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LINGUISTICS



## **The category of reflexivity in Russian**

MARCIN GRYGIEL

### **Abstract**

The present paper is centered around the semantics of the Russian reflexive marker seen from the perspective of a larger and often neglected category of reflexivity.<sup>1</sup> Russian, among other Slavic languages, employs a system of two etymologically related markers to encode the function of reflexivity. In the case of Russian, the reflexive pronoun *себя* ‘-self’ constitutes the heavy marker, syntactically independent, while the light reflexive marker has two allomorphs. The variation depends on the inflectional form of the verb. The allomorph *-сь* appears after vowels and the *-ся* after consonants. In contrast, the participle forms always appear with the *-ся* form. Additionally, the light marker is attached to the stem after other morphological markers, such as person, number and gender. Diachronically, the light form appeared as a clitic and used to take two cases: the accusative and the dative. Through diachronic changes, the case distinction was lost forming a single marker. Typologically, in a language employing a two-marker system, the light marker tends to be polysemous, covering a range of different functions in addition to the reflexive one, as is the case in Russian. In the following analysis we will try to show that the two most common linguistic encodings of reflexivity – synthetic and analytic – are related to each other and, in fact, represent the same category.

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<sup>1</sup> Studies on reflexivity in English appear to focus on two issues: one is an account of the relationship between the reflexive pronouns and their antecedents (i.e. the possible distance between a reflexive and the antecedent), and the other is the distribution of personal and reflexive pronouns (Drogosz 2012).

**Key words**

reflexivity, reflexive verbs, reflexive pronouns, transitivity, passive voice, middle voice, impersonal constructions

**La catégorie de réflexivité dans le russe****Résumé**

Le présent article est centré sur la sémantique du marqueur réflexif en russe, vu de la perspective d'une catégorie plus large et souvent négligée qu'est la catégorie de réflexivité.<sup>2</sup> Le russe, entre autres langues slaves, utilise un système avec deux marqueurs liés étymologiquement pour traduire la fonction de réflexivité. Dans le cas du russe, le pronom réflexif *себя* (soi, soi-même) est un marqueur lourd, indépendant syntaxiquement, tandis que le marqueur réflexif léger a deux allomorphes. La variation dépend de la forme flexionnelle du verbe. L'allomorphe *-сь* apparaît après les voyelles et le *-ся* après les consonnes. Par contre, les formes participes ont toujours la forme *-ся*. En outre, le marqueur léger est attaché à la racine après d'autres marqueurs morphologiques, comme la personne, le nombre ou le genre avec les formes participes. Du point de vue diachronique, la forme légère apparut comme un clitique et avait deux cas : l'accusatif et le datif. Avec les changements diachroniques, la distinction des cas fut perdue et un seul marquer fut créé. Du point de vue typologique, dans une langue qui utilise un système de deux marqueurs, le marqueur léger a tendance à être polysémique et à remplir plusieurs fonctions différentes en plus de la fonction réflexive, comme dans le cas du russe. Dans l'analyse suivante, nous allons essayer de montrer que les deux expressions de réflexivité les plus populaires – la synthétique et l'analytique – sont liées l'une à l'autre et qu'en réalité, elles représentent la même catégorie.

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<sup>2</sup> Les études sur la réflexivité dans l'anglais semblent se concentrer sur deux questions: l'une est un compte-rendu de la relation entre les pronoms réflexifs et leurs antécédents (par exemple, la distance possible entre le pronom et l'antécédent), l'autre c'est la distribution des pronoms réflexifs et personnels (Drogosz, 2012).

## Mots clés

réflexivité, verbes pronominaux, pronoms réflexifs, transitivité, voix passive, voix moyenne, constructions impersonnelles

### 1. Synthetic markers of reflexivity

Reflexivity is a kind of relation where a given element is related to itself. Thus, reflexivity refers to a circular relationship in which one element is a reflection or repetition of a previously used element. In linguistics, the category of reflexivity is typically associated with reflexive verbs and reflexive pronouns. Its function resides in establishing a co-reference between the semantic object and the semantic subject (patient/theme and agent). One way of marking reflexivity in Russian is the post-verbal reflexive affix *ся/сь*. Reflexive verbs are usually divided into several unrelated groups according to the presumed meanings of the affix. They may, for example, express the concept of 'self' as in *одеваться* 'to dress oneself', reciprocal relations *поцеловаться* 'to kiss each other', feelings and attitudes *гордиться* 'to be proud'. They are also used in specific constructions, such as the middle voice and impersonal speech. The only property Russian reflexive verbs are said to have in common is their intransitivity.

Unlike most other Slavic languages, where reflexive verbs are used with the reflexive pronoun functioning as a clitic, i.e. a free morpheme (Blg./Mac./Srb./Slo./Cz./L.Sorb. *se*, Slk. *sa*, H.Sorb. *so*, Pol. *się*, O.C.S. *se*), East Slavic languages rely on reflexive affixes to mark reflexivity on verb stems. In Russian, the postverbal reflexive suffix *ся* is affixed to verb forms ending in a consonant and *сь* is affixed to forms ending in a vowel.<sup>3</sup> The reflexive marker *ся/сь* is one of the central morphological categories of Russian verbs in addition to aspect. It covers an

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<sup>3</sup> All active participles are affixed with *ся* no matter if they end in a consonant or vowel, e.g. *смеющаяся* 'laughing'.

impressive array of different functions forming a complex category. The complexity of the category stems from the fact that the reflexive marker has penetrated most of the categories associated with verbal semantics: voice, aspect, personal versus impersonal, transitivity versus intransitivity.

Reflexive verbs are usually divided into several unrelated groups according to the presumed meanings of the affix. For example, the Russian linguistic tradition has been primarily concerned with establishing a taxonomy of meanings or functions associated with the reflexive marker. As a result, a number of classifications and groupings have been offered (e.g. Шахматов 1925, Янко-Триницкая 1962, Виноградов 1972, Шведова 1982). In these studies, semantic groups were differentiated on the basis of semasiological criteria, where meanings/functions were attributed to every verb carrying the reflexive marker regardless of the semantic range the verb may display in actual usage or any other systems it may make part of. This procedure seems to be typical of the morphologically-oriented convention commonly upheld in the Russian linguistic tradition. However, the classical categories have served as a convenient point of departure and a valuable source of reference for later analyses. The most frequently differentiated groups can be summarized by means of the classification provided below.

### **1.1. True reflexives**

In the case of “true” or “genuine” reflexives, the agent turns the action back upon herself or himself. Thus, the action referred to by the verb is directed towards its agent. This seems to be the most prototypical class within the whole category of reflexive verbs and here the meaning of the reflexive marker *ся/сь* is most closely associated with the meaning of the pronoun *себя*. The class contains a number of verbs which relate to personal grooming: *умываться* ‘to wash oneself’, *купаться* ‘to bathe’, *причёсываться* ‘to comb one’s hair’, *бриться* ‘to shave one-

self', *пудриться* 'to powder oneself', *краситься* 'to paint oneself', *гримироваться* 'to make up', *одеваться* 'to dress oneself', *раздеваться* 'to undress oneself', *переодеваться* 'to change clothes', *обуваться* 'to put on one's shoes', *разуваться* 'to take off one's shoes'.

## 1.2. Reciprocal reflexives

The reflexive marker can also express the relationship of reciprocity, i.e. a situation when two or more individuals are involved in a joint action. The reciprocal relationship is expressed in English by the reciprocal pronouns *each other* or *one another*. In fact, the same function can be rendered by the use of analytic, instead of synthetic markers also in Russian, such as the reciprocal construction *друг друга*.

Typically, the class includes verbs referring to mutual bodily interactions or gestures, such as *целоваться* 'to kiss each other' and *обниматься* 'to embrace one another'. By extension, the meaning of reciprocity can also be transferred to more abstract or intellectual activities involving two or more co-operating agents, e.g. *делиться* 'to share', *здороваться* 'to say hello', *советоваться* 'to get advice', *мириться* 'to make it up',  *совеща́ться* 'to consult', *условиться* 'to agree', *встретиться* 'to meet'. Some reciprocal reflexives denote conflict and dispute, e.g. *биться* 'to beat', *бороться* 'to fight', *ссориться* 'to quarrel', *ругаться* 'to squabble', *браниться* 'to defend'. As observed by Wade (2011: 324), this class of reflexives is typically complemented with the instrumental as in: *делиться с ближним* 'to share with a neighbour', *делиться счастьем* 'to share happiness', *помириться с девушкой* 'to make peace with the girl',  *совеща́ться с лидерами оппозиции* 'to consult with opposition leaders', *условиться с доктором* 'to arrange an appointment with a doctor', *здороваться с посторонними женщинами* 'to say hello to strange women', *ругаться с му-жем* 'to quarrel with a husband', *бороться с ленью* 'to fight laziness'.

### 1.3. Semi-reflexives

A semi-reflexive verb denotes an action which is typically not reciprocal, i.e. it is not directed towards the agent, as in the case of genuine reflexives, but rather it refers to an action which the agent performs for himself or herself, instead of directing it at himself or herself. Wade (2011: 321) provides two examples of such verbs: *запасаться* ‘to stock up with’ (e.g. *запасаться продуктами* ‘to stock up with groceries’) and *укладываться* ‘to fit’ (e.g. *укладываться в график* ‘to fit into the schedule’). Other illustrations of semi-reflexives include *добиться* ‘to achieve’ (e.g. *добиться успехов в жизни* ‘to achieve success in life’), *трудиться* ‘to work hard’ (e.g. *трудиться не покладая рук* ‘to beaver away’), *готовиться* ‘to prepare’ (e.g. *готовиться к войне* ‘to prepare for war’). The semantics of these verbs indicates that they normally express intense or purposeful actions. There is an active involvement on the part of the agent.

### 1.4. Intransitive/passive reflexives

Intransitivity is very closely related to reflexivity. In fact, almost all reflexive verbs, with very few exceptions, are intransitive. Thus, a reflexive formant may transform a transitive verb form into an intransitive verb form and a clause in the active voice to a clause in the middle voice:

(1) *Он продолжал работу. Работа продолжалась.*  
‘He continued to work. The work continued.’

(2) *Мы остановили автобус. Автобус остановился.*  
‘We stopped the bus. The bus stopped.’

In the examples given above, the reflexive suffix imparts the passive meaning to transitive verbs. The class includes verbs such as *строиться* ‘to build’, *управляться* ‘to manage’, *охраняться* ‘to protect’, *обслуживаться* ‘to serve’. According to

Wade (2011: 323), the possibility of indicating the agent of an action (usually in the form of an instrumental) distinguishes the passive from the intransitive construction in Russian:

- (3) *Книги возвращаются в библиотеку учениками.*  
'The books are returned to the library by the pupils.'  
(passive)
- (4) *Они возвращаются домой.*  
'They return home.'  
(intransitive)
- (5) *Колёса движутся водой.*  
'The wheels are moved by water power.'  
(passive)
- (6) *Толпа движется по улице.*  
'The crowd moves down the street.'  
(intransitive)

It seems that reflexivity is not only related to intransitivity and passivity, but also to imperfectivity. It should be noted that only imperfective verbs tend to function as reflexive passives and the perfective passive is generally formed by means of the predicative form of the past (perfective) passive participle:

- (7) *Флаг поднимается. Флаг поднят.*  
'The flag is going up. The flag is up.'
- (8) *Остров превращивается в заказник. Остров превращён в заказник.*  
'The island is being changed into a sanctuary. The island has been turned into a sanctuary.'

Furthermore, there is a number of verbs which are reflexive only in the imperfective, e.g. *ложиться/лечь* 'to lay down', *пересаживаться/пересесть*, *садиться/сесть* 'to change seats', *становиться/стать* 'to become'. Reflexive verbs which belong

to this class – being intransitive, passive and imperfective – are often used to express permanent qualities and habitual characteristics of objects they refer to:

- (9) *Эта палка не сгибается.*  
'This stick does not bend.'
- (10) *Эти тарелки не бьются.*  
'These plates do not break.'
- (11) *Собака кусается.*  
'The dog bites.'
- (12) *Земля вращается.*  
'The Earth rotates.'

### **1.5. Impersonal reflexives**

Impersonality is yet another major grammatical category with which reflexivity interacts. Impersonal constructions are very typical of not only Russian, but of all Slavic languages. Typically, as observed by Sussex and Cubberley (2006: 393), impersonal constructions express a reduced notion of agency as they have no expressed subject and so are in between actives and passives (Kemmer 1993). Note that in Romance linguistics, the reflexive impersonal construction is described as the “middle voice”, and in Russian linguistics, the term *средне-возвратный залог* (Калинина and Аникина 1975: 135) refers to a much wider category in which the action is described from the point of view of the agent and it is not directed towards a patient. In the true impersonal construction, however, there is no grammatical subject and if an agent or experiencer is indicated, the noun or pronoun takes the dative case. This is why the following constructions are often referred to as “dative subject constructions” (Grygiel 2013: 194):

- (13) *Мне нравится Москва.*  
'I like Moscow.'

- (14) *Ей хочется в театр.*  
'She feels like going to the theatre.'
- (15) *Ему не сидится дома.*  
'He doesn't want to sit at home.'
- (16) *Ученику удалось решить задачу.*  
'The student managed to solve the task.'
- (17) *Мне не торопится.*  
'I'm not in a hurry.'

Observe that in impersonal constructions the agent has no control over the described action. In general, they describe situations which have to do with chance, health problems (*мне нездоровится* 'I do not feel well', *ему не спится* 'he cannot sleep'), inclinations or urges (*хочется* 'to feel like'), unwillingness (*ей не работается* 'she doesn't feel like working'), natural phenomena (*смеркается* 'it's getting dark'). Presumably, as a result of the interaction with the category of impersonality, the reflexive morpheme is often used to express feelings and attitudes, also in personal constructions, e.g. *бояться* 'to be afraid', *гордиться* 'to be proud', *любоваться* 'to love, to enjoy', *надеяться* 'to hope', *наслаждаться* 'to enjoy', *нравиться* 'to like', *опасаться* 'to be afraid', *расплакаться* 'to burst into tears', *рассмеяться* 'to burst out laughing', *сомневаться* 'to doubt', *улыбаться* 'to smile', *беспокоиться* 'to worry', *веселиться* 'to have fun', *волноваться* 'to be concerned', *восхищаться* 'to admire', *печалиться* 'to be sad', *пугаться* 'to feel scared', *радоваться* 'to rejoice', *удивляться* 'to be amazed'. The semantics of these verbs indicates that the agent has no or very little control over the performed action. The action itself is more like volition, attitudinal stance or physiological state rather than a physical activity.

## 2. Analytic markers of reflexivity

The term *grammatical analytic marking* refers to coding strategies where grammatical information is conveyed by free grammatical markers or function words. Such markers are members of synchronically closed word classes. In English, for example, they include conjunctions, determiners, pronouns, prepositions, infinitive markers, and modal verbs. In Slavic languages, on the other hand, the number of analytic markers is smaller, but the same grammatical functions tend to be performed by means of their synthetic correlates where grammatical information is signalled by bound grammatical markers. The following classification shows that Russian, like a vast majority of world languages, relies on both synthetic and analytic markers and uses both coding strategies interchangeably to express the semantics of reflexivity.

### 2.1. Reflexive pronoun *себя*

Reflexive pronouns are intrinsically related to reflexive verbs. Note that the synthetic reflexive marker *ся* is the old short form of the accusative of the reflexive pronoun *себя*. Its variant form *сь*, on the other hand, is often claimed to have derived from the dative form of the same pronoun – *себе* (Nesterowicz 2001: 168). In some Slavic languages – such as Slovene, Macedonian, Croatian and Czech – the distinction between the accusative clitic form (O.C.S. *\*sebe* > *se*) and the dative clitic form (O.C.S. *sebě* > *si*) is still preserved. On the whole, the analytic marker *себя* expresses more varied relationships than its historical successor – the synthetic marker *ся/сь*. However, there are still examples in Russian in which the old analytic marker is preserved in verbs, while in other Slavic languages it has been replaced by its cliticized equivalent, e.g. *вести себя* versus Pl. *zachowywać się*/Ukr. *поводиться*/Srb. *понашати*

*се* 'to behave', *чувствовать себя* versus Pl. *czuć się*/Ukr. *почуватися*/Srb. *oseћати се* 'to feel'.<sup>4</sup>

The reflexive pronoun works on a very simple iterative principle. When the agent of an action is also its patient, the action is reflected back onto the agent, thus making it the target. This situation has many characteristics of a mirror effect. The analytic reflexive marker functions as a direct object and indicates that the verbal action is directed at an object identical with the agent, i.e. the reflexive object mirrors the subject.

Most languages have a special reflexive pronoun which is used exclusively to replace a pronoun that would refer to the same object as the subject does. This genuine reflexive pronoun is expressed in Russian by *себя*. The Russian reflexive pronoun *себя* means '-self' and is used to refer back to the subject of the sentence. This pronoun has no nominative case and occurs only in the singular form:

(18) *Он был так одинок, что сам купил рождественский подарок для себя.*

'He felt so lonely that he himself bought a Christmas present for himself.'

(19) *Я построил себе дом. Поэтому горжусь собой.*

'I have built my own house. That's why I'm so proud of myself.'

(20) *Она не любит рассказывать о себе.*

'She doesn't like talking about herself.'

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<sup>4</sup> Analyses of Polish reflexives have been conducted within a variety of theoretical frameworks: Wilczewska (1966) and Szlifirsztajnowa (1968) investigated *się* within the descriptivist tradition, Kardela (1985) and Reinders Machowska (1991) proposed an account of reflexivity using the framework of the Government and Binding Theory, Kański (1986) analyzed *się* from the point of view of set-theoretical semantics, Kubiński (1987) proposed an Arc-Pair grammar analysis of *się*, Szymańska (2000) provided a construction grammar study of *się* and Cognitive Grammar study of reflexivity can be found in Dąbrowska (1997), Rudzka-Ostyn (2000), Tabakowska (2003) and Drogosz (2008).

- (21) *В эту минуту я увидел себя в зеркале.*  
 ‘At that moment I saw myself in the mirror.’

The reflexive pronoun is marked for neither gender nor number and refers back to the subject of the clause. As shown in the examples above, it is used as the object of a verb when it describes a situation in which the person affected by the action is the same as the person carrying it out.

## 2.2. Emphatic reflexive pronoun *сам*

The reflexive pronoun *себя* may combine for emphasis with the emphatic pronoun *сам*. Unlike the former, the emphatic pronoun declines like an adjective and agrees with the noun or pronoun it qualifies. It may precede or follow a noun and its function is to add emphasis to the reflexive pronoun *себя*:

- (22) *Он поранил сам себя.*  
 ‘He hurt himself.’
- (23) *Он поранил себя.*  
 ‘He hurt himself.’
- (24) *Он сам поранился.*  
 ‘He hurt himself.’
- (25) *Он поранился.*  
 ‘He hurt himself.’

Observe that in the sentences given above the emphatic pronoun intensifies the reflexive function realized either by an analytic or synthetic marker. Semantically, its role is to exclude the possibility of interference of other parties in the performance of an action. Thus, its meaning can be rendered in English as ‘alone, on one’s own, i.e. without others involved’ or

‘-self’, e.g. *Я сам это сделал.* ‘I did it myself.’<sup>5</sup> The marker *сам* is the short form of *самый*. The fact that the pronoun has two forms seems to suggest that it is a modifier related to the Common Slavic adjective meaning ‘alone’.

### 2.3. Possessive reflexive pronoun *сво́й*

The possessive reflexive pronoun *сво́й* declines like an adjective and agrees with the noun it qualifies in gender, case and number. It always refers back to the noun or pronoun functioning as the subject of a sentence:

(26) *Евгений Максимович сейчас живёт у своего брата.*

‘Yevgeny Maksimovich now lives with his brother.’

(27) *Ученики думают только о своей подруге.*

‘Students think only about their friend.’

(28) *Она довольна своими студентами.*

‘She is pleased with her students.’

English has no correlate of the possessive reflexive pronoun. In English, the regular possessive pronoun is used regardless of whether the reference is identical with the subject or not. Again, since the pronoun *сво́й* is reflexive in this co-referential sense, it cannot be used in the subject but only in the predicate of a clause.

