprägte und deutliche Aspekte, die eine Zielsetzung in Richtung sozialistischer Realismus andeuten würde, vorgefunden werden. Einen weiteren Beitrag Sabahattin Alis für die türkische Literatur sieht Al'kajeva in dessen Nützung des natürlichen Milieus, des Landschaftsbildes als Werkzeug der sozialen und philosophischen Charakteristik (es ist nicht klar, was die Autorin unter „philosophischer Charakteristik" meint) der handelnden Personen. Al'kajeva vergleicht die ideologische Zielsetzung des Schaffens von Reşat Nuri und Sabahattin Ali, wobei sie beim Letzteren viel Gemeinsames mit dem aktiven Humanismus der russischen Literatur findet. Bemerkenswert ist jener Teil des Kapitels, wo die Autorin die Beziehung Sabahattin Alis zu Turgenew folgt, vor allem zu dessen Novelle *Klara Milič*, deren Einfluss im Roman Sabahattin Alis Die Madonna im Pelzmantel (*Kürk Mantolu Madonna*, 1943) deutlich zum Ausdruck kommt.

Der Analyse des satirischen Romans von Reşat Nuri Die Mühle (*Değirmen*, 1944) ist das, mit Der Roman über die bürokratische „Mühle" des türkischen Lebens (*Roman o bjurokratičeskoj „melnice" tureckoj žizni*, S. 133—148) treffend betiteltes Kapitel gewidmet.

Als das Fortsetzen der besten Traditionen des kritischen Realismus in der Türkei hält Al'kajeva die Dilogie Yakup Kadris Das Panorama (*Panorama*, 1953—1954) im Kapitel Das Panorama des türkischen Lebens mit den Augen eines Kemalisten gesehen (*Panorama tureckoj žizni glazami kemalista*, S. 149—167). Hierin identifi-

ziert sich die Autorin mit der Einschätzung der Dilogie des türkischen Kritikers Cevdet Perin in seinem Vorwort zur zweiten Ausgabe.

Dem historischen Roman Kemal Tahirs Die Menschen der gefangenen Stadt (*Esir Şehrin İnsanları*, 1956), der sein Thema aus der Zeit der Okkupation Istanbuls durch die Alliierten schöpft und dem Roman Samim Kocagöz' Die Rückkehr der Zehntausend (*Onbinlerin Dönüşü*, 1957), der eine fünfzehnjährige Zeitspanne aus dem Leben einer Gruppe junger Istanbuler Intellektueller umfasst, ist das Kapitel Blick auf die Vergangenheit (*Vzgljad na prošloje*, S. 168) gewidmet.

Den Bauernroman der fünfziger Jahre (Kresťjanskij roman 50-ch godov, S. 187—217) vertreten in L. O. Al'kajevas Buch der Roman Yaşar Kemals Der magere Memed (*İnce Memed*, 1955) und die Dilogie Fakir Baykurts Die Rache der Schlangen, Das Leben Irazcas (*Yılanların Öcü*, 1958, *Irazcanın Dirliği*, 1961). Yaşar Kemals Roman charakterisiert die Autorin als eine einzigartige Erscheinung nicht nur in der Entwicklung der türkischen, sondern auch der Weltliteratur. Bei der Analyse der Romankomposition bediente sich Al'kajeva der Terminologie der Technik, indem sie den kompositionellen Aufbau des Werkes an eine Mehrstufenrakete angleicht. Besondere Aufmerksamkeit widmet sie der Funktion der Vielstimmigkeit im Roman Der magere Memed. Bereits im, dem historischen Roman Sadri Ertems gewidmeten Kapitel hebt Al'kajeva den Beitrag Sadri Ertems bei der Einführung der Massenszenen und der Vielstimmigkeit in die türkische Literatur (S. 66) hervor. Das optimistische Pathos des Romans Der arme Memed gleicht sie an die Stimmung der Romane Purpurrote Segel von Alexander Grin und Graf Monte Christo von Alexander Dumas an. Auch wenn ein ähnlicher Zutritt zu den Problemen des Dorfes Yaşar Kemals Roman und Fakir Baykurts Dilogie einander näherbringen, nicht vom Standpunkt des aufklärerischen Intelligenzlers, sondern vom vertrauten Standpunkt eines Menschen, der seiner Abstammung nach dem Dorfmilieu verhaftet ist, unterscheiden sich beide Werke durch den Themenaufbau, sowie die Art der künstlerischen Gestaltung der Realität. Yaşar Kemals Roman hält die Autorin für künstlerisch und ideologisch reifer.

Einige neue Erscheinungen im türkischen Roman der fünfziger Jahre (*Nekotoryje novyje javlenija v tureckom romane 50-ch godov*, S. 218—269) ist der Titel des letzten Kapitels des Buches von L. O. Al'kajeva. Die Autorin folgt hier dem Einfluss der existentialistischen Philosophie auf das spätere Schaffen Sait Faik Abasıyanıks und das Werk Oktay Akbals. Zur Beziehung Schriftsteller — Existentialismus tritt jedoch die Autorin lediglich in Andeutungen heran, woraus sich dann genug unklare und unausgeprägte Schlüsse ergeben. Al'kajeva gleicht die Persönlichkeit Sait Faiks an den iranischen Prosaiker Sādek Hedājat an. Sie findet auch eine Ähnlichkeit zwischen der Komposition und der Stilistik bei Sait Faik und Marcel Proust. Den Roman Oktay Akbals Unsere Schuld ist es, dass wir Menschen sind (*Suçumuz İnsan Olmak*, 1957) bewertend, konstatiert die Autorin im Abschluss des Kapitels, dass Akbals Werk ein noch grausameres und rauheres Experiment mit den Helden ist, als

Camus' Der Fremde, da Akbals Gestalten es nicht vermochten die Grenze der Entfremdung zu überschreiten, sondern sich in das heideggersche entpersönlichte „man" verwandelten.

Die Publikation wird von einem Verzeichnis der zitierten Literatur (S. 270—272), einem Index der Autoren (S. 273—274) und einem Index der Literaturtitel (S. 275—277) ergänzt.

Den Beitrag des Werkes von L. O. Al'kajeva sehen wir in ihrer Bemühung zur Problematik des türkischen Romans auch vom komparativen Gesichtspunkt heranzutreten. Die Autorin gibt sich mit den herkömmlichen Vergleichen in den Relationen der türkischen Literatur nicht zufrieden, sondern findet hier neue Beziehungen und Zusammenhänge, und konfrontiert gleichzeitig den türkischen Roman auch mit einigen Erscheinungen der russischen, französischen und in einem Fall auch der iranischen Literatur. Der Publikation wären einige von Fakten mangelhaft untermauerte und subjektive Schlussfolgerungen, sowie eine Inkonsequenz bei der Angabe der Titel der literarischen Werke vorzuwerfen (manchmal wird der Originaltitel des Werkes angeführt, dessen Übersetzung ins Russische und das Jahr der Herausgabe, manchmal wieder nur die russische Übersetzung und ohne Zeitangabe).

Xénia Celnarová

Türk Dili. Türk Öykücülüğü Özel Sayısı. Sayı 286, Temmuz 1975 (Die türkische Sprache. Sondernummer dem türkischen erzählerischen Schaffen gewidmet. Nummer 286; Juli 1975). Ankara 1975. 410 S.

Die gänzlich dem türkischen erzählerischen Schaffen gewidmete 286. Nummer der Zeitschrift Die türkische Sprache (Türk Dili) ist der Reihenfolge nach bereits das achtzehnte Sonderheft des Presseorgans der Türkischen Sprachwissenschaftlichen Gesellschaft (Türk Dil Kurumu). Im Jahre 1964 erschien eine dem Roman gewidmete Sondernummer,[1] die sich nicht nur mit der Problematik des türkischen Romans, sondern auch mit dem Roman als Prosagattung im allgemeinen befasste. Die Wahl, die die Redaktion der Zeitschrift Die Türkische Sprache im Falle der Sondernummer zur türkischen Erzählung getroffen hat, scheint eine glücklichere gewesen zu sein. Im Gegensatz zum weitumfassenden Roman-Sonderheft, entschloss sich die Redaktion diesmal für einen detaillierteren Zutritt. Die gegebene Nummer umfasst lediglich jene Erzähler, deren Schaffen bereits abgeschlossen ist. Den Erzählungen lebender Autoren und der Erzählung der Weltliteratur sollen einige der folgenden Sonderhefte der Zeitschrift gewidmet werden.

Das Heft besteht aus sieben Abschnitten. Der einleitende Artikel aus der Feder

[1] *Türk Dili. Roman Özel Sayısı.* Sayı 154, Temmuz 1964 (Die Türkische Sprache. Sondernummer dem Roman gewidmet. Nr. 154, Juli 1964). Ankara 1964. 808 S.

des jungen Literaturkritikers und Schriftstellers Selim İleri über die allgemeinen Kennzeichen der türkischen Erzählung (Türk Öykücülüğünün Genel Çizgileri, S. 2—29) bildet den Inhalt des ersten Abschnitts. İleri verfolgt die Entwicklung der türkischen Erzählung von ihren Anfängen in der zweiten Hälfte des vorigen Jahrhunderts bis zur Gegenwart. Er teilt das türkische erzählerische Schaffen in drei Hauptzeiträume: den Zeitraum vor der Entstehung der Türkischen Republik, den zweiten Zeitraum nennt er den Zeitraum der Republik, in den letzten reiht er das Schaffen der jüngsten Schriftsteller-Generation ein, die gegen das Ende der sechziger Jahre und zu Beginn der siebziger Jahre zu publizieren begonnen hat.

Die grössten Verdienste um die Entwicklung der Gattung der Erzählung im Zeitraum vor der Entstehung der Republik schreibt er İleri Nabizade Nâzim, Halit Ziya Uşaklıgil und Memduh Şevket Esendal zu. Nabizade Nâzims Beitrag sieht er darin, dass er als erster das Thema des Lebens anatolischer Bauern in die türkische Literatur eingeführt hat, und zwar in der Erzählung *Kara Bibik*, die gleichzeitig den ersten erfolgreichen türkischen Versuch um einen realistischen Zutritt darstellte. Fälschlicherweise bezeichnet er jedoch Nabizade Nâzim als Angehörigen der Literatur des Tanzimat. Nabizade Nâzim gehört in die Epoche Servet-i Fünun, auch wenn er mit seinem Schaffen in diese literarische Strömung nicht direkt gehörte.

İleri hat das erzählerische Schaffen Hüseyin Rahmi Gürpınars nicht voll gewürdigt. Die Themen, die Gürpinar dem Leben der oberen Kreise der Istanbuler Gesellschaft entnahm, hält er für eine Flucht vor der Realität. Die Tatsache, dass der Schriftsteller sich diesen Themen kritisch näherte, dass, indem Gürpınar die alten Traditionen, Vorurteile, die Oberflächlichkeit im Leben dieser Gesellschaftsschichten verhöhnt, er gleichzeitig gegen sie ankämpft und sich um ihre Ausmerzung bemüht, hat İleri nicht wahrgenommen. Auch dem Verdienst Ömer Seyfettins um die türkische Erzählung widmet İleri nicht so eine Aufmerksamkeit, wie er sie wegen seiner Bedeutung verdient hätte.

Als Meister der türkischen Erzählung der zweiten Entwicklungsphase bezeichnet İleri treffend Sabahattin Ali, Sait Faik Abasıyanık un Orhan Kemal. Ihren Beitrag sieht er darin, dass sie in den Mittelpunkt ihrer Erzählungen den einfachen Menschen gestellt und eine innige Beziehung zu ihm eingenommen hatten.

Von den Schriftstellern, die ihr Sujet aus dem Dorfmilieu schöpfen, schätzt İleri am meisten M. Başaran. Fakir Baykurt, den er als den ausdrucksvollsten Repräsentanten dieser Richtung kennzeichnet, wirft er vor, dass er nach 1965 den modischen Richtungen unterlegen ist, wodurch seine Erzählungen die ursprüngliche unaufdringliche Überzeugungskraft einbüssten.

Für die wichtigste Persönlichkeit des jüngsten erzählerischen Schaffens hält der Autor die Schriftstellerin Fürüzan wegen ihrer Art das Leben der Bewohner der grossstädtischen Armenviertel darzustellen. Laut İleri rufen ihre Erzählungen nicht nur die Anteilnahme des Lesers für ihre Gestalten hervor, sie rütteln in ihm gleichzeitig ein Gefühl von Unzufriedenheit mit den herrschenden Verhältnissen wach.

Die Erzählungen der gegenwärtig wohl meist diskutierten Gestalt der türkischen Literatur, Bekir Yıldız, hält der Autor für keinen Beitrag für die zeitgenössische türkische Prosa. Er identifiziert sich mit der Ansicht einiger Kritiker, dass die späteren Erzählungen Bekir Yıldız' zur einfachen Reproduktion seines früheren Schaffens geworden sind. Mit der Ansicht des Autors, dass der Schriftsteller die Wurzeln der Sitten und Gewohnheiten, die ein häufiges Hauptmotiv der Erzählungen von Bekir Yıldız sind, lediglich in Abwegen und Irrtümern der Menschen sieht, kann man nicht übereinstimmen. Yıldız' Erzählungen reden eine deutliche Sprache darüber, dass der Ursprung der furchtbaren, unmenschlichen ungeschriebenen Gesetze in den in Südostanatolien herrschenden Verhältnissen zu suchen ist, welche sich von jenen des feudalen Mittelalters nicht allzusehr unterscheiden.

Es ist schwer auf knapp dreissig Seiten alle Eigentümlichkeiten und Kennzeichen der türkischen Erzählung im Verlauf ihrer hundertjährigen Entwicklung zu erfassen. Der Artikel Selim İleris bleibt daher eher eine informative Übersicht der Schöpfer dieses Genres in der türkischen Literatur.

Dem erzählerischen Schaffen von neun bedeutenden, heute bereits verstorbenen türkischen Schriftstellern ist der zweite Abschnitt (Dokuz Öykücü, S. 30—114) gewidmet. Er enthält Abrisse, Artikel und Studien über Hüseyin Rahmi Gürpınar, Memduh Şevket Esendal, Ömer Seyfettin, Halit Ziya Uşaklıgil, Refik Halit Karay, Reşat Nuri Güntekin, Sabahattin Ali, Sait Faik Abasıyanık und Orhan Kemal. Unter den Autoren der Artikel finden wir auch die Namen solcher renommierter Literaturkritiker und -historiker wie Rauf Mutluay, Hikmet Dizdaroğlu und Muzaffer Uyguner. Der Raummangel erlaubt uns keine Stellungnahme zu den einzelnen Beiträgen, die auf verschiedentlichem Niveau sind.

Der dritte Abschnitt (En Beğendikleri, S. 115—122) enthält eine Umfrage, in der von acht Dichtern und Literaturhistorikern die Frage der Redaktion danach, wer der beliebteste Erzähler und warum sei, beantwortet wird. Von diesen wurden folgende Schriftsteller bezeichnet: Bekir Yıldız, Halit Ziya Uşaklıgil, Oktay Akbal, Fakir Baykurt und Sait Faik Abasıyanık.

Im vierten Abteil (S. 123—155) antworten zeitgenössische Autoren von Erzählungen aus der älteren und jüngeren Generation auf die Frage, was sie sich unter der Erzählung vorstellen. Die Schriftsteller äussern hier ihre Ansicht über das Wesen dieser Gattung, über den Inhalt und die Form der Erzählung, über deren Platz in der türkischen Literatur.

Die fünfte Abschnitt enthält eine Bibliographie aller bislang in der Türkei publizierten Bücher von Erzählungen. Die Liste registriert alle Ausgaben seit dem Jahre 1867 bis zu den ersten Monaten 1975 (Öykü Kitapları, S. 156—165).

Der sechste, umfangreichste Abschnitt (Öyküler, S. 166—384) stellt eine Auswahl von Erzählungen der bedeutendsten Repräsentanten dieser Gattung in der türkischen Literatur, dessen Schaffen bereits abgeschlossen ist, dar.

Der abschliessende, siebente Abschnitt (Sözlük, S. 285—396) enthält ein Wörter-

buch arabischer und persischer Wörter und Wortverbindungen, die den Lesern aus den Reihen der jüngeren Generation als Behelf dienen soll. Der Autor dieses Abschnitts ist Ali Püsküllüoğlu.

Das rezensierte Sonderheft der Zeitschrift *Die Türkische Sprache* stellt einen wertvollen Beitrag zur Erkenntnis der türkischen Erzählung für die türkischen Leser dar und kann auch ausländischen Turkologen beim Studium der türkischen Literatur als wertvoller Behelf dienen.

Xénia Celnarová

Altındal, Aytunç: *Türkiye'de kadın* (Woman in Turkey). Istanbul, Birlik Yayınları 1975. 287 pp.

In countries where Islam has maintained its positions of influence, the 'female question' continues to be one of the burning issues of the day. Leaving aside the Soviet Federated republics where this problem has been practically resolved, we find Turkey to have made the greatest stride forward among Islamic countries as regards women's emancipation. A whole series of reforms initiated by Atatürk's government after the setting up of the republic, have contributed to an improvement of women's position. This improvement proved far more apparent among womenfolks residing in towns and cities, particularly among those from the middle and the upper social strata. The situation of their lowlier country sisters, especially those from the central and eastern regions of Anatolia has not altered to any appreciable measure from what it had been prior to the introduction of the reforms.

Several publications have appeared in recent years in Turkey dealing with the female question. Aytunç Altındal, who has published his book Woman in Turkey on the 40th anniversary of the original proclamation of women's rights in Turkey and on the occasion of the Women's International Year, had the intention to revalue this question — still actual — from a different angle as evident from the subtitle of the book *Marksist bir yaklaşım* (A Marxist Approach). Unfortunately, the author failed to make good this intention of his. True, making use of statistical analyses, he describes the negative aspects of the female question in present-day Turkey, nevertheless, he has failed to make even a partial assessment of their socio-political causes. For the work to be a Marxist study, it is not enough to quote passages from Lenin's writtings. What is of importance is the author's approach to the topic and here Altındal stopped half-way. For instance, he sees the causes of prostitution in today's Turkey in the harmful effects of bad films, in a religious pressure exerted by Orthodox Muslim families on their daughters who, in the face of various commands, bans and prohibitions, run away to cities, where in their youthful and inexperienced fancy, they hope to achieve quick wealth and luxury. At the same time the author remarks that among the prostitutes, whose numbers increase every year, there is

hardly any woman from the wealthier strata. Had Altındal pursued this line of thought, he might have come to the real social causes of prostitution in Turkey.

It is to be regretted that despite its very promising title, A. Altındal's book has remained but an informative overview of certain characteristic traits in the life of women on the territory of Minor Asia from the times of the Hittites up to modern times.

Xénia Celnarová

Bènedict, Peter: *Ula, an Anatolian Town.* Leiden, E. J. Brill 1974. 280 pp.

The breakdown of the traditional social and economic structures in present-day Turkey has considerably affected mainly the towns *(kasaba).* A survey of this phenomenon is in fact only in its beginnings.

Peter Benedict has picked the little town of Ula in western Anatolia, once a significant economic, political and cultural centre of the region as the subject of his study. In extent and number of inhabitants, Ula is the smallest of the nine counties making up the Muğla province. In view of the growing migratory trends of the population from country to cities, the Muğla province, with its low population density (25 persons per sq. km compared to the all-Turkey mean of 41 pers. per sq. km) provides an attractive subject of a sociological investigation. As a matter of fact, Ula has the highest migration percentage in the entire province.

P. Benedict's present work had been preceded by a careful study of archival sources and statistics, a thorough field survey, all this being reinforced by the author's solid theoretical knowledge and experience from his previous publication activity.[1] The book has to meet three objectives: on the basis of a survey of various factors in the life of urban communities in a historical context and in the present, it should contribute to the understanding of processes of social and economic change occurring in Turkey; to contribute to a stabilization of the meaning of such terms as "town" and "region", and help to unify the interpretation of these terms within various areas of science; to contribute to a specific investigation into the nature of a Muslim urban settlement. The author insists that his study "is not solely a study of contemporary physical features and social forms. It is largely a narrative of a community's efforts both to respond to and act aggressively upon social and economic changes which gradually have been eroding the importance of the town,

[1] *Türkiyede Küçük Kasabaların Etüdüne İlişkin Bazı Sorunlar* (Some Problems Relating to a Study of Small Towns in Turkey). In: Tümertekin, E.—Mansur, F.—Benedict, P. (Eds): *Türkiye: Coğrafi ve Sosyal Araştırmalar* (Turkey: Geographical and Social Surveys). Çağlayan Matbaası, Istanbul 1971; *Itinerat Marketing: An Alternative Strategy.* In: *Social Exchange and Interaction.* University of Michigan. Anthropological Papers, No. 46. Ann Arbor: University of Michigan 1972; *Changing Economic Functions of a Small Anatolian Town,* 1947—1967. Review of the Geographical Institute of the University of Istanbul. International Edition, 1973, No. 14, pp. 43—96.

whether it be defined as a social entity or as a node within a regional network of interaction" (p. 6).

The geographical character of the Muğla province, its physical features, settlement pattern, administrative division and the nature of its contemporary economic and social conditions make up the contents of the first chapter. Muğla does not belong among the economically important provinces. This is due to its preponderant agricultural character and its remoteness from large industrial and business centres.

Chapter Two describes Ula's structural patterning as an urban community. This is a typical traditional, conservatively closed town *(kapalı kasaba)*. Its 4600 inhabitants have lived until recently according to ancient traditions, in strictly enclosed urban wards resembling enclaves, differentiated according to social groupings. The relaxation in the traditional way of life has been immensely influenced by a small number of non-local civil servants who came to the town in 1954, when Ula was granted the statute of a county town. Two thousand of the town's population can neither read nor write — the ratio of analphabetism within the county amounts up to three-fifths of the population. The author devotes a special chapter to malaria, which had been a slowing-down factor in the settlement and exploitation of the fertile plains in the surroundings of Ula. The draining of marshes and extensive projects carried out to eradicate malaria in the second half of the twenties and the first half of the thirties have had a favourable effect on population accretion in the county. The settlement of the lowlands was also helped by the nomads' transition to a fixed way of life.

In the introduction to Chapter Three, devoted to a study of the social distribution of the population of Ula, the author remarks that it shows evident similarities in its class structure as are characteritic for industrial cities and towns. He makes a comparison between the Iranian town of Kirman with Ula and points out numerous concordant traits in the scheme of a social model of the two towns. In his view, there are today four different social groups of citizens in Ula : landlords *(ağas)*, merchants *(tüccars)*, civil servants *(memurs)* and craftsmen *(esnafs)*. P. Benedict does not classify the town's paupers, by which he designates the unqualified workers, as a social group, but only as an economic condition, even though elsewhere he states that these represent as much as 25 % of the economically active population. A regrouping in the social hierarchy of the town came about only in the fifties with the arrival of professional civil servants. Until then, the entire local power had been concentrated in the hands of the ağas and a handful of those merchants who had succeeded in their enterprises.

The composition of Ula's homes, outlays for their upkeep, the manner of assuring incomes and their management form the subject of Chapter Four. Despite laborious efforts on the part of all the adult members of the family, the economics of the majority of Ula's households is of an extensive character, many families in Ula live in permanent debts. Tobacco comes to figure more and more in the household's workings. This significant item is dealt with in Chapter Five. Following a brief glance

at the history of the tobacco culture in the Ottoman empire, the author analyses contemporary concrete problems associated with the cultivation, processing and marketing of tobacco in the Muğla province. Today, successful cultivation of tobacco is the domain of a new political and economic élite — wealthy merchants. Their tobacco, cultivated on a large scale finds a relatively ready market, while the small growers, dependent on credit from banks, find it difficult to make both ends meet.

The function of Ula as the scene of regular fairs is dealt with in the last but one chapter. Ula's significance as a market centre of the region has been steadily declining over the past several years. Changes in market activity set in already during World War II. The country clientele on which Ula's regional importance rested, ceased to depend on Ula as its only accessible market place when the existing road network had been built, and today gives preference to larger towns. The greatest decline in market activity at Ula took place during the years 1950-54, marked by an all-State inflation.

In the closing chapter entitled Ula: The Erosion of Importance, P. Benedict attempts an analysis of the causes of the decline of towns like Ula which in the past had been important mediating regional centres.

The author sees the cause of the loss of its function as a cultural and religious centre in the overall decline of the town at the end of the 19th and the beginning of the 20th century and primarily in the abolishment of training seminaries and the construction of mosques in surrounding villages.

The political decline of the kasabas has its beginnings already back in the times of Sultan Mahmud II. His centralizing efforts and the associated administrative changes "began to effect a change from rule by central government" (p. 80). Before obtaining the statute of a county town, Ula had been the centre of the political life in the region which was influenced by a relatively small group of ağas. When the latter were replaced by non-local civil servants, the power from the hands of the local élite passed under the direct control of the central government. Another factor that was involved in the decentralization of Ula's political leadership was the reintroduction of the multiparty system.

The author pointed out the changes in the economic situation of Ula in the preceding chapters and here he only summarizes his observations. Business capital concentrated in Ula today is higher than it had been in the past, being estimated at two to three million TL, however, it is controlled by only a handful of citizens. According to Benedict, the gradual loss of the function of a commercial centre in the region is the principal cause of the economic decline in Ula's significance.

The downward trend in the town's development is likewise reflected also in the low population figures. A lack of work opportunities in the native town results in a growing rate of emigration.

A socio-ethnological survey leads to the unequivocal conclusion that Ula, which tenaciously clings to its traditions, irresistibly shifts among the so-called "dead

towns" whose past social, economic and cultural importance has been eroded. Peter Benedict's study presents ample evidence that any further development of the town is out of the question unless the town gets rid of its conservatism in ideology and structure and takes the road of a radical modernization.

The author seems to have overlooked one fact, viz., until the structure of the entire Turkish national economy is basically transformed, until a substantial weight is transferred from a backward and unproductive agriculture to industry, the small country towns will not extricate themselves from their present impasse. In a region such as the Muğla province where 82.4 % of the productive population is engaged in agriculture, such measures as a substitution of another culture for tobacco, eventually the finding of new markets for tobacco is but a partial and temporary solution. Nor can migration of populations to cities be a way out, for with the existing excess of manpower, immigrants from the country only help to swell the ranks of the unemployed. Consequently, Ula and towns similar to it cannot be saved by their overcoming traditional conservatism and modernization, but solely by an industrialization of the country accompanied by an intensification and rationalization of its agriculture.

The publication is supplemented with abundant tables, maps and illustrations.

Xénia Celnarová

And, Metin: *Oyun ve Bügü. Türk Kültüründe Oyun Kavramı* (Games and Magic. The Notion of Play in Turkish Culture). Istanbul, İş Bankası Kültür Yayınları 1974. 332+XXXII pp.

Metin And, professor extraordinary at the Ankara University, has for long been engaged on the problem of Anatolian games. After his studies of the Anatolian dance,[1] connection between Anatolian popular games and ancient Greek traditions[2] and Anatolian popular plays,[3] he took up an extensive and summary processing of this topic. Inspired by J. Huizinga's book *Homo Ludens* and a thirteen-volume work by Sir J. Frazer, the *Golden Bough*, M. And decided to present an exhaustive explanation of the traditions of games not only of Anatolian Turks, but also of other ethnic groups living on Turkish territory as well as of nations associated with Islam.

M. And underlines that the folkloristic and anthropological approach will not be the decisive issue in his work, but he will rather concentrate on a study of the problem

[1] And, M.: *Dances of Anatolian Turkey.* New York 1959.
And, M.: *Türk Köylü Dansları* (Turkish Peasants' Dances). Istanbul 1964.

[2] And, M.: *Dionisios ve Anadolu Köylüsü* (Dionisios and Anatolian Peasant). Istanbul 1962.

[3] And, M.: *Anadolu'da Seyirlik Köylü Oyunları* (Spectator Country Folks Games in Anatolia), I-VIII. Türk Folklor Araştırmaları, 1966, Nos 199, 209; 1967, No. 220; 1968, Nos 229, 231; 1969, No. 237; 1970, No. 250; 1972, No. 273.

from the standpoint of superstitions, myths and rituals. Nevertheless, despite the author's intended design, *Oyun ve Bügü*, the first of this proposed volumes is preponderantly folkloristic in type. The descriptive approach easily predominates over the analytical one, an explanation of magical and ritual elements appears sporadically only and is rather outlined than brought to a consistent conclusion.

In the introduction, after elucidating Huizinga's theory, the author deals with the etymology of the words *oyun* and *bügü*. Remnants of Shamanism have succeeded in surviving through long centuries in the games which the Turks had brought with them from their original country. As a case in point M. And cites two variants of the game *köse* in which a symbolical sacrificing of a pig and eating of its meat quite clearly points to its Central-Asian pre-Islamic shamanist origin.

The author points out the significance of games not only from the aspect of popular culture, but also from that of their educative value. This educative function of games was realized already in the distant past. Islam, strictly banning all representation of living beings, approved of girls' playing with dolls as a means of nurturing the maternal instinct. A faith in the therapeutic effect of games which has persisted in the people to this day, enjoyed official validity in the past. As an example the author mentions that during the reign of sultan Süleyman the Magnificent, games were one of the curative methods in the lunatic asylum subsidized by the sultan.

M. And takes over the classification of popular dances according to W. D. Hambly.[4] Several of the dancing genres which Hambly includes in his classification have either totally disappeared in present-day Anatolia, or persist in their outward form but deprived of their inner functionality, as for instance, war dances, hunting dances.

And reject the classification of Turkish games made by P. N. Boratov[5] and that of children's games as proposed by M. Baran at the lst International Seminar of Turkish Folklore, considering them to be inadequate. For his design he has chosen the classification elaborated by the Americans Redl, Gump and Sutton-Smith.[6]

The core of M. And's work resides in a detailed description of selected Anatolian dances and games. But before coming to that, the author in the first chapter entitled A General Look at Anatolian Games (Anadolu Oyunlarına Genel Bakış) analyses three principal factors that had influenced the developmental trend of games in the Anatolian countryside. While the first two of these factors — Central-Asian culture and the culture of nations living on Anatolian territory in ancient and mediaeval times exerted a very favourable influence on the development of games, the third factor, i.e. Islam, on the contrary had an adverse, repressive effect.

---

[4] Hambly, W. D.: *Tribal Dancing and Social Development.* London 1926, p. 16.

[5] Boratav, P. N.: *100 Soruda Türk Folkloru* (One Hundred Questions about Turkish Folklore). Istanbul 1973, pp. 288—289.

[6] Redl, F. — Gump, P. — Sutton-Smith, B.: *The Dimensions of Games.* In: Avedon, E. M. — Sutton-Smith, B.: *The Study of Games.* New York 1971, pp. 404—418.

The author assingns the games into three large groups: I. Dances of Anatolian peasants, II. Dramatic games, III. The remaining types of games (sportive, divinatory, social, children's games, etc.). Strictly speaking, these are not closed groupings, transitions among them are quite current, e.g. dancing, dramatic and sportive elements may often be combined in a single game.

Practically all the examples cited by the author are from Anatolia and only in the case of children's games, some originate in Azerbaidzhan and Istanbul.

In the introduction to Chapter II, Metin and Dwells on the denomination 'folk' games, 'folk' dances. According to him, the term 'folk' ought to be replaced by 'country', 'rural'. Such a view, however, cannot be acquiesced to. The term 'folk' has come to be rooted and internationally received. Precisely such concepts as folk culture, folk music, folk poetry embody the spontaneous expressions of the country folks, their traditions.

The author sets apart seven regions each having dances characteristically different from others. There are the Black Sea region, the Marmoran, Aegean, Mediterranean regions, and regions of Central, Eastern and South-Eastern Anatolia. Because of the migration of the populations, dances from one region may appear also in another. The dances are purely masculine, or purely feminine but mixed types also appear.

The author devotes special attention to religious dances which however, by their roots reach back to the pre-Islamic times and today spread throughout all the villages of Shiite in Anatolia as social dances.

In Chapter III called Anatolian Dramatic Games (Anadolu Dramatik Oyunları), Prof. And describes such games from various regions of Anatolia. According to their *Leitmotif* he divides them into games of death and resurrection, of kidnapping a maiden, a game in which both these motifs are combined — then farming and pastoral games, imitative games of crafts and animals, games having their origin in legends and fables (most frequently they are taken from the epos on Köroğlu and the tales about the Bald-Headed Man). A special group is that of mimicry and marionettes.

The last chapter is made to include examples of games which the author subsumes under the terms Games of Children, the Young and the Adults (Çocukların — Gençlerin — Yetişkinlerin Oyunları). Because of their large numbers, And mentions only the most generally widespread and the most characteristic games from certain villages, and on these he tries to bring home what place games occupy in the life of the Anatolian people and to point to their abundant numbers.

The most common and by their origin the most ancient are knockle-bones. Among favourite games belong all sorts of ball games. However, the ball is never kicked, it is set in motion solely with the hands.

In his conclusion Metin And expresses the opinion that if J. Huizinga knew Turkish popular culture, the Anatolian games and plays would become the strongest point of support to his *Homo Ludens.*

He includes a few examples of European and Japanese games that have their parallels in Anatolia. They are united not only by the same or a similar name and motif, but often also the characters of the active participants.

The author points out the danger of a gradual impoverishment and disappearance of centuries-old traditions of games among Anatolian country populations under the influence of urban civilization which has of late begun to penetrate more forcibly into Turkish villages through the means of mass communications — radio and television. Metin And sees a partial way out in resuscitating the traditions of popular theatre on the professional stage.

The book is accompanied by a bibliographic reference to source materials and an abundant pictorial supplement.

Xénia Celnarová

And, Metin: *Turkish Miniature Painting. The Ottoman Period.* Ankara, Dost Yayınları 1974. 118 pp.

Turkish miniature painting has not received so far the attention it deserves in view of its wealth and significance. According to the author's words, the book under review is meant to be a modest contribution to a knowledge of this interesting branch of Turkish art.

From a vast quantity of miniatures the author has selected those in which the characteristic signs of the Ottoman school of miniature painting are most conspicuously manifested. All the 39 miniatures come from the collections of the Topkapı Palace Museum and several are being published for the first time.

The selection is introduced by the expert in this line, Metin And, whose survey embodies the most important concepts from works published thus far on Turkish miniature painting, with heavy emphasis on the period of the Ottoman sultanate. The references contain all the bibliographic notes on these works.

Following a brief remark on the growing interest in Turkish miniature painting at the present time, the author speaks in the Introduction of the specific place held by Turkish figural representation in Islamic art. Despite Islamic traditions, figural painting among the Turks was always relatively abundantly represented. Metin And gives a concise charaterization of every domain of Turkish art in which figural representation was employed.

In the chapter entitled Historical Outline, following brief references to the first two great cultural periods in the history of Turkish art, the pre-Islamic period and that of the Seljuk empire, the author deals with the painting during the Ottoman era, following up its development through the various centuries. Miniature painting achieved the greatest progress in the 16th century. Alongside the versatile painter

known under the name of Matrakçı Naşuh, we find among the foremost artists of that period the somewhat younger Üstad Osman, the illustrator of the four-volume *Hünername* (The Book of Accomplishments), from which are also 28 of the miniatures included in the present book. The beginnings of the decline of miniature painting in Turkey may be placed towards the end of the 19th century when not even the Ottoman art could resist the advancing influence of Europe.

The next chapter is concerned with style, technique and the social position of artists. Turkish miniatures have an original style differing from that of miniatures of other Islamic nations. The Turkish artist achieves the maximum of expression through the minimum of means. To this design are subordinated the compositional elements of the picture, the colours and the technique.

The topics processed in miniature painting are the subject matter of the last chapter. One of the items most frequently represented is the dynasty of the Ottoman sultans. The work of Osman referred to above includes 12 portraits of sultans beginning with Osman and ending with Murad III. Portraying of rulers is associated with representation of scenes from their life and the life of the ruling court. The author records the most significant historiographic works and annals illustrated with miniatures.

Belletristic literature too provided an opportunity for miniature painting, though the paintings in literary works were not always intended as illustrations of the text.

A favourite topic with Ottoman miniature painters was that of Muslim religious thought and mythology. However, here too, the Ottoman school shows divergences from other Islamic schools. In contrast to these, it processes even biblical motifs.

M. And takes special note of the function of landscape in Ottoman miniatures. Here, landscape predominantly figures as decoration and forms a background.

Miniatures portraying scenes from everyday life possess today, beside their artistic values, also a documentary one, enabling a better knowledge of the manner of dwelling, dressing and entertainment of bygone generations.

A special category is that of miniatures illustrating scientific works.

In concluding his work, And speaks of the significance of a study of Turkish miniature painting for contemporary Turkish painters who may find in it new fountainheads of inspiration and thus partially free themselves of the undue influence of the West.

At the present time a group of young Turkish investigators are engaged on a thorough study of Turkish miniatures. The result of their work will be to complete cataloguing and inventorizing of collections.

Xénia Celnarová

Georgiyan, E. A.: *Turetskaya respublika. Osnovnye instituty gosudarstvennogo stroya* (The Turkish Republic. Basic Institutions of the System of Government). Moscow, Nauka 1975. 220 pp.

With the publication of this well-organized, detailed study E. A. Georgiyan has significantly contributed to a broadening of our knowledge about basic Turkish institutions of administration and government, focusing particular attention to the republican period. The attention devoted to the Turkish republican state does not, however, justify the rather general first title of the book, its content and topic being much better expressed by the sub-title: Basic institutions of the system of government.

Starting his analysis from the historical roots of the creation of the modern Turkish state, and keeping in mind the particular ideological factors of its growth and development, the author describes the constitutional development in Turkey and explains the structure and functioning of its institutions. Using the historical materialism as his research platform and method, the author analyses the Turkish system of administration and government, and its political institutions.

The Turkish constitutional development is studied within the framework of such important events as the Ottoman constitution from 1876, the republican constitution of 1924, and the period of the important constitutional changes in 1960's. A detailed critical analysis of the status of the President, the Government, and the Parliament of the Turkish Republic follows, all of them seen through the prism of Turkish laws and constitution. A discussion of the possible constitutional control measures is also added.

Moreover, Georgiyan also examines the political movements and especially the political parties in Turkey. His book contains certain very recent data material, some of them as recent as 1973. The concluding chapter deals even with political development up to 1974.