### 3. Conclusion

The distinguished classes seem to show that the category of reflexivity is represented in Russian by means of both synthet-

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<sup>5</sup> According to Langacker (1991: 367-369), the SELF-marker, as a pronoun, profiles a thing and in the prototypical reflexive construction stands as the landmark of the relation. The relationship which underlies the distinction between reflexive and personal pronouns, and which motivates the use of reflexive markers in non-prototypical constructions is discussed at length by Langacker (1987, 1991, see also Drogosz 2008).

ic and analytic markers. Russian, among other Slavic languages, employs a system of two etymologically related markers to encode the function of reflexivity. Haiman (1983) characterizes them as the heavy and the light marker. In the case of Russian, the reflexive pronoun *себя* constitutes the heavy marker, which is syntactically independent, while the light reflexive marker has two allomorphs *ся/сь*. As a consequence, any analysis of the semantics of reflexivity cannot be limited to only one of its formal markers. In contrast, the samples presented above support the view that reflexivity forms a complex system with numerous subclasses. What is more, the synchronic and diachronic facts are tightly intertwined in the texture of the category. Subsequently, its analysis should be conducted in a wider cross-linguistic and panchronic context.

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## **Beats-and-Binding phonology explorations into /s/ voicing in English**

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### **Abstract**

Is /s/ voicing an active (natural) process in contemporary English phonology? Is there a possibility to trace a common denominator to all the disjoint contexts of English /s/ voicing? In standard Natural Phonology fricative voicing is assumed to be an example of a morphological rule – that is, a dead process which lost its phonetic conditioning (cf. Donegan and Stampe 2009). The hypothesis which I will propose in this paper is that the apparent medley status of /s/ voicing in English can be partially explained within Beats-and-Binding phonology as a group of natural preferences which, however, can be blocked by morphological information in a set of contexts. To address this issue I shall present a survey of how the problem of fricative voicing in English has been handled in a selection of strands of phonological theory (e.g. Prins 1977; Kim 2001; Chomsky and Halle 1968; Westbury and Keating 1986). Then I make a proposal to address the issue from a different perspective: a B&B formalization and an explanation of some of the voicing contexts, by proposing an extension to the B&B paradigm, namely, the notion of a stress concentrator, which is proposed here as a property of tonic binding in Prototypical Stress-timed Languages. The discussion also uses insights from Zabrocki's (1980 [1960]) structural phonetics.

### **Key words**

Beats-and-Binding phonology, /s/voicing, lenition, stress, stress concentrator, prefixes, Natural Phonology

## **Les explorations dans le modèle de la phonologie des battements et des liaisons (*Beats-and-Binding* phonology) dans la prononciation du /s/ en anglais**

### **Résumé**

La prononciation du /s/ est-elle un processus actif (naturel) dans la phonologie anglaise contemporaine? Est-il possible de tracer un dénominateur commun pour tous les contextes disjoints de la prononciation anglaise du /s/? Dans la phonologie naturelle standard, la prononciation des fricatifs est considérée comme un exemple d'une règle morphologique – c'est-à-dire d'un processus mort qui a perdu sa détermination phonétique (cf. Donegan et Stampe 2009). L'hypothèse que je propose dans cet article est que le statut apparemment mixte du voisement du /s/ en anglais peut être partiellement expliqué par la phonologie *Beats-and-Binding* (phonologie des battements et des liaisons) comme un groupe des préférences naturelles qui peuvent cependant être bloquées par l'information morphologique dans certains contextes. Pour aborder cette question, je vais présenter une étude des manières dont le problème du voisement des fricatives en anglais fut traité dans une sélection des théories phonologiques (par exemple: Prins, 1977; Kim, 2001; Chomsky et Halle 1968; Westbury et Keating 1986). Ensuite, je propose d'aborder la question de perspective différente, c'est-à-dire du point de vue de la formalisation B&B et de l'explication de quelques contextes de prononciation, en proposant une extension du paradigme B&B, notamment de la notion du concentrateur d'accentuation, qui est postulé ici comme propre à la liaison tonique dans les langues dont le rythme est fonction des syllabes accentuées. Dans la discussion j'utilise également les idées de la phonétique structurale de Zabrocki (1980 [1960]).

### **Mots-clés**

Beats-and-Binding, phonologie des battements et des liaisons, voisement du /s/, lénition, accentuation, concentrateur d'accentuation, préfixes, phonologie naturelle

## 1. Introduction

In the paper I propose an exploration of some contexts of /s/ voicing in English.<sup>1</sup> The discussion tries to unify all the environments of /s/ voicing using the model of Beats and Binding phonology (B&B henceforth), which is a phonological framework developed by Dziubalska-Kołodziejczyk (e.g. 1996, 2002), couched within the paradigm of Natural Phonology (henceforth NP). The phonological interpretation proposed in the paper will also rely on my extension to the B&B model, namely a suggestion that the so-called ‘stress-basedness’ of a language is phonologically grounded in the property of a binding relation prevailing in a given synchronic state in a language. I propose to call this property a ‘stress concentrator’. Rather than attempting a categorical *yes/ no* answer to the status of phonological /s/ voicing in contemporary English, the discussion will try to uncover some tendencies, that is, environments where changes are more likely to take place unless they are prevented by morphological factors.

The task will first be carried out by revising some of the work done from different perspectives on the phenomenon of /s/ voicing as a lenition in English, in particular: i) the proposal that what happens now with e.g. the {ex-} prefix is similar to the processes denominated as Verner’s Law (or Verner’s Law in English); ii) surveying phonological work on OE fricative voicing. Finally, I will address work reported in Chomsky and Halle (1968) (*Sound pattern of English* – henceforth *SPE*). The relevant sections of *SPE* are both those relating to /s/ voicing *per se* and those modelling the representations of English prefixes. My analysis will rely on insightful observations of particular contexts of the occurrence of English /s/ voicing as con-

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<sup>1</sup> The analysis is based only on relevant standard varieties: SA and RP English. The data primarily come from *SPE*, and Chomsky and Halle are specific in that their conclusions are based on American English. The online and paper dictionaries consulted also do not seem to provide any distinctions between the two varieties regarding this phenomenon, hence there are no a priori hindrances to generalizing the two standard varieties. All translations are mine, MHG.

cisely enumerated by Chomsky and Halle (1968). My work will also point out some problems implicated in *SPE* explanations and try to propose an amendment thereto within the NP framework. The analysis will start by recapitulating contrasting contexts for the occurrence of the voiced alveolar fricative in English, contrarities which are covered in *SPE* by a diacritic ‘=’, and try to account for some of them. The discussion will show that the model with a stress concentrator yields a good combination of explanatory adequacy and logical strength, providing novel insights into the conundrum of English /s/ voicing although, admittedly, not all descriptive facts could have been accounted for at this stage of the research.

Since English /s/ voicing is largely dependent on stress placement, B&B seems particularly suitable as a framework to analyze and model the phenomenon in question, since it assumes that the diverging phonotactic preferences of languages are regarded as originating at the level of rhythmic preferences – Level 0. Since such preferences constitute the framework of the phonological structure, they are of crucial importance to phonological analysis.

Beats-and-Binding Phonology, developed by Dziubalska-Kołodziej (e.g. 1995, 2002, 2009) is a syllable-less phonological model, grounded in Natural Phonology.<sup>2</sup> The model assumes two basic functions of language – communicative and cognitive. The communicative function subsumes two main expedients of phonology: perceptibility and pronunciability. According to B&B, the type of isochrony in a given language conditions the binding preferences of that language.

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<sup>2</sup> This is but a brief sketch of the B&B theory, containing remarks only of a very general nature which will facilitate the understanding of the analytical framework used in this study. A comprehensive account can be found in e.g. Dziubalska-Kołodziej 2009 (see also Dziubalska-Kołodziej 1995, 2002). “The structure usually referred to as “the syllable” in standard syllable models here is epiphenomenal or indeed emergent due to principled phonotactic forces. The latter are responsible for different degrees of intersegmental cohesion which, in turn, determines the behavior of segments and creates the impression of syllable structure” (Dziubalska-Kołodziej 2009: 57). See also references to classic studies/theories of the syllable within the domain of Natural Phonology in Donegan and Stampe (1978).

“Languages have a wide spectrum of choices ranging from the simplest beat-timing to more complex stress-timing, against the background of a universally preferred trochaic rhythm” (Dziubalska-Kołodziejczyk 1995: 66). In particular, B&B upgrades canonical two-partite division into stress-timed and syllable timed by proposing 4 categories: prototypical stress-timed, non-prototypical stress timed, prototypical beat timed and non-prototypical beat timed languages (cf. Dziubalska-Kołodziejczyk 1995, 2002 for detailed discussion with e.g. Dauer 1983). In B&B, English is a Prototypical Stress Timed language (henceforth PST).

The next level beyond rhythmic (Level 0) preferences is that of binding preferences, which are posited as Level 2 of the phonological architecture. They are described as follows:

Beats (B) and non-beats (n) in a sequence are joined by means of sonority-based bindings. The bindings are binary, i.e., e.g. in a sequence {BnB} there are maximally two bindings, i.e. a B←n binding (a non-beat is bound to the preceding beat) and an n→B binding (a non-beat is bound to the succeeding beat), i.e. {B←nn→B}. A beat, however, may potentially stand alone while a non-beat must be bound to a beat [...]. The binarity of two basic bindings themselves refers to the principle of contrast. [...] The two bindings differ in strength: the n→B binding i.e., the binding of a non-beat to the following beat (preferentially realized by a /CV/ sequence) is always stronger than the B←n binding” (Dziubalska-Kołodziejczyk 2002: 94).

The three phonotactic positions in B&B Phonology – word-initial, word-medial and word-final – cannot be considered on an equal basis due to the semiotic foundations of this model of phonology. Even if the cluster space for finals on Level 2 is a mirror image of the space for initials, there is a preference for a word initial n→B and word final B←n. The salience of word onset has priority and may also conflict with other preferences, and the morphological structure of the word may subdue bind-

ing preferences (Dziubalska-Kołodziej 2002: 95, 107).<sup>3</sup> In short, the B&B concepts that this presentation will make use of, are:

- (i) Level 0 preferences (rhythmic preferences)
- (ii) Level 1 preferences (binding preferences)
- (iii) → a rightward binding - binding a beat (usually a vowel) to the following nonbeat (a consonant). The sequence corresponds to a VC structure
- (iv) ← a leftward binding - binding a beat to the preceding nonbeat (usually corresponding to the canonical CV structure).

To formalize the difference between binding types I propose that stress-timed languages, (e.g. English), develop *stress concentrators* as a property of their bindings. The term is borrowed from mechanics, where it is denoted by the letter sigma ( $\sigma$ ). In technical terms,  $\sigma$  describes concentrations of high stresses in a given material, which arise from the structural features (holes, grooves etc.) of the material. The stress concentration factor ( $K$ ), which is a dimensionless unit, denotes how concentrated the stress is. It is defined as the ratio of the highest stress in the element to a reference stress (nominal stress). There is then something additional that ‘sits’ on an English stressed beat and to which phonology reacts, and which is absent (or less prominent) in languages such as e.g. Polish or Spanish. I propose that this ‘something’ is a stress concentrator: an irregularity in the binding. The phonological stress concentrator, since it is analogous to mechanical stress, can be denoted, just as the one used in mechanics, by the letter sigma. To avoid confusion with the already well-established

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<sup>3</sup> There is a crucial difference between the perspective proposed here and the notion of the so-called ‘ambisyllabicity’. If we say that a lenition occurs BECAUSE the consonant is ambisyllabic, we are not proposing a phonological explanation, there is no external relation between the notion of ‘ambisyllabicity’ and lenition. It theoretically could be the opposite: the consonant is strengthened because it is ambisyllabic, the very notion of ‘ambisyllabicity’ does not prevent such interpretation (I am inspired by Scheer’s work on a hedge mark in this thread, e.g. Scheer 2011). B&B proposes to explain a lenition using the primes of the theory, which can make predictions in other contexts.

symbol for the syllable, however, it might be better to use a capital letter instead ( $\Sigma$ ). Sigma is directionless, hence it can be a feature of both  $n \rightarrow B$  and  $B \leftarrow n$  bindings:  $B \leftarrow \Sigma n$  or  $n \Sigma \rightarrow B$ . A sigma is near the nonbeat to denote that it is the consonant that is affected.

Finally, mention should be made of a model which also relies on the interplay of phonetics and phonology to model linguistic phenomena, that is, Zabrocki's structural phonetics. For Zabrocki (1961[1981]: 182), the phonic plane defines in a precise way the general limits for activity in the phonological plane. The phonic plane offers some, strictly limited, possibilities for corrections to the phonological plane. The structures that form as a result of the superimposition of the semantic plane on the phonic plane do not always have a material, substantial representative. Very often a substantial segment is a carrier of many functions and often we deal with the "fictitious substantial realization" (Zabrocki 1961[1981]: 181) of a given bi-plane structure.

By recalling Zabrocki's models, binding receives motivation in terms of the mechanics of speech production and can be mechanically explained as a function of structural mass (1960, [1980: 70]).<sup>4</sup> Zabrocki further defines the structural mass as a potential element of force in a given consonantal group. Its value is determined by the structure of a given process. The differences in the values of the structural mass depend on the character of the structural binding with respect to the structure of the process.

Hence it might be gathered that language-specific parameters determine the minimal requirement of the structural mass which is involved in clusters, both for the ability to develop a particular binding and the resistance of the clusters to a given process.

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<sup>4</sup> "Różna wielkość masy strukturalnej zależy od charakteru strukturalnego połączeń w stosunku do struktury procesu" [a different value of structural mass depends on the structural character of bindings in relation to the structure of the process] (Zabrocki 1980 [1960]: 70).

Since B&B phonology is couched in the paradigm of Natural Phonology (cf. e.g. Stampe, 1972; Donegan and Stampe, 1978, 2009), some of its main tenets should also be briefly sketched out before proceeding. Donegan and Stampe (2009: 1) define phonology as

the study of categorical discrepancies between speech as perceived and intended, as speech as targeted for actuation. The theory of natural phonology takes these discrepancies to be due to the operation of natural processes, categorical mental substitutions, each of which corresponds in real time to an innate limitation of the human faculty for fluent speech perception and production". Non – discrepancies are due to inhibitions of these processes, "and the inhibitions are mastered in acquiring the pronunciation of a given language" (Donegan and Stampe 2009: 2).<sup>5</sup>

One of the landmarks of Natural Phonology is the claim that language is "a natural reflection of the needs, capacities, and world of its users" (Donegan –Stampe 1979: 127), rather than a conventional institution. Stampe assumes that the underlying segments "are mental representations of sounds which are, at least in principle, pronounceable" (Stampe 1979: 35). Thus it follows that the notion of explanatory adequacy in phonology cannot be theory internal but must be based on phonetic facts and on the nature of human communication: "if a given utterance is naturally pronounceable as the result of a certain intention, then that intention is a natural perception of the utterance" (Donegan and Stampe 1979: 163).

Stampe's contribution to phonology can be thus seen as reversing the traditional view on the ontology of phonological processes: "in its language innocent state, the innate phono-

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<sup>5</sup> See a similar but wider perspective in e.g. Blevin's Evolutionary Phonology, which studies natural the conditioning of language change. As the scholar assumes, 'natural' implies sound patterns "that transparently reflect language-internal phonetically motivated sound change, whether these sound changes have sources in misperception, ambiguous feature localization or articulatory variation" (Blevins 2006: 7), the same reference for a communicative functional study of the loss of interdental fricatives in some English dialects.

logical system expresses the full system of restrictions of speech: a fullest of phonological processes, unlimited and unordered” (Stampe 1979: ix). The natural grounding consists in taking into account the capacities of the human speech mechanism: “a phonological process merges a potential phonological opposition into that member of the opposition which least tries the restrictions of the human speech capacity. Processes necessarily fall into contradictory sets, reflecting conflicting phonetic restrictions” (Stampe 1979: vii). In the instances where the processes overlap, a contradiction arises. Stampe enumerates several strategies for resolving these contradictions: (1). suppression of one of the contradictory processes; (2). suppression of some part of the process: “limiting the set of segments it applies or the set of context it applies in. Implicit in each process are various subtle and strict hierarchies” (Stampe 1979: viii); (3) by ordered application: “many languages lack a voicing opposition in obstruents but their obstruents are voiced in certain contexts by the (latter) application of voicing process” (Stampe 1979: viii).

There is also a basic and essential distinction in NP between morphonological rules and phonological processes, which, it should be noted, had been used widely in pre-generative approaches to phonology. Natural Phonology places a strong emphasis on operationalizing these two epistemological categories. The active, living pattern is thus described as a (phonological) process and the (partially) morphologized situation an example of a (morphonological) rule (as e.g. in the distinction between the umlauted and plain vowel in German). Summarizing briefly,

[w]hile processes are natural, rules are conventions (though they basically originate from processes. Although they both operate on phonological material and produce phonological output, only processes are sensitive to phonological environment: rules must be conditioned outside of phonology. Thus, though both processes and rules have to do with phonology, they have different ontological status. The following differences obtain between processes and

rules: *Processes*: 1. Possess synchronic motivation 2. are inborn.  
*Rules*: 1. Have no synchronic motivation 2. Have to be learned”  
 (Dziubalska-Kołodziejczyk 2002: 25).

## **2. The analytical problem: A brief phonological retrospective on the topic of /s/ voicing**

The discussion addresses the fact that in RP English /s/ tends to be voiced before stressed vowels. The case must be clearly differentiated from the lexicalized /s/: /z/ alternations, such as e.g. in *to bathe / a bath* or *to house / a house*. For the NP, the alternations of *bath / to bathe* are a classic example of a morphological rule rather than a process: although some forms may still display alterations, the effects of these changes are “limited to occurrence at certain boundaries, or with particular morphemes, or in particular linguistic strata (e.g. only in native vocabulary)” (Donegan and Stampe, 2009: 4). In traditional Neogrammarian terms we could say that in the case of such alterations a classical process of phonologization has obscured the original environment, and the forms (voiced or voiceless) are directly encoded in the lexicon. I fully agree with this perspective and hence alternations such as *to house / a house* are not assumed to be a topic of analysis. The only analytical context is preceding the tonic beat, such as e.g. *music, laser*.<sup>6</sup>

Millward and Hayes (2010), enquiring into the rise of the phonemic voice distinction in ME, cite several factors, of which the influence of French (which had already had such a pho-

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<sup>6</sup> Of course whether [mjuzlk] provides evidence for [s] voicing could be debated. I do however follow Chomsky and Halle (1968) who spotted a reference to the voiced realization of /s/ in post-tonic contexts. My objective is precisely to enquire why [z] is the preferred option in this particular phonotactic environment. For example, *laser* is an acronym for *Light Amplification by Stimulated Emission of Radiation* and in many languages (e.g. Polish, Swedish) the voiceless version is retained: (Pol.) /'laser/. English, however, shows voicing of the /s/, which evidently is the outcome of a phonological process.

nemic opposition) is but one and not necessarily the most important, e.g. the influx of loanwords, increased communication between regions, mixtures of dialects, assimilation and the voicing of fricatives in function words. One of these factors was also the loss of word-final vowels:

In Old English, fricatives were voiced only when surrounded by voiced sounds. For example, in most forms of the verb *husian* /huzian/ 'to house', the *s* was pronounced /z/ because it was preceded and followed by a vowel, a voiced sound. After the loss of the final /n/ and then the preceding vowel or vowels, the *s* stood in final position in many forms. Nevertheless, it retained its /z/ pronunciation, thus contrasting directly with the singular noun *house* (OE *hus*, /hus/), which had always been pronounced with a final /s/) (Millward – Hayes 2010: 150).

This classical process of phonologization accounts for the alternation in voicing in MoE, and also of forms such as *cleave-cleft*, *knife-knives*, *bathe-bath*, etc. As stipulated above, such alternations should be undeniably excluded from the discussion as lexicalized forms (not being varieties of one intention but the synchronically different intentions of a speaker). However, admitting all these caveats, the research task I set forth by means of this discussion is to probe whether perhaps below levels of subsequent diachronic ex-phonological fossils, it might still be possible to establish certain stress-conditioned preferences. So the direction of the work is so to speak bottom-up. I will try to review all sorts of data which appear to be heterogeneous and disjointed and to see if any patterns or regularities can be isolated and whether these regularities are consistent with other independent facts of English phonology. This section will survey some of the illustrative phonological work related to the topic of English voicing from various perspectives.

## 2.1. Voicing as a lenition in the context of Verner's Law

The stress-related regularities observed with regard to the Latinate {ex-} are sometimes referred to as part of Verner's Law in English, or as a pattern related to Verner's Law (e.g. Jespersen 1909; Prokosch 1930 as cited in Prins 1974: 223). This subsection aims to recall some basic issues implied by Verner's Law, as a background to assessing critically the viability of drawing parallels between the two phenomena later on in the discussion.