A general reader will be most interested in the introductory and concluding chapters, as well as in the sections dealing in detail with the political development (pp. 148—182) or that on constitution control (pp. 128—147). The data are reliable and display considerable familiarity with the pertinent Turkish source-material and documentation.

When writing such a book, it is difficult to satisfy both jurisprudents and historians as well. As one of the latters, the present reviewer, though appreciating the technical aspects of an analysis of the legal development and reform, wishes to stress the positive results of the study of interrelationship between law and its practitioners on the one hand, and Turkey's changing society on the other.

Naďa Zimová

Harrison, W. — Prator, C. — Tucker, G. R.: *English-Language Policy Survey of Jordan.* A Case Study in Language Planning. With an Introductory Essay by Thomas P. Gorman. Arlington, Va., Center for Applied Linguistics 1975. XLII + 236 pp.

In the past decade, language planning processes have attracted increasing attention of specialists and language users, especially in developing countries striving for economic, social and cultural autonomy. The educational system, to which all problems of language policy are intimately related, is being utilized as one of the most efficient tools through which these major goals are expected to be achieved.

The educational language policy may take various forms in particular developing countries. The instruction may be organized in the native language of the student, usually at lower stages of the educational process, and in a foreign language, at the same time, in specialized educational areas.

In 1972 a team of specialists visited Jordan to examine the present state of the English language policy in this country. In Jordan, Arabic is the native language of the bulk of the population and the exclusive medium of instruction in government schools through the secondary level. On the other hand, English is practically the only foreign language taught in schools. The educational system comprises therefore a large number of students who speak the same native language and who study the same foreign language, a fact simplifying to a considerable extent the task of the investigators engaged in the present type of field research.

The book contains the results of this investigation which have been officially presented as a report to the Ministry of Education. The book is divided into eight chapters to which a copious bibliography of source materials and ten appendices are added.

The introductory essay, by Thomas P. Gorman, surveys various approaches to the study of language policy in developing nations.

Chapter I (Stated and Implicit Aims of English Instruction) analyses the aims of education in general on the ground of the Jordanian Culture and Education Law of 1964. Although the law does not explicitly mention the development of communicative ability in a foreign language as one of the general aims of the Jordanian education, such a skill may nevertheless be viewed as an integral part of the educational programme. Further, the aims of the English language instruction are examined and confronted with the existing system of examination. The explicit goals for English teaching at the compulsory stage are defined in terms of four skills as follows: 1. understand simple English spoken at a normal speed; 2. communicate sensibly with an English-speaking person, within certain reasonable areas; 3. read simple English with ease, fluency and understanding, and finally, 4. write a paragraph in English, using the basic structure of the language (English Curriculum:

Compulsory Stage, 1969, p. 5; see p. 2). The explicit goals, as defined for the secondary stage, are found to be unrealistically demanding.

Chapter II (Dimensions of English Instruction) defines the extent of English instruction in the public and private schools on the ground of data derived from the Jordanian Ministry of Education's *Yearbook of Educational Statistics* and tries to establish the respective efficfency of both types of schools with respect to the English instruction. Despite the fact that many Jordanians, particularly educators and well-to-do parents, tend to believe that children learn more English in the private schools than in the public schools, the result of an analysis of scores made by a random sample of students of the public and private schools do not support this widely held belief. The dimensions of English instruction in Jordan, apparently the highest of all the Arab countries, are closer to the second language than to the foreign language type of instruction.

Chapter III (Curricula and Instructional Materials) briefly examines the extant curricular patterns in the Jordanian public schools, as well as the instructional materials prescribed by the Jordanian Ministry of Education for use in public schools in 1971—2.

Chapter IV (Training of Teachers). Since the teacher is the most important implementer of the language policy, several types of the officially qualified teachers of English are specified in accordance with various types of schools. Since, at the time being, a number of unqualified teachers are expected to teach English in the Jordanian compulsory cycle, some attention is paid to the latter category educationalists as well.

Chapter V (Field Study — Background and Methodology) summarizes stimuli and basic purposes of the conducted Field Study. Its main goal is to collect information about patterns of language use, with specific respect to the extent to which the English language is used in various situations, for both business and nonbusiness matters, in order to provide facts and documented opinions for Jordanian educators. For the methodology used, brief comments are given on methods of analysis adopted and the questionnaire used in the field study is characterized.

Chapter VI (Field Study — Presentation of Data) is describing ways in which the results of the field study are presented. Since it has been impossible to interpretor to present all the data collected, in their entirety in the monograph, they have subsequently been included as Appendix I. Some relevant data: sixty-three per cent of all respondents (3023 of 4804) indicated that they use English at work. Respondents employed in administrative and managerial jobs report the highest use of English at work (85%), sales people (74%), professional or technical workers, including teachers (70%), and clerical and related employees (62%). Other occupations are represented by substantially lower rates. Proficiency in English has been tested by the self-rating scale as follows: understanding (60%), speaking (48%), reading (63%), writing (60%). Some of the most frequently stated reasons

for studying English: a person who masters English has a much better chance of studying abroad or of obtaining a job abroad; or of obtaining a job in Jordan; a person who has mastered English can keep himself better informed about developments outside the Arab world, etc. In analysing the scope and adequacy of English training in Jordan, the school study was indicated as the most important single factor in this respect. Travelling and studying in English-speaking countries was another important factor, etc. As English is practically the only foreign language taught in Jordanian government schools, the question of desirability of teaching other foreign languages was examined, as well. The questionnaire has indeed revealed the existence of popular support for teaching foreign languages other than English. The two most widely studied foreign languages were French (751 individuals out of the total indicated above) and German (294 individuals).

Chapter VII (English-Language Instruction in Jordan— Prospects for the Future). Here, the role of English in the educational system and a number of proposals to modify English-language instruction are dealt with. In the latter domain, four distinct types of programme modifications are proposed in the belief that each of these alternatives could lead to a higher English proficiency than does the present programme. These proposals involve: 1. introducing English at the Grade-2 level; 2. various modifications within the existing framework; 3. teaching selected content subjects in English, and finally, 4. intensive English instruction for specific purposes.

Chapter VIII (Summary of Recommendations by Topic) groups all recommendations from the previous chapters into several broad categories: those pertaining to language policy, curriculum change, teacher training, and research. With some minore exceptions, the recommendations are arranged according to their order of introduction in the monograph.

The present monograph will be of interest not only to Jordanian educators, but also to educational planners and implementers of language programmes in other countries.

Ladislav Drozdík

Zaki, Abdel-Malek N.: *The Closed-List Classes of Colloquial Egyptian Arabic.* (Janua Linguarum, Series Practica 128). The Hague — Paris, Mouton 1972. 240 pp.

Abdel-Malek's monograph occupies quite a particular place among recent studies in Colloquial Egyptian Arabic (CEA), in pioneering a new, so far unexplored approach to the linguistic description of an Arabic dialect. The basic dichotomy between what the author calls open-list and closed-list classes, inspired by Fries' study (viz. Fries, C. C.: *The Structure of English. An Introduction to the Construction of English Sentences.* New York and Burlingame, Harcourt, Brace and World,

Inc. 1952), has enabled the author to divide the morphological stock of CEA into two general classes each of which being identifiable in terms of certain characteristics which make them different from each other.

The book is subdivided into two parts dealing with four basic CEA form classes: the adjective, the noun, the verb, and what the author quite arbitrarily calls Class-IV forms (in accordance with the serial number of the Chapter in which they happened to be treated). The first three form classes, classified as open-list classes, constitute Part I, while the Class-IV forms, coinciding with closed-list classes, are examined in Part II. The author's treatment of the linguistic material involved substantially varies with respect to each of these two parts of the book: while the open-list classes are given no more attention than necessary for setting them apart from Class-IV forms, the latter class is treated exhaustively. This difference in the respective depth of analysis is, of course, quite purposeful and harmonizes with the author's aim to report all the closed-list items that occurred in a textual corpus (which are, incidentally, identifiable with the full stock of the CEA closed-list items) and to define the form classes to which those items belong (see p. 13). The source material consists of four plays written for the stage: al-Khōli, Luṭfi: *Ahwit il-Mulūk*, Cairo 1956; ᶜAshūr, Niᶜmān: *il-Nās illi Taḥt*, Cairo 1958, and *il-Nās illi Fō'*, Cairo 1958; al-Saᶜdani, Maḥmūd: *ᶜIzbit Banayōti*, lst ed., Cairo 1961. The variety of Arabic used in this textual corpus is that currently spoken in Cairo.

The transcription used in the monograph is nearly phonemic. The etymological considerations are reflected in the presentation of the glottal stop which is covered be two symbols, /'/ and /ġ/, a distinction of prime importance for students simultaneously involved in the study of Classical Arabic. Emphasis, treated as a prosodic feature, is noted by underlining of respective segments.

The treatment of morphophonemic features, such as epenthetic vowel, elision and loss of vowel quantity, is good and fully adequate to the type of description pursued. The distinction between morphophonemic alternants like */bēt kibīr/* vs. */bit kibīr/* or */lōn ġāmiġ/* vs. */lun ġāmiġ/* (see p. 21), as accounted for in junctural terms, is treated at this level of explicitness for the first time among the recent descriptions of CEA. We cannot agree, however, with the author's restriction of this type of optional alternation exclusively to cases involving */ē/* and */ō/*, since other CEA long vowels (at the very least */ā/*) seem to display the latter optionality, as well. E.g.: */kān/* — */kan/* in the following quotations from Mitchell's Introduction: */kan ṛāgil ᶜagūz rākib ḥumāṛu* (120), */kan maᶜāh dīb wi taᶜlab/* (120), */kān fīh maṛṛa fallāḥa ṭammāᶜa mašya fissika/* (120), */kan maṛṛa ṛāgil ᶜandu walad ṣugayyaṛ sinnu talat sinīn/* (122), etc. (Mitchell's vowel-featured emphasis marked by an asterisk in the glossary is here marked by the symbol */ṛ/*). A case of */ī/ — /i/* alternation, occurring in the same environmental conditions, is reported by the author himself, viz. */bīr ġawīt/* vs. */bir ġawīt/* "a deep well".

From a morphophonemic point of view, Abdel-Malek's treatment of the CEA

definite article, as given in Chapter I (The Adjective), is one of the most complete. The recognition of the allomorph */ill-/* (p. 34), is an important step forward in the CEA morphophonemics, irrespective of whether it may be identified with a typical pan-Cairene allomorph of the definite article, as defined for the given environment (see ibid.), or with a merely cultural or even individual alternant of the latter. In terms of Abdel-Malek's presentation, the allomorph */ill-/* is most closely related to */l-/*, as may be seen from the following examples:

/ilkitāb ill-aswad/ "the black book", alternating with:

/ilkitab l-aswad/,etc.

The distinction between what the author calls 'droppable glottal stop' and 'non-droppable glottal stop' (p. 21) is of decisive importance for the selection of some of these allomorphs. On the ground of Abdel-Malek's presentation, the allomorph */il-/* seems to occur before all consonants except those stated on p. 33 (these are, with some minor exceptions, identifiable with 'solar' consonants of Arab grammarians) and except what the author calls 'droppable' glottal stop, e.g. */il-ġani/* "rich", */il-qawi/* "strong", etc. Accordingly, the allomorph */il-/*, even if not stated so explicitly, is not expected to occur as a pre-glottal-stop alternant in cases like */ilkitāb il-'aswad/*, since the allomorph */il-/*, in terms of this presentation, becomes */ill-/* with a simultaneous dropping of */'/*, whenever preceding a 'droppable' glottal stop. This presentation of facts, except for marginal cases like */ʿal'aqall/* (79), where we have properly a */l-/* allomorph owing to the preceding vowel, is reflected in all examples involving this feature, as quoted through the present book. And yet, the */ilkitāb il-'aswad/* presentation of the respective morphophonemic facts cannot be rejected as non-Cairene, were it only restricted to some cultural strata (the exact identification of which should, of course, be made by the native speakers of that dialect). At any rate, alternants like */lakbaṛ/* — */'il'akbaṛ/*, as quoted by Mitchell *(Introduction,* p. 115), do occur in CEA and they would have been better treated descriptively together with those quoted for the respective environments by the author of the present monograph.

Moreover, it should be noted that the recognition of the allomorph */ill-/* gives rise to a rather unexpected problem of a morphonologically conditioned homonymy which cannot be settled but in terms of an additional set of morphophonemic alternants. The phenomenon could be presented as follows:

/ill-/ = (*/l-/*) in e.g.: */ilkitāb ill-aswad/* "the black book", as against:

/ill-/ = (*/illi/*) in e.g.: */ilkitāb ill-aswad/* "the black book" ("that particular book which is black").

As evident from the bracketed alternants quoted, the distinction between the two may be stated in terms of the following pairs:

/ilkitāb ill-aswad/ = /ilkitab l-aswad/ or even */ilkitāb il-'aswad/*, as against:

/ilkitāb ill-aswad/ = /ilkitāb illi 'aswad/, or perhaps more consistently */'ilkitāb 'illi 'aswad/*.

Finally, a word on formal presentation. We believe that the concord-imposed definiteness in adjectives, as against that statable with nouns, deserves no special notation (through the dash). A uniform, preferably undashed writing would perhaps be more appropriate.

Chapter IV is essential for defining the purpose of the book, since it briefly discusses basic notions and the methodology adopted. First of all, the crucial distinction between what the author calls open-list classes and closed-list classes is defined: 'the first kind has an open membership (i.e., new members may be acquired through coining or borrowing from foreign languages); the second kind has a closed membership (i.e., no new members can be added). Adjectives, nouns, and verbs belong to open-list classes; Class IV forms, on the other hand, belong to closed-list classes' (p. 52). More explicitly, the membership in the latter category of forms is defined in morphological terms as follows: "A member of Class IV is a form which (a) neither contains nor consists entirely of an adjective, a noun, or a verb, and which (b) consists of a single morpheme or a combination of morphemes not joined together by one or more syntactic devices" (ibid.). Each of the seventeen chapters of Part II, an exception made for Chapter XVII (Conclusions), deals with a particular sub-class of forms displaying a closed membership. These chapters run as follows: I. Noun Determiners; II. Prepositions; III. Conjunctions; IV. Nominalizers; V. Prepositional Classifiers; VI. Question words; VII. Exclamations; VIII. Adverbs; IX. Modals; X. Replacers; XI. Affixes and Measures; XII. Oath Particles; XIII. The Morphemes of Negation; XIV. Answer Words; XV. Sequence Signals, and XVI. The Definite Article and */waaw izzamaniyya/*.

Owing to a relatively exhaustive treatment of most of these sub-classes, the descriptive value of the monograph is still multiplied by various aspects of practical applicability of the readily available information (see e.g. prepositional classifiers, to quote only one example).

It is quite natural that besides a number of fresh ideas and new, but nevertheless more or less generally acceptable interpretations, there are points one finds difficult to agree to. From the point of view of the present reviewer, one such case is associated with the truly misleading classification of pointers */da/* "this (masc.)", */di/* "this (fem.)", */dōl/* "these", */dukha/* "that", */dukhum/* "those", etc., in terms of adverbs. Despite the fact that the definition of an adverb as "a Class IV form which functions as a modifier" (126), is inclusive of these nonadverbs, the purposefulness of similar ad hoc definitions is nonetheless questionable.

The distinction between the open-list membership of adjectives, nouns, and verbs (see Chapters I, II, and III of Part I), on the one hand, and the closed-list membership of the respective measures (see Chapter XI), on the other, does not seem to reflect the linguistic reality more as a rough approximation. Of course, the restricted number of e.g. nominal (derivational) measures, possibly amounting to tens, as against the actual number of nouns generated by any of these measures,

which may run up to hundreds or perhaps, with some very productive measures, even to thousands, may give an impression that the present stock of these measures, as it may be established in individual linguistic varieties of Arabic (and not only Arabic), is invariable and final. Of course, the respective extent of variability, as observable between the number of measures and that of lexical units generated by them, is very different. Moreover, that which is related to the number of existing measures in any linguistic variety of Arabic, is very close to zero, but, strictly speaking, it does not equal it. The derivational measure *fa^{cc}āl*, for instance, as used to produce nouns denoting members of various professions and trades, is reported to be due to the linguistic influence of Aramaic (Fleish, H.: *Traité de philologie arabe.* Vol. 1. *Préliminaires, phonétique, morphologie nominale.* Beyrouth, Imprimerie catholique 1961, p. 166). In the latter application it differs from the usage statable in the language of pre-Islamic poetry and the Koran, where it was used as an intensive adjective only (see ibid.). Similar cases may be found in other Semitic languages as well, viz. the Biblical Hebrew plural-related abstract noun measure in e.g. *bəṯūlīm* (plural of *bəṯūlā* "virgin") "virginity" which is a distinct secondary formation with a reasonable extent of productiveness (see ibid., p. 330). Etc. What cannot actually be stated in a synchronous linguistic system but what, nevertheless, is of possible occurrence, cannot totally be disregarded. With respect to the specific purposes of the present description, however, Abdel-Malek's classificatory treatment of measures as Class IV forms may perhaps be accepted as a bold working abstraction of approximative value.

Abdel-Malek's trichotomous presentation of affixes, as given in this Chapter (viz. lexical, inflectional and derivational (pp. 150—151)), is good and terminologically plausible. Nevertheless, we cannot fully agree with the distinction between the inflectional and derivational affixes, as specified in the following definition: "the inflectional set consists of morphemes which function as markers of grammatical relationships and which indicate inflectional categories (e.g., number, gender, comparison, etc.), while the derivational set consists of morphemes which change the form class of the word, the grammatical construction (at least in some contexts), or both. Thus the affixes in */ti-ktib-i/* "you (fem. sing.) write" are inflectional since they indicate agreement between the subject and the verb in number, gender, and person. On the other hand, the two prefixes in */m-it-ᶜallim/* "educated (adj.)" are derivational since the first produces an adjective from the verb */itᶜallim/* "to get educated", and the second changes the grammatical construction as can be seen from comparing the following pair of sentences: */farid ᶜallim nabīl/* "Farid taught Nabil", */nabil itᶜallim/* "Nabil learned" (p. 151).

Postulating the change in the form class of a word for a derivarional affix, as proposed by the author, is unnecessarily restrictive: *ᶜallim* (= verb) "to teach" as opposed to *itᶜallim* (= verb) "to learn". The additional correction in terms of a more mitigating second part of the definition (viz. the alternative or simultaneous change

of the grammatical construction), is inconsistent and, as a whole, unnecessary, either. Technically, as well as in terms of the author's own classification (see Abdel-Malek's classification of the I —X verbal measures under the heading of "derivational measures" among which *ᶜallim* is covered by the measure II while *itᶜallim* is backed up by the verbal measure V (cf. § 2.11.4.2, pp. 182—183)), we have to do here with a derivational, and not a grammatical distinction, irrespective of the sit of grammatical relationships possibly displayed by any of its members in any given syntactic environment. As evident, postulating a mere change in the derivational identity (hierarchically located at the level of a measure instead of at that of a form class) would have made the definition more economic and less contradictory, as well. But, owing to the fine illustrative material, Abdel-Malek's presentation is quite workable even here. These minor inconsistencies which quite necessarily occur in any monograph striving for the present level of descriptive autonomy, can readily be retouched in any further edition of the book.

Abdel-Malek's monograph, owing to its pioneering approach to many aspects of the CEA linguistic reality, is one of the most important studies recently published in this field. The unprecedentedly rich and finely classified linguistic material with a true-to-life Cairene ring provides, in many respects, more information about morphological and even syntactic features of CEA than any of the extant single studies specifically focussed on these matters. The book will be of interest for linguists, teachers and advanced students of Arabic. The student who masters the book thoroughly may further expect to get his CEA lexicon substantially enlarged by a number of items which cannot be found elsewhere.

Ladislav Drozdík

Ibn al-Faqīh al-Hamaḏānī: *Abrégé du livre des pays* (Das Buch der Länder). Traduit de l'arabe par Henri Massé. Damas, Institut français de Damas 1973. 440 S.

Um das Jahr 903 stellte der islamische Geograph Ibn al-Faqīh eine grosse geographische Enzyklopädie zusammen, die er *Kitāb al-buldān* (Das Buch der Länder) betitelte. Es blieb von diesem Werk lediglich eine gekürzte Version erhalten, die wahrscheinlich aus dem 11. Jahrhundert stammt.

Der französische Islamforscher Henri Massé bereitete viele Jahre die Übersetzung dieser gekürzten Version auf Grund des von M. J. de Goeje herausgegebenen Textes (Bibliotheca geographorum arabicorum: Band V, Leiden 1885) vor. Massé konnte die Übersetzung für den Druck nicht mehr vorbereiten. Vor seinem Tode vertraute er diese Arbeit Charles Pellat an, der, wie er selbst schreibt (s. Avertissement, S. V), sich ihrer gern annahm. Im Endergebnis ist es also Charles Pellat zu verdanken, dass

das Werk *Muḫtaṣar Kitāb al-buldān* schliesslich in französischer Übersetzung erschienen ist.

Henri Massé nahm als Unterlage seiner Übersetzung die erwähnte Edition de Goejes, die einen reichhaltigen Apparat von Anmerkungen, Indices, ein Wörterbuch (Glossarium), sowie Nachträge und Berichtigungen (Addenda et emendanda) hat. Beim Übersetzen übernahm er im Grunde de Goejes Gestaltung des Textes. Dort, wo ihm de Goejes Lösung als nicht passend erschien, übernahm er eine der Varianten, die sich in den Anmerkungen zur Edition befand. Ab und zu kam es jedoch vor, dass er auch eine eigene Lesart vorgeschlagen hat.

Henri Massé hatte nicht die Absicht der Übersetzung einen umfangreichen Apparat von Anmerkungen zuzufügen. Dieser Umstand wurde auch von Charles Pellat respektiert; zum übersetzten Text arbeitete er lediglich die allernotwendigsten Anmerkungen textologischen Charakters aus. Auch diesem sparsamen Apparat von Anmerkungen ist es jedoch leicht zu entnehmen, welch eine Menge wichtiger und genauer Arbeit Charles Pellat geleistet hat, um das Werk seines verstorbenen Lehrers erfolgreich zu vollenden. Charles Pellat hat de Goejes Text nicht nur emendiert, sondern in Massés Übersetzung auch eine Reihe von Berichtigungen vorgeschlagen, und diese zu den Anmerkungen beigefügt. An mehreren Stellen präzisierte er das Lesen einiger geographischer Benennungen und Eigennamen. Wo der Text unklar war, konsultierte er ältere Quellen (Ibn Ḫurdāḏbeh, *Relation de la Chine et de l'Inde* u.ä.)

Eine wichtige und wohl die schwierigste Aufgabe erwartete Charles Pellat bei der Beurteilung und der Nutzung der Mešhed-Handschrift des Werkes *Kitāb al-buldān*. Diese Handschrift stand seinerzeit de Goeje nicht zur Verfügung und auch Henri Massé hat nicht laut ihr übersetzt. Massé gelang es einen Mikrofilm dieser Handschrift zu erwerben, seine Krankheit und Tod verhinderten es ihm jedoch diesen auszunützen.

Wie bekannt,[1] enthält die Mešhed-Handschrift eine umfangreichere Redaktion von Ibn al-Faqīhs Werk als die Texte, die de Goeje zur Verfügung standen. Einige Teile des *Kitāb al-buldān* sind hierin viel ausführlicher als in de Goejes Edition angegeben (s. Avertissement, S. VI und VII).

Charles Pellat machte auf eine ganze Reihe wichtiger Varianten aufmerksam, die die Mešhed-Handschrift enthält. Er führte auch kleinere Berichtigungen daraus an, die unklare Stellen in de Goejes Edition zu klären helfen. Er reihte diese Ergänzungen und Berichtigungen in einen Anmerkungsapparat ein, um die Integrität von Massés Übersetzung nicht zu stören. Dieser Vorgang Pellats ist gewiss richtig. Er fusst nicht nur auf der Achtung, die Pellat vor seinem verstorbenen Meister hegt,

---

[1] Miquel, A.: *La géographie humaine du monde musulman*. Paris — La Haye, Mouton 1967, S. XXII (mit weiteren Literaturangaben).

sondern auch darauf, dass die Mešhed-Handschrift hinsichtlich des Masses ihrer Abweichungen und ihrer textmässigen Verschiedenheit einen eigenartigen Zutritt verdient. Pellat beabsichtigt die Edition dieser Handschrift einem seiner Schüler anzuvertrauen. Diese Tatsache werden sicher alle begrüssen, die sich um Ibn al-Faqīhs Werk interessieren.

Gute Editionen und gute Übersetzungen der Grundwerke der arabischen mittelalterlichen Literatur kommen nur sehr schwer auf die Welt. Das muss ein jeder anerkennen, den wissenschaftliche Interessen zum Studium arabischer Handschriften heranführten. Um so freudiger ist dann die Tatsache, wenn an der Edition und Übersetzung eines Werkes einige renommierte Fachleute arbeiten. Es ist gewiss eine zuverlässige Gewähr dessen, dass die grosse Gemeinde der Arabisten ein wertvolles und verlässliches wissenschaftliches Werk in die Hände bekommen. So eines ist zweifelsohne auch Henri Massés Übersetzung des Buches *Kitāb al-buldān.*

Ján Pauliny

Hartmann, Angelika: *an Nāṣir li-Dīn Allāh (1180—1225). Politik, Religion, Kultur in der späten ᶜAbbāsidenzeit.* Berlin—New York, Walter de Gruyter 1975. 362 S. + 4 Karten.

Die zur Besprechung vorliegende Monographie setzt sich als Ziel das politische, religiöse und kulturelle Profil eines der letzten ᶜabbāsidischen Herrscher, des Chalifen an-Nāṣir li-Dīn Allāh, zu erforschen. Dieser Grundkonzeption entspricht auch das ganze Anordnen der Publikation. Nach der kurzen Einleitung (S. 1—3) informiert die Autorin in übersichtlicher Form über die von ihr benützten Quellen (B. Übersicht des Quellenmaterials, S. 5—65). Daran knüpft der Hauptteil der Publikation an, wo in 10 selbständigen Kapiteln vor allem die politische und religiöse Orientierung an-Nāṣirs erörtert wird: seine Aussenpolitik; sein Eintritt in die Organisation Futuwwa, die er als Instrument seiner politisch-sozialen Absichten benützte; seine schiitischen Tendenzen; sein eifriges Interesse an den Islamwissenschaften und schliesslich seine negative Einstellung und die Verfolgung der Anhänger der griechischen Philosophie. an-Nāṣirs Profil wird durch Analysen der zeitgenössischen Auffassungen des Chalifats (die Chalifatstheorie as-Suhrawardīs u.ä.), sowie durch Aufzählung von seinen Wesens- und Charakterzügen auf Grund von Berichten der Historiker und Biographen vervollkommnet. Zwei wichtige Kapitel widmete die Autorin der Stellung der Schiiten und Sunniten in Bagdad, und vor allem am Hofe an-Nāṣirs. Eine umfangreiche Liste von angewendeter Quellen- und Sekundärliteratur, Indices und vier historische Karten bilden den Abschluss der Publikation.

Die Aufzählung aller wichtigen Schlüsse, zu denen die Autorin in dieser materiell

reich fundierten Arbeit gekommen war, würde den Rahmen einer Rezension weit überschreiten. Wir versuchen daher lediglich auf einige aufmerksam zu machen.

Aussenpolitik an-Nāṣirs, der post factum eine gewisse Kurzsichtigkeit zugeschrieben wurde, bewertet die Autorin als zielbewusste Bemühung nach der Wiedererneuerung der Unabhängigkeit des ᶜabbāsidischen Chalifats. Der Chalif an-Nāṣir fürchtete sich vor allem vor seinen östlichen muslimischen Nachbarn (den Selǧūqen und Ḫwārizmšāhen), deren Macht er durch ein Gegeneinanderhetzen und geschickten Wechsel der Verbündeten abschwächte. Es scheint, dass trotz der Erreichung seines Zieles, den Kleinstaat der ᶜabbāsidischen Chalife für eine Zeitlang als selbständige politische Einheit zu erhalten, er gleichzeitig die Kampffähigkeit der östlichen islamischen Reiche schwächte, sodass diese kurz nachher unter dem Ansturm der mongolischen Angriffe zerfielen.

Ähnlich wie in der Aussenpolitik, so auch bei der Festigung seiner inneren Macht suchte an-Nāṣir Verbündete und trachtete die Anhänger aller gemässigter religiöspolitischer Konzeptionen auf seine Seite zu gewinnen. Sein geschicktes Manövrieren und das genau berechnete Mass von Konzilianz und Härte verdienen Bewunderung, insbesondere wenn wir berücksichtigen, dass der Chalif über keine grosse Armee verfügte und dass er in ein Amt gekommen war, dem mehrere gleich nah waren. Der Innenpolitik an-Nāṣirs und der Analyse der religiösen Lage in Bagdad widmete A. Hartmann wohl den meisten Platz. Bei der Beurteilung der staatsmännischen und religiösen Tätigkeit an-Nāṣirs geht sie aus der Voraussetzung hervor, „dass jedes Ereignis in einem islamischen Staat auf einem Zusammenwirken von Politik, Religion und Kultur beruht" (Vorwort, S. X). Dabei durchforschte die Autorin genau auch die tatsächliche religiöse Überzeugung an-Nāṣirs. Sie bezweifelt nicht, dass er ein guter Muslim war und kommt zum Schluss, dass an-Nāṣirs programmatisches Streben nach der Verbesserung der Beziehungen zwischen den einzelnen verfeindeten religiösen Gruppen nicht nur aus seinem politischen Programm, sondern auch aus seiner religiösen Überzeugung hervorging.

Muslimische Quellen, die Stoff zum Zeitraum der Regierung des Chalifen an-Nāṣir beinhalten, haben fast ausschliesslich annalistischen, biographischen oder religiösen Charakter. Wir erfahren aus ihnen, dass es Chalif an-Nāṣir gelungen war seine Nachbarn davon zu überzeugen, dass das ᶜabbāsidische Chalifat eine politische Realität sei. Dabei enthalten sie auch viele Informationen (oft widersprüchlichen Charakters!) über das Leben am Hof des Herrschers, über seine Günstlinge und Hauptberater, und wir finden darin auch wertvolle Angaben über die administrative und religiös-rechtliche Anordnung des damaligen ᶜabbāsidischen Staates. Andererseits befinden sich darin fast keinerlei Erwähnungen über die sozialen und ökonomischen Verhältnisse im damaligen Irak.

Vielleicht deshalb (siehe S. 7) und wohl auch aus dem Grunde, dass im Mittelpunkt des Interesses der Autorin vor allem der politische und religiöse Aspekt von an-Nāṣirs persönlichkeit stand, widmete A. Hartmann den ökonomischen und

sozialen Verhältnissen der Regierungszeit an-Nāṣirs beinahe keinerlei Aufmerksamkeit. Zweifelsohne wäre eine Analyse dieser Art der Vollkommenheit, sowie auch der Aufklärung einiger Seiten von an-Nāṣirs Politik zuliebe sehr notwendig gewesen. Da wir zu einer solchen nicht über das notwendige Material verfügen, müssen wir uns lediglich mit der behutsamen Konstatierung zufriedengeben, dass, wäre an-Nāṣir auch in dieser Hinsicht eine ausserordentliche Erscheinung gewesen, hätten seine Zeitgenossen bestimmt Nachrichten darüber hinterlassen.

Die Arbeit A. Hartmanns ist sehr gründlich und verlässlich. Ihrem Charakter nach ist sie jedoch vor allem denen zugedacht, die zumindest über Grundkenntnisse aus der Geschichte des ᶜabbāsidischen Chalifats verfügen. Ein unerfahrener Leser könnte nämlich beim Lesen einiger Teile dieser Arbeit den Eindruck gewinnen, dass es an-Nāṣir dank seiner politischen Geschicklichkeit und geistigen Autorität gelungen war aus dem ᶜabbāsidischen Staat eine bedeutende und mächtige politische Formation zu schaffen. In diesem Zusammenhang hätte die Autorin wohl besser getan eindeutig zu betonen, dass an-Nāṣirs Erfolg vor allem in der Verteidigung bzw. in der Wiedererneuerung der Selbständigkeit dieses vom Ausmass her sehr kleinen und militärisch schwachen Staatsgebildes liegt. Dabei sollte wohl auch unterstrichen werden, dass weder geschickte politische Machinationen, noch eine gut überdachte Religionspolitik, noch der Umstand, dass die geistige Autorität des Chalifen von der Mehrzahl der irakischen Bevölkerung anerkannt wurde, den ᶜabbāsidischen Staat auf die Dauer von seiner inneren Schwäche und Zerrüttung hätten heilen können. Vor allem eine ökonomische Wiedergeburt und finanzielle Reserven, die es den Chalifen ermöglicht hätten eine angemessene Armee zu erhalten, hätten den ᶜabbāsidischen Staat regenerieren können. Hätten die Mongolen das Reich des Ḫwārizmšāhs Muḥammad nicht angegriffen, scheint es mehr als wahrscheinlich zu sein, dass dessen Armeen Bagdad erobert und der Regierung an-Nāṣirs ein Ende bereitet hätten.

A. Hartmann gelang es alle Aufgaben, die sie sich vor dem Verfassen der Publikation gestellt hat, zu erfüllen. Führt sie in ihrer Arbeit manchenorts mehr Quellen an als dies notwendig wäre und geht sie hierbei zusehr in die Breite, ist dies bloss ein Beweis ihrer ausserordentlichen wissenschaftlichen Gewissenhaftigkeit.

A. Hartmann schuf ein Werk, das nicht nur ein wichtiger Ausgangspunkt zur weiteren Forschung der einzelnen Aspekte der Regierung an-Nāṣirs ist, sondern sich in der Reihe der Grundliteratur zur Geschichte des ᶜabbāsidischen Chalifats bestimmt einen festen Platz sichern wird.

Ján Pauliny

Sharabi, Hisham: *Arab Intellectuals and the West: The Formative Years, 1875—1914.* Baltimore—London, The John Hopkins Press 1970. 139 pp.

Most scholars and those interested in the subject, I am sure, have received this book with great hopes. Their hopes and expectations, according to my opinion, were not vain, for the present volume is a definite enrichment to our Middle Eastern Library.

The book under review is divided into eight chapters, each dealing with different aspects of modernization in the Arab World, in the decisive phase of the so-called Arab Awakening; and the role of Arab intellectuals in those formative years. Here are the titles of the chapters: I. The Emergence of the Arab Intelligentsia; II. Theoretical Foundations of Islamic Reformism; III. The Ideology of Islamic Reformism; IV. The Structure of Christian Intellectualism; V. The Social Ideology of Christian Intellectualism; VI. The Emergence of Muslim Secularism; VII. Arab Intellectuals and Political Action, and VIII. Arab Intellectuals and the West.

Professor Sharabi states that the process of modernization in the Arab World "...was the product not of sudden spontaneous awareness, but of the challenge posed by the West on all levels of existence — social, political, economic, psychological — which began in the nineteenth century" (Preface).

The book deals with the situation in Egypt and in the Fertile Crescent where the experience of social change has its deepest roots. The author seeks to give us a comprehensive picture of social changes which took place there, by the use of a sociological and psychological analysis. The social change is analysed from the standpoint of intellectual history, so that this book will definitely prove valuable not only to students of Arab society and culture in particular and students of intellectual history in general, but also to all those interested in the problem of Arab modernization.

The book represents a successful effort in the face of a very difficult subject. The author deserves warm praise and congratulations.

Karol Sorby

Kraft, Charles H.—Kirk-Greene, A. H. M.: *Hausa.* Teach Yourself Books. London, The English Universities Press Ltd 1973. 394 pp.

The absence of any Hausa textbook in the Teach Yourself series has been noted for many years, especially under the impact of the growing social and even political importance of this African *lingua franca.* The reprints of such relatively obsolete works as F. W. Taylor's and C. H. Robinson's Hausa grammars in 1959, signalized the justified needs of the English-speaking book-market. Much has changed,

however, since Taylor's and Robinson's pioneer books were written and first published. The old *lingua franca* of pre-colonial West Africa was re-oriented into the contexts of the British 'indirect rule', and later on, it began to serve communication needs of the self-governing and then independent Nigeria. It increasingly responded also to the communication requirements of the officially French-speaking Niger. Apart from the field of social communication, a completely new situation has also arisen in the field of the linguistic analysis of Hausa, especially since the late 1950's. Started by a series of papers, published by J. Carnochan and F. W. Parsons, a new type of grammatical model was being discovered in the system of this language, so that contemporary opinions on Hausa grammar have few common features with the old Hausa grammars, published prior to 1960. Thus, writing a Hausa textbook in a linguistically, pedagogically and socially acceptable way, became a most urgent, but at the same time also a most difficult task.

The two authors of the present textbook could well approach the compilation of such a work from reliable platforms: A. H. M. Kirk-Greene has served a long time as a Nigerian colonial officer, and then became the first head of the Department of Languages at the Ahmadu Bello University after Nigeria's independence. He always manifested a keen interest in the field of lexical and conceptual development of Hausa, both in the traditional areas (see e.g. his *Preliminary Inquiry into Hausa Onomatology,* Zaria 1964) and in the field of administrative and political neologisms (see e.g. his paper *Neologisms in Hausa — A Sociological Approach,* Africa, 23, 1963). His pedagogical interest has culminated in the publication of a *Modern Hausa Reader* (jointly with Yahya Aliyu, in London 1967). Charles H. Kraft entered the field of linguistic research of Hausa guided at that time by his teachers H. A. Gleason, Jr. and C. T. Hodge. Carleton T. Hodge himself being one of the founders of the new wave of Hausa linguistics has, incidentally, produced one of the first reliable Hausa courses in English (*Hausa Basic Course,* published in a roneo-typed form in 1963 for the U. S. Foreign Service Institute). Kraft has attracted attention of all those interested in Hausa studies already by his Hartford-based roneo-typed extensive *Study of Hausa Syntax* (1964, 3 vols). His *Introduction to Spoken Hausa* (a ca 408 pages roneo-typed course, written in cooperation with Salisu Abubakar) was produced for the African Studies Center of the Michigan State University in 1965.