Verner's Law is generally assumed to consist of lenition (voicing) affecting voiceless spirants of Proto Germanic: /f, Þ, x/ as well as the original /s/, except when they were in word-initial position or preceded by a tonic vowel (see e.g. Reszkie-wicz 1973: 30). "It implies that all medial voiceless spirants and the final spirant s became voiced if in Indo-European the preceding syllable did not bear the principal accent of the word. This implies that in primitive Germanic the accent had not immediately been shifted to the first syllable" (Prins 1974: 185). Prins points out that "the law may be stated in a simpler manner, suggested by de Saussure, by saying that in voiced surroundings spirants are voiced unless strong stress on the preceding syllable prevents it. *Cours*, § 3" (Prins 1974: 223). Verner's Law ceased to operate when the stress pattern was regularized (stabilization of the accent of the word-initial beat).

Zabrocki (1980 [1951]: 15 [119 ff.]) provides an off-main-stream explanation for the source of change called Verner's Law. Crucially, the scholar claims that sonorization is a result of the action of neighbouring vowels on consonants which have already been lenited, and not the result of direct lenition: sonorization in Verner's Law was not the basic process but a secondary one, the visible result of that influence. "The lenitive process occurred in all positions except for the word-initial. In the position after the stress it was the weakest. The phenomenon of the fortition in the word-initial position of voiced spirants, coupled at the same time with the lack of such fortition in the post-tonic position, points to the fact that word-

initial position was much stronger than the position after the tonic vowel” (Zabrocki 1980[1951]: 53 [168]). The fact that lenition also occurred in the post-tonic position is supported by the fact that in that position, after some time, voicing appeared as well (Zabrocki 1980 [1951]: 55 [169]). In cases of stronger lenition, voicing appeared as a secondary process. This process most affected spirants (cf. Zabrocki (1980 [1951]: Chapter II for further explanation). Weakened spirants then had to succumb to the influence of vowels. The fact that lenition did not affect word-initial spirants testifies to the fact that it was not the stress that was the decisive factor, but the specific syllabic onset position. The role of stress could only have consisted in creating such conditions at the onset of a given syllable as those were present in the word-initial position.<sup>7</sup>

As far as ‘Verner’s Law in English’ is concerned, Prins (1974: 223 ff.) provides a detailed summary, which is briefly summarized below. The term was first used by Jespersen “to denote the voicing of spirants in English in circumstances which show a certain similarity to the voicing of spirants in Primitive Germanic” (Prins 1974: 223). Prokosch (1930, § 20a) adduced MoE examples like *exit* or *exercise* with [ks] as compared with *exert* or *examine* with [gz]. Moreover, according to Prokosch, an analogical process for the spread of a phonetic law was operative in the voicing of /θ/ in IOE and eME. Prins, however, points out that voicing in OE occurs after stressed syllables, hence stress did not play any part in the operation. Secondly, it must be taken into account that voiced clusters had already been borrowed as such from French, as in e.g. (Fr.) *exagérer* or *exalter*. Still, Prins (1974: 223) finds examples where there is a difference between the French ‘donor’ realization and that in English. For example, in French *executer* or *exigeant*, the relevant cluster is voiced, while in the English *execute* or *exigent* it is voiceless. Prins concludes that the rule

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<sup>7</sup> Word-initial position, as Zabrocki (1980)[1951]: 152 [48]) shows, is by nature the strongest position in the word (the scholar assumes ballistic covering by the airflow of particular sound forms).

is “that the *x* in these words is now generally pronounced [gz] before accented vowels but [ks] after accented vowels” (Prins 1974: 223). Prins concludes that what took place in such loanwords

is the exact counterpart (and apparent opposite) of Verner’s Law: the voiced character of the consonant cluster was retained as in French but was made fortis and devoiced after stress had been thrown back on to the first syllable. But the rule is subject to many exceptions based on etymological reasons. The following consonants and clusters are subject to it: *f* > *v*, *p* > *d* [in this case, the symbols mean  $\theta > \delta$ ], *s* > *z*, *ks* > *gz* and *tʃ* > *dʒ*. Jespersen supposes that it began in the 15<sup>th</sup> c., and was completed in the 16<sup>th</sup> c. at least as far as *f*, *p*, *s*, *tʃ* were concerned, but probably not till about 1630 for *ks*. Jespersen, *MEGI*. 6.9. (Prins 1974: 224).

In the analysis of [ks] > [gz], Prins admits that, apart from the French influence which accounts for the voiced realization, “*ks* is often found owing to the Latin prefix [ex]: *exhale* [ks] [eksʰheil] by the side of [egʰzeil]” (Prins 1974: 225).<sup>8</sup>

## 2.2. Lexical phonology on OE fricative voicing

As mentioned in the introductory section, the phonological work on /s/ voicing in English is scarce. Kim (2001) provides insights into fricative voicing in OE, giving a relevant set of data on the issue and trying to model the data within the paradigm of Lexical Phonology.

The author starts by citing the SPE-type formalization which captures regularities in OE data (1). However, as Kim points out, there are several problems with this formulation, since (1) does not cover a range of cases, where in this phono-

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<sup>8</sup> Moreover, Prins seems to contradict himself when, a couple of lines below this thesis, he provides an extended quote from Jespersen without comment (cf. *supra*); this points out that the voicing process in English for *ks* was probably finished in 1630 (it must be recalled that the relevant items mostly infiltrated into the Middle English lexicon in the 14<sup>th</sup> century).

logical environment the voicing does not occur: only posttonic fricatives occurring morpheme internally or following an inflectional boundary are voiced.

(1)



The environments not affected by the process are: (i) between unstressed syllables, both underived and across an inflectional suffix boundary (covered actually by (2)), (ii) across a prefixal boundary, both unstressed (*ge-séon* ‘to see’, *be-fóran* ‘before’ and stressed (*án-sùnd*) ‘sound’; (iii) across a derivational suffix boundary both after stressed syllables (*wyh̄-sum*) ‘winsome’ and after unstressed (*séofon-za*) <\*(*séofon-iza*); (iv) in degeminate forms after stressed syllables and in unstressed; (v) in weakly stressed function words; (vi) across a word boundary in compounds; (vii) across a word boundary between words in a phrase (Kim 2001: 151). Taking into account these facts Kim proposes a better description, which would cover the cases not covered by the general description in (1).

Conditions:

(2)

α = simple word

X ≠ (a) morpheme boundary or (b) unstressed syllables

Y ≠ derivational boundaries

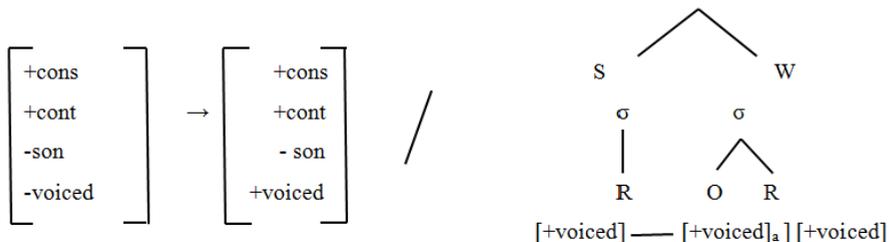
C ≠ derived (i.e. degeminate) fricatives

[+stress] = the main stress

A phonological question that Kim asks next is whether the phenomenon in question is a lexical or a post-lexical rule; in other words, Kim faces the dilemma of “how a non-neutralizing allophonic rule can be a lexical rule, restricted to a specific stratum, and how FVR can be a lexical rule and its output not neutralizing” (Kim 2001: 153). OE voicing applies to non-derived monomorphemic words, derived across inflectional boundaries, but not across derivational, prefixal and compound word boundaries. Yet, the feature [+voice] that it introduced is an allophonic variant (non-distinctive), since there are no phonemic voiced fricatives in OE. The clash of the stipulations of the strict cycle condition and structure presentation is resolved by Kim by proposing underspecification, that is, blank filling rather than feature a changing one (converting [OF] to [+F]) (Kim 2001: 157).<sup>9</sup>

Takashi (1995) is a reference to another interpretation of OE voicing within LP; however, the author’s conclusions cover a wider background of other related processes, hence they are not of direct relevance to the present discussion. Notwithstanding, Takashi (1995: 26) cites an observation by Suphi (1986: 195) which basically seems to rephrase the earlier Peinovich formula, but for one crucial aspect: Suphi observes that the process is restricted to the metrical foot:

(3)



<sup>9</sup> Which is, in fact, a classical structuralist solution of ‘archiphoneme’.

## 2.4. SPE's $[_N[v \text{ eks=plore}]_V \text{ At} + \text{ } \text{ } n + \text{ s}]_N$ into /s/ voicing in English

Before setting out to disentangle the relevant SPE rules, we have to recall that the gist of Chomsky and Halle's *SPE* interpretation relies on the postulate that "what the hearer 'hears' is what is internally generated by the rules. That is, he will 'hear' the phonetic shape determined by the postulated syntactic structure and the internalized rules" (Chomsky and Halle 1968: 24). Furthermore, "the lexical representation is abstract in a very clear sense; it related to the signal only indirectly, through the medium of the rules of phonological interpretation that apply to it as determined by its intrinsic abstract representation and the surface structure in which it appears" (Chomsky and Halle 1968: 12). Finally, in the *SPE* canon, "there is incidentally, nothing particularly surprising about the fact that conventional orthography is, as these examples suggest, a near optimal system for the lexical representation of English words" (Chomsky and Halle 1968: 49).<sup>10</sup>

The rule of /s/ voicing in English (In *SPE* [119]), Chomsky – Halle 1968: 228) is stated by the scholars as follows:

(4)

$$\left[ \begin{array}{l} +\text{cor} \\ +\text{strid} \\ +\text{cont} \end{array} \right] \rightarrow [+voice] \quad / \quad \left\{ \begin{array}{l} V = \_V \\ [+tense V] \_V \\ \nabla k \_ \nabla \end{array} \right. \quad \begin{array}{l} \text{(a)} \\ \text{(b)} \\ \text{(c)} \end{array}$$

<sup>10</sup> The independence from cognitive aspect should also be mentioned at this point, e.g. "The rules of the grammar operate in a mechanical fashion, one might think of them as instructions that might be given to mindless robot, incapable of exercising any judgment or imagination in their application. Any ambiguity or inexplicitness in the statement of the rules must in principle be eliminated, since the receiver of the instructions is assumed to be incapable of using intelligence to fill in gaps or correct errors. To the extent that rules do not meet this standard of explicitness and precision, they fail to express the linguistic facts" (Chomsky and Halle 1969: 60).

Case (a) applies in words such as *resume*, *reside*, *resident*, *design*, *resolute*. Case (b) applies in words such as *music*, *rosary*, *miser*, *gymnasium*, *Cartesian*, *Asia*, *usual*. From underlying /music/, /rōsVry/, /mī sVr/, /gimnæsi +Vm/, /kærtes+i+æñ/, /æs+iæ/, /usuæ/, (with a further rule of palatalization for the last three forms). Notice that voicing does not take place in *issue* (from underlying /issue/), *asylum*, *misogyny*, *philosoph(-y, ical)*, etc. because the preceding vowel is lax. However, as the rule now stands, there are quite a few exceptions (e.g. *basic*, *isolate*, *Masonite*, *gruesome*, *awesome*).<sup>11</sup> Case (c) applies when the orthography has *x* in such words as *exist*, *examine*, *auxiliary*, *exasperate*. In post stress position, as in *axis* and *maxillary*,<sup>12</sup> the cluster remains unvoiced. Notice, however, that the voicing does not apply in *hexameter*, *toxicity*, *annexation*, and in general, when the [ks] cluster is final in the formative. This exception requires a readjustment rule, which assigns the feature [-rule (119)] to /s/ in the context k\_+. Perhaps case (c) should be extended to other Cs clusters, as in *absolve*, *absorb*, *observe*. Notice that the voicing of [k] in the context \_z is by a later rule of voicing assimilation. Clearly there is a great deal more to the matter of voicing of [s] (and probably [f] and [θ] as well [...]) that deserves more careful investigation (Chomsky and Halle 1968: 228f.).

The description in (4) presents three disjunctive environments in which English /s/ can be voiced: (a) is intervocallically preceding the ‘=’ boundary, (b) is also intervocallically and intra-morphemically preceding a tense vowel, and (c) is in the environment: Vk\_Ṽ. (a) describes the voicing of /s/ as in *resist*, *resemble*, *resolve*, *design*, *presume*, (in contrast with *consist*, *semblance*, *solve*, *consign*, *consume*). It is crucial to observe, that that the intervocalic environment by itself is not sufficient for the voicing to occur: “the voicing of /s/ does not take place intervocallically when there is no boundary preceding /s/ (e.g.

<sup>11</sup> [footnote 57] where Chomsky accounts for these exceptions by means of a diacritic /k<sup>d</sup>/ (derived /k/) as a source of [s] in these cases. Alternatively, he proposes a readjustment rule exempting /s/ from the application of rule (119) after a formative boundary.

<sup>12</sup> We have to note here that *maxillary* has word initial stress, hence Chomsky – Halle are not precise at this point.

*misogynist, asylum*), or when there is a boundary but the segment in question is not a morphologically complex word (*para+site, para+sitic, chromo+somal, philo+sophical, meta+soma*). Hence the complex verbs must be distinguished from other forms for the purpose of rule (74); the obligatory '=' boundary makes the required distinction" Chomsky– Halle 1968: 95).

The description (called in generative phonology 'a rule') seems to be quite concise and exhaustive, yet upon closer examination it seems to contain several fallacies. Since they are important for what follows, I will try to reveal them. First of all, it seems that (b) is not a precise description because /æ/ or /ɛ/ are definitely not tense vowels in RP, hence another condition should be added to (b): tense or stressed. However, this would indeed conflict with further development of the stress rule as such, hence it cannot be introduced openly in (4). Another problem is that in *maxillary* /s/ it is not in a post-stress position. Next, it is not clear from the *SPE* discussion why a word such as *to design* should be morphologically complex while *parasite* is not? What are the exact criteria for the difference in morphological status, in particular in the light of '=' as in *design* being a weaker, learned boundary (-formative) and '+' being a morphological boundary (as in *para+site*, data taken from *SPE*)? 'The Latinate constraint' cannot hold, either, because according to *SPE*, the = boundary is also present in *chimpanzee* while words such as e.g. *philosophical* do not have it.

Most problematic, however, is the fact that, in light of the explanation of rule (4), words such as *exasperate* do not carry any boundary at all after <ex> and, accordingly, words such as *exist* are monomorphemic: there is even no = boundary. Let us also recall that the cranberry (learned) boundary '=' was proposed for e.g. *com=pose, con=sist* or *desist*. Logically, if there is a boundary in *de=sign, re=sist* and *hex=ameter* (or *hex+ameter*, as *hex+a+meter* *SPE* gives no indication of a boundary split in such cases), the lack of morphemic status

of {ex-} should at least be explained. The more so as, earlier on, Chomsky and Halle admit explicitly that {ex-} as in e.g. *extend* is a prefix: “[w]e have to rely on (67) to account for the fact that that **prefix** {ex} [my emphasis, MHG] is phonetically /ek/ when the stem begins with /s/ preceding as in *exceed* versus *extend*” (Chomsky and Halle 1968: 47).

Recapitulating, according to Chomsky and Halle, the ‘=’ boundary in *consume* or *consist* (*con=sist*) blocks the operation of voicing, yet the same boundary is actually the factor that triggers voicing intervocally (*resign*). Furthermore, for the purposes of the *SPE*’s (119) rule (No. (4) here), there is no ‘=’ boundary in *exam* but the concatenation is referred to as prefixal on many other occasions throughout *SPE*. Hence the ‘=’ boundary blocks assimilation in *consist*, does not block it in *exam* (or is transparent or inactive, actually phrased as non-existent) and triggers the assimilation in e.g. *resign*. No explanation whatsoever is given as to what particular extra-theoretical property of ‘=’ these three situations refer to. Hence, the *SPE* analysis, while remaining an insightful source of observations, is taken here to be an example of a pure coefficient driven formalization (the diacritic status of ‘=’), and cannot be considered a viable phonological explanation.

### 3. Discussion

The goal set forth in this discussion is to look for the possibility of a common phonological parameter among the set of contrasting and apparently contradictory data, that is to assume that there might, however, be a phonological process at work which is subjected to many levels of (prior) morphological information. In other words, I will examine the data for a more or less probable environment for the occurrence of a lenitive process and check it against clearly defined theoretical stipulations. This perspective is in compliance with the B&B framework which admits the priority of morphological information over phonology, as well as admitting the preferential (gradient)

nature of phonological phenomena. In order to discover this parameter, let us first enumerate the implications and assumptions which are taken from previous referential research.

First of all, the discussion squares with Fisiak in assuming voicing to be a phonetic process of lenition (1985: 6). My working hypothesis along these lines proposes that fricative voicing could be a natural (active) process, in contrast to the NP phonological rule. I will assume only three true phonological units of B&B as a theory of phonological cohesion (beat, nonbeat, bindings and foot) with my extension of sigmatized binding, plus a hierarchical priority of morphological information, which in English blocks phonemic contact.

Secondly, there are several NP tenets which I would like to adhere to while structuring my analysis. NP assumes there are no abstract, underspecified entities: all the processes are mental and all segments, as reflecting a particular intention of the speaker, are specified. Hence, the model can accept neither segments underspecified for a given nature nor several types of boundaries. As stated concisely by Nathan,

Because phonemes are *sounds as perceived*, this means that they are auditory/ motor *images* of sounds per se, not abstract specifications for sounds. Thus contrary to what is usually believed in most (but not all) generative phonologies, phonemes are not 'merely' lists of features. And particularly, they are not *underspecified* lists of features. It is important to how NP works that phonemes are real (although mental) sounds, fully specified. What makes them phonemes, rather than just records of how speakers actually speak, is the existence of processes (Nathan 2009: 142).

According to B&B theory, the B ←n binding is weak and unstable, in compliance also with the coda mirror effect of CVCV (cf. Ségéral and Scheer 2001); it can thus be posited that the cost of keeping V ← C binding is a weakening of the consonant involved. It might also be recalled that, as Dziubalska-Kołodziej points out (2009: 58), "in English a B ← n binding is always present, which is typical of the so called stress-timed

languages". That is, in English, by default in a monomorphemic sequence, CVCV, the medial stop, is bound by two bindings (which might not be the case in languages such as e.g. Spanish). Clearly, the stronger the bindings (like the tonic one), the larger the destructive effect on the phonetic substance. Moreover, from the perspective adopted here, there is an extension to the phonological explanation: a tonic beat (or a tense vowel) carries a stress concentrator. That means that the deleterious effect of the leftward binding is stronger in English as compared e.g. with similar homophonic sequences in Spanish, e.g. E *Arden* ['a : dn], (Sp.) *arden* [ar'ðen] 'they burn', E *redolent* ['rɛdɫnt], (Sp.) *redolente* /reðo'lente/ (data from Stockwell and Bowen, 1965).

As far as vital conclusions from phonological scholarship on the issue are concerned, Kim's work is pertinent to the present topic in several respects. It can be observed that the basic contexts of the blockage of voicing assimilation and, in general, the application of phonological processes, are still much the same in ModE: phonological processes (POA, flapping, voice assimilation etc.) are precisely blocked in RP English:

- (a) After a prefixal boundary (assuming that the cases as *imply* imply words borrowed from Latin / French in a 'package' hence the prefixal assimilation was not performed by the 'autochthon' English phonology but had occurred in the donor language), e.g. *absorb*, *disdain*.
- (b) after a compound boundary (e.g. *blackbird*),
- (c) after a derivational boundary (e.g. *hymning*).<sup>13</sup>

Phonological processes unfurl freely:

- (d) monomorphemically and
- (e) across inflectional boundaries.

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<sup>13</sup> With a caveat that as Suphi 1989 (cited in Takashi 1995: 23) observes, the voicing can occur to the left if some derivational and inflectional suffixes, which she calls class 2 suffixation, e.g. *forgi*[v]ness, 'forgiveness' *sʊ*[ð]erne, 'southern', *dy*[z]ig 'foolish', *aly*[z]ing 'redemption'.

We can observe at this point that both prefixation and inflection are samples of grammatical concatenation, while derivation and word formation involve a different type of cognitive processing, being more grounded in the lexicon. Hence we have a first regularity: the conditioning in the triggering phonological processes does not seem to have changed since OE and involves only two conditions: grammatical concatenation or word formation.<sup>14</sup> What I propose is thus a simple *yes/ no* parameter: either morphology blocks the phonological process ('boundary' in traditional terms or CV unit in CVCV phonology) is present (a-c), or it does not (d-e). Another crucial fact is, excluding the environments (a-c) (morphological blockage has absolute priority), the second conditioning factor is then the influence of stress/ tenseness. It must be emphasized that stress placement does not matter for (a-c), which I call morphologically clutched forms.<sup>15</sup> Within environments (d-e), stress/ tenseness is a second important condition for the natural process to occur.

Regarding the *SPE* data in (4), let us first recall that Chomsky and Halle mention the intervocalic environment as crucial in the operation of the /s/ voicing rule, yet not as a sufficient condition. Another key *SPE* insight which will be used here is taking into account the tenseness of the vowel preceding the /s/. Since the rule in (4) hides phonologically exclusive reactions to the same analytical formula (the =), as a first step to disentangle this knot of irregularities and contrarities, we have to group Chomsky and Halle's data into more 'coherent' groups. Below is an enumeration of all the contexts mentioned in *SPE*, with sample representations for particular types.

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<sup>14</sup> Let us leave a gradation within suffixation as such aside for this discussion, in any case, the gradation seems to be also the same in OE and in MoE.

<sup>15</sup> We might recall here that Dziubalska-Kolaczyk explicitly assumes that "it is redundant to talk about binds in the cases when morphological structures overrides phonology" (Dziubalska-Kolaczyk 1995: 37).

## [1] Notations:

V is a tense vowel,  $\rightarrow$  Bn binding,  $\leftarrow$  nB binding,  $\Sigma$  sigmatized bindings.

- |       |  |       |  |
|-------|--|-------|--|
| 1. a. | $m \rightarrow \underline{V} \leftarrow \Sigma z \rightarrow \text{music}$                         | 4. a. | $v \rightarrow e \leftarrow \Sigma x \rightarrow \text{icle}$                |
| b.    | $m \rightarrow \underline{V} \leftarrow \Sigma z \Sigma \rightarrow \underline{V} \text{musician}$ | b.    | $v \rightarrow e \leftarrow h \Sigma \rightarrow \underline{V} \text{cular}$ |
| 2. a. | $r \rightarrow \Sigma \underline{e} \leftarrow \Sigma s \rightarrow \text{resolute}$               | 5. a. | $m \rightarrow i \leftarrow \Sigma z \rightarrow r$                          |
| b.    | $r \rightarrow e \leftarrow s \rightarrow \Sigma \underline{V} \text{to resign}$                   | b.    | $mi \leftarrow s \Sigma \rightarrow o \text{gymy}$                           |
| c.    | $r \rightarrow e // s \rightarrow \Sigma \underline{V} \text{to resign}$                           | 6.    | $t \rightarrow o \leftarrow k s // \Sigma \rightarrow \text{ic}$             |
| d.    | $r \rightarrow e \leftarrow s p \rightarrow \Sigma \text{ect}$                                     |       |  |
| 3. a. | $e \leftarrow g z \Sigma \rightarrow \underline{i} \text{st}$                                      | 7. a. | $con // s \Sigma \rightarrow i \text{st}$                                    |
| b.    | $e \Sigma \leftarrow k s \rightarrow \text{it}$  | b.    | $per // s \Sigma \rightarrow i \text{st}$                                    |

Let us start with the group of data under [1(2)]. This group of words is actually an intricate topic for analysis because it cannot be stated with certainty that the voicing of the medial alveolar fricative as in e.g. *residue*, *resolve*, *desire* was performed by English phonology or if such words had been borrowed from French as voiced.<sup>16</sup> On the other hand, Old French dictionaries as well as contemporary realizations show that e.g. F. *dissemble*, *ressemble* feature *dis-* *res-* prefixes and voiceless realization: it might be pointed out that since at least in English *resemble* the realization is voiced, hence it could not have been borrowed from OF. I will thus structure the discussion in, so to speak, Popperian ‘negative’ terms, that is, placing emphasis on what I can be quite sure is an ‘autochthon’ English process, leaving the rest for further enquiry.

The *SPE* interpretation contributes the fact of voicing in *resign* ‘to give up’ to the presence of a ‘=’ boundary but the lack of voicing in *resign* ‘to sign anew’ to the presence of a ‘+’ boundary. As revealed above, this justification cannot be accepted because the LACK of voicing in e.g. *consist* is ascribed to the presence of the same boundary. Of course, this explana-

<sup>16</sup> Words such as *dissentire* are attested to already in Classical Latin texts, cf. Jurewicz et al. (2004: 356).

tion could still be valid on condition that there is some property of the context to which the entity '=' reacts independently, then it would have to be explained what this independent property of context is and how it correlates with the entity '=' and in what way phonology is sensitive to it.

My phonological interpretation assumes a morphophonological conditioning, implicated in aspects of English prefixation and dependent on the presence/ blockage of binding. In particular, /s/ voicing as a phonological lenition occurs due to the weakening influence of B←n binding, but a necessary condition is that the consonant in question is double bound, that is, ← s →. The cognitive parameter involved in the token of the data in [1(2)] is whether there is semantic concatenation that is synchronically active or not. *Resign* ('to sign anew') is an example of a synchronically active concatenation, with {re-}, meaning 'again', being a semantically contentful prefix, productive synchronically, as in e.g. *re-housing centre*. In e.g. *symbol, procure, design, imply, reject* – although these words were compounds at some point in Latin, the original semantic makeup is no longer visible in English grammar and {re-} is transparent. For example, in *reject, reply* <re> cannot be isolated as a meaningful particle, implying 'again' or e.g. 'backward', to indicate withdrawal or motion backward, as in e.g. *retreat*.<sup>17</sup> If a concatenation is synchronically active, phonolog-

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<sup>17</sup> The phenomenon captured as two different statuses of a Latinate prefix can be seen as another – derived – round of prefixation, which is a classic case of segmentability (e.g. Bynon 1977) that is, a new prefix was created by analogy when the original form has become transparent, and this prefix carries a clearly specified semantic content, as e.g. *co-heir* in contrast to *coherent*. Another similarity is that the synchronically active prefix does not carry the original plethora of meanings that the Latin prefixes did, e.g. contemporary (ex-) meaning only 'the former', *co-* means 'together with' and *re-* lost the meaning 'backwards' and only the semantic 'particle;' of 'again' in active. According to OED, it can also mean 'back towards a starting point', e.g. *reproach* which in Anglo-Norman signified 'to recall (something disagreeable to someone)', *relinquish* – to put sth. back in place, or undoing of a previous action (*resign, reveal*), hence e.g. *reverse, replace* have nothing to do with repetition, (taken from O. Fr. and directly from Latin). A concise NP stand on the issue was also forwarded by Dressler (2006), In his publication on Natural Morphology (Dressler 2006), Dressler points out that naturalness

ical contact is blocked by information from the morphological level. If there is no cognitive processing (morphological intervention), English phonology is free to operate.

Let us go back to the portion of data from [1] under inspection: the difference between *resign* ‘to give up’ and *resign*, ‘to sign anew’, synchronically a bi-morphemic word. If we check the proposed binding structure, we can see the following difference:

- (2). a.  $r \rightarrow \Sigma e \leftarrow s \rightarrow \text{resolute}$   
 b.  $r \rightarrow e \leftarrow s \rightarrow \Sigma V \text{ to resign}$   
 c.  $r \rightarrow e // s \rightarrow \Sigma \underline{V} \text{ to resign}$

The phonological parameter involved can thus be posited as a lenitive influence of phonological binding: in *resolute*, *resolve* there are two bindings on /s/ since the word is processed as monomorphemic; {re-} in (2c) is still active on the morphological level as a semantically contentful prefix, hence there is no contact between the two morphemes: no  $B \leftarrow n$  binding to the prefixal vowel develops on /s/, it stays as if it was word initial. Lenition is driven mainly by  $\leftarrow \Sigma$ , (cf. later on) but the element in question needs to be double bound, which would point to a foot related rotor: let us recall that, in B&B, although there is no syllable, foot is a basic unit of phonological description.<sup>18</sup>

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does not refer to any overall preference, but rather to what is universally preferred with respect to one given parameter. Parameters and their respective preference degrees are deduced from semiotic and cognitive factors (Dressler 2006: 539). Among the parameters for assessing preferences the scholar mentions e.g. the parameter of morphotactic transparency: the most natural forms are those for which there is no opacifying obstruction to decomposability. Thus the singular base is easier to recover in *fife* + s than in *wive* + s for which an opacifying, lexically restricted morphological rule intervenes.

<sup>18</sup> Additional support is provided in Dziubalska-Kolaczyk (1995) who citing Donegan and Stampe (1987) recalls that for NP phonological processes operate in hierarchical domains, whose boundaries can either impede or trigger a given process. “In a former case, a still smaller domain is always implied by the application of a process in a given domain, e.g. stop assimilation in English is obligatory within a measure [...] therefore also within a syllable [...]. [W]hen a domain conditions a process a still larger domain is

We could posit at this point that phonological voicing as a lenition can be triggered in two conditions: there is a lenitive influence from the leftwards stress concentrator and the concatenation forms a phonological foot. This stipulation – the existence of a metric structure for a process to unfurl – can also be verified independently by other phenomena, e.g. the rise of consonantal beats, which never occur in monosyllabic words, or tapping and flapping, and glottalization: the environment is phonologically exactly the same, formalized here as  $\leftarrow {}^{(2)} C \rightarrow$ .

Such an interpretation would also account for the difference in e.g. *design/ disarming, disassemble*. The latter, voiceless realization, is contra in, e.g., French since for example contemporary realization features there is a voiced fricative (e.g. F. *desarmant*).<sup>19</sup> Even assuming that for SPE there will be a ‘+’ boundary after *dis-* leads to several problems, for example, how to represent a word such as *contradistinction*: there is definitely an = after *contra* according to SPE and then it would appear that the more embedded morpheme has a stronger boundary than the ‘outer representational layer: *contra=dis+inction*. Even admitting that possibility, there is no motivation in SPE for why an = induces in such cases a phonological process while ‘+’ blocks it. In my analysis, by using only true phonological units, the difference can be formulated according to binding preferences, which are used independently in the phonological description. In the case of *disarming* there is a morphological blockade just as in the case of *re-sign* which clutches a binding, hence the morpheme is seen by phonology as word final. SPE runs into a problem here since there are no explicit criteria given for morphological makeup: for that, SPE would have to admit cognitive semantic processing which obviously, in that particular work, was strongly rejected. Let us

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implied, e.g. vowel preglottalization in German has the domain measure (*Verp[?]éin*), and therefore also the phrase and the sentence” (Dziubalska-Kolaczyk 1995: 50).

<sup>19</sup> This observation is important in light of the problematic issue of the status of voice in vocabulary borrowed from OF.

now move on to the next group of data from [1], relevant examples are enumerated as [2]:

[2]

- |   |    |  |    |    |  |
|---|----|--|----|----|--|
| 1 | a. | $m \rightarrow \underline{V} \leftarrow^{\Sigma} z \rightarrow \text{music}$                           | 3. | a. | $v \rightarrow e \leftarrow^{\Sigma} x \rightarrow \text{icle}$                |
|   | b. | $m \rightarrow \underline{V} \leftarrow^{\Sigma} z^{\Sigma} \rightarrow \underline{V} \text{musician}$ |    | b. | $v \rightarrow e \leftarrow h^{\Sigma} \rightarrow \underline{V} \text{cular}$ |
| 2 | a. | $m \rightarrow \underline{V} \leftarrow^{\Sigma} z \rightarrow r$                                      |    |    |  |
|   | b. | $m \rightarrow \underline{V} \leftarrow s^{\Sigma} \rightarrow o \text{gymy}$                          |    |    |  |

Other related examples: *miserly*, *misenum*, *miserable*, *measles*, *misericordia*- (secondary stress), *Ahasuerus* (secondary stress influence): /ə,hæzjə'irəs/.<sup>20</sup>

Comparing with the Latinate vocabulary in (2), we can see that the stipulations exposed there still hold, that is, a necessary condition is the participation in a foot (two bindings on the alveolar fricative), yet it is not a sufficient condition. There is an additional requirement: the lenition is driven only by the tense (primary or secondary stress) or the tonic vowel. Adducing data from other English contexts, such as tapping, glottalization or the creation of consonantal beats, we can clearly see the same preference: the lenition happens only in the context preceding a tonic beat, in my perspective, induced by the sigmatized beat, e.g.  $r \rightarrow^{\Sigma} a i^{\Sigma} \leftarrow r \rightarrow \emptyset \leftarrow (r)$ , (but *ridable*),  $b \rightarrow^{\Sigma} \Lambda^{\Sigma} \leftarrow t (?) (\rightarrow) n$ , and within a phonological foot. The data in (4) are adduced to show consistency in the lenitive pattern: the /h/ is lost (obligatorily) in *vehicle* but it preferably stays in *vehicular*, where it is not bound by the leftward tonic beat.

The quality of affected consonants is not entirely accidental, either. If we recall Zabrocki's codal structures (the basic system being *k, p, t - c - s - m - n - l - r - h - j - w - i - u - e - o - a* (1960 [1980: 56]),<sup>21</sup> it can be observed that English phonology

<sup>20</sup> Also, the English word *asylum* in compliance with the proposed phonological modelling shows a voiceless version, while the French congener *asile* has a voiced alveolar fricative.

<sup>21</sup> Of course, Zabrocki admits the existence of gaps in the system, but since they seem to be exceptional their influence is to be sought in extra-phonological factors.

almost perfectly follows the lenitive preferences (cf. also Haładewicz-Grzelak 2008): the weakest constants (/j, w, h/) are, in English, unable to propagate any ← binding, that means they cannot be sustained in the offbeat position. As far as the next weakest category (i.e. liquids) is concerned, they also suffer lenitions in the offbeat position, as e.g. the loss of consonantal quality in the case of RP /r/ and the velarization (vocalization) of /l/. We can see that /h/ is much weaker than /s/, that is why the lenition equals, in practice, eradicating the segment. There would be a problem for the theory if the weaker fricative (/h/) stayed intact in the offbeat position while /s/ in this position was lenited. As the data show, the elision of /h/ in RP English in the offbeat position (as in e.g. *Allah* or *Jehovah* where the final /h/ is mute) obtains as a natural exceptionless process.

I have to admit, ditto *SPE*, that the analysis ‘as it now stands’ cannot also explain Chomsky and Halle’s counterexamples, as in *basic*, *isolate*, *Masonite*. As far as *gruesome* or *awesome* are concerned, however, the parameter of cognitive action (concatenation) can pattern them just as in cases of *re-sign* or all the concatenation with *dis* as in *disembodied* or *disenchanted*. There is also a question over the overlap of contexts: that is, it would have to be explained why in Latinate derivatives with *de-*, *re-*, *pre-* no stress/ tenseness, conditioning is required (the realization is always voiced regardless of the stress pattern), while in any other context the additional support of stress is necessary to ‘unleash’ the process. On top of that, there is an issue which *SPE* does not mention: although words such as *prose* and *prosaic* do feature a voiced fricative, the remaining English lexicon with *pro* seems to block voicing, regardless of stress placement (e.g. *prosect*, *prosecutor*, *proselyte*, *prosody* etc.). In this case, the prefix patterns just as the majority of other Latinate prefixation ending in a consonant, e.g. *abscond*. *Pro*, according to *SPE*, carries an = boundary just like *re-* or *pre-* (e.g. an inspiring *SPE* example: *pro=fessor*). The French congeners are all voiced, e.g. *prosélyte*,

*prosodiquement, prosaïque*, as was also the case with all other Latinate prefixes' intervocalically in that language, e.g. *desenchanté*.

We have to recall that Chomsky found an easy way out by employing the = boundary, but as has been emphasized several times supra, this explanation cannot hold for the contradictory (or in fact, none at all) predictions it makes: = is transparent to voicing in *exist*, it induces voicing to the right of the cluster, it blocks assimilation in *consist*, and induces it in *desist* or *resist*. The case of the *pro* prefix is completely ignored in *SPE*. I have to admit that I cannot offer a definitive solution at this stage of the research to some of the conundrums which were skillfully covered by quasi-mathematical machinery in *SPE*, e.g. why for words such as *miser* a necessary condition is the presence of stress (secondary or primary) or tenseness in my formalization: the presence of a sigma in a binding, while in Latinate inactive prefixes such an additional conditioning is not necessary for voiced realization to occur.

Since the lenitive environment is consistently repeated with other RP data, all we are allowed to infer at this point is that perhaps concatenations such as e.g. *design* could have been borrowed from French as voiced, and since they were processed as a foot (a minimal condition), English phonology accepted them as such. In contrast, in *re-sign*, the voicing cannot be upheld, even analogically, because of the lack of a phonological foot through prior morphological intervention. As far as the blockage of voicing in compounds with *pro* is concerned, it could be explained by proposing for this particular prefix a still active cognitive status ('before' or 'forth'). But what must be emphasized is that is a matter of one consistent pattern, not a mutually exclusive context, as in *SPE*. If we 'kill' the data, assuming an ephemerid such as '=', there will no need to investigate the topic further. Given the contrarities implicated in Latinate prefixal lenitions, more in-depth research is merited, most probably involving going deeper into extra-

phonological conditioning factors, perhaps back to Middle English, which is beyond the scope of the present discussion.

Let us now move on to the final set of data, in *SPE* (4) denoted as environment (c): contexts such as *exist*, *exam*, *exarch*, *exit*, *auxiliary*, *anxious*, *anxiety*: in Chomsky's terms, where the orthography has <x>. Let us recall that for *SPE* *exist* does not carry any boundary – not even the phantasmagoric '='. *Consist*, according to *SPE*, has such a boundary which blocks voicing, just as '+' blocks the voicing in *parasitic*. *Desist* and *resist* also have =, where it actually induces voicing.

My proposal relies on several assumptions: first of all, words such as *exist* are processed by phonology as monomorphemic, in accordance with the general theory adopted here: if a prefix is semantically transparent, it is not processed 'separately' and phonology just does not see it, hence, natural phonological processes can unfurl. Chomsky could not embrace such a solution because the semantic criterion was purposefully expelled. Hence the juggling and intermittent appearance of the boundary = was to compensate for the rejection of semantics.<sup>22</sup> We cannot accept the version 'protection by the stress in *exit*' as normally it is precisely the post-stress environment in English that shows most lenitions: tapping, flapping or deletion as in *vehement*. Also, the realization is sensitive to both primary and secondary stress, which implies voicing in e.g. *exemplification* (an environment not taken into account in *SPE*). If we check the data at the point where the Chomskyan '=' makes three completely epistemologically diverging claims, we can see that the binding scenario proposed here, although of course it cannot account for all the data, is at least consistent with some of the material 'done away' in *SPE*: juxtaposed here as [3]:

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<sup>22</sup> Let us recall that in *pro se* (as in 'a *pro se* action', without an attorney) there is no voicing. The data seem to hold consistently the semantic criterion: as long as there is an active semantic concatenation, there is a morphological blockage. On the other hand, there seems to be a morpheme boundary for compounds with *con*, and *in*, although at present it is obliterated (as testified by the status of the lack of velar POA in e.g. *congressional*, *conclusion*, *ingress*, *incompetent*).

[3]

1. co ←<sub>n</sub> s<sup>Σ</sup> → i st
2. pe ←(r) s<sup>Σ</sup> → i st<sup>23</sup>
3. e ← g z<sup>Σ</sup> → i st
4. e<sup>Σ</sup> ← k s → it

Importantly, there is nothing contradictory in specimens in [3] with respect to *resident* or *design* while we assume that the primary condition for English phonological voicing to occur is the lenitive context of leftward binding and preferably being doubly-bound, that is, to participate in both leftward and rightward bindings. The /s/ in *persist* is involved with only one binding, hence lenition is not triggered. An environment which appears problematic though is the voicing algorithm in concatenations with a /ks/ cluster, which structurally appear to be the same as in *consist*. Let us recall that *SPE* has two technical tricks for this issue: i) assume that {ex-} does not carry = for the purpose of this particular rule, while in other places <ex> is referred to explicatively as a prefix, e.g. in *excel*, and ii) make the explanation sensitive to orthography.

My upgrading of Chomsky's analysis assumes again only a *yes/ no* parameter for 'boundary': either morphological information 'seeps' into phonology (blocks processes) or does not. In the cases of *re-* as in *resist* or *per-* as *persist* and {ex-} as in *exist* there is no morphological information reaching the phonological level: they are the same structurally. However, there is a crucial melodic difference. The resulting word-medial monomorphemic cluster /-ns-/ (also /rs/ in some dialects where applicable) is indeed different from the cluster /ks/ in many respects (for example, see *hirsute*: /'hɜ:sju:t/ – a voiceless fricative). One clue is e.g. Hall's lenition of /ks/ in Italian, which as a natural process is quite restricted and isolated, and, as Hall mentions, paralleled to some extent only by the /kt/ cluster, and none of the remaining concatenations involv-

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<sup>23</sup> In fact, phonetically intervocalic environment in RP.

ing /s/. Finally, it could be mentioned that /s/ quite typically undergoes lenition while other fricatives remain intact. For example, debuccalizations in word-final positions in Spanish (/s/ → /h/, or assimilations in clusters with /r/ into /r/ (not the opposite!), e.g. (Sp.) *Israel* /iɾra'el/.

A particular propensity for lenition of this particulate cluster (leaving aside the SPE stipulation that is due to orthography) can be motivated by several independent facts of English phonology.