Designed primarily and basically as a pedagogical textbook, the present *Teach Yourself Hausa* is divided into five parts, unequal in their size and functions. The introductory part initiates the student both into the sociolinguistic situation of Hausa and its speakers and into its phonetics and tonetics. Part Two attempts to introduce the prospective student step by step into the essential features of Hausa grammar. A sum total of 26 lessons, consisting of introductory grammatical sections, examples, vocabularies, a translation exercise, and texts, covers all the basic aspects of grammar and lexicon. Part Three gives, therefore (under the general label 'Reference') more

idioms, realia and grammatical surveys. Part Four (labelled 'Supplementary Material') gives additional texts and a commented selective bibliography, while Part Five brings such essential part of any teach-yourself course as keys to exercises, translations of Hausa texts and short Hausa-English and English-Hausa alphabetical vocabularies.

Pedagogically speaking, the textbook is well presented: most of the lessons are well constructed and balanced, the texts are well selected, so are the vocabularies. Thus, the student is gradually introduced into the most important fields of Hausa life and communication. A Hausa speaker or scholar might have occasionally wished the dialogues to be more extensive, so as to reflect the whole richness of the Hausa colloquial style, but from a strictly pedagogical aspect, one has to keep in mind the beginner's mentality, who just starts to learn Hausa, and not to overwhelm him with all the variety of spoken Hausa. The style of the explanatory notes is concise and mostly clear (as both Kraft and Kirk-Greene are good teachers, indeed); the only methodical handicap seems to be represented by the ample system of cross-references. Thus, they write, e.g.: "...The reason for a short vowel on this and other person-aspect pronouns when following an interrogative is explained in Lesson 20, section 7b (ii)..." This is footnote 2, p. 33, lesson 6. We understand the well-known dilemma of all authors of language textbooks: while respecting a necessary gradual introduction into all the complex problems of grammar and lexicon, they are expected to provide their student with adequate natural language texts from the very first lesson of their textbook. Hence, all the intricacies of the system become reflected in their natural texts, often long before an opportunity is offered to explain them. Cross-references are one obvious remedy, the other being the selection of such more or less natural texts which manifest only the features explained thus far. While the latter procedure may be more painful for the author, the former is often more painful for a non-sophisticated reader or student. The cross-reference system used by the late R. C. Abraham in his otherwise so valuable *Dictionary of Yoruba* will certainly serve for many years as a pedagogical deterrent.

As a grammar of Hausa, the present volume had to face extremely difficult problems. Clearly, such authors as F. W. Parsons, C. T. Hodge, Claude Gouffé, J. Lukas and others, have introduced a new concept of Hausa grammar. The trouble is, however, that neither of these authors has produced — thus far — a general Hausa reference grammar along the lines of his model. Hence, short of any reference grammar comparable to such a work as D. W. Arnott's *Nominal and Verbal System of Fula,* Hausa may be described in terms of the new concepts of its grammar in a partial way only. Apart from the practical problems confronting any author compiling a language textbook under such conditions, a compilation of a scientific Hausa grammar as a whole becomes thus a general necessity (even theoretically). Otherwise the foundations of the new theories, applied to partial aspects of grammar only, may occasionally suffer from a lack of respect for the internal hierarchy of the

system as a whole. Sometimes, the authors of the present Hausa textbook have succeeded in their attempts to bring their own findings and theory as close to the 'Parsonsean' model of Hausa grammar as possible. Moreover, they often succeeded in bringing the particular features of language into the context of its broader hierarchies: this is particularly clear in the section on tones, where the insertion of lexical and grammatical (morphological) tone into the context of its syntactically predictable pattern indicates a very promising new direction of research (pp. 13—19). This did not, however, happen always. Thus, e.g. when considering the vowel quantity of the possessive suffix in the 1st person singular, Kraft and Kirk-Greene label it generally as short, remarking, however, that it is short when "utterance final". "When other words follow, the vowel of the *-na/-ta* becomes long: *àbincīnā̀ nē*..." (p. 47, footnote 1). A different solution appears as more appropriate within the context of the internal hierarchy of language and speech: the vowel of this suffix is generally long, being shortened (as perhaps certain other long vowels in open final syllables) in the utterance final positions. By the way — *'àbinci* displays — according to Cl. Gouffé (and we agree) — a short final vowel. Such examples could well be quoted from various other sections of this textbook: thus, e.g. one is inclined to consider the 'adnominal' and 'adverbial' constructions of ideophones as one category; the *Din* morpheme (in constructions with enclitic demonstratives and numerals) does not seem to represent — though often in distinct tonal manifestations — 'different words' (as the authors state in footnote 2, p. 58), etc. The whole complex of what might perhaps be – using the terms in a most liberal way — called the morphology of case in Hausa (including the problems of verbal grades and the so-called genitive construction and its exponents) is, under the present conditions, being subjected to such a thorough re-thinking, that it is virtually impossible to present its absolutely accurate pedagogical reduction in the form of a textbook lesson, unless, of course, the author intends to use the textbook as a pretext for his own theoretical reformulation of the whole bulk of problems. We have expressed our own opinion on this matter in an earlier work *(Problems of Categories and Word Classes in Hausa,* Prague, Academia, Dissertationes Orientales, vol. 33, 1972). As regards the bibliography, the selective and commented list of references, given in Lesson 43, is very much focused on English-writing authors, indeed. This brings in a certain imbalance, as certain more or less obsolete English-written sources are given attention and comment they hardly deserve today, while such important contributions as those published by Claude Gouffé in French, Johannes Lukas or H. Jungraithmayr in German or members of the Leningrad and Moscow schools in Russian, are confined to cursory, merely honorific notes of the names of their authors. Conversely, even the value of the fully quoted works of English-writing authors suffers from such an approach: Claude Gouffé's contributions on aspect certainly complement F. W. Parsons' papers on gender, etc.

A final technical remark on transcription and realia: why is the UNESCO-recom-

mended orthography for Hausa (1966), accepted theoretically by both Nigeria and Niger, fully disregarded here? At least its marking of vowel quantity by digraphs would deserve some mention, even if the authors had objections against using it extensively through the text of their book. Moreover, all Niger literacy texts in Hausa use it, and their corpus certainly is not negligible. This seems to be in the line of a rather unfortunate neglect of the Niger context of Hausa, as such. Apart from the introductory note on Hausa speakers living in Niger, we hardly find a note about the specific features of Hausa in Niger's communication. This goes so far, that the chapter about realia, dealing with money, currencies and their Hausa terms, gives extensive explanations on naira, sterling and US dollar currencies, but forgets even to mention the peculiar system of Hausa currency denominations in Niger and the CFA monetary area as a whole.

In general, however, we might conclude that while the merits of this book are to be attributed to its authors, its handicaps originate rather from factors outside their good will. One may only hope that the present state of international coordination of Hausa research will improve. The recent announcement of an imminent publication of a new Hausa-English dictionary by the Centre for the Study of Nigerian Language (see Harsunan Nijeriya, 4, 1974, pp. 1—26) is certainly good news, and we may only hope that a sort of internationally coordinated effort will result, sooner or later, in producing a Hausa reference grammar. In the meantime, the Teach Yourself Hausa prepared by Ch. H. Kraft and A. H. M. Kirk-Greene represents, if compared with all other previous Hausa grammars in English, a major achievement. Its authors have done much positive work in various fields, and it is up to the future students to judge their work by their own experience in daily pedagogical practice. As the Hausa proverb says: "*...gwanin dookii say wandà kèe kansà...*" (or, only the rider can judge the horse's value).

Petr Zima

Klíma, Vladimír—Růžička, Karel František—Zima, Petr: *Black Africa. Literature and Language.* Academia, Publishing House of the Czechoslovak Academy of Sciences, Prague 1976, Co-edition with D. Reidel Publishing Company, Dordrecht, Holland/Boston, U.S.A. 310 pp.

This modified and enlarged English version of the original Czech-written book, published in October 1972 in Prague, is a readable and valiantly interpretative survey of the literatures of Black Africa from their beginnings to the present time. There is no doubt that the material presented in both versions of this introduction to African literatures is a step forward in analysis and an important and worthwhile sifting of myriad facts about African literatures. Serious attention is focused here on literatures written in the major Indo-European linguae francae used in sub-Saharan

Africa (English, French, Portuguese), but also in a number of major African languages.

The very composition of the authors' original team helped to set out the pattern of the book. As the working team consisted of one literary historian and two professional linguists, one of whom has done a valuable research in West Africa,[1] the three authors combined linguistic methods with literary analysis "to cover various literacy and literary efforts in the area roughly delimited by Senegal in the west, Kenya in the east, Lake Chad in the north and the Cape in the south," and "to show the mutual relationships which emerge, if the literatures of this area, written either in the major linguae francae or in the African languages, are studied not as isolated phenomena, but as mutually complementary features" (Foreword, p. 9).

The crucial questions for originating African literatures are, no doubt, those of language, form and subject-matter. With a strong oral tradition in their background, modern African writers are using European literary forms and languages as the vehicle for African expression. While deftly tracing the genesis, expression, development and controversies of the developing literacies and literatures of sub-Saharan Africa, whether written in Latin script originally encouraged by missionaries or in Arabic script influenced by Islamic culture, this work attempts to follow the simultaneous, complementary process of literary language development and of the standardization of languages for literary and other cultural purposes. In this regard this is quite the most competent work yet published on African literatures and the authors succeed admirably in blending the contributions of the linguist and the literary historian into the main structure of their book. No one without the authors' double qualifications would seem likely to manage this difficult task so well.

After a short foreword stating the authors' aims and pattern of the book, two valuable chapters on Language and Script in Black Africa and Language and Literature in Black Africa follow. Here Dr. Zima examines the mutual dependence and influence of literacy, literature, language and script, suggesting how different literary traditions developed in response to local social and cultural conditions and different educational and social policies pursued by the various colonial régimes. Stimulating and thoughtful are the author's remarks on the relationship of oral traditions and folklore and written literature, and on the way African elements exert influence on European languages.

Then Dr. Klíma takes on with The Ideology of the Black African Literary Movement illustrating how raditional and modern African and non-African ideological concepts affect the formation of originating national literatures. These three chapters provide a theoretical background to the discussions of particular literatures in European and African languages competently dealt with in the rest of the book. Within this greater part of the work the approach is regional, the basic line

[1] Between 1964 and 1969 Dr. Zima did field researches in the languages of West Africa.

of description proceeding according to different territories from West Africa, Central and East Africa, up to the southern part of the continent, though the chronological criterion is applied within individual chapters whenever this arrangement was found to be useful. There are admirable outlines of the French-written literature of West Africa from the pen of Dr. Klíma and of West African Literature in Standard English by Dr. Zima and Dr. Klíma. In the following chapter Dr. Zima gives us a serious, purposeful, meaningful and committed comment on Literatures in West African Languages.

Dr. Růžička deals with Old Bantu Literature (Chapter VIII), Bantu Tales, Fables and Short Stories (Chapter IX), Black Literature of the Portuguese Territories in Africa and the literature of Madagascar. Also, together with Dr. Klíma, he discusses the literatures of South, Central and East Africa. In the concluding chapter Dr. Klíma, who is also the author of the chapter on Literature of the Congo Area and Rwanda, rounds up the story with a discussion of the role of literary criticism. Particularly useful is Dr. Klíma's assessment of contemporary approaches to African writing and the Index of African Languages and Dialects compiled by Dr. Zima together with Remarks on African Language Systems and Their Classification.

This entire work is somewhat imbalanced in its failure to deal with the relationship of languages, literacies and literatures on East African material. One would wish to find here something similar to what we have been provided for West Africa, a deeper analysis of the ways literatures in both vernacular languages and English have grown in terms of the context of the social, political and cultural conditions of East Africa and the educational and social policies pursued by the respective colonial régimes. Swahili literature is particularly poorly served here. Some arguments presented are difficult to digest and the author also failed to show how Swahili literary traditions have developed in the modern times. One is disappointed to find there nothing on modern Swahili literature and its perspectives not to mention other originating literatures in some East African vernaculars. This was, however, to some extent caused by the unexpected and premature death of Dr. Růžička, in 1972, whose chapters could not be expanded and revised and thus had to be left in their original form.

Despite this flaw, the book remains a most rewarding introductory text helpfully clarifying the overall tendencies of the development of African literatures and making insightful and suggestive connections between African languages and literatures which any student should find provocative and useful.

Viera Pawliková

History of West Africa. Two volumes. Edited by J. F. Ade Ajayi and Michael Crowder. London, Longman Group Limited. Vol. I. first published 1971, reprinted 1975. Vol. II. 1974. XIII + 568 and XIV + 764 pp. respectively. Ill., maps.

It may be said at once that this book is a major achievement and all those interested in African historical studies have benefited from its publication. Some thirty scholars combined here their efforts under the joint editorship of two internationally eminent African historians. The two volumes of *History of West Africa* provided a platform on which the notable school of indigenous historians now working on West African history joined hands with a strong international team of specialized scholars noted for their knowledge of particular areas and periods of West African history to provide "a lucid, scholarly and authoritative synthesis of West African history that can serve as a basic university textbook, as a work of reference for teachers, and a general background for all those interested in West African studies" (p. XI). Historians of this school, reputed for the advancement of historical scholarship in Africa, have more than once displayed most impressively their considerable talents for original research, as well as sweeping new interpretations. The participation of as many as ten African scholars, including the editorship, in a symposium work such as this, is an assertion of the growing centrality of African scholarship to the development of African historical studies.

The major theme of the first of the two volumes, covering the period from the earliest times to roughly 1800, is that of state formation and the development of social and political institutions, with major emphasis on demonstrating the forces which made for the rise of states, such as land tenure, agriculture, and other economic activities, e.g. the control of markets and trade routes, or changes in military technique.

The first three chapters are introductory, starting with Akin Mabogunje's useful introductory chapter on The Land and peoples of West Africa, providing a geographical basis to "the long story of human movements, incursions, displacements, intermixtures or successions of peoples, and of the impact of these on the beliefs, attitudes and social organization of the various peoples who today inhabit this great area" (p. 1). Then Thurstan Shaw takes on with an authoritative reconstruction of The Prehistory of West Africa, and Robin Horton rounds off the story with a chapter on Stateless societies in the history of West Africa. Of necessity, rather than attempting a virtually impossible task of reconstructing at our present state of knowledge the history of stateless societies in West Africa, Horton concentrates on defining his terms and assumptions and sketching a few broad, tentative generalizations. While explicitely refuting the ill-famed Hamitic hypothesis and succinctly outlining his reasons, he concludes with a contention that "in reconstructing the history of West Africa, we need to invoke no mysterious Hamitic *Führerprinzip* in order to understand the transition from statelessness to state organization. In

repudiating the Hamitic hypothesis, of course, we must avoid the opposite extreme of denying any trans-Saharan influence on pre-colonial West African political development..... the ideology of Islam itself contributed immensely to the power of the great kings of the Western Sudan. Nonetheless, the balance of the evidence makes it seem likely that a good deal of the basic business of state formation took place through the development of indigenous principles of social organisation" (p. 119).

Other chapters, starting from Nehemia Levtzion's conspectus of the history of the early states of the Western Sudan to 1500, expand the perspective by tracing the forces which made for the rise of the early states of the Central Sudan, from the pen of H. F. O. Smith, or of Songhay, Bornu and Hausaland in the sixteenth century written by John Hunwick. With the exception of the characteristically authoritative outline of the Atlantic slave trade 1600—1800 by Philip D. Curtin, this theme is further treated in relation to the Niger Delta states and their neighbours between 1600—1800 or the expansion of Oyo and the rise of Dahomey competently described by E. J. Alagoa and I. A. Akinjogbin. Then follows Ivor Wilks' analysis of the Mossi and Akan states in the given period, J. Suret-Canale's clear-headed discussion of the Western Atlantic coast and two essays by J. R. Willis on the Western Sudan from the Moroccan invasion (1591) and by R. A. Adeleye on Hausaland and Bornu between 1600—1800.

Some omissions and gaps are perhaps inevitable in a composite history like this, a major one being the absence of the chapter on the history of the Yoruba and Edo-speaking peoples before 1500 caused by the unexpected death at an early age of Dr. Bradbury who had been commissioned to write it. As we are, however, promised by the editors, any such gaps and omissions, including perhaps an account of the trans-Saharan slave trade, or a full history of the Benin kingdom, are likely to be filled in future editions both by commissioning new authors, as well as taking account of the amount of new material that appears every year on West African history.

For most of the period covered by the first volume, external forces and outside influence, such as the penetration of Islam into the savannah region and of Europeans from the coastal regions, were still of marginal significance. Their role and influence were gradually growing, but were never predominant, and were accordingly treated as subsidiary themes. This is by no means true of the period covered by the second volume. Its major theme is the growing influence of Islam and of Europe which, from 1800 onwards, became increasingly dominant in the lives of the peoples of West Africa.

As many as nineteen chapters of this bulky volume make it impossible to assess each chapter separately. After two solid preliminary chapters on the ideologies of the two movements — Islam and European Christian influences in the early nineteenth century — Reform in West Africa: the Jihād movements of the nineteenth century by Murray Last and Reform in West Africa: the abolition of the slave trade by

Christopher Fyfe, there follows seven regional chapters, narrative histories of particular areas during the period, reviewing developments in the nineteenth century and examining the impact of the external factors on internal institutions. R. A. Adeleye deals with the Sokoto Caliphate, Ronald Cohen and Louis Brenner with Bornu, J. F. A. Ajayi with Old Oyo, Adu Boahen has contributed a rather lengthy account of the Politics in Ghana, 1800—1874, Yves Person described the Atlantic coast and the southern savannahs between 1800 and 1880, A. B. Jones the Republic of Liberia, and B. Olatunji Oloruntimehin the Western Sudan and the coming of the French, 1800—1893.

The rest deal with economic changes in the nineteenth century (J. E. Flint), the European partition of West Africa (J. D. Hargreaves), establishment of colonial rule (A. E. Afigbo), patterns of rule (Michael Crowder and J. F. A. Ajayi) and the recovery of independence. These chapters either survey the whole of West Africa — e.g. Afigbo's chapter, Michael Crowder's two chapters on two World Wars and West Africa, or Crowder and Ajayi's description of the colonial situation in West Africa between 1919 and 1939, or follow the logic of the Anglo-French partition — African political activity in French West Africa, 1900—1940 by G. Wesley Johnson and in British West Africa by J. B. Webster, or Politics of decolonisation in British West Africa, 1945—1960 by Olajide Aluko and in French West Africa, by Crowder and D. Cruise O'Brien.

All the contributors, both African and ex-patriate, have had to deal with difficult assignments which they have carried out admirably. Without exception, the thirty authors, including the editors themselves, succeeded in summarizing current knowledge and interpretations of their subjects and provided us with a most useful synthesis of current historiography. Moreover, most contributors went well beyond it, developing theories already discussed elsewhere[1] and offering new information and deductions. No one interested in any aspect of the history of West Africa will find this well researched and well-documented guide to the whole of West African history unrewarding. The publication of these very handsome and useful volumes is a first-rate contribution to the study of the area which is likely to remain a fundamental work for years to come.

Viera Pawlíková

---

[1] Cf. e.g. Hargreaves's discussion of African resistance in his chapter on the European partition of West Africa. In: *History of West Africa*, vol. II, pp. 402—423 and his substantial article on West African states and the European conquest. In: *Colonialism in Africa 1870—1960.* Vol. 1: *The History and Politics of Colonialism 1870—1914.* Edited by L. H. Gann and Peter Duignan. Cambridge, University Press 1969, pp. 199—219.