**(i)** There is voicing that consistently surfaces as being sensitive to both primary and secondary stress. For example, according to pronunciation dictionaries, there are words which can be realized with the lenitive algorithm or without it, if the stress pattern is altered, e.g. *execute* (voiceless in poststress) versus *executive* (voiced in prestress position). Also, the lexeme *eczema* (which etymologically used to feature the {ex-} prefix) can be realized with different stress patterns: when the first beat is stressed, the realization is voiceless, and when it is the penult – voiced. The example *nota bene* defies Chomsky's claim for an exclusive orthographic criterion for the process.

**(ii)** The lenition also affects the /h/ if it is involved in the cluster: in words such as *exhilarate* (with the voicing algorithm triggered) the /h/ disappears as in any other lenitive context, yet in e.g. *ex-hilarious* pal the /h/ stays (where the prefix is semantically active, and hence there is no morpheme context). Hence it can be concluded that contact with /ks/ triggers the deletion of /h/.

**(iii)** *Anxious* versus *anxiety* – /'æŋkʃəs/, /,æŋz'aɪəty/ shows several preferences which are crucial for the present claims. First of all, in both cases, there is nasal POA assimilation since the cluster is monomorphemic. The form *anxious*, just as in *exit*, shows voiceless realization. It should be recalled that the relevant French realizations (hypothetical donors of the form,

although most etymological dictionaries gives as possible donors both Latin and Old French) show the voiceless versions throughout, (F.) *anxieuse*, *anxions*, *anxiété*, *auxiliaire*, although of course only the ultimate beat is stressed. However, there is another lenition involved: the preference to elide the /g/ from the voiced (lenited) cluster while retaining the voiced velar stop.<sup>24</sup> The binding preferences are as follows:

$$\text{æ} \leftarrow \text{ }^{\Sigma} \eta \text{k} \text{f} \rightarrow \text{æ} \leftarrow \text{s} \quad \text{æ} \leftarrow \eta(\text{g}) \text{z} \rightarrow \text{ }^{\Sigma} \text{a. I}$$

Interestingly, the lenition of /g/ operates as the normal ellipsis of a voiced velar and labial stops in a in a word-final cluster, cf. *comb*, *thing*, which points to strong cluster cohesion C<sub>1</sub>C<sub>2</sub>C<sub>3</sub>: (ngz) / (nk f). There is no such C<sub>2</sub> lenition in e.g. *congressional*. Finally, there is no problem for English phonology to retain the lack of voice in exactly the same heteromorphemic environment as in e.g. *jigsaw* or the reverse, *Hepzibah*. That, is, if the voicing goes ‘*de dextre à sénestre*’ of the cluster, this in English is a true phonological choice, not a necessity. It can thus be seen that three independent phonological facts point to actual triggering of the lenitive paradigm except when in poststress position. What is more confusing, the elision of /h/ takes place in an exactly opposite environment than the one exposed before (cf. *vehicle* – *vehicular*). In this case it seems that the driver of the lenition is the sigma on the leftward binding. The stress falling on the first beat (as in *exit*) could also imply that the cluster is processed as a canonical

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<sup>24</sup> Along these lines, Bauer posits that “some contrasts are more built into the system of particular languages than others. The contrast between /s/ and /t/ is more central to the system of German than is the contrast between ç and x. Contrast is a matter of how strong a contrast is, not just a matter of whether there is a difference” (Bauer 2008: 98). Additional support for the weaker status of /g/ than /k/ comes from the stipulations of Zabrocki’s structural phonetics: “in the two dimensional system, to which *g*, *b*, *d*, (*z*) belong, in the codal section these sounds are just as strong as the corresponding tenues, however in the second section they possess additional substance, the weakest of all physiological substances” (Zabrocki 1980 [1960]: 57).

word final, and there is also no binding on the final /s/.  $e \leftarrow \Sigma$   
ks i  $\rightarrow$  t.

Let us assume that the cluster *as* such is prone to lenition, as was the case in the Italian dialects above (cf. Halle); also quite telling is the fact that with the original voiced realization all etymon shaving disappeared long ago and {*ex-*} can no longer be extracted, not even phonemically, from *evade*, *effervescent* or *effect*. We could thus assume that what is happening currently with the English realization is precisely the next stage of the lenition of the cluster which long ago affected the voiced realization (e.g. also *eczema* above – the only voiced remnant of *ex-* which I was able to find). The lenition must be driven by the rightward binding because words such as *xylophone* or *xenophobia* for example are realized with a voiced spirant (after the prior elision of the stop, of course), while French congeners retain the voiceless version and the stop.

For further support, we could briefly, at this point, extrapolate Zabrocki's theory of structural phonetics, which proposes arranging particular sounds at the cross-section of several systems, based on the value of 'substantial mass'. The main concept underlying the study by Zabrocki is the summation of cognate elements: "[a] consonantal group stands out as a separate, sharp entity due to the summation of cognate elements and accordingly, by creating on such ground a superordinate vertex. Such a superordinate vertex, indicative of the existence of a structural unit, elicits the appropriate shaping of the current of air" (Zabrocki 1980 [1960]: 71). Having established a particular structure, other derived ("derived" understood as being due to the overlapping of different types of physiological substance) structures can be constructed by electing a "vari-ans" and "constans" consonant. In practical terms of cluster dynamics, it means that the cohesion of a cluster is greater when the difference in the aperture of its constituent elements is smaller.<sup>25</sup> In an exemplary codal arrangement taken from

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<sup>25</sup> As Zabrocki maintains, the negative pole of a process usually attacks the greatest substance mass and the positive attacks the smallest. Between

Zabrocki (1980[1960]: 59) taking /k/ as *constans* and arranging it with the basic system basing on the aperture mass (*k, p, t, c, s, m, n, l, r, h, i, u, e, o, a*), we obtain the following derived chain: *rk-lk-mk-sk-ck-tk-pk-kk*.

The cluster /-lk-/ is more compact than /-rk-/ due to the summing of the closure elements: in the former cluster the uniformity vertex is sharper. This means in practice that a process attacking the closure mass would have to surmount the greater uniform value of the closure mass in the case of an /lk/ cluster than in the case of an /rk/ cluster, which will show in historic changes. Still greater cohesion will occur in the group /nk/. What follows, the /ks/ cluster has a more prominent summit than e.g. /rs/ or /ns/ and, accordingly, much greater cohesion.<sup>26</sup>

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the two poles there is a neutral zone. In Zabrocki's terms, it is the physiological mass where we can observe a balance resulting from the operation of the two poles. Most frequently this zone is located in the area of [s] ([ʃ]), although it must be stressed that the scope of the influence of the respective poles and, what follows, of the neutralizing zones, is variable. This mobility is implicit in all languages in which the neutral zone becomes apparent. Most importantly, the [st] group is a transition point from the fortition of the second component to the fortition of the first component (Zabrocki 1980 [1960]:70). It can be explained by the fact that the plosive of the cluster (i.e. [k, p, t]) has the greatest mass of closure.

<sup>26</sup> Dziubalska-Kolaczyk points out that "in a sequence V1C1C2C3V2, a sonority distance C1C2 should preferably be smaller than or equal to a distance V1C1, and the distance C2C3 should preferably be smaller than a distance C3V2, for example *anspa, astka, astfa* [...]. Medial consonants of the preferred clusters tend to reduce phonostylistically (e.g. *astka*→*aska*, *apstfa*→*apsfa*) since the basic preference is satisfied anyway" (Dziubalska-Kolaczyk 1995: 82). Also a very important point with respect to the status of articulation in determining parsing was made by Delattre (1966: 153f), who enumerates six main principles including, among others, a difference in the force of articulation. The five-degree scale adopted is: 1°: k, t, p; 2°: f, l; 3°: n, m, s, ʃ, g, d, b; 4°: ɲ, j; 5°: v, ʒ, z, r. Dellatre also mentions the least effort principle. This rule favours the separation of consonants because it is easier to separate consonants than to pronounce them together. The application of the principle is the more salient, the greater the aperture of cluster members. Accordingly, the separation in *orné* is more marked than the cohesion of in *mineraï*; the separation in *parlé* is more marked than the union in *galerie*. There is also a criterion of the direction of consecutive articulatory movements. If the place of articulation of the second consonant is more retracted than that of the first one (direction front → backwards), a union of the two consonants is more likely. 5) is the distance from the place of articu-

### 3. Conclusion

This paper has reported an attempt to survey some of the contrarities implicated in so-called English /s/ voicing, while at the same time trying to unravel possible regularities among the epitomic skimble-skamble issue. The perspective, in accordance with an ecological and natural perspective, top-down, is that the starting position is accepting with humility that it might not be possible to account for the phenomenon *en bloc*. Also, NP tenets do not allow an easy way out through under-specification or extra-phonological entities as three types of boundaries or phases. On the other hand, the alternative was either to leave the issue or to delve into it within the limited scope that this stage of research allowed.

Such a perspective is in compliance with phonological naturalness as envisaged e.g. by Dressler and Dziubalska-Kołodziejczyk, who assume that the distinction between phonological processes and rules is in fact not an absolute but a gradient one: “processes and rules, or rather, phonological, morphological and morphological rules (processes) form a continuum without clear-cut boundaries between particular kinds of processes. Whether a given process is a prototypical representative of one or the other of the categories (e.g. phonological or morphological) depends on a whole set of criteria” (Dziubalska-Kołodziejczyk 1995: 45).

As such, the discussion has attempted to leave aside contradictory contexts and see whether there is enough evidence to posit that what is happening in these regular cases is a process. The conclusion seems to be positive. The phonological prerequisites for English lenitive /s/ voicing to unfurl as extracted through the discussion appear to be:

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lation. The proximity of places of articulation of cluster members contributes to their relative union, and conversely – the more distanced are the places of articulation, the less coherent the cluster. In what follows, *apta* is more bounded than *akta*, *akra* more than *apra*, *atsa* more than *aksa*. Finally, Dellatre mentions that the cohesion of cluster consonants is greater if the vowel which follows is not stressed.

- two segments are within one foot, which accounts for the fact that in e.g. *para*, *re-*, *dis* there is no voicing since the contiguous segments are two separate morphological entities (morphological clutch) and the foot cannot be formed. It seems that the most plausible proposal is a separate foot binding, which mentally delineates a given string as a unit: a foot (cf. also distant government in GP). This stipulation also entails binding being sensitive to morpho-syntactic (interface) information.
- a segment needs to be double bound and lenitive voicing primarily depends on the existence of the leftward binding,
- there is an additional stipulation that the main driver of the process in the so-called stress-timed language could be the presence of sigmatized binding (carrying tenseness or stress).

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## **Figurative language in Business English: Metaphors of transport and war**

ANNA ŁUCZAK

### **Abstract**

This paper focuses on selected metaphors of transport and war employed in Business English. The approach to metaphor adopted here is the Conceptual Metaphor Theory proposed by Lakoff and Johnson in *Metaphors We Live By* (1980). The metaphors analyzed in this paper come from magazines such as *Business Week*, *Newsweek* and *The Economist*. The examples of metaphors of transport and war frequently used in Business English are ECONOMY/COMPANY IS A MEANS OF TRANSPORT and BUSINESS IS WAR.

### **Key words**

Business English, conceptual metaphor, metaphors of war, metaphors of transport

## **Langage figuratif dans l'anglais des affaires: Métaphores du transport et de la guerre**

### **Résumé**

L'article se concentre sur quelques métaphores choisies du transport et de la guerre qu'on utilise dans l'anglais des affaires. L'approche envers les métaphores qui y est adoptée, c'est la théorie conceptuelle de la métaphore proposée par Lakoff et Johnson dans *Metaphors We Live By* (1980). Les métaphores analysées dans cet article viennent des magazines comme *Business Week*, *Newsweek* et *The Economist*. Les exemples des métaphores du transport et de la guerre les plus fréquemment utilisées dans l'anglais des affaires sont les suivants:

L'ECONOMIE / L'ENTREPRISE EST UN MOYEN DE TRANSPORT et  
LES AFFAIRES SONT UNE GUERRE.

### **Mots-clés**

anglais des affaires, métaphore conceptuelle, métaphores de la guerre, métaphores du transport

## **1. Introduction**

In the previous papers concerning Business English, I concentrated on the natural world metaphors (Łuczak 2010) as well as on health, sports and marriage metaphors (Łuczak 2011). This paper focuses on metaphors of transport and war. The approach to metaphor adopted in all three papers is the Conceptual Metaphor Theory proposed by Lakoff and Johnson (1980).

Economy must be on the move. The quicker it develops the better. What is true for the whole economy is true for particular businesses. Human fascination for moving by quicker and better means of transport is transferred to the language of business and it is reflected by the metaphor ECONOMY/COMPANY IS A MEANS OF TRANSPORT. On the way to achieve their targets companies must remove any obstacles that appear, be it obsolete technology, unmarketable product or another company. All the obstacles are the company's enemies: BUSINESS IS WAR.

In the case of both transport and war metaphors, human experience in creating the artificial, tool equipped world constitutes the basis for extended systems of sub-metaphors.

## **2. Metaphors of transport**

Means of transport metaphors describe moving in the three elements: water, air and earth. Throughout centuries the ship has been the most efficient means of moving across seas and

oceans. The size of any ship when compared to the vast territory of sailing waters makes us realise how important it is for the ship to be trustworthy. Yet without the human skill and organisation it would be impossible to reach a port. The qualities of a sea voyage are also true for business activity. This fact is reflected in the metaphor COMPANY IS A SHIP, whose usage is extensively presented by Wright in his *Idioms Organiser* (2000: 22-23). Companies have their targets and they strive to be *on the course* for the best results. The achievement of this purpose is possible through the work of the company people: COMPANY PEOPLE ARE THE CREW. All of them *are in the same boat* so they must *know the ropes* and *pull together*:

- (1) *It's not just you that's worried about redundancy. We are **all in the same boat**.*
- (2) *Is this your first day here? Well, don't worry. If you have any questions, ask Di. Nobody **knows the ropes** like her. She's been here for over 20 years.*
- (3) *There are too many people in this company with different ideas. We really ought to agree about where we're going.  
- Yes, I think we ought to be **pulling together**.*  
(Wright 2000: 22-23)

There are many dangers awaiting the ship on the sea. It may easily end up *on the rocks* and then *it's all hands on deck* as nobody wants the ship to get *wrecked*. *Waiting for the storm to pass* may not work and the crew will have to *leave the sinking ship*:

- (4) *I don't think that Maximedia are going to survive, do you?  
- No, I agree. From what I've heard they are just about **on the rocks**.*
- (5) *I'm afraid we've got four people off sick this morning, so, **it's all hands on deck**.*

- (6) *All our planning of the past few months has been **wrecked** by the new MD, who has decided that nothing will change.*
- (7) *We're in the middle of a world recession. Interest rates are too high and consumer confidence is at an all-time low. Let's just keep calm and **wait for the storm to pass**.*
- (8) *Have you heard the rumours about Maxwell's? Their best staff have gone.*  
 - *Yes, everyone's trying to get out. It's like rats **leaving a sinking ship**.*  
 (Wright 2000: 23)

Apart from rocks and storms there are other dangers threatening the safety of a ship, e.g.: *mutiny* and *uncharted territories* so prudent captains *run a tight ship*:

- (9) *Miss Blake and her team of accountants make sure that not one penny is wasted. They **run a tight ship**.*  
 (Wright 2000: 23).

The role of the company's CEO is as important as the role of the captain: A CHIEF EXECUTIVE OFFICER IS A CAPTAIN. He is the person *to steer* the company:

- (10) *So six months after **taking the helm** at Toshiba, Nishida is hoping to end the vicious cycle of tech commodization.*  
 (Hall and Burrows 2005: 22)

Captains try to sail their ships faster than other ships:

- (11) *Now a group of five Taiwanese companies – none with recognisable brands – are on pace to **outship** the Koreans in a booming sector, liquid-crystal-display screens.*  
 (Adams 2005: 56)

Humans have managed to build the craft to move in the air. No wonder that the experience of flying is used to describe

other human activities: business uses numerous metaphors based on this. Wright (2000: 30-31) gives a very comprehensive metaphor to illustrate this phenomenon: ECONOMY IS FLYING. Its sub-metaphor is ECONOMIC VARIABLES ARE FLYING OBJECTS whose existence is supported by numerous expressions: prices, profits, and sales *go up, rocket, soar, go through the roof, spiral, plummet, plunge, nosedive and fall*. Some of these metaphors are used to show how dramatic the situation happens to be:

- (12) *RIM appealed, and as the case dragged on, its revenue and the royalty honey-pot – **skyrocketed**.*  
(Stone 2005: 50)

MARKETS, whole ECONOMIES of particular countries and COMPANIES ARE AIRPLANES (although in (14) and (16) they could be treated as other means of transport):

- (13) *There is a lot of **turbulence** in financial market at present.*  
(Wright 2000: 30)
- (14) *Financial institutions around the world are panicking after yesterday's **crash** on Wall Street.*  
(Wright 2000: 30)
- (15) *The market is in **free fall**.*  
(Wright 2000: 31)
- (16) *The company is **on schedule** to bring out its new product in March.*  
(Summers 2000: 431)
- (17) *The Fed attempted to manage an economic **soft landing** by gradually lowering interest rates.*  
(Wright 2000: 262)

Another group of metaphors of means of transport is inspired by the role cars play in people's lives. ECONOMY/COMPANY

IS A CAR and BUSINESS/CEO IS A DRIVER metaphors are among the favourite ones of business journalists:

- (18) *Against the backdrop of rapid economic growth in emerging markets such as China, its primary catalyst, the mining industry has been **firing on all cylinders**.*  
(Chambers 2005: 15)

The rapid development of the mining industry described in the previous sentence is in sharp contrast with the price of American stocks:

- (19) *With US stocks stuck **in low gear** for two years now, traders have little choice but to search the globe for opportunities.*  
(Pressman 2005: 82)

Drivers decide where their cars go, and there is only one place in the car from which one can operate it: the driver's seat, behind the steering wheel. Whoever is in that seat can influence the course of action. In his article "Business Gets *Behind the Wheel*" Cooper (2005: 15) states:

- (20) *For the past couple of years, housing and consumer spending have been **in the driver's seat**.*

The development of economic affairs may be referred to as *wheeling*:

- (21) *Just look at this month's **wheeling** and dealing.*  
("Private Equity in Germany: Anglo-Saxon Attitudes" 2005: 73)

Motorcycles also contribute to enriching the selection of business metaphors:

- (22) *Software companies are using their development skills to **kick-start** the market for radically new information products.*  
(Summers 2000: 258)

Finally, ECONOMY/BUSINESS IS A STEAM ENGINE:

(23) *Despite soaring prices for some of the minor metals, a potential catalyst for providing ‘upside surprises’ to consensus earnings per share forecasts, analysts were cautious that this could soon **run out of steam**.*

(Chambers 2005: 15)

The engine may well belong to a locomotive pulling a train. The metaphor ECONOMY/COMPANY IS A TRAIN is frequently used to describe dangers awaiting those travelling by rail:

(24) *Globalisation has lowered barriers to illegal as well as legal commerce, and international smuggling now threatens to **de-rail** the world economy.*

(Naim 2005: 57)

### 3. Metaphors of war

The presence of war metaphors in Business English may seem to be a surprise for the uninitiated, but actually they are a logical development of the language. The main reason for war has always been an economic one: in the past, the aggressor wanted to gain more territory, more fertile lands, cheap labour force, natural resources or tradeable goods. Contemporary aggressors are no different. They may even be more determined because of the pressure exerted on them by powerful military lobbies. Wars were supposed to be good business and the relationship between the military and money was so strong that business started to be treated as war. This approach to war can still be observed. Acquiring the basics of business is frequently based on the Chinese war guidebook *The Complete Art of War* by Sun Tzu which is 2500 years old. The principles laid out in this book are adopted in management, marketing, career planning, business development and sales (Sun and Gagliardi 2003: 10).

The language of business is strewn with military expressions. The metaphor BUSINESS IS WAR is the most often singled out metaphor by authors of Business English teaching materials. In *Management and Marketing*, MacKenzie (1997: 61) groups metaphors typically used to describe an offensive strategy, a defensive strategy and a takeover bid. The first group includes: *making inroads*, *tactics*, *attack*, *blitz* and *invade*, while the second one comprises: *defend territory*, *retaliate*, *deter*, *withdraw* and *defence*. A takeover bid is frequently an act of aggression towards a weaker company, so the actions of the aggressor require offensive strategy metaphors and the actions of the attacked company require defensive strategy language. Yet, there are special expressions, like *a dawn raid*, which are used just for describing an attempt at taking over another company, i.e. buying a significant amount of its shares in the first minutes of Stock Exchange trading. The threatened company may be saved by *a white knight* – a third company which buys its shares in order to prevent the raider from taking control:

(25) *If measures such as these do not work, a company can at least attempt to find a **white knight** – another buyer whom they prefer.*

(MacKenzie 1995: 81)

In the coursebook *Business Matters*, Powell (1996: 46) presents thirty popular war metaphors used in business. The majority of them are typical of the language of marketing and sales. These business activities are part of a company's strategy that deals with competition. The companies that want to sell to the clients of a given firm are treated as its enemies. Hence numerous expressions are based on the metaphor COMPETITORS ARE ENEMIES. That is why lowering prices by competing companies is called *a price war*, sometimes it is *an attack from all sides*, the environment is becoming ever more *hostile* and

- (26) [...] *it's a **cut-throat struggle** just to **survive**.*  
(Powell 1996: 46)

A clever company may *outmanoeuvre* its competitors in spite of their customers' *brand loyalty*, *joining forces* with other companies or *taking the offensive* and *fighting back*. Corporate *raiders* always look for weaker companies that are *losing ground* to their competitors in order to *take them over*. However, the attacked company may not be willing to *give in without a fight*. They may try to *withdraw* from less profitable markets, *re-group*, *change tactics*, *reinforce their position* on the main market and *take on* the competition. What seems to be a *long shot* at the beginning may finally result in *winning back* the market share and *fighting off* the *threat of a takeover*. As can be seen from the above examples, the mappings are plentiful, e.g. MARKETS ARE GROUNDS / TERRITORIES THAT CAN BE WON OR LOST, DEALING WITH COMPETITORS IS ATTACKING THEM, REACTING TO COMPETITORS' ACTIONS IS FIGHTING BACK.

The chapter on marketing in *New Insights into Business* (Tullis and Trappe 2000: 125) starts with an exercise where students are supposed to replace some items of vocabulary with military expressions which, in fact, are war metaphors. The final version sounds as if it were taken from a real war report:

- (27) *It is true that we have been deeply affected by our competitor's latest **campaign**. A new plan of action must be developed as soon as possible. **Casualties** have been particularly high in every foreign **territory**. We have lost **key strongholds** in Russia and Venezuela. Even in the home market we **are out-gunned**. However we are not going to **surrender**. We are developing a new **surprise attack** which will help us regain some of our market share. The **war** will **rage on** for some time yet we are confident that we can still **win**.*

Even though metaphors are not referred to as such, they are clearly visible in the exercise, e.g. COMPANY'S LOSSES ARE CASUALTIES, NOT BEING ABLE TO COMPETE IS BEING OUTGUNNED and A NEW MARKETING PLAN IS A SURPRISE ATTACK.

In *Idioms Organiser*, Wright (2000: 14-15) gives more than thirty military metaphors. Some of them have already been discussed above, yet new interesting examples appear. One of the most common metaphors in Business English is COMPANY'S GOALS ARE TARGETS:

(28) *If you don't set **targets**, you never know if you haven't achieved them.*

(Wright 2000: 15)

SENDING ENQUIRIES IS BOMBARDING:

(29) *The new advertising campaign has been a huge success. We've been **bombarded** with thousands of new enquiries.*

(Wright 2000: 14)

TO BE SACKED IS TO GET MARCHING ORDERS:

(30) *If you park in the Manager's space, you'll soon get your **marching orders**.*

(Wright 2000: 14)

The business press makes use of both popular metaphors and more sophisticated ones. The words *war* and *fight* as well as their synonyms appear in numerous business articles, e.g.

(31) *Open **warfare broke out** on carmaker Volkswagen's supervisory board yesterday as shareholders and worker representatives **clashed over** the appointment of a new personnel director. The nomination of Horst Neuman, former Audi head of personnel, was **forced through** by an alliance of the 10 worker members on the board and Ferdinand Piëch, VW's **embattled***

*chairmen, against the wishes of most of the shareholder representatives, people close to the board said.*

(Milne 2005:10)

There seems to be no hypocrisy about the essence of business, at least in the widely accepted metaphors like BUSINESS IS GAINING CONTROL:

(32) *In Silicon Valley, the **fight** between Gates and Jobs for digital music dominance is seen at the latest **battle** in a **war** that has been **raging** between the two businessmen for 25 years. But while Gates and Jobs go toe to toe next week, UK entrepreneur Richard Branson, head of Virgin Group, is in the **wings**.*

(Glower 2005: 3)

Similarly, it can be said that BUSINESS IS AGGRESSION or BUSINESS IS EXPANSION:

(33) *He helped build Bank of America (BoA) into the largest consumer bank in the country through a series of **shootouts** with older, often aristocratic, institutions that deeply resented him. 'We never had a lot of **conflict** inside the bank, because we always focused our **aggression** outward,' says Hugh McColl, the architect of BoA's expansion. 'To do that, I always kept an **enemies** list. Ken keeps the **enemies** list alive'.*

(Tully 2005: 1)

War requires weapons, ammunition and people: VARIOUS BUSINESS ACTIVITIES/ DECISIONS ARE WEAPONS, IMPLEMENTING THEM IS SHOOTING AMMUNITION. Most often the types of weapons used in business wars are suggested by the verbs describing the action or nouns describing the effects. Pistols make us use triggers:

(34) *This has also helped **trigger** an investment boom, with capital spending up 1.4% in the second quarter and 7.5% over the past year.*

(Heath 2005: 7)

Triggers initiate shooting:

- (35) *Oil prices **shot** above \$40 a barrel.*  
(Summers 2000: 447)

Knives and daggers are responsible for cutting and slashing:

- (36) *Over the last year the workforce has been **slashed** by 50%.*  
(Summers 2000: 451)

Sometimes they are ineffective:

- (37) *Mutual funds meanwhile are rather **blunt instruments**.*  
(Pressman 2005: 82)

The use of cannons and bombs results in blowups:

- (38) *That could pose problems in foreign markets, where local **blowups** spread quickly.*  
(Pressman 2005: 82)

and craters:

- (39) *Entertainment and multimedia business, broadly defined to include computer software, graphic design, and other related fields, are expanding to fill the **craters** left by the **defence**, says Tapan Munroe, a chief economist at Pacific Gas and Electric in San Francisco.*  
(Spiers 1996: 19)

Generally, it is a good thing to have ammunition:

- (40) *Record inflows into private equity funds are giving them plenty of **ammunition**.*  
(Farzad 2005: 99)

Hi-tech is also welcome:

- (41) *'This \$640 million [market cap] stock hasn't appeared on analysts' **radar screens** yet,' says Victory Special Value's Globits.*  
(Gutner 2005: 80)

A common approach to sales people is reflected in the metaphor SALES STAFF ARE AN ARMY:

- (42) *But Yellow Pages companies have two things in Web companies like: Internet-like margins of 40% or more and **armies** of local sales raps – which portals don't have – to sell advertising to small companies that lack tech savvy.*  
(Mullaney 2005: 73)

Armies are supposed to go forward and it is crucial to keep an eye on what is going on the frontline:

- (43) *Norwest Corp. chief economist Sung Won Sohn expects long-term bond yields will fall to 5.5 % by midyear, based in part on his **frontline** observations of low inflation scenario [...]*  
(Spiers 1996: 18)

Sometimes soldiers must wait in trenches and this is exactly what frequently happened during the First World War. *Retrenching* is bad news in business, it means *cutting on* company expenditure:

- (44) *Defence companies and computer makers are **retrenching** and have scaled back orders.*  
(Summers 2000: 416)

Both war and business are risky enterprises and that is why it is important to remain watchful all the time, even during a ceasefire:

- (45) *The standard indicators of risk (prices, interest rates, volatility) didn't **flash danger signals**.*  
(Samuelson 2005/2006: 74)

#### **4. Conclusion**

The metaphors discussed in this paper are frequently used in Business English. The examples of metaphors are taken from different sources (coursebooks, popular magazines, business magazines, newspapers, language organisers and dictionaries), and include language used in different spheres of economy. The majority of examples present metaphors of war and transport that are so deeply rooted in business language that their metaphoricity is hardly noticeable by the authors and readers of business texts.

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## **The International and Slavonic Phonetic Alphabets**

LUCYNA RYNDAK

### **Abstract**

This article deals with two most commonly used phonetic alphabets, namely the International Phonetic Alphabet (the IPA) and the Slavonic Phonetic Alphabet (the SPA). Various systems of transcription are based on these alphabets. Here, the symbols of the two alphabets are compared in relation to the sounds of Polish.

### **Key words**

the IPA, the SPA, phonetic symbols, diacritics

## **L'alphabet phonétique international et l'alphabet phonétique slave**

### **Résumé**

Le présent article aborde la question de deux alphabets phonétiques fréquemment utilisés, notamment l'alphabet phonétique international (API) et l'alphabet phonétique slave. Des systèmes de transcription variés sont basés sur ces alphabets. Ici, les symboles des deux alphabets sont comparés par rapport aux sons du polonais.

### **Mots-clés**

API, alphabet phonétique slave, symboles phonétiques, diacritique

## **1. The International Phonetic Alphabet<sup>1</sup>**

This section is devoted to the presentation of the International Phonetic Alphabet, and to establishing how its symbols can be used for representing the sounds of English.

### **1.1. The aim of the IPA**

There has been a need to create a set of symbols which would be comfortable to use and comprehensible enough to deal with a wide variety of sounds found in the languages of the world. Since its foundation in 1886, the International Phonetic Association has been preoccupied with developing such a phonetic alphabet which would provide a consistent set of symbols for referring to sounds without ambiguity. Years of work have given birth to the International Phonetic Alphabet (the IPA).

It is claimed that a good phonetic alphabet can be used for many purposes; namely to show pronunciation in a dictionary, to create the basis of a writing system of a language, to decode acoustic and other displays in the analysis of speech or to record a language in linguistic fieldwork (see: *Handbook of the International Phonetic Association* 1993: 3). The IPA is applied in all of these cases. It is based on the Roman alphabet, which has the superiority of being widely familiar, but also contains letters and additional symbols from a variety of different sources (see: *Handbook of the International Phonetic Association* 1999: 3)

Phonetics, like any other science, evolves over time. Therefore, it is usual that from time to time the alphabet must be modified to adopt innovations. The Alphabet presented here is the latest version updated in 1996. It depicts remarkable continuity with the Association's Alphabet as it was at the end of the nineteenth century (see: *Handbook of the International Phonetic Association* 1999: 3).

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<sup>1</sup> Section 1 of this paper, describing the International Phonetic Alphabet, is based on section 1 in Ryndak (2013).



## 1.2. Description of the chart

The chart is indeed a number of separate charts. The arrangement of the symbols of the IPA is an effort to summarize a complete theory of linguistic phonetics on a single page. It does not cover all possible types of phonetic description, including, for instance, all the types of voice quality that differentiate one person from another. On the contrary, it is confined to these sounds that can have linguistic significance in that they can alter the meaning of a word in a language (see: Ladefoged 1975: 275).

The symbols in the chart are organized in such a way that if there are two items within a single cell, the one on the right is voiced. This enables the consonant chart to be a three-dimensional illustration of the main features of consonants: their place of articulation (across the chart), their manner of articulation (down the chart), and the state of the glottis (within each cell). The consonant chart also shows, by means of shadowed areas, which combinations of features are considered to be unattainable. The empty cells on the chart mark combinations of features that are feasible, but have not been detected in any language (see: Ladefoged 1975: 276).

The vowel chart also reveals that there are three dimensions applicable to vowels: front-back across the top of the chart, close-open down the chart and rounding classified by the relative locations of the members of pairs of vowels. Non-pulmonic sounds occupy the next section in the IPA chart. The chart also consists of a section of "other symbols", most of which designate sounds that could not be appropriately described in terms of the main sets of features examined here (see: Ladefoged 1975: 277).

The diacritics section of the chart allows a number of additional aspects of sounds to be denoted by attaching a mark above or below the symbol of the basic features of the sound. In this way, extra states of the glottis are identified by supplying aspirated, breathy-voiced and creaky-voiced diacritics. As far as specific tongue shapes are concerned, more precise fea-

tures are marked by applying diacritics for linguolabials, dentals, apicals and laminals. Advanced vowel qualities can be indicated by means of many other diacritics (see: Ladegoged 1975: 278).

Additionally, the IPA chart supplies symbols for denoting stress, length, tone and intonation. As regards stress, three variants are recognized: primary stress, secondary stress and unstressed. There are four possibilities of expressing length: long, half-long, unmarked and extra-short. The possibilities for intonation and tone include five contrasting levels and several combinations (see: Ladefoged 1975: 278).

### 1.3. Exemplification of the English sounds

The objective of this article is to exemplify only these symbols which exist in standard English or its varieties. The phonemic transcription of the exemplifying words will be introduced in slanting lines. Also, allophonic transcription will be used when it is necessary to indicate additional aspects of sounds. The latter notation will be provided by means of square brackets. The exemplification follows the *Handbook of the International Phonetic Association* (1993: 18–25), where, in contrast to Gimson's notation, no colon is used for indicating the length of vowels. In the case of discrepancies, Gimson's (G) transcription is given in brackets.

#### 1.3.1. Plosives

- p as in *pea* /pi/ (G. /pi:/)
- b as in *bee* /bi/ (G. /bi:/)
- t as in *tea* /ti/ (G. /ti:/)
- d as in *deep* /dip/ (G. /di:p/)
- k as in *cap* /kæp/
- g as in *gap* /gæp/
- ? as in *top* [tɒ?]

### 1.3.2. Nasals

- m as in *me* /mi/ (G. /mi:/)
- ŋ as in *emphasis* [ɛŋfəsɪs]
- n as in *knee* /ni/ (G. /ni:/)
- ŋ as in *hang* /hæŋ/

### 1.3.3. Trills

- r as in Scottish Eng. *crack* [krak]

Most forms of English do not have trills except in over-articulated speech.

### 1.3.4. Taps or flaps

- r as in Am. Eng. *atom* ['æɾəm]
- ɾ as in Am. Eng. *birdie* /'bɜ:di/, [bɜ:ɾi]

### 1.3.5. Fricatives

- f as in *fee* /fi/ (G. /fi:/)
- v as in *vat* /væt/
- θ as in *thief* /θɪf/ (G. /θi:f/)
- ð as in *thee* /ði/ (G. /ði:/)
- s as in *see* /si/ (G. /si:/)
- z as in *zeal* /zi/ (G. /zi:l/)
- ʃ as in *she* /ʃi/ (G. /ʃi:/)
- ʒ as in *vision* /vɪʒn/
- ç as in *huge* [çu:dʒ] (G. /hju:dʒ/)
- j Eng. variant of [j] in *yeast* [jɪst]
- x as in Scottish Eng. *loch* [lɒx]
- h as in *he* /hi/ (G. /hi:/)
- ɦ as in *ahead* [ə'ɦɛd]

[ɦ] represents a breathy voiced sound, rather than an ordinary voiced sound.

### 1.3.6. Lateral fricatives

ɬ as in Welsh *llan* [ɬan] ‘church’

### 1.3.7. Approximants

ɹ as in British Eng. *read* [ɹɪd] (G. /ri:d/)

ɻ as in Am. Eng. *read* [ɻɪd] (G. /ri:d/)

j as in *yes* /jɛs/ (G. /jes/)

### 1.3.8. Lateral approximants

l as in *leaf* /lif/ (G. /li:f/)

### 1.3.9. Vowels

i (G. /i:/) as in *heed* /hid/ (G. /hi:d/)

ɪ as in *hid* /hɪd/

e as in Scottish Eng. *hay* [he]

ɛ (G. /ɛ/) as in *head* /hed/ (G. /hed/)

æ as in *had* /hæd/

ɑ (G. /ɑ:/) as in *father* /fɑðə(ɹ)/ (G. /fa:ðə(r)/)

ʌ as in *hut* /hʌt/

ɒ as in British Eng. *bother* /bɒðə/

ɔ (G. /ɔ:/) as in British Eng. *caught* /kɔt/ (G. /kɔ:t/)

ʊ as in *book* /bʊk/

u (G. /u:/) as in *school* [skuːl] (G. /sku:l/, [sku:t])

ə as in *ahead* /ə'hed/ (G. /ə'hed/)

ɜ (G. /ɜ:/) as in *bird* /bɜd/ (G. /bɜ:d/)

### 1.3.10. Other symbols

ʌ as in Scottish Eng. *whether* [ʌɛðəɹ]

w as in *weather* /weðə(ɹ)/ (G. /weðə(r)/)

ʧ̥ as in *chief* [tʃ̥iːf] (G. /tʃi:f/)

ɖ̥ as in *jar* /dʒa/ (G. /dʒa:/)

### 1.3.11. Suprasegmentals

Generally, in English one or two degrees of stress are marked: primary and secondary. Length is not contrastive in English, but allophonic differences are shown by the use of the length diacritics:

: *bead* [bi:d] - fully long

˙ *beat* [bi˙t] - half-long

˘ *police* [pɔ̘li˙s] - short

White spaces may be used to mark word boundaries. Syllable breaks can be indicated when needed by using a dot, as in *lamb prepared* [˙læm.pɪə.pɛəd]. Other two boundary symbols are applied to show larger prosodic units, namely | and ||, as in *Jack, preparing the way, went on* [˙dʒæk | pɪə˙pɛəɪŋ ðə˙weɪ | wɛnt˙ɒn || ].

The symbols of global rise and global fall are suitable for use in English to describe intonation.

↗ *No?* [↗nou]

↘ *No.* [↘nou], *How did you ever escape?* [↗haʊ dɪd ju ɛvəɪ ɪ↘skeɪp]

### 1.3.12. Diacritics

Diacritics are used to create symbols to indicate various additional types of sounds. In English, diacritics are basic to produce detailed or allophonic transcription. Below there is a list of diacritics commonly used for English.

- the voiceless diacritic is used to depict a symbol that usually denotes a voiced sound, but depicts a voiceless sound on some occasions, e.g. in a detailed transcription of conversational English *Please say...* as [p̥li˙z seɪ] (G. [p̥li˙z seɪ]);

- ∨ the voiced diacritic is used to show that a symbol that usually denotes a voiceless sound corresponds, on some occasions, to a voiced sound, as in a detailed transcription of conversational English *back of* as [bæ̤k̤ əv];
- ʰ aspiration, or delayed voice onset, as in detailed transcription *pea, tea, key* [p<sup>h</sup>i], [t<sup>h</sup>i], [k<sup>h</sup>i] (G. [p<sup>h</sup>i:], [t<sup>h</sup>i:], [k<sup>h</sup>i:]);
- , in some forms of English, for instance, RP, over-rounded [ɔ̹] occurs, e.g. *caught* [kɔ̹t] (G. [kɔ̹:t]);
- ◌ in some forms of English, e.g. Californian, under-rounded [ʊ̹] occurs, e.g. *good* [gʊ̹d];
- ◌ advanced, as in *key* [k̟i] (G. [k̟i:]);
- ◌ retracted, as in *tree* [t̠i] (G. [t̠i:]);
- ◌ centralized, as in *well* [w̟ɛ̟t̠] (G. [w̟ɛ̟t̠]);
- \* mid-centralized, as in *November* (G. [nɔvembə(ɹ)]);
- ◌ beneath a consonant: syllabic, as in *fiddle* [fɪd̩];
- ◌ rhoticity, as in Am. Eng. *bird* [bɜ̞d̩] (G. [bɜ̞d̩]);
- ◌ superscript following a consonant: transitional labialization, e.g. [t] in *twin* [t<sup>w</sup>ɪn];
- ◌ palatalized, as in *leaf* [l<sup>j</sup>i:f] (G. /li:f/, [l<sup>j</sup>i:f]);
- ◌ velarized, as in New York English *feel* [fi:l<sup>v</sup>] (G. /fi:l/, [fi:l<sup>v</sup>]);
- ◌ through a consonant: velarization or pharyngealization, as in *hill* [hɪl̠];
- ◌ above a vowel or consonant: nasalized, e.g. [ã], [w̃];
- ◌ raised, closer position, as in *get* [gɛ̟t̠];
- ◌ lowered, more open position, as in *check* [tʃɛ̟k̠];
- ◌ dental, as in *width* [wɪt̠θ];
- ◌ nasal release, as in *happen* [hæp<sup>n</sup>m̩];
- ◌ lateral release, as in *bottle* [bɒt<sup>l</sup>l̩];
- ◌ no audible release, as in *act* [ækt̠].

## 2. The Slavonic Phonetic Alphabet

The aim of this section is to present the symbols of the Slavonic Phonetic Alphabet (the SPA) and to compare them with the relevant symbols of the IPA.

**2.1.** The SPA has been widely used in the research carried out on the Slavic languages. It has two features in common with the IPA: (a) it uses a minimal number of letters based on the Roman alphabet, and (b) it largely applies diacritic marks (see: Wiśniewski 1998: 22).