Bravmann, René A.: *Islam and Tribal Art in West Africa.* In: African Studies Series. General Editor: J. R. Goody. London, Cambridge University Press 1974. 190 pp., 83 plates, 4 maps.

This little book under review lays claims to originality on two grounds. Firstly, its author has set himself the task to reassess and re-evaluate the assumptions held by a number of distinguished scholars that the relationship between Islam and the arts of sub-Saharan Africa is invariably negative, bent on the destruction of the masking and figurative traditions so integral to the indigenous cultures. Secondly, he was the first to concentrate his efforts and field researches on a detailed examination of the impact of Islam on the visual arts in the regions of the Cercle de Bondoukou (Ivory Coast) and west central Ghana. This region, deeply influenced by the Muslim Mande Dyula, Ligbi and Hwela since at least the seventeenth century, is well suited for the purpose, since in this heavily Islamized area traditional life, local cults, shrines and rituals and associated arts continue to flourish.

Without sound evidence most specialists, such as Trowell, Fagg, Bascom or Michel Leiris and Jacqueline Delange are equally pessimistic about the chances for the survival of tribal art in the face of Islamic expansion, because its uncompromising iconoclastic stance is held to be overtly inimical to representational art. The only exception to the commonly held but unproven assumptions of the detrimental effects of Islamization on the visual arts of West Africa seems to be Frank Willett's recent book on *African Art.*[1] Willett's own researches in Nigeria, in Nupeland, revealed that though Islam may discourage or even prohibit representational imagery, this does not categorically mean the demise of figurative art. What Frank Willett stated without any real conviction, René Bravmann argues with all vehemence and eloquence.

"For many," writes Bravmann, "the aniconic attitudes espoused by Islam (specially those relating to representational imagery) are clearly responsible for the apparent scarcity or demise of the visual arts in areas of West Africa influenced by the faith. But did such elements of Islamic dogma actually have any appreciable impact on Muslims in West Africa? If so, where and how were they applied?"[2] These are the questions the first three chapters deal with, entitled respectively The Islamization of West Africa (Chapter 1), Muslim dogma concerning representational art (Chapter 2) and The Syncretic nature of Islam: the survival of traditional art forms (Chapter 3).

[1] Willett, Frank: *African Art.* New York, Praeger 1971. For the other names and books see the bibliography in Bravmann, R. E.: *Islam and Tribal Art in West Africa*, pp. 178—185.

[2] Ibid., p. 4.

The history of the Muslim Mande in the Cercle de Bondoukou and west central Ghana and their relationship with non-Muslims and with traditional local art forms is then studied against the theoretical background provided earlier. To Bravmann Islam in West Africa is not an extension of the faith in its pristine form but is rather a highly flexible and syncretic phenomenon. The evidence collected in this particular area of West Africa is then exposed to support the author's thesis demonstrated in more general ways in the introductory part of the book.

The major part of the book (Chapters 4 to 8) is a skilful exposition of the high degree of interrelations and interactions between Muslims and non-Muslim cultures and art traditions which the author demonstrates most dramatically on the relationship of the Muslim Mande to the Bedu, Ghain and Do masquerades. The last three chapters describe the very details of the Bedu, Ghain and Do masquerades, the last two of which are controlled by the Dyula, Ligbi and Hwela, in order to underscore the extent to which Islam and traditional art can co-exist.

Research on the secondary-source level done by the author proves that this situation is not an exception to the rule, a highly anomalous situation. Comparative evidence is found in various sources for other parts of West Africa, among, say, the present-day Mande Sanu of Bobo Dioulasso (Upper Volta), the Muslim Mande of Gonja (Ghana), in the heavily Islamized region of Nupe or in the masking traditions among the Mande élite of the fourteenth-century empire of Mali. Some other instances could be quoted, each of them unique and each requiring individual and thorough investigation. There are also four maps and some eighty plates which support the author's points and the text.

Professor Bravmann is at home with his subject and has made an intelligent use of field researches, oral enquiry as well as secondary source material to support his thesis which, undoubtedly, is worth to be studied in detail in other areas where Islam and traditional life and art traditions co-exist.

Viera Pawliková

Dark, Philip J. C.: *An Introduction to Benin Art and Technology.* Oxford, Clarendon Press 1973. 114 pp., 80 plates.

Professor Dark is a well-known authority on the subject who, together with Prof. A. F. C. Ryder and the late Dr. R. E. Bradbury, was engaged on the "Research Scheme for the Study of Benin History and Culture", started in 1956 under the sponsorship of the Nigerian and British Governments and the Carnegie Corporation, New York, in the History Department of the University College of Ibadan in Nigeria. The results of the Benin History Scheme should have been incorporated in

a general book on the cultural history of Benin which, however, due to various circumstances was never completed.[1]

The general data prepared by Professor Dark are included here in some seventy-seven pages of what he himself intended to become a brief introductory account to the art of Benin and the craft of the Edo artist. Written by a specialist in this field, this Introduction will undoubtedly most ably serve as a basic introductory authoritative work on this crucial art-producing culture for many years to come.

Its classifying and especially its dating remain one of the main problems with which students are faced for as the author himself has stated "no work of art from Benin can be dated with any certainty, in terms of a Christian chronology, before 1897".[2] Keeping the difficulties of classifying and dating in mind the author, in this book as in his two previous ones,[3] took great pains at establishing a stylistic chronology based on the corpus of memorial bronze heads of which some 160 have survived from the period before 1897. These magnificent bronze heads which form such a prominent part of the body of Benin art became the main anchor in propounding a chronology based upon the assumption (first advanced by William Fagg) that there exists a developmental sequence of the Benin heads, when considered temporary, starting with relative naturalism which is closest to Ife, to highly elaborate, degenerate and stylistic pieces which seem to be the most recent.

Basically accepting Fagg's typological division into early, middle and late, Dark has further expanded this arrangement into five types, two of which he has subdivided into three sub-types. The five main types of heads distinguishable on the basis of major differences in form between them are then dated after the chronology advanced by the Benin historian Chief Egharevba. This is based on the list of Benin Obas assuming an average reign to last 20 to 25 years. Thus clues from oral history are taken as time-markers, and also markers of a change in form and style, because the origination of each type is associated with the reign of a particular Oba. The arguments for and details of a developmental sequence of the Benin memorial heads are convincingly and painstakingly argued in Chapter 1. Proceeding from the known to the unknown, this procedure takes us safely to the period of the fifteenth and sixteenth centuries when the Portuguese appeared on the scene, when Benin's power was at its greatest and the finest of all the many works of Benin art were produced. Once such a chronology is set up and accepted, it is possible to establish, too, the position in time of the large body of some 900 Benin bronze plaques, a most remarkable commentary on Benin culture, as well as the remainder of Benin art.

[1] The major blow to the Scheme was the death of Dr. Bradbury at an early age in 1969. Professor Ryder published the results of his research as *Benin and the Europeans, 1485—1879.* London, Longmans 1969.

[2] *An Introduction to Benin Art and Technology,* p. 4.

[3] See e.g. Forman, W. and B. — Dark, Philip: *Benin Art.* Produced by Artia, Prague for Batchworth Press Ltd. 1960. Or Dark, Philip: *Benin Bronze Heads: Styles and Chronology.* Paper presented to the Colloquium on African Art History, African Studies Center, Boston University, 14. March 1970, published in Papers in African History, No. 6, by Boston University.

The rest of the book is devoted to an appreciation of some principal forms of Benin art from the European point of view (Chapter 2). Chapter 3 discusses the functional context of Benin art from the perspective of the Bini themselves. "The Seligman or British Museum ivory mask (Plates 33 and 34 ill. 72) is found today set apart, emanating a tranquility, a beauty, remote and strange and witness to the remarkable skill of a great artist, a work of art indeed," Professor Dark cautiously points out. "But the Edo never saw these objects nor regarded them in the manner we do."[4]

Especially valuable are the last two chapters entitled Artists, Artisans, and Craftsmanship (Chapter 4) and Designs and Designing (Chapter 5) where not only the work of brassworkers and blacksmiths, but also that of carvers, carpenters, potters, leatherworkers, and those involved in costuming and beadwork is discussed, including information on the motifs, materials and tools, etc., thus revealing the real breadth and depth of the Benin art.

There is also a list of major collections of Benin art, a bibliography and very detailed notes (pp. 87—109) on the eighty pages of plates, drawings and photographs which support the author's conclusions.

This is a book that can be safely recommended to any student or the connoisseur of African art.

Viera Pawliková

The Cambridge History of Africa. General Editors J. D. Fage and Ronald Oliver. Volume 4. From ca 1600 to ca 1790. Edited by Richard Gray. Cambridge, Cambridge University Press 1975. 738 pp., 19 maps.

Here at last is the first instalment of this collective endeavour of the English-speaking scholarship at a general synthesis of the history of the whole African continent, including Madagascar, from prehistoric to post-colonial times. Cambridge histories have been traditionally regarded as setting an enviably high standard of scholarship. The very names of the two general editors of this multi-volume *Cambridge History of Africa* should be a sufficient guarantee that the contributors are all men of authority in their own fields, whose chapters have undergone the scrutiny of very experienced editorial eyes. This History has been planned in eight

[4] *An Introduction,* p. 27. There is also an interesting comment: "Let it be remembered how conditioned we have become to many objects by the many illustrations we see of them. There is little doubt that clever lighting can bring out in photographs of Benin objects, as of others, qualities which are not there when they are seen face to face in a museum and which are certainly absent in the gloom of a shrine. As an exercise in creativity on the part of the photographer this enhancement of objects to yield new aesthetic facets is commendable, but it should be remembered that this is the field of illusion, a field real and worthy of study per se, but one which distorts the factors of natural vision and the cultural context proper to its function. It is these factors which are the direct concern of anthropologists in the study of an art form and not those artificially imposed on it".

volumes of which Volume 4 is incidentally the first to appear, though, as we are told, Professor John E. Flint's Volume 5 should not be far behind it.

The overall plan for what is doubtless meant to become a standard work of reference is rather simple. Each volume is to be edited by a distinguished volume editor, in this case Professor Gray, who has made a substantial contribution to the understanding of the period in question and with whom the general editors can easily be in close touch. Within the volume, the approach is regional and the policy was to keep the number of both chapters and contributors down to a minimum. Initially only five volumes were planned, dealing with the following periods: Volume 1 — Africa before ca 500 B.C., based entirely upon archaeological sources and edited by an archaeologist (Professor J. Desmond Clark has accepted the commission), was expected to be the last to appear. Volume 2 — From ca 500 B. C. to A. D. 1050 edited by Professor Fage; Volume 3 — From A. D. 1050 to ca 1600 edited by Professor Oliver; Volume 4 — From ca 1600 to ca 1790 edited by Professor Gray and Volume 5 — From ca 1790 to 1875 edited by Professor Flint. Eventually, however, three more volumes were planned, Volume 6 — From 1870 to 1920 edited by Professor G. N. Sanderson; Volume 7 — From 1920 to 1942, editor to be announced and Volume 8 — From 1943 to the 1960s edited by Professor Michael Crowder.

One surprising feature, at least as far as this fourth volume is concerned, is that no African scholars were invited as contributors to the symposium. Yet they should have been represented, not because of their origin as such, but because there are interesting and relevant currents of thought and different methodological approaches in some of the African universities. The reason may be simply the simultaneous preparation of the UNESCO History which is projected as a primarily African enterprise. This might evidently lead to collision in the writing programmes and those who have been commissioned as contributors for the first five volumes and those responsible for the projected UNESCO History are therefore unlikely to be the same. The two general editors nevertheless warn us to remember that "the plan for these first five volumes was drawn up nearly a decade ago, when little or no research had been done on many important topics, and before many of today's younger scholars — not least those who now fill posts in the departments of history and archaeology in the universities and research institutes in Africa itself — had made their own deep penetrations into such areas of ignorance" (Volume IV, Preface, p. XIII). While this may be true, it still sounds a bit strange to the present reviewer considering that the decision to embark on a UNESCO project for a multi-volume General History of Africa was also accepted a decade ago. Be it as it may, UNESCO History in eight volumes now seems to lag a step behind the Cambridge project, which seems to be primarily the task of the School of Oriental and African Studies of the University of London, providing the majority of contributors (Gray, Holt, Fisher, Birmingham and Shula Marks), and sharing the

responsibility with two other distinguished centres of African studies, the Institute of African and Asian Studies of the Hebrew University of Jerusalem (Levtzion and Abir) and the Department of History of the University of California in Los Angeles (Alpers and Ehret), which supplemented the rest. The last contributor is Dr. Walter Rodney, lately of the Department of History of the University of Dar es Salaam.

Both Histories were projected to provide a sort of synthesis of work in progress, of what has been done and what still needs to be done, in the light of some general historical perspective for the continent, the most coherent and up-to-date picture of the historical development and of the present-day understanding and interpretation of the African past. More than ten years ago Professor Oliver argued that African historical studies in Europe and America were concerned with the same issues and approaching them from the same angles as African historical studies in Africa.[1] Almost simultaneous publication of two major attempts at a general synthesis of African history, one of which is likely to be a predominantly African enterprise and another a European, or a Western one, should decide the validity or otherwise of such an assertion.

The volume under review covers the seventeenth and eighteenth centuries. These are considered as a period of transition, when the trade in slaves and firearms on the Atlantic coast was laying some of the foundations for the subsequent European colonialism. For most of the continent outside influences were still of marginal importance. Apart from the field of trade with the far-reaching implications of the slave trade, the encounter of ideas and ideologies between Africa and Europe remained marginal throughout this period, and Muslims and Islam were to remain the predominant external influence for much of Africa at least until the mid-nineteenth century. External forces which were playing an increasingly important but never predominant role were accordingly treated as subsidiary themes. African initiatives as displayed in a wide variety of political, social and intellectual innovations are brought to the fore. This is, perhaps, most important with regard to the slave-raiding and slave-dealing. As the volume editor, Professor Gray has wisely pointed out in his introduction, "the fact that in the Atlantic hinterland as a whole the direct, demographic impact of the slave trade was confined to less than disastrous proportions can in some respects be considered as the most important of African achievements during this period" (p. 4).

After Professor Gray's introductory essay there follow eight regional essays, each attempting a broad survey of the particular area, while keeping the number of details and also of bibliographical references down to a minimum, and striving to unify themes underlying specific historical developments, political, social and economic undercurrents.

---

[1] See Ranger, T. O. (Ed.): *Emerging Themes of African History,* Nairobi, East African Publishing House 1968, pp. X—XI.

Professor Holt opens with a readable and valiantly interpretative summary of the history of Egypt, the Funj and Darfur in the period covered by the volume. Then there follow Dr. Fisher's account of the central Sahara and Sudan, Professor Levtzion's survey of North-West Africa from the Maghrib to the fringes of the forest and Dr. Rodney's persuasive discussion of the Guinea coast. Then Dr. Birmingham takes on with an account of Central Africa from Cameroun to the Zambezi, Dr. Marks and Professor Gray with South Africa and Madagascar, Professors Alpers and Ehret deal with East Africa, Professor Abir with Ethiopia and the Horn of Africa, and once again Professor Rodney, who rounds up the story with an account of Africa in Europe and the Americas.

All the essays are full of relevant and suggestive generalizations for the African historians. The contributors provide admirably rounded essays on the regions they have made their own, drawing with real understanding on the whole range of available sources and producing synthesis in which external forces are seen interacting with autochthonous historical developments. They provide the sort of synthesis of work in progress which make volumes such as this invaluable to all those who want to see African history in its broader contours. If we now possess a clearer picture of African historical developments in this particular period, it is a consequence of the historical expertise and imagination of the contributors, and of their high degree of familiarity with their subjects. Particularly invaluable for any enquiring reader are the twenty-nine pages of bibliographical essays and a selected bibliography. A reference to another of Rossi's works could be, perhaps, added to the bibliography of the Central Sahara and Sudan, and some works by Bombaci and Orhonlu to the bibliography of Ethiopia and the Horn of Africa, 1543—1820.[2] T. Ciecierska-Chapowa's work could have also been mentioned.[3] Semakula Kiwanuka's translation of Apolo Kaggwa's famous *The Kings of Buganda* was published in 1971, not 1970, the same year when the latter's *History of Buganda. From the Foundation of the Kingdom to 1900,* not listed here, came out.[4]

Viera Pawlíková

[2] Rossi, Ettore: *Storia di Tripoli e della Tripolitania della conquista araba al 1911.* Edizione postuma a cura di Maria Nallino. Roma 1968; Bombaci, A.: *Il viaggo in Abissinia di Evliya Çelebi (1672),* in: Annali del Istituto Orientale Napoli, *II,* 1943, pp. 259—275; Orhonlu, C.: *Osmanlı- Bornu Münâsebetine âid Belgeler,* in: Tarih Dergisi, *23,* 1969, pp. 111—130, 7 photos, one map; also Orhonlu, C.: *Osmanlıların Habeşistan Siyaseti (1540—1560),* in: VI. Türk Tarih Kongresi, Ankara 1967, pp. 413—423, with a map; Orhonlu, C.: *Osmanlıların Habeşistan Siyaseti 1554—1560,* in: Tarih Dergisi, *20,* 1965, pp. 39—54, one map; Orhonlu, C.: *Osmanlı İmparatorluğu'nun Güney Siyaseti — Habeş Eyaleti,* Istanbul, Edebiyat Fakültesi Matbaası 1974. XXVII, 317 pp., 4 plates, one map.

[3] Ciecierska-Chapowa, T.: *Extrais de fragments du Siyāhat-nāme d'Evliyā Çelebi concernant l'Afrique Noire,* In: Folia Orientalia, *VI,* Cracow 1964, pp. 239—244.

[4] Kiwanuka, M. S. M.: *A History of Buganda. From the Foundation of the Kingdom to 1900.* London, Longman 1971.

Sík, Endre: *The History of Black Africa.* Volumes III and IV. Budapest, Akadémiai Kiadó 1974. Vol. III 399 pp., vol. IV. 414 pp. Plates, maps.

When, some fifteen years ago, Professor Sík published the first volume of his *Histoire de l'Afrique Noire,* dealing with the history of African peoples south of the Sahara from its inception to the end of the nineteenth century,[1] the full dimensions of his enterprise were not apparent. Two years later, in 1964, a second volume appeared,[2] covering the history of sub-Saharan Africa from the beginning of the twentieth century to World War Two, and a third, dealing with the period during and after the second World War up to the desintegration of colonial empires and independence, was promised. This has just appeared, but now we have two volumes instead of one, and are promised some more, for Professor Sík has found himself so overwhelmed with material that he foresees Volume Five of this series as well as further instalments dealing with social, political and economic developments of newly independent countries in a separate political work. The forthcoming Volume V will discuss the post-war development of the territories still under colonial domination — Angola and the other Portuguese colonies, French Somaliland, South West Africa or Namibia, Southern Rhodesia and South Africa, which the author regards as "nothing else but an ordinary colony which, according to the letter and spirit of the United Nations Charter, has no business to be in the community of sovereign nations, and whose government it would be a sacred duty of the United Nations to sweep off".[3] This accordingly applies also to Southern Rhodesia. This same volume should have also included the post-war history of Ethiopia and Liberia until 1960. As it happens, history is working faster than the historiographer, as Professor Sík himself was quick to notice, and he will have to make substantial changes in his original plans.

As the author stated already in his introduction to the first volume and repeats in the third one, he aimed his work at "unmasking the monstrous historic crimes (the horrible brutalities, outrageous frauds and unparalleled provocations) committed by world capitalism over long centuries, from the time when it was still in the womb of its mother — feudalism", providing thereby "for the peoples of Africa, whether still oppressed and struggling for liberation or already independent, as well as for the world proletariat of our time, a political document, a part of the bill which they will in

[1] The first volume of the French edition of this historical work was published in 1962, but there were also separate editions in Hungarian and English.

[2] Sík, Endre: *Histoire de l'Afrique Noire.* Tome II. Budapest, Akadémiai Kiadó 1964. While the first volume of the series is sub-divided into four parts, see here below, this second volume comprises two sections: Part V — *L'Afrique Noire au debut du XXe siècle (A partir de l'achèvement de l'occupation jusqu'à la fin de la première guerre mondiale (1900—1918)* and Part VI — *L'Afrique Noire dans la période entre les deux guerres mondiales (1918—1939).*

[3] See Vol. III, Foreword, p. 13.

due time present to their adversary and debtor, contemporary world imperialism, successor to the slave dealers, the invaders and butchers of the African peoples from the 15th to 19th centuries" (pp. 13—14).

This is not to be a comprehensive history or an original work of synthesis. Sík claims to have written a political history, in his terminology a political document, which in its approach is directly opposite to those histories examined overtly from the point of view of the imperialist colonial interests, but also different from the approach of those liberal-minded authors propagating the imperialist viewpoint in a vague form disguised with their liberalism. It should, moreover, also differ from that of sectarian Marxist authors who, "in a dogmatic manner, taking no notice of the real social conditions of African countries and the real living and working conditions of their peoples, measure the class relations and the role of the classes by the same standard which Marx and Lenin established to measure the phenomena of the class struggle going on in capitalist countries" (p. 14).

Sík's *History of Black Africa* was the first attempt at a general synthesis of the history of Black Africa from early times to independence written by a Marxist historian. It was thus inevitably intended to fill a serious gap in the available books of broad geographical as well as temporal scope dealing with African history and written from a Marxist point of view. Since the appearance of this massive work was acclaimed as the first representative work of synthesis on African history, an authoritative attempt at a Marxist interpretation of African historical development, this short flashback to the first two volumes of this series may be justified.

Current African historiography tends to think that present-day Africa is based on a double heritage: a long traditional period and a short but highly disruptive colonial period. Recent histories of Africa are therefore organized accordingly. At first sight the arrangement of the series under review arouses surprise. The main weakness of this *History* is conceptual and structural. In organization and in content it defies the present-day tendency to Africanization and historicization of African history. In Sík's conception the pre-colonial African history seems to be just an unavoidable prelude to colonial history and independence. While in his recently published book the African historian Joseph Ki-Zerbo devoted a mere thirty pages to the years 1900—45, a still smaller proportion than they received in the recent collective work edited by Hubert Deschamps, and the twentieth century is dealt with quite briefly in

[4] See Ki-Zerbo, Joseph: *Histoire de l'Afrique Noire.* Paris, Hatier 1972. 702 pp., ill. Also Deschamps, Hubert (Ed.): *L'Histoire Générale de l'Afrique Noire.* Tome I: Des Origines à 1800. Paris, Presses Universitaires de France 1970. 576 pp. A very good comprehensive history of Africa including Madagascar is the Czechoslovak collective work edited by Hrbek, I. (Ed.): *Dějiny Afriky* (History of Africa). Prague, Svoboda 1966, in two volumes, 482 and 655 pp. respectively. See my review in Asian and African Studies, vol. IV, 1968 and for a comparison of Sík and Hrbek's periodisation of African history also my article *Problémy africkej historiografie* (Problems of African Historiography). In: Historický časopis, *23*, No. 3, 1975, especially pp. 560—565.

just over a hundred pages,[4] the wrong Eurocentric conception of African history made Sík summarize the whole historical development of Africa up to the arrival of the Portuguese in some seventy pages entitled *Black Africa before the Intrusion of the Europeans, till the End of the fifteenth century.* In the remaining pages of the first volume he described the whole history of sub-Saharan Africa to the end of the nineteenth century. Professor Sík is an orthodox Marxist, who, absolutely ignoring internal dynamics of African historical development, mechanically applied the Marxist periodization of universal history based on European situation, to African history. The second period is according to this conception, called *Black Africa in the Epoch of Primitive Accumulation (16th-18th century),* the third one *Black Africa in the Period of Industrial Capitalism (1789—1870)* and the fourth period *Black Africa in the Period of the Passage from Capitalism to Imperialism (The Period of Colonialism and Partition of Africa, 1870—1900).* It is not intended here to go into details as this has already been ably done elsewhere.[5] The implicit lesson is that even such well-established concepts as those used by Marxist historiography cannot be applied indiscriminately and mechanically.

The function of this first volume is thus, it would seem, to provide a historical tableau preparing the reader for the culminating epoch in African history, the colonial period and the twentieth century which are discussed in the remaining volumes of the series. If there was a new thesis edging its way from out of the pages of this study, it insisted in the first place, that Africans influenced the course of their history to a very much greater degree than has been generally allowed, that they were not passive objects but active subjects of history. Undoubtedly, this needs to be underscored, as it is often a missing component here. Those who, in the spirit of present-day orthodoxy in African historiography, look for an analysis which would take them further in the search for the internal dynamics of African pre-colonial history, would look in vain. African historiography is the one branch of African studies that is changing very rapidly through new discoveries as well as through new interpretations. Since the scope of this study is so vast, its author was obliged to rely on the available data and factual material assembled by generations of Africanists, but unfortunately, as some irritating errors betray, the narrative material is rarely based upon the best authorities in the field and the copious results of recent research. It is especially true of the first two volumes of the series based on the obsolete source material from the turn and the first decades of the twentieth century ignoring the findings of contemporary scholarship.

The third and fourth volumes of the series are very much what one would expect them to be from the circumstances of their origin. They accurately reflect the author's avowed policy. In this space, it is not, of course, possible to enter into any

[5] Hrbek, Ivan: Towards a Periodisation of African History. In: Ranger, T. O. (Ed.): *Emerging Themes of African History.* Nairobi, East African Publishing House 1968, pp 37—52.

detail or attempt to assess individual chapters of the bulky volumes. Suffice it to say that the approach has been regional and the history of each particular territory is dealt with in a separate chapter during and after World War Two which together form Parts Seven and Eight of the work. Each section is preceded by a chapter giving an overall picture of the situation during the given period, i.e. Part Seven — *Black Africa during World War Two (1939—1945)* and Part Eight — *Disintegration of the Colonial System in Black Africa*. These two parts form Volume Three, Part Eight also covering the whole of Volume Four of the series. Both contain some plates, Vol. III also one map. Select bibliographies suggested for further reading accompany each chapter, but there is no index. Though such a suggestion may seem fanciful, topical chapters should have been perhaps a bit more interesting and certainly more succinct than the long narrative accounts devoted to each particular territory which seem to exaggerate somewhat the importance of detailed history in an undertaking of this sort. Sometimes the author follows the cues too zealously into numerous nooks and crannies and his way of handling and presentation of data makes the book less valuable and much more difficult to work with or get through than it should have been.

This *History of Black Africa* will not revolutionize nor change the trend of African historical studies. Professor Sík has closely followed his stated aims, in emphasizing the study of the policy issues and writing comparatively little on social and economic ones, and provided us with a political document. This, of course, accords with his ideological commitments. His *History* is a large book on a large subject, a mine of fact collected in accord with his avowed policy, almost impossible to read consecutively. It should be recognized for what it is, an outspoken criticism of the imperial record in Africa. The publication of these four massive volumes of *The History of Black Africa,* accomplished by a single author, is undoubtedly an achievement as imposing as its unusually wide coverage suggests and remains a testimony to the scholarly enthusiasm of the Hungarian scholar.

Viera Pawliková

Fage, J. D.: *States and Subjects in Sub-Saharan African History.* Tenth Raymond Dart Lecture delivered 5 February, 1973. Johannesburg, Witwatersrand University Press for the Institute for the Study of Man in Africa and Museum of Man and Science 1974. 24 pp.

The tradition that authorities of international eminence representative of relevant disciplines be invited annually to deliver a Raymond Dart lecture was started at the Institute for the Study of Man in Africa in 1962. The tenth distinguished contributor

to the series was Professor Fage who devoted his speech to the institution of slavery in African societies.

Results of recent research into the problem are beginning to place the role of slavery and other forms of unfreedom in tropical Africa in a new historical perspective. According to some Africanists, including Fage, the shortage of people in relation to the abundance of cultivable land provides the key to the development of institutions of servitude in African societies. Conditions of servitude in African societies in relation to their socio-economic and socio-political functions still need to be explored. These African systems which nineteenth and twentieth century Europeans labelled "slavery" may not have been very different in kind, but certainly analogous in purpose, to the systems of human dependence that emerged in early mediaeval Europe. He then follows this point by comparing the early mediaeval European situation (ca. 800—1025) as described in Marc Bloch's classic study *Feudal Society* with tropical Africa thus arriving to some helpful analogies. Analysing the factors which made for the process of both enslavement and of state formation, he distinguishes striking parallels between the process of political mobilization in at least some African (or West African, for here lies his own area of expertise) societies and the growth of feudalism in early mediaeval Europe. Among the factors which made for the process of political and economic mobilization are, to quote the author: "a great shortage of people, and a need for more people to realize the potential of the abundant land, to produce goods for trade, and to operate systems of administration over areas large enough to enable adequate profits to be made from trade and tribute without the danger of interference from outsiders" (p. 15).

It is a short, but lucid exposition of some basic points discussed at length elsewhere.[1] Some conclusions may still seem tentative and need to be buttressed by further evidence. Nevertheless, they at least suggest to scholars areas where their efforts are still needed.

Viera Pawlíková

Ogot, B. A. (Ed.): *Zamani. A Survey of East African History.* New Edition. Published for the Historical Association of Kenya. Nairobi, East African Publishing House and Longman Kenya 1974. 405 pp.

Here is a book that addresses itself to the study and an authoritative and up-to-date assessment of the last two thousand years in East Africa. The publication

[1] E.g. Fage, J. D.: *Slavery and the slave trade in the context of West African history.* Journal of African History *10*, 1969, No. 3. Also Fage, J. D.: *A History of West Africa.* Cambridge 1969; reprinted with corrections 1972, pp. 81—95. The theme of state formation is fully discussed in Ajayi, J. F. A. and Crowder, Michael (Eds): *History of West Africa*, Vol. 1, London, Longman 1971, reprinted 1975.

in 1968 of the first edition of *Zamani*,[1] the second edition of which is now lying in front of the present reviewer, can be said to have been prompted by the challenging background and stimulating atmosphere of the International Congress of African Historians held at University College in Dar es Salaam in October 1965. This conference acted as a catalyst and a starting point for the promotion of Kenyan and Tanzanian historical studies, leading eventually to the formation of Historical Associations in both countries. The impact of this conference, combined with the far-reaching and productive activities of the newly created historical associations, must have together created a climate fermenting ideas which served as a stimulus to produce an up-to-date work of synthesis on East African history. A natural response to the pressing need for such a history was the publication of a composite work involving a strong international team of eighteen specialized scholars.

This introduction to East African history, sponsored by the newly created Historical Association of Kenya and produced with exemplary speed within some six months, proved to be a success. The continuing demand for it[2] led to the production of a Second Edition. According to its sole editor, Professor Ogot, all the chapters, except chapters 15 and 16 (namely that by the Makerere historian Dr. M. S. M. Kiwanuka on Uganda Under the British, and the one on Economic and Social Developments before Independence by Cyril Ehrlich) were considerably revised and about half of them completely re-written. This is, however, something the present reviewer is ill-equipped to judge as the original edition has been unavailable to her.

For a co-operative work seeking to cover such a great expanse of time, it is a very good book indeed. A whole host of new ideas was absorbed and incorporated by the authors into the interpretation of their subjects, drawing extensively on their own original work and current knowledge and interpretation of the specific problem. As has once been stated "one of the more stimulating aspects of working in the field of African studies is the co-operation between scholars of related disciplines such as is not always found among those working in other parts of the world",[3] and historians of Africa have been outstanding in promoting this co-operation. In this respect *Zamani* stands well and its pages provided a platform on which not only historians but also political scientists, economists, archaeologists, geographers and linguists could most impressively display their talents for exposition as well as for original research and contribute the results of their studies and investigations into respective problems.

---

[1] The first edition of *Zamani: A Survey of East African History* was edited jointly by B. A. Ogot and J. A. Kieran and published by East African Publishing House and Longmans, Green and Co. Ltd. in 1968 for the Historical Association of Kenya. Professor Ogot is solely responsible for the second edition.

[2] There have been two reprints.

[3] See The Journal of African History, XII, 1971, No. 2, p. 319.

Certainly much can be said in favour of the book under review. Though not openly envisaged as a practical teachers' handbook or as a textbook for undergraduate use, it is apparent that *Zamani* (which in Swahili means ancient times, antiquity or the past) will be widely employed for this purpose in the existing dearth of good intermediate text-books on the history of Africa. Though all the chapters are of value, some are particularly stimulating and others are models of a fresh and concise exposition, notably that by Professor Merrick Posnansky on The Prehistory of East Africa. There is, for example, also an admirable outline of "The Historian's Craft" in Africa, or East Africa in particular, his sources, methods and problems, by J. A. Kieran, Francis Ojany's clear-headed analysis of the Geography of East Africa, or a valuable essay by J. E. G. Sutton on The Settlement of East Africa, incisively phrasing his rejection of the Hamitic myth and the use of the very term "Hamitic" even as a linguistic term. To prevent confusion, Greenberg's linguistic terminology avoiding the word Hamitic was adopted. N. Chittick's valuable conspectus of the East African coast before the arrival of the Portuguese and its sequence The Coast from the Portuguese Invasion by F. J. Berg are also worth mentioning. D. W. Cohen and C. Ehret discuss the River-Lake Nilotes and the Cushites and the Highlands and Plains Nilotes respectively, and there follow characteristic contributions by two indigenous historians G. S. Were and I. N. Kimambo on The Western Bantu Peoples and The Eastern Bantu Peoples, all the contributions covering the period to roughly A.D. 1800. In some eighteen pages N. R. Bennet dealt with The Arab Impact which follows E. A. Alpers' outline of The Nineteenth Century as a prelude to colonialism and discussions on Kenya and Uganda under colonial rule from the pens of two notable indigenous historians M. S. M. Semakula Kiwanuka and the editor himself, and on Tanzania by J. Iliffe. Three chapters on modern history of East Africa by Cyril Ehrlich, Professor Mazrui and D. P. Ghai bring the story to the year 1971 and to its end.

The tables and the good sketch-maps which accompany almost every chapter are successfully designed for the needs of a common reader and betray an effort to make the book easily digestible to a wider public.Conclusions and questions worth to be noted which follow each chapter, as well as the select bibliographies are carefully compiled to serve the same end.

The publication of this good and useful book is surely something of a milestone in the development of East African historical studies. It helps to solve the problem of keeping history teachers, and all those who are interested in but cannot often have ready access to the copious results of recent research, abreast of a subject which is changing very rapidly through new discoveries as well as through new interpretations. As the publication of the first edition has proved, it can successfully serve the objective of raising standards in the "history room" and carry the findings of contemporary scholarship to a new and much wider African public.

Viera Pawlíková

Chevrier, Jacques: *Littérature nègre. Afrique, Antilles, Madagascar.* Paris, Armand Collin 1974. 288 pp.

Dans son livre *Littérature nègre* Jacques Chevrier s'est donné pour but une tâche extrêmement difficile et complexe — écrire une introduction à la littérature négro-africaine en langue française, qui s'efforce d'être à la fois un bilan et une mise en perspective. «Nous avons bien conscience» dit l'auteur «que notre travail comporte plus d'hypothèses que de certitudes; toutefois, en choisissant de dresser ce panorama, qui laisse délibérément dans l'ombre un certain nombre d'œuvres mineures ou redondantes, notre propos a surtout consisté à présenter sous un jour susceptible de mieux les éclairer les textes les plus marquants de la littérature africaine contemporaine, en même temps que certains aspects de l'environnement socio-culturel dans lesquels ils s'inscrivent et qui permettent de mieux comprendre leur signification et leur portée» (Conclusion, p. 274).

L'exposition-même est divisée en deux sections — I. La littérature négro-africaine en langue française de 1921 à nos jours (pp. 11—176) et II. Situation et perspectives (pp. 179—273). La première partie de la première section Naissance d'une littérature évoque les péripeties de la découverte de l'art nègre et analyse le milieu qui avait influencé le mouvement poétique et le roman de langue française en Afrique noire à l'époque entre les deux guerres. Dans cette partie l'auteur s'occupe aussi des problèmes du mouvement si controversé de la Négritude et il précise utilement l'arrière-plan historique qui reflète bien les projets et les hésitations de l'avant-garde nègre.

La seconde partie de la première section décrit La montée de la grande poésie nègre, la troisième partie L'âge du roman et la dernière partie retrace l'évolution du théâtre négro-africain, des origines du théâtre traditionnel au théâtre contemporain. Ici on trouve aussi l'analyse des œuvres originales les plus marquantes, leurs contenus et significations dans le contexte mouvementé des societés africaines contemporaines.

Un des thèmes les plus intéressents de l'étude est, dans la deuxième section Situation et perspective, la tentative qui traite de l'homme de culture africain face à ses responsabilités, et décrit les relations complexes entre la tradition orale et la littérature écrite. L'auteur montre ici beaucoup de compréhension pour les problèmes des relations et des influences mutuelles des littératures orales et écrites, les problèmes du passage de l'oral à l'écrit et les problèmes linguistiques. Ces considerations aussi bien que celles consacrées à la place de l'écrivain en relation avec son public ont conduit Jacques Chevrier à formuler l'hypothèse suivante sur l'avenir de la littérature négro-africaine: «Il est évidemment encore trop tôt pour dire ce que sera la littérature africaine de l'avenir, mais on peut toutefois estimer, à la lumière des productions de certains pays anglophones comme le Nigéria ou le Kenya, qu'il faudra résolument sortir de l'ornière de la mauvaise conscience et, dépassant la

fausse alternative tradition — modernisme, s'engager résolument dans l'expression de la société contemporaine (p. 276)... le rôle de l'écrivain africain n'est pas de rédiger des glossaires ou des notes en bas de page, mais bien se jeter au cœur de la mêlée, et qu'en conséquence la littérature africaine ne peut qu'être engagée» (Conclusion, p. 280).

L'œuvre est complétée par Quelques repères bibliographiques contenant une sélection des textes les plus notoires et les plus accessibles.

Dans son ensemble, *Littérature nègre* répresente un très bon et stimulatif apport à nos connaissances des littératures africaines de langue française. Il est, néanmois, dommage que l'auteur n'ait pas davantage approfondi l'analyse et élargi la perspective en ajoutant des littératures africaines en langues anglaise et portugaise.

Viera Pawliková

Africa South of the Sahara 1975. Fifth edition of a survey and reference book of all the countries south of the Sahara Desert. London, Europa Publications Limited 1975. 1137 pp., 28 maps.