Presenting the symbols of the SPA, we shall concentrate on Polish examples. To make the presentation more transparent, the symbols of the IPA will be juxtaposed with those of the SPA together with the examples written in the two types of the phonetic transcription.

**Table 1**

The presentation of the Slavonic Phonetic Alphabet (according to Madelska and Witaszek-Samborska 2000: 14-20)

Symbols of the IPA	Polish words according to the IPA	Symbols of the SPA	Polish words according to the SPA	Polish words in ordinary spelling
a	agaṭa, kraṭa	a	agata, krata	<i>Agata, krata</i>
ɛ	eva, ṭaleʒɛ	e	eva, tależe	<i>Ewa, talerze</i>
ɔ	ɔpɔɛ, vʲadro	o	opole, vjadro	<i>Opole, wiadro</i>
i	iglʲitsa, ɕpʲi	i	iglica, śpʲi	<i>iglica, śpi</i>
i	biwi, biḍwɔ	y	byy, byḍo	<i>były, bydło</i>
u	urʃula, kʃixu	u	uršula, kšyxu	<i>Urszula, Krzychu</i>
ɛ̃	kɛ̃s, vɛ̃x	ɛ̃	kɛ̃s, vɛ̃x	<i>kęs, węc</i>
ɔ̃	vɔ̃s, id̃ɔ̃	õ	vɔ̃s, id̃õ	<i>wąs, idą</i>
ã	avãs, ṭrãs	ã	avãs, ṭrãs	<i>awans, trans</i>
ĩ	ĩstɪŋkṭ	ĩ	ĩstɪŋkṭ	<i>instynkt</i>
ĩ	rĩʃtɔk	y	rỹstok	<i>rynsztok</i>
ũ	kũʃṭ	ũ	kũst	<i>kunszt</i>
j	jajɔ, pʲij	ĩ	ĩäio, pʲiĩ	<i>jajo, pij</i>
ĩ	paĩsci, keĩɕik	ĩ	paĩskʲi, keĩśik	<i>pański, kęsik</i>
w	wapaw, vawek	ũ	ũapau, vaũek	<i>łapał, walek</i>
ṽ	keṽs, voṽs	ũ	keũs, voũs	<i>kęs, wąs</i>
m	mama	m	mama	<i>mama</i>
mʲ	mʲiwɔ, pamʲjɛŋṭatɕ	mʲ	mʲiũo, pamʲjɛntaé	<i>milo, pamiętaé</i>

ṁ	riṁṁ, kɔsm̄kovat̄e	ṁ	rytm, kosm̄kovate	<i>rytm, kosmkowate</i>
p	pɔpularni	p	popularny	<i>popularny</i>
p <sup>j</sup>	p <sup>j</sup> i t̄e, ɔp <sup>j</sup> ieka	p <sup>j</sup>	p <sup>j</sup> ić, op <sup>j</sup> ieka	<i>pić, opieka</i>
b	balɔn̄, kɔbra	b	balon, kobra	<i>balon, kobra</i>
b <sup>j</sup>	b <sup>j</sup> i t̄e, kɔb <sup>j</sup> ieṁa	b <sup>j</sup>	b <sup>j</sup> ić, kob <sup>j</sup> ieṁa	<i>bić, kobieta</i>
f	fɔt̄ɔgraf	f	fotograf	<i>fotograf</i>
f <sup>j</sup>	f <sup>j</sup> ilm, ɔf <sup>j</sup> jara	f <sup>j</sup>	f <sup>j</sup> ilm, of <sup>j</sup> jara	<i>film, ofiara</i>
v	vɔjn̄a, kavawek	v	vojna, kavaūek	<i>wojna, kawalek</i>
v <sup>j</sup>	v <sup>j</sup> irus	v <sup>j</sup>	v <sup>j</sup> irus	<i>wirus</i>
t̄	t̄raktat̄	t	traktat	<i>traktat</i>
t <sup>j</sup>	t <sup>j</sup> ik, apat <sup>j</sup> ja	t <sup>j</sup>	t <sup>j</sup> ik, apat <sup>j</sup> ja	<i>tik, apatia</i>
t	t̄jimat̄e, pɔt̄t̄jas	t̄	t̄šymać, pɔt̄čas	<i>trzymać, podczas</i>
ḍ	ḍat̄e, pɔḍrɔb <sup>j</sup> iṁe	d	dać, podrob <sup>j</sup> ić	<i>dać, podrobić</i>
d <sup>j</sup>	d <sup>j</sup> ipɔl, pɔd <sup>j</sup> um	d <sup>j</sup>	d <sup>j</sup> ipol, pod <sup>j</sup> um	<i>dipol, podium</i>
d	dʒeɔ, an̄ dʒej	ḍ	ḍževo, an̄ ḍzej	<i>drzewo, Andrzej</i>
s	sɔsn̄a, bas	s	sosna, bas	<i>sosna, bas</i>
s <sup>j</sup>	s <sup>j</sup> nus, ros <sup>j</sup> ja	s <sup>j</sup>	s <sup>j</sup> inus, ros <sup>j</sup> ja	<i>sinus, Rosja</i>
ɕ	ɕan̄ɔ, nɔɕiwec	ś	śano, nośiūeś	<i>siano, nosiłeś</i>
z	zaras, kɔza	z	zaras, koza	<i>zaraz, koza</i>
z <sup>j</sup>	pɔez <sup>j</sup> ja	z <sup>j</sup>	poez <sup>j</sup> ja	<i>poezja</i>
ʒ	ʒem <sup>j</sup> ja, groʒba	ž	žem <sup>j</sup> ja, grožba	<i>ziemia, groźba</i>
t̄s	t̄satskɔ, kɔt̄s	c	cacko, koc	<i>cacko, koc</i>
t̄s <sup>j</sup>	t̄s <sup>j</sup> iṁt̄roen	c <sup>j</sup>	c <sup>j</sup> itroen	<i>citroen</i>
t̄e	t̄eixo, t̄sut̄eif̄e	é	éixo, cućić	<i>cicho, cucić</i>
ḍʒ	ḍʒvonek, sadʒa	ʒ	ʒvonek, saʒa	<i>dzwonek, sadza</i>
ḍʒ <sup>j</sup>	kɔḍʒ <sup>j</sup> ivɔn̄i	ʒ <sup>j</sup>	koʒ <sup>j</sup> ivony	<i>koc Iwony</i>
ḍʒ̄	ḍʒ̄v <sup>j</sup> igat̄e	ž̄	ž̄v <sup>j</sup> igać	<i>dźwigać</i>
n̄	n̄ɔs, ban̄an̄	n	nos, banan	<i>nos, banan</i>
n <sup>j</sup>	kran <sup>j</sup> i vɔḍa	n <sup>j</sup>	kran <sup>j</sup> i voda	<i>kran i woda</i>
n	pɔnt̄ʒek, bandʒɔ	ṅ	poṅček, banʒo	<i>pączek, banjo</i>
ṅ	p <sup>j</sup> iosṅka	ṅ	p <sup>j</sup> iosṅka	<i>piosnka</i>
ṅ	ban̄k, beṅgal	ṅ	ban̄k, beṅgal	<i>bank, Bengal</i>
ṅ <sup>j</sup>	veṅ <sup>j</sup> jeṁ	ṅ <sup>j</sup>	veṅ <sup>j</sup> g <sup>j</sup> eṁ	<i>węgiel</i>

ṅ	ṅana, kṅṅ	ń	ńaña, koń	<i>niania, koń</i>
ṅ̇	plecṅṅ, p'jeṅṅ	ń̇	pleśń, p'jeśń	<i>pleśń, pieśń</i>
ṣ	ṣiṣka, kṳṣ	š	šyška, koš	<i>szyszka, kosz</i>
ṩ	ṣiroṣ'ima	ṧ	x'iroš'ima	<i>Hiroszima</i>
ṩ	zaba, kaṣḍi	ž	žaba, každy	<i>žaba, každy</i>
ṩ̇	ṣ'igolo, reṣ'im	ž̇	ž'igolo, rež'im	<i>zigolo, režim</i>
ṭ	ṭṭapetṭka	č	čapečka	<i>czapeczka</i>
ṭ̇	kṅṭṭ'ita, ṭ̇'ile	č̇	koṅč'ita, č'ile	<i>Konchita, Chile</i>
ḍ̇	m'jaṣḍ̇iṭe	ž̇	m'jaž̇yć	<i>miażdżyć</i>
ḍ̇̇	ḍ̇'ip, ḍ̇'in	ž̇̇	ž̇'ip, ž̇'in	<i>jeep, gin</i>
r	rover, kruk	r	rover, kruk	<i>rower, kruk</i>
ṙ	ṭr'ik, ṣiṣṳr'ja	ṙ	tr'ik, x'istor'ia	<i>trik, historia</i>
ṛ	kṛṭaṅ, v'jaṭṛ	ṛ	kṛtań, v'jatṛ	<i>krtañ, wiatr</i>
l	lalka, krul	l	lalka, krul	<i>lalka, król</i>
l̇	l'ipa, kol'ja	l̇	l'ipa, kol'ja	<i>lipa, kolia</i>
ḷ	zem'jeṭṭnik	ḷ	žem'jeśńnik	<i>rzemieślnik</i>
ḷ̇	łapał, wałek	ḷ̇	łapał, wałek	<i>łapał, wałek</i>
ḷ̇̇	żekł, japłko	ḷ̇̇	żekł, japłko	<i>rzekł, jabłko</i>
k	kok, kaṭṭka	k	kok, kačka	<i>kok, kaczka</i>
c	ciṅṳ, maci	k̇	k'ino, mak'i	<i>kino, maki</i>
g	garṅek, ciłogram	g	garnek, k'ilogram	<i>garnek, kilogram</i>
J	jimṅaṣṭika	ġ	g'imnastyka	<i>gimnastyka</i>
x	xuxaṭe, p'jax	x	xuxać, p'jax	<i>chuchać, piach</i>
ç	çjerarçja	ẋ	x'ierarx'ja	<i>hierarchia</i>
γ	boṳḍaṅ	γ	boydan	<i>Bohdan</i>
ḍ	ḍruj'irek	γ̇	druy'irek	<i>druh Irek</i>

## 2.2. An explanation of diacritics used in the Slavonic Phonetic Alphabet

The explanation given below follows Madelska and Witaszek-Samborska (2000: 13-14).

- a dot over a letter, raised, closer position, e.g. è, ò
- ̇ two dots over a letter, advanced position, e.g. ä, ü or retracted e.g. ë
- ̇̇ a comma below a letter, devoiced sound, e.g. ṅ, ṛ

- a dot below a letter, alveolar realization of the letter, e.g. ɾ, ʀ
- ˘ a bow below a vowel, palatal approximant, e.g. ɹ̘, ʊ̘
- ◌̣ a hook below a letter, nasalized, e.g. ɔ̣, ɛ̣
- ˈ a short line next to a letter, palatalized, e.g. kʰ, zʰ
- ˘ acute accent above a letter, pre-palatal, soft sound, e.g. ń, ź
- a dot up and just before a letter, glottal stop, e.g. ʔale!

### **3. A comparison of the IPA and the SPA in relation to English sounds**

A good way of reviewing the notations of phonetic description is to compare the IPA and the SPA. As regards English, it must be stated that in both phonetic alphabets most of the phonetic symbols remain the same. The following symbols belong to this group:

p, b, t, d, k, g, m, ŋ, n, ŋ, r, f, v, s, z, x, l, i, u.

Still, in the IPA, there are several symbols representing English sounds which do not have their counterparts in the Slavonic Phonetic Alphabet, i.e.

ɹ, ʃ, θ, ð, h, ɦ, ɹ, ɻ, æ, ə, ɜ, ɹ.

The representation of the remaining sounds differs considerably. Table 2 allows for examining the differences in both alphabets (see: Wróbel 1995: 14-15).

**Table 2**  
The Slavonic and International Phonetic Alphabets

The Slavonic Phonetic Alphabet	The International Phonetic Alphabet
š	ʃ
ž	ʒ
x'	ç
γ'	j
ł	ʎ
i	i
y	ɨ
e	ɛ
a	ɑ
ä	ʌ
ȯ	ɔ
o	ɒ
u	ʊ
u̇	w
č	tʃ
ž	dʒ
.	ʔ

#### 4. Concluding remarks

This paper has presented two fundamental phonetic alphabets, namely the International Phonetic Alphabet (the IPA) and the Slavonic Phonetic Alphabet (the SPA). The IPA is a system of phonetic notation used to accurately and individually represent each of the wide variety of sounds the human can produce. The IPA aims not only at providing a separate sign for a distinctive sound, or, more precisely, a phoneme, but also representing details of phonetic realization by means of applying specific symbols or diacritics. Conventionally, the phonemic transcription is given in slanting lines, while in the allophonic transcription, square brackets are used.

The juxtaposition of the IPA and the SPA has revealed that there are numerous discrepancies not only in indicating par-

ticular sounds, the differences being typographical in nature, but also in applying diacritic marks.

The Slavonic Phonetic Alphabet fails to represent some English sounds though the majority of the symbols (mainly consonants) are applicable to the English language.

There are explicit discrepancies concerning the phonetic representation of certain sounds, such as: *č* and *tʃ* or *š* and *ʃ*, and the use of diacritics. The examination has also revealed that the Slavonic Phonetic Alphabet does not provide phonetic symbols for the sounds occurring in the English language, e.g. *θ*, *ð*, *æ* etc.

However, in Poland and other Slavic countries, in the description of Slavic languages, the Slavonic Phonetic Alphabet is favoured. This is because of the fact that the SPA is designed to depict the phonetic features of Slavic languages.

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# COMMUNICATION STUDIES



## **How successful virtual teams communicate: The role of emotional intelligence**

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### **Abstract**

Today's organizations have adopted New Information and Communication Technologies (ICT) that enable them to "go virtual" by having individuals from all over the world work together in global virtual teams. Virtual teams are like living systems and, as such, are made up of people with different needs and characteristics. In a virtual team where the task often needs to be completed in a relatively short period of time, members may focus more on the task goals than on social/relational development. In short-term collaborations, personal relationships may never develop, hence the influence of communication environment becomes salient. Teams fail when they experience a lack of communication and group cohesion due to their members' inability to handle emotions. The members are not able to regulate their emotions and therefore fail in creating effective communication. As a driver of team effectiveness and performance, emotional intelligence has received increasing attention in recent years. When interacting with each other, the members are not able to regulate their emotions leading to low level of group emotional intelligence. This paper illustrates the importance of emotional intelligence in creating group synergy and the ways in which members in virtual teams foster open communication and stay receptive to bad and good news by seeking mutual understanding and sharing information fully.

### **Key words**

communication, emotional intelligence, virtual teams, face-to-face communication, Information and Communication Technologies (ICT)

## **Comment communiquent les équipes virtuelles qui réussissent: le rôle de l'intelligence émotionnelle**

### **Résumé**

Les organisations d'aujourd'hui ont adopté les nouvelles technologies de l'information et de la communication (NTIC) qui permettent à l'organisation de « devenir virtuelle », en faisant des individus du monde entier travailler ensemble dans des équipes virtuelles mondiales. Les équipes virtuelles sont comme les systèmes vivants et elles sont composées des personnes avec des besoins et des caractéristiques différents. Dans une équipe virtuelle, quand la tâche doit souvent être accomplie en un espace de temps relativement court, les membres du groupe peuvent se concentrer plus sur les objectifs de la tâche que sur le développement social/relationnel. Parfois, dans les collaborations à court terme, les relations personnelles ne se développent pas du tout, l'influence de l'environnement communicationnel devient donc essentielle. Les équipes échouent quand il n'y a pas de communication et de cohésion au sein du groupe, à cause de l'incapacité des participants de gérer les émotions. Les membres du groupe ne sont pas capables de manier leurs émotions et c'est pourquoi ils n'arrivent à créer une communication efficace. L'intelligence émotionnelle reçoit une attention croissante ces dernières années et elle est perçue comme le moteur de l'efficacité et de la performance de l'équipe. Les participants ne sont pas capables de gérer leurs émotions dans les interactions avec les autres, ce qui mène au bas niveau de l'intelligence émotionnelle du groupe. Le présent article vise à illustrer l'importance de l'intelligence émotionnelle dans la création de la synergie du groupe. Il montre aussi comment les membres des équipes virtuelles favorisent la communication ouverte, comment ils restent réceptifs aux mauvaises nouvelles, ainsi qu'aux bonnes, en cherchant la compréhension mutuelle, et comment ils partagent toutes les informations avec bienveillance.

### **Mots-clés**

communication, intelligence émotionnelle, équipes virtuelles, communication tête-à-tête, technologies de l'information et de la communication (TIC)

## 1. The virtue of virtual

Today's trend is tomorrow's reality. With the increase in acceptance of inter-organizational alliances, flatter organizational structures and an increased shift from production to service-related businesses, organizations have to move to an increasingly virtual environment. Electronic communication and digital technologies give people a historically unprecedented ability to work together at a distance. *Virtual* – understood as not “in actual fact” but “in essence”, “almost like”, as in “they act virtually like a team” – is on target. Virtual teams are becoming more and more important to organizations. It is now rare that individual companies carry out projects completely by themselves (Lipnack and Stamps 2002). By employing virtual teams, companies can do things that are impossible within the prevailing model of side-by-side, nine-to-five work (Lipnack and Stamps 2002). MIT professor Tom Allen has been researching the communication radius (Lipnack and Stamps 2002). He suggests that people who work more than 50 feet apart, rarely communicate with each other even if they are in the same office (Lipnack and Stamps 2002). This suggests problems within the typical bureaucratic organization. Since virtual teams overcome this communication obstacle, they are likely to become more important in the future as the globalization of markets takes place.

Forming virtual teams and performing in them is useful for organizations that require cross-functional or cross boundary skilled inputs, and the key to their value creation is to have a defined strategy in place to overcome any problems, especially communication and cultural ones. While communication could be seen as a traditional team issue, the problem is magnified by distance, cultural diversity and language or accent difficulties.

Virtual teams will not totally replace conventional teams. Although virtual teams are and will continue to be an important and necessary type of work arrangement, they are not

appropriate for all circumstances (Nemiro 2002: 69-83). Interaction in computer mediated communication environments is more impersonal, more task oriented, more businesslike, and less friendly than in face-to-face settings. For teams moving from co-location to virtual environments, an ability to adapt and change can be a long process riddled with trial and error scenarios. Communication is a tool that directly influences the social dimensions of the team and, in addition, the performance of the team has a positive impact on satisfaction with its work. In terms of implementation, lateral communication in both virtual context and composition teams can be enhanced by reducing the hierarchical structure of the team (i.e. a flatter reporting structure and/or decentralization) and the use of enabling computer-mediated communication tools (Wong and Burton 2000: 339-360).

Simple transmission of information from point A to point B is not sufficient; the virtual environment presents significant challenges to effective communication (Walvoord et al. 2008: 1884-1906). Being equipped with even the most advanced technologies is not sufficient to make a virtual team effective since the internal group dynamics and external support mechanisms must also be present for a team to succeed in the virtual world (Lurey and Raisinghani 2001: 523-544). Information richness seems to be the most important criterion for technology selection; and the greatest impediment to the effectiveness of virtual teams is the implementation of technology (Mikkola et al. 2005: 104-109). Virtual teams are technology-mediated groups of people from different disciplines that work on common tasks (Dekker et al. 2008: 441-452), so the way technology is implemented influences virtual teams' outcomes (Anderson et al. 2007:2558-2580).

Communication and information sharing among team members also contribute to team performance, especially for teams that are highly interdependent, working on more ambiguous tasks and needing to move quickly and be adaptable. Communication provides the opportunity to talk through prob-

lems, share perspectives, get feedback, and answer questions that arise among team members. Without communication, misunderstandings are more frequent and more difficult to resolve. Hence, communication has been called the link of the virtual workplace. In virtual collaboration, communication is more difficult to identify and develop, yet it may be critical because the virtual context often renders other forms of social control and psychological safety may be less effective or feasible. It establishes emotional links, allowing people to be sensitive to one another. Pasting together the virtual workplace means paying attention to structure, cognition and emotions.

## **2. The communication challenge**

Communication is the process of transferring information from sender to receiver (Gibson 1996). It is fundamental to any form of organization and provides the basic structure in which people collaborate, make decisions and act to achieve organizational objectives. Communication is particularly critical in virtual collaboration as it enables parties to link across distance, time, departments, organizations and nations (O'Hara-Devereaux and Johansen 1994). Electronic communication in particular loosens the constraints of proximity and structure, making it possible for distant parties to exchange messages with one another (Feldman 1987: 83-101).