Europa Publications have already gained an enviable reputation for publishing very authoritative and detailed reference works on different parts of the world. Following the same general outline, they provide the background information necessary for a proper understanding of day-to-day developments of the countries of this or that part of the world and descriptions of each country's physical and social geography, its economy, history and religions, system of government, of law and education. A statistical survey and a summary of the constitution can be also found there and there are always selected bibliographies compiled for each country and some basic reference material, including a Who's Who. With each new edition the material is thoroughly updated and revised.

More than sixty experts have contributed to this fifth edition of *Africa South of the Sahara,* first started in 1971. This excellent single-volume reference work makes two contributions to our understanding of present-day Africa. Firstly, it presents a very clear account of recent political developments and secondly, it provides a wealth of factual data, including the latest statistical information and directory material on each country, such as the names of the members of the government and diplomatic corps of each country, leaders of political parties and religious bodies, lists of communications media, banks and insurance companies, trade and industry, tourism and transport, educational and cultural institutions (universities, libraries etc.), with addresses, names of principal officials, and other pertinent facts. This, of course, enormously enhances the practical value of the book.

The first out of the four parts (pp. 3—73) is an admirably lucid and readable general introduction to the history of Africa right from the start down to the end of

the nineteenth century (Basil Davidson), to languages (David Dalby), problems of political, social, economic and educational developments, of agriculture and industrialisation, concluding with a survey of African religions (Geoffrey Parrinder).

The second part (pp. 75—136) lists African regional organizations, with full details of their officials and activities.

The most substantial one is Part Three (pp. 137—1009) including detailed country surveys, covering physical and social geography, recent history, economy, statistics, directory, each survey being supplemented with a map and a select bibliography.

The last section (pp. 1011—1137) comprises Other Reference Material, a carefully compiled and extensive Who's Who in Africa south of the Sahara, a section dealing with calendars, time reckoning, weights and measures, a survey of primary commodities of Africa, agricultural and minerals, a list of research institutions, associations and institutes studying Africa, and a select bibliography of periodicals.

Certain omissions and gaps are perhaps inevitable in a publication such as this. This regards mainly the last two sections mentioned which are particularly deficient on factual information concerning Africanist research centres in European socialist countries and their periodicals. The only Institute of International Politics and Economics listed there, which, by the way, has long ago adopted a new name (Institute of International Relations), is far from being the foremost Czechoslovak centre of Africanist research. This task belongs rather to the Oriental Institute of the Czechoslovak Academy of Sciences and its Slovak counterpart, the Department of Oriental Studies of the Slovak Academy of Sciences. It goes without saying that no Czechoslovak periodical, either the Archív orientální of the Prague Institute or this annual, Asian and African Studies, is listed here.

These are, however, minor errors in a meticulously edited and beautifully printed publication. Any book on contemporary Africa, by the time it finds its way to the readers may be somewhat out of date. Nevertheless, the background information provided by the present book is indispensable to a proper understanding of the more up-to-date reports supplied by the press. *Africa South of the Sahara* is at the present time the most authoritative and detailed reference work, invaluable to everyone interested in this fast-changing part of the world.

Viera Pawlíková

African Encyclopedia. London, Oxford University Press 1974. 554 pp.

This is a single volume encyclopedia centred on a wide range of subjects. The real width of range is shown by a subject area guide which can be found on p. 14, following a short one-page introduction or some basic instructions for an inexperienced student on How to find information. Though certainly not a complete list of all the articles, it nevertheless suggests something of it, starting as it is with African history, peoples, languages and culture, agriculture with its many subdivisions — ag-

ricultural economics, animal science, crop science and so on, through biology, astronomy, chemistry, development, to art, drama, music, natural history, social sciences, international affairs or literature. There is also a meticulously prepared index.

It is an African encyclopedia in the sense that it is designed primarily to serve the practical needs of African students and teachers. It was compiled therefore with attention centred on subjects of African interest, but also a whole range of general subjects such as agriculture, economic development, mythology, religion, society etc. are treated from an African perspective and viewpoint. Many, probably the majority of contributors are Africans and others are seasoned Africanists or people with considerable knowledge and experience of Africa.

Certainly, the range of subjects makes it difficult to read the whole with sustained interest and understanding. Limited by this journal space and my own ignorance, let me concentrate upon African studies in general and one principal theme in particular, history, especially African history.

Much of the body of the book consists of area-by-area summaries. There is a separate article (with sections on Geography, Economy, Towns and History) on each country of Africa with its own map, but also separate articles on virtually every country of the world, with maps of the continents. The coverage of these articles is of necessity uneven, they understandably favour those regions where the book is likely to be used, and the heavily African standpoint of the work is very apparent here.

Some imperfections are probably inevitable in a volume by so many hands which, moreover, seeks to cover such a great expanse of time, space and subject. Frequently, the authors are obliged to pass rapidly over critical issues or are liable to overstate a case. The truth is that some contributors have had to deal with virtually impossible assignments such as, for example, when confronted with the task of summarizing the whole history of a country, say Czechoslovakia, in some eight! sentences. Perhaps some histories in a nutshell (especially African ones) should not have been so reticent on the more recent history and more space should have been allotted to particular political problems, thus bringing the history more up-to-date. Indeed, this encyclopedia claims to have provided information as accurate as possible at the time of writing.

With this reservation, it may be said that it is a good book and despite some omissions or questionable judgements (vide histories of some European countries, Hungary, Czechoslovakia, Austria), most entries, especially those of African interest, are very lucid, concise and level-headed, summarizing well current knowledge and interpretations of the particular subjects. *African Encyclopedia* may be regarded as a welcome complement to the existing straightforward reference tools accessible to a wider African public.

Viera Pawliková

Zimoń, Henryk: *Regenriten auf der Insel Bukerebe (Tanzania).* Universitätsverlag Freiburg (Schweiz) 1974. 184 S.

Der Universitätsverlag Freiburg (Schweiz) hat das Werk des polnischen Völkerkundlers Henryk Zimoń unter dem Titel *Regenriten auf der Insel Bukerebe (Tanzania)* herausgegeben. Dieses Buch ist das Ergebnis einer halbjährigen stazionären Untersuchung der Regenriten, welche einen Teil des Forschungsprojekts des Ethnologischen Seminars der Universität Freiburg, unter der Leitung von Professor Dr. Hugo Huber bildeten. Die ethnologischen und ethnohistorischen Untersuchungen über die Regenmacher und Regenriten hat der Forscher mit der Unterstützung des Schweizerischen Nationalfonds zur Förderung der wissenschaftlichen Forschung in Bern von Juni bis November 1968 auf der Insel Bukerebe im Viktoriasee durchgeführt.

In der Einleitung seiner Arbeit erörtert der Verfasser das Ziel und die Methoden der Untersuchung der Regenriten. Der Wechsel des Aufenthaltsortes ermöglichte es dem Verfasser, in relativ kurzer Zeit 57 Gewährsmänner befragen. Noch wichtiger war dieser Aufenthaltwechsel für die Interviews mit den 18 Regenmachern, die auf der ganzen Insel in verschiedenen Dörfern und Siedlungen zerstreut wohnen. Das Literaturstudium über Regenzeremonien in Uganda und Ostafrika erlaubte dem Verfasser einen umfangreichen Fragebogen zusammenzustellen. Es diente an Ort und Stelle als Gedächtnisgrundlage (S. 11).

Ferner untersucht der Autor die geographischen, sozialen und wirtschaftlichen Bedingungen des Ursprungs des Regenmacheramtes, er beschreibt und analysiert die Riten, die im Zusammenhang mit solchen Naturphänomenen wie Regen, Blitz, Hagel und Wind ausgeführt wurden.

Im Mittelpunkt der Untersuchung ist das Amt des professionellen Regenmachers, seine Ausbildung und Installation, seine soziale Stellung, seine magische Ausrüstung, zu der neben den Medizinen eine Anzahl von rituellen Objekten gehören, die bei der Durchführung der Regenriten, sowie anderer Zeremonien Verwendung finden (S. 21—42). Am meisten gebraucht werden die Regentöpfe, Regensteine, Hörner, Speere und kleine Pflöcke (S. 43—64). Die Regenmedizinen bestehen meist aus pflanzlichen Produkten. Ihre Kenntnis ist für jeden Regenmacher von grösster Wichtigkeit. Ihre spezifische Zusammensetzung ist ein Berufsgeheimnis des Regenmachers. Der Verwendung der Regenmedizinen liegt der Glaube an die Wirksamkeit der in den Pflanzen vorhandenen Kräfte zugrunde, die der Regenspezialist nützlich machen kann (S. 54). Neben dem magischen spielt auch das religiöse Moment in den Regenriten eine Rolle. Kein Regenmacher würde behaupten, dass er mit den Regenmedizinen allein imstande sei, den Regen herbeizurufen. Die Hilfe des Schöpfergottes Namuhanga und vor allem der Ahnen ist notwendig. Diese öfters geäusserte Übersetzung kommt auch in verschiedenen Segensformeln zum Ausdruck (S. 55).

Der Verfasser widmet eine besondere Aufmerksamkeit der Analyse des Regenrituals (S. 65—90). Nach der allgemeinen Darstellung des Regenrituals (S. 70—78) folgt die Beschreibung von drei konkreten Regenzeremonien, die auf seine Bitte von den drei Regenmachern vorgeführt wurden. Es handelt sich also nicht um tatsächliche, sondern inszenierte Regenriten (S. 84). Das 5. Kapitel behandelt andere Funktionen des Regenmachers, und zwar: Aufhalten des übermässigen Regens, verschiedene Reinigungsriten, Behandlung der sogenannten Regenkrankheit, sowie die Anwendung von Sanktionen gegen Diebstahl (S. 91). Der historischen Darstellung der Funktion des Königs als obersten Regenmachers (S. 117—129) liegen neben den Aufzeichnungen des Verfassers über die mündliche Überlieferung auch andere, zum Teil unveröffentlichte und zum Teil veröffentlichte Quellen zugrunde. Im letzten Kapitel werden schliesslich verschiedene Aspekte und Probleme der Untersuchung in einem grösseren geographischen Rahmen dargestellt und mit parallelen ethnographischen Daten aus Ost- und Südafrika verglichen.

Das Buch Henryk Ziмoń's verdient in jeder Hinsicht unsere Anerkennung. Vor allem darum, dass der Verfasser seine Forschungen unter schweren Bedingungen durchführen musste und dessenungeachtet in relativ kurzer Zeit ein reiches Material gesammelt hat. Abschliessend muss noch auf die anspruchsvolle Methode der Forschungen auf der Insel Bukerebe, das Anknüpfen von Kontakten mit der Regenmacher und Medizinmännern, die Kunst ihr Vertrauen zu gewinnen, die Kenntniss der Psychologie der Eingeborenen, und nicht in letzter Reihe — die Systematik der Erläuterung des gesammelten Materials hingewiesen werden.

Ján Komorovský

BOOKS RECEIVED

Africa South of the Sahara 1975. Fifth edition of a survey and reference book of all the countries south of the Sahara Desert. London, Europa Publications Ltd. 1975. 1137 pp. + 28 maps.

African Encyclopedia. London, Oxford University Press 1974. 554 pp.

Benedict, Peter: *Ula, An Anatolian Town.* Social, Economic and Political Studies of the Middle East. Volume XII. Leiden, E. J. Brill 1974. 280 pp.

Béteille, A.—Madan, T. N. (Eds): *Encounter and Experience. Personal Accounts of Fieldwork.* Honolulu, The University Press of Hawaii 1975. 225 pp.

The Cambridge History of Africa. General Editors J. D. Fage and Ronald Oliver. Volume 4. From ca 1600 to ca 1790. Edited by Richard Gray. Cambridge, Cambridge University Press 1975. 738 pp. + 19 maps.

Cantarino, Vicente: *Arabic Poetics in the Golden Age.* Leiden, E. J. Brill 1975. 220 pp.

Cohen, David: *Le parler arabe des Juifs de Tunis.* Tome II. The Hague — Paris, Mouton 1975. 318 pp.

Colonialism in Africa 1870—1960. Vol. IV. The Economics of Colonialism. Ed. by Peter Duignan and L. H. Gann. Cambridge, Cambridge University Press 1975. 719 pp.

Dąbrowski, K.—Nagrodzka-Majchrzyk, T.—Tryjarski, E.: *Hunowie europejscy, Protobułgarzy, Chazarowie, Pieczyngowie.* Wrocław—Warszawa—Kraków—Gdańsk, Ossolineum—PWN 1975. 647 pp.

Dahm, Bernhard: *Emanzipationsversuche von kolonialer Herrschaft in Südostasien.* Band 37 der Schriften des Instituts für Asienkunde in Hamburg. Wiesbaden, Otto Harrassowitz 1974. 171 pp.

Deutsch, Eliot: *Studies in Comparative Aesthetics.* Monographs of the Society for Asian and Comparative Philosophy, No. 2. The University Press of Hawaii 1975. 95 pp.

Ebied, R. Y.—Young, M. J. L.: *The Story of Joseph in Arabic Verse.* Leiden, E. J. Brill 1975. 57 pp.

The Economic Development of East and Southeast Asia. Ed. by Shinichi Ichimura. Monographs of the Center for Southeast Asian Studies, Kyoto University. Distributed as an East-West Center Book. Honolulu, The University Press of Hawaii 1975. 393 pp.

Etiemble: *Essais de littérature (vraiment) générale.* Paris, Gallimard 1975. 350 pp.

Frye, R. N. (Ed.): *The Cambridge History of Iran.* Volume 4: The Period from the Arab Invasion to the Saljuqs. Cambridge, Cambridge University Press 1975. XIII + 734 pp.

Günday, Dündar: *Arşiv Belgelerinde Siyakat Yazısı Özellikleri ve Divan Rakamları.* Ankara, Türk Tarih Kurumu Basımevi. 1974. 259 pp.

Han Shan: *150 Gedichte vom Kalten Berg.* Aus dem chinesischen Han Shan Shih übersetzt, kommentiert und eingeleitet von Stephan Schuhmacher. Düsseldorf—Köln, Eugen Diederichs Verlag 1974. 177 pp.

Hartmann, Angelika: *an-Nāṣir li-Dīn Allāh (1180—1225). Politik, Religion, Kultur in der späten ʿAbbāsidenzeit.* Berlin—New York, Walter de Gruyter 1975. 362 pp. + 4 maps.

Hook, Peter Edwin: *The Compound Verb in Hindi.* The Michigan Series in South and Southeast Asian Languages and Linguistics No. 1. The University of Michigan, Center for South and Southeast Asian Studies 1974. 318 pp.

Hsüan Tsang: *Ch'eng Wei-shih Lun. The Doctrine of Mere-Consciousness.* Translated from the Chinese Text by Wei Tat. Hong Kong, The Ch'eng Wei-shih Lun Publication Committee 1973. 818 pp.

Ibnal-Faqīhal-Ḥamaḏānī: *Abrégé du livre des pays.* Traduit de l'arabe par Henri Massé. Damas, Institut français de Damas 1973. 440 pp.

Iran. Natur, Bevölkerung, Geschichte, Kultur, Staat, Wirtschaft (Buchreihe Ländermonographien, Band 5, Herausgegeben vom Institut für Auslandsbeziehungen, Stuttgart). Herausgegeben von Ulrich Gehrke und Harald Mehner. Tübingen—Basel 1975, Horst Erdmann Verlag 1975. 471 pp.

Islamkundliche Abhandlungen aus dem Institut für Geschichte und Kultur des Nahen Orients an der Universität München. Hans Joachim Kissling zum 60. Geburtstag von seinen Schülern. Redigiert von H. G. Majer. Beiträge zur Kenntnis Südosteuropas und des Nahen Orients. XVII. Band. München, Dr. R. Trofenik 1974. 194 pp.

Karpat, Kemal H. and Contributors: *Turkey's Foreign Policy in Transition (1950—1974). Social, Economic and Political Studies of the Middle East.* Vol. XVII. Leiden, E. J. Brill 1975. 233 pp.

Klíma, Vladimír—Růžička, Karel František—Zima, Petr: *Black Africa. Literature and Language.* Academia, Publishing House of the Czechoslovak Academy of Sciences, Prague 1976, Co-edition with D. Reidel Publishing Company. Dordrecht—Boston. 310 pp.

Kolb, Albert: *Die Chinesen, Japaner und Inder auf den Philippinen.* With an English Summary. Band 38 der Schriften des Instituts für Asienkunde in Hamburg. Wiesbaden, Otto Harrassowitz 1974. 142 pp.

Krader, Lawrence: *The Asiatic Mode of Production.* Assen, Van Gorcum 1975. 454 pp.

Liu, James J. Y.: *Chinese Theories of Literature.* Chicago, The University Press 1975. 197 pp.

Louis, A.: *Tunisie du Sud. Ksars et eillages de Crêtes.* Paris, ECNRS 1975. 370 pp.

Mair, Lucy: *African Societies.* London, Cambridge University Press 1974. 251 pp.

O'Malley, L. S. S.: *India's Social Heritage.* London, Curzon Press—New York, Octagon Books 1975. 194 pp.

Memoiren eines Janitscharen oder Türkische Chronik. Eingeleitet und übersetzt von R. Lachman. Kommentiert von C.-P. Haase, R. Lachman, G. Prinzing. Slavische Geschichtsschreiber. Hrsg. von G. Stöckl. Graz—Wien—Köln, Verlag Styria 1975. 233 pp.

Ostasienwissenchaftliche Beiträge zur Sprache, Literatur, Geschichte, Geistesgeschichte, Wirtschaft, Politik und Geographie. Veröffentlichungen des Ostasien-Instituts der Ruhr Universität Bochum. Band 11. Wiesbaden, Otto Harrassowitz 1974. 439 pp.

Stachowski, Stanisław: *Studien über die arabischen Lehnwörter im Osmanisch-Türkischen.* Teil I: A—I. Wrocław, Ossolineum 1975. 145 pp.

Sunflower Splendor. Three Thousand Years of Chinese Poetry. Co-edited by Wu-chi Liu and Irving Yucheng Lo. Bloomington—London, Indiana University Press 1975. 630 pp.

Turner, Robert F.: *Vietnamese Communism. Its Origins and Development.* Stanford, California, Hoover Institution 1975. 517 pp.

Wilhelm, Richard: *Botschafter zweier Welten.* Düsseldorf—Köln, Eugen Diederichs Verlag 1973. 207 pp.

Wolf, Margery—Witke, Roxane (Eds): *Women in Chinese Society.* Stanford, California, Stanford University Press 1975. 315 pp.

Wu, Yuan-li: *The Strategic Land Ridge.* Stanford, Stanford University 1975. 97 pp.

Zaki, Abdel-Malek N.: *The Closed-List Classes of Colloquial Egyptian Arabic.* (Janua Linguarum, Series Practica 128). The Hague—Paris, Mouton 1972. 240 pp.

ASIAN AND AFRICAN STUDIES XIII

Prebal a väzbu navrhol *Ján Meisner*
Redaktorky publikácie *Klára Moravcová* a *Eva Zikmundová*
Technický redaktor *Jozef Szabó*

Vydanie prvé. Vydala VEDA, vydavateľstvo Slovenskej akadémie vied v Bratislave, roku 1977 ako svoju 1952. publikáciu. Strán 336. Vytlačila Kníhtlačiareň Svornosť, n. p., Bratislava. AH 25,34 (text 25,34), VH 25,96. Náklad 600 výtlačkov.

1197/I—1973
71—034—1977
12/12 509—58
Kčs 50,— I