The real power of virtual forms of collaboration is realized only when communication processes are effective (Ring and Van de Ven 1994: 90-118; DeSanctis and Monge 1999: 121-147). Communication engenders cooperative relationships, provides insightful information about the personalities of team members, lays a basis for developing common values and encourages continued interaction. Open and prompt communication among members is believed to be an indispensable characteristic of trusting relationships (Kanter 1994: 183-193). Without proper communication, cooperative relationships tend to suffer. Only if team members can constantly sound off their

differences will they be able to avoid fatal conflicts. Thus, communication irons out the potential twists in daily operations and makes for satisfactory working relationships.

Members of virtual teams need to collect evidence for other members' credibility and trustworthiness, and communication facilitates that process. Without information exchange, this process would take a long time. Sharing information among members of collaborative efforts leads to information symmetry rather than information asymmetry (Hart and Saunders 1997: 23-42). Members of virtual teams may deliberately provide unsolicited, including even somewhat sensitive information to other members as a way of showing both goodwill and intimacy. As the reciprocal process engenders credibility, sustained information flow among members creates a trusting environment (Das and Teng 1998: 491-512).

Cultural similarities between the sender and receiver can facilitate successful communication at each phase of the process. But the greater cultural differences between the sender and receiver are, the greater the expected difficulty in communicating is. When such differences are prevalent, we might expect a disruption in the work flow and errors in work performance. These intercultural differences in communication are most evident during encoding, when the communicators vary in the extent to which they use an implicit versus an explicit style of language. Implicit language carefully instills messages with a more positive tone in order to decrease the chances of unpleasant encounters, direct confrontations, and disagreements. Explicit language communicates exactly what is meant in a much more direct manner, even if the message is negative or somewhat harsh. This characteristic is likely to be related to the extent to which the sender's culture emphasizes a collectivistic versus individualistic value orientation (Gibson 1996). Collectivism encourages the use of an implicit style of communication, in which the communicator makes frequent use of qualifiers and ambiguous words, such as *maybe*, *perhaps*, and *somewhat*, in order to avoid open confrontation, and

members of these cultures tend to avoid negative responses while communicating with members of their own work group in order to preserve the sense of harmony within the group (Adler, Brahm and Graham 1992: 449-466).

Messages also vary in the extent to which they are context-independent or context-specific. As indicated by anthropological research investigating high- versus low-context cultures (Hall and Hall 1987), it is likely that communicators from low-context cultures tend to use external sources of information more often than internal sources when constructing messages (Gibson 1996). Another way in which messages differ is the degree to which they contain rational material based on facts versus highly emotional material based on intuition and personal perspective (Glenn, Witmeyer and Stevenson 1977: 52-66). Cultures vary in the extent to which they tend to emphasize either rationalistic or more communal (emotional) values, thus encouraging one type of message style over the other.

A cultural difference often occurs during the transmission stage. At this stage of the communication process, the use of formal versus informal channels of communication may depend on the attitudes toward hierarchy in the communicators' culture (Gibson 1996). Communicators from contexts in which hierarchy is explicit and revered are more likely to use formal communication channels that are authorized, planned and regulated by the organization, and are directly connected to its official structure. Communicators from contexts in which hierarchy is minimized are more likely to use informal communication channels as routes that are not prespecified by the organization but develop through the typical and customary interpersonal activities of people at work.

For virtual teams to work effectively, nothing is more essential than communication. Managers of virtual teams must manage communication with a view to fostering cohesion, ensure that team members get evidence of effective communication, take any opportunities to enhance a sense of belonging, and convey the feeling they work in a supportive environment.

Weak communication would make the virtual team prone to “low individual commitment, role overload, role ambiguity, absenteeism, and social loafing” (Janvernepaa and Leidner 1999: 791-815).

### **3. Complexity of virtual teams**

Managing virtual teams can often be more complex than managing traditional ones. This is most often the case for two reasons. First, virtual teams primarily communicate using technology such as e-mail and groupware. This is often the case with traditional teams as well. The difference is the degree to which virtual teams must rely on technology to communicate. Virtual teams depend almost exclusively on technology and software tools to communicate, whereas traditional teams can always abandon technology and software tools in favor of face-to-face communication. Second, virtual teams cross boundaries related to time, distance, and organization. This creates a need for increased attention to communication and collaboration issues (Duarte and Snyder 2001: 211-220).

Although the effective use of electronic communication is fundamental to the success of virtual teams, they must often find ways to overcome technology limitations. When virtual teams and their leaders are asked about successes and failures, they rarely mention technology as a primary reason for either (Duarte and Snyder 2001: 211-220). Managers can quickly run into trouble if they believe that a tool will help them solve any problem. Tools are not the solution to a problem; they just enable workers to complete tasks with greater efficiency, speed and ease. Ideally, motivated and focused teams will overcome the limitations of the technology available to them. However, the effectiveness of a team can certainly increase with the usage of appropriate technology (Hayward 2001).

In order for the virtual team to communicate effectively, the team must have a common set of tools to work with. This is

usually not an issue with co-located teams because the organization will already have a common set of tools for its employees to work with. These tools might include e-mail, word processing, spreadsheets, development applications etc. With distributed teams, there can be many different tools and even operating systems that do not necessarily work well together. For example, if half of the team use Apple computers and the other half use PCs, sharing even a simple Word document can become a problem for some members of the team. This can lead to inefficiencies and a breakdown in communications as some team members ignore certain documents produced by other team members because they cannot view the contents of the file. This issue is becoming less relevant as software manufacturers account for document incompatibilities in the latest versions of their software. It is still an important risk to be aware of. The manager should make an effort to standardize the tools the team use and ensure that all team members should be trained to employ the selected tools.

Managers of virtual teams must also plan for the team members' technical support needs. If a team member's computer malfunctions or if software configuration problems arise, team members should be able to resolve them quickly. If a team member is unable to work because of technical problems, the project could come to a halt. The manager must ensure that resources are made available to support distributed team members as soon as possible. A well-conceived plan to solve technical problems can add to team members' commitment to the team because they feel as if they were a priority. If a technical problem is not resolved in a timely manner, the effects can be extremely damaging to the morale of the team making it hard to recover lost ground and return the team to its previous levels of operating efficiency. Technical support issues are usually not something a traditional manager is concerned with because it is part of the IT department's duties. However, with team members dispersed over time, distance

and organizational boundaries, technical support issues become very important to the team's success.

At the same time, the more dispersed virtual teams are, the more problematic communication becomes for them. This is so because the chance for team members working in different time zones becomes greater with the increase of the distance between them. Working across national boundaries further complicates communication by adding the challenges of working with team members, who speak different languages, are culturally diverse and/or use different technologies (Duarte and Snyder 2001: 211-220).

As the association of a virtual team begins to cross organizational boundaries, the integration of work methods, organizational cultures, technologies, and goals increases in complexity. It is frequently the case that suppliers and partners have conflicting goals and organizational cultures. To a lesser degree traditional teams can also face the same challenge of different work methods and organizational cultures all within the same organization spread between different functional areas. For example, the marketing department in an organization will most likely have different work processes and ways of thinking about organizational issues as well as a unique subculture when compared to a more technical area of the organization, such as engineering or information systems (Duarte and Snyder 2001: 211-220).

Moreover, complexity is increased by the limited ways to communicate available to team members. Traditional teams typically have the option to interact face-to-face, if not on a daily, then at least on a regular basis. Virtual team interactions, however, are almost always mediated by electronic communication and collaboration technology. According to Duarte and Snyder (2001: 211-220), interactions fall into four categories: (1) same time, same place (like face-to-face meetings); (2) same time, different place (such as an audio conference or video conference); (3) different time, different place (such as exchange of e-mail or voice mail messages); and

(4) different time, same place (such as using a chat room or a shared file on a network).

With the increased risks associated with virtual project teams, more frequent communication between team members is necessary in order to reduce the chance of miscommunication or misunderstanding. Additionally, frequent communication helps to create a sense of team. It fosters a team culture, creates bonds between team members and enables them to have a sense of purpose.

#### **4. Emotional intelligence**

Salovey and Mayer (1990: 185-211) initially conceived the concept and coined the term *Emotional Intelligence*, which was derived from Gardner's (1983) theory of multiple intelligences. These included interpersonal and intrapersonal intelligence which were used by Salovey and Mayer (1990: 185-211) to form the basis of the theory of emotional intelligence. Salovey and Mayer (1990: 185-211) used this as a basis for their definition of emotional intelligence, which they define as the "ability to monitor and regulate one's own and other's feelings, and to use feelings to guide one's thinking and action". This definition identifies five main domains: knowing one's emotions, managing emotions, motivating oneself, recognising emotions in others and handling relationships.

Goleman (1998b: 20-26) adapted Salovey and Mayer's (1990: 185-211) model as a basis for his discussion of the theory of emotional intelligence and its implications for everyday life including the world of work. He adapted Salovey and Mayer's emotional intelligence model to develop five emotional and social competencies: self-awareness, self-regulation, motivation, empathy and social skills. These are each discussed below.

### **4.1. Self-awareness**

Self-awareness is the ability to understand and interpret one's own feelings through internal reflection. The ability to be critical about one's own thoughts and to make changes can lead to an in-depth understanding of one's self, which leads to a better understanding of others. Lanser (2000: 6-11) places strong emphasis on the importance of self-awareness in guiding and perfecting job performance, including interactions with colleagues and in the establishment of positive and productive leadership, and teamwork skills. Team members need to be aware of their feelings as they may allow uncontrolled emotions to have impact on the dynamics and culture of the team. Cherniss (1998: 26-28) emphasizes the fact that effective team members are self-confident, which is reflective of their own emotional self-awareness and the ability to control their emotions.

### **4.2. Self-regulation**

Self-awareness of emotions enables team members to practice self-regulation, which is the ability to use emotions to facilitate the progress of the task or the project (Goleman 1998b:20-26; Lanser 2000: 6-11). Being able to regulate emotions especially during conflict, pressure, stress and deadlines facilitates the smooth progress of the project and promotes positive, effective working relationships with other team members and clients. Goleman (1998b: 20-26) explains that handling emotions and giving priority to the task rather than to emotions aids in the attainment of the required goal.

### **4.3. Motivation**

Being able to motivate fellow team members into contributing their best is very important. Executives are highly discretionary in their application to a project – they will only give if they

feel they are being supported, nurtured and inspired. Successful teamwork requires intrinsic motivation, persistence and vision. Team members are not only responsible for their own motivation, but they also play a key role in motivating the team and colleagues. Goleman (1998b: 20-26) and Lanser (2000: 6-11) propose that motivation is an essential element of emotional intelligence that pushes us forward through the positive and negative aspects of our working life by inspiring us to show initiative, perseverance and dedication, and to become goal-oriented, focused and proactive.

#### **4.4. Empathy**

Goleman (1998b:20-26) contends that empathy is understanding and interpreting colleagues' feelings and being able to identify with their feelings concerning issues through understanding their perspective and cultivating rapport with people from different "walks of life". Empathic team members have an awareness of the diversity of personalities and accept the diversity of people and the impact culture can exert on interactions within a team environment. Book (2000:44-47) defines empathy as the "capacity to see the world from another person's perspective".

#### **4.5. Social skills**

Social skills are essential for the development of positive, effective relationships with colleagues and the ability to interact with team members to deter conflict, be aware of, ease and dissipate underlying tensions that can accumulate and have a negative impact on working relationships and project success. Team members need to be able to stimulate cooperation and teamwork through well-developed social skills (Goleman 1998b: 20-26).

## **5. Value of emotional intelligence in the workplace**

Increasingly, companies are realizing that emotional intelligence skills should be an essential part of an organization's management philosophy. A foreign survey of benchmark practices found that four out of five organizations are now seeking to promote emotional intelligence in their organization (Zeidner et al. 2004: 371-399). A possible motive for this is the belief that emotional intelligence could be the reason for workplace performance not accounted for by IQ or personality, and that it could be a psychological determinant of occupational success (Palmer et al. 2003).

Favourable workplace outcomes for individuals with high levels of emotional intelligence have been demonstrated in a study by Palmer et al. (2003). For example, they found that individuals with higher levels of emotional intelligence are more likely to perform better in the workplace, have a lower rate of absenteeism, display higher levels of organizational commitment, have higher levels of job satisfaction, and are less prone to be affected by occupational stress (Palmer et al. 2003). According to the research, individuals with higher levels of emotional intelligence experience more career success, make more effective leaders, build stronger personal relationships (Cooper 1997: 31-38), and enjoy better health (Gardner 2005; Slaski and Cartwright 2000: 63-68) than their less emotionally intelligent counterparts. Some researchers hold that work behaviours such as employee commitment, teamwork, development of talent, innovation, customer loyalty, and quality of service can be influenced by emotional intelligence (Zeidner et al. 2004). Others have found that emotional intelligence can play a role in predicting work-related outcomes such as job performance (Bachman, Stein, Campbell and Sitarenios 2000: 176-182; Van Rooy and Viswesvaran 2004: 71-95), work satisfaction (Gardner 2005; Slaski, as cited in Zeidner et al. 2004: 371-399), morale (Slaski, as cited in Zeidner et al. 2004: 371-

399), and success in the workplace (Cherniss et al. 2006: 239-245).

## **6. Emotional intelligence and teamwork**

There is more to effective teamwork than just a keen intellect and grasp of technical knowledge. The difference between success and mediocrity in working relationships, especially in a team environment, can be attributed to team members' mastery of the softer skills – abilities and approaches grounded in emotional intelligence (Grossman 2000: 18-22; Tucker, Sojka, Barone and McCarthy 2000: 331-338).

Positive, effective interpersonal relationships are an important element of successful teams. Emotional bonding that exists between team members has a profound effect on the work outcome and the overall success of the project. Teams that care about each other at a personal and professional level are more likely to be successful than teams which ignore the importance of the relationship between positive interpersonal relationships, professional relationships and goal achievement. Developing positive relationships where team members are aware of the impact their emotions can exert on the effectiveness and success of the team should be the aim of each team member. A positive emotional climate should be developed so that all energies can be focused on the attainment of mutual goals including the success of the project (Johnson and Johnson 1999).

In order to promote positive, progressive, effective working environments, team members need to have a combination of technical knowledge and well-developed emotional intelligence including self-awareness, empathy and social awareness; moreover, they should be highly motivated and be able to inspire and motivate their colleagues. The attributes needed for successful teams with the emotional intelligence competencies defined by Goleman's (1998a: 93-102) – self-awareness, self-regulation, motivation, empathy and social skills are inter-

linked, as illustrated in Table 1. These relationships have been derived through a synthesis of relevant literature (Esquivel and Kleiner 1996: 42-48; Francis and Young 1979: 147-151; Harris and Harris 1996: 23-36; Johnson and Johnson 1995: 205-251, 1999; Yost and Tucker 2000: 101-109).

**Table 1**

	Definition	Relationship to Successful Teamwork
Self-awareness	<ul style="list-style-type: none"> <li>- Ability to recognise and understand moods, emotions and attitudes, as well as their effect on others</li> </ul>	<ul style="list-style-type: none"> <li>- Having positive and productive teamwork skills</li> <li>- Controlling emotions and understanding the impact of emotions on the team</li> <li>- Being self-confident, enjoying high self-esteem and a coherent mitigated self-identity</li> <li>- Promoting psychological health inclusive of a happy disposition</li> </ul>
Self-regulation	<ul style="list-style-type: none"> <li>- Ability to control or redirect disruptive impulses and moods</li> <li>- Propensity to suspend judgement — to think before acting</li> </ul>	<ul style="list-style-type: none"> <li>- Being self-aware of emotions to enable self-regulation</li> <li>- Handling emotions and putting the team task first</li> <li>- Using emotions to facilitate the progress of the project</li> <li>- Regulating emotions during conflict, pressure, stress and deadlines</li> <li>- Coping with stress, frustrations through creating and contributing to caring, supportive relationships</li> </ul>
Motivation	<ul style="list-style-type: none"> <li>- Passion to work for reasons that go beyond money or status</li> <li>- Propensity to pursue goals with energy and persistence</li> </ul>	<ul style="list-style-type: none"> <li>- Motivating other team members to contributing their best</li> <li>- Openness, flexibility and motivation to change, innovation, creativity and collaborative problem solving</li> <li>- Creating an environment that stimulates, enhances and empowers team members to become motivated and apply themselves freely</li> <li>- Showing initiative, perseverance and dedication, goal orientation and focus</li> <li>- Placing team or common goals before individual goals and pursue these with determination and perseverance</li> </ul>

		<ul style="list-style-type: none"> <li>- Having a sincere interest and motivation for the group and individual's achievements and goals</li> <li>- Considering team morale and aiming to maintain a positive productive work environment</li> </ul>
Empathy	<ul style="list-style-type: none"> <li>- Ability to understand the emotional makeup of other people</li> <li>- Skill in treating people according to their emotional reactions</li> </ul>	<ul style="list-style-type: none"> <li>- Understanding, interpreting and identifying with colleagues' feelings</li> <li>- Cultivating rapport with people from different walks of life</li> <li>- Having the potential to turn adversarial relationships into collaborative alliances</li> <li>- Showing emotional concern including reassurance and caring for other team members</li> <li>- Helping to create a team environment where members can express their feelings</li> </ul>
Social Skill	<ul style="list-style-type: none"> <li>- Proficiency in managing relationships and building networks</li> <li>- Ability to find common ground and build rapport</li> </ul>	<ul style="list-style-type: none"> <li>- Creating a team culture which is supportive, informal, comfortable, and non-judgmental</li> <li>- Developing professional as well as positive personal relationships with other team members</li> <li>- Developing intense, short-term relationships and being able to disconnect and work in another team environment with the same sincerity and motivation</li> <li>- Being able to stimulate cooperation, collaboration and teamwork through well-developed communication and social skills</li> <li>- Developing positive, effective relationships with colleagues through fostering trust, confidence and commitment</li> <li>- Helping to establish a positive team climate and promoting support and respect for one another</li> <li>- Having the ability to interact with team members and deter conflict, be aware of, ease and dissipate underlying tensions</li> </ul>

## **7. Virtual emotional intelligence**

People who are best at identifying others' emotions are more successful in their work as well as in their social lives. Emotional intelligence helps in managing difficult relationships since one cannot change the other person. However, our responses may influence or change the dynamic between us and the other person. At least 50 per cent of the problems responsible for a failure of a team can be attributed to the behaviour of human resource system. Therefore, tremendous potential exists for emotions to play in the fate of the success of a team or an organization. There are challenges inherent in virtual teams but all of these effects can be alleviated by each of the elements of emotional intelligence specified below.

### **7.1. Self-awareness**

Self-awareness is the keystone of emotional intelligence. Virtual environment is very demanding and challenging for managers, and emotional intelligence plays a positive role in meeting these dynamic challenges.

### **Decision-making**

In a virtual environment, managers need to make sound decisions despite uncertainties and pressures. Self-awareness is a component of emotional intelligence that fosters effective decision-making. Another element of emotional intelligence is self-control. It is urged that in a virtual team one needs to think clearly and stay focused under pressure – preserving the ability to exercise good judgment.

### **7.2. Self-management**

Self-management or self-regulation is the ability to keep disruptive emotions and impulses in check (self-control), main-

tain standards of honesty and integrity (trustworthiness), take responsibility for one's performance (conscientiousness), handle change (adaptability), and be comfortable with novel ideas and approaches (innovation). This dimension of emotional intelligence is related to the challenge of trust, adaptability and change, innovation and motivation in virtual teams.

### **Trust**

Building trust through reliability and authenticity is self-regulation in emotional intelligence. Trust is critical for the success of a project in virtual teams. Trust has been referred to as a single most important factor especially in the contexts where the parties involved in a business partnership do not see each other. There is wealth of research which systematically examines the effect of trust in the context of electronic commerce. Studies on the sustainability of virtual collaboration suggest that trust is critical to ensuring the optimal use of Information and Communication Technologies (ICT) to support the exchange among business partners. In heterogeneous cultural situations misunderstandings and potential lack of trust are likely to be higher, thus hampering further satisfactory project management. In virtual teams, building trustworthy relationships among virtual employees is dependent on the level of face-to-face communication support.

### **Adaptability**

Adaptation is essential for distributed virtual teams and presents many challenges as well as opportunities. Sensitivity to the need for change and its timing can dictate team success or failure. Adaptability is vital for virtual teams and emotional intelligence creates its awareness through self-regulation. People with high emotional intelligence adapt their responses and tactics to fit fluid circumstances. They smoothly handle multiple demands, shifting priorities and rapid change.

**Innovation**

In virtual teams, original solutions to problems are explored, and people with high emotional intelligence generate new ideas and take fresh perspectives and risks in their thinking.

**Motivation**

Non-existence of face-to-face interaction is a disadvantage for virtual teams and it lowers motivation level among team members. Greater geographical distance (time zone differences) or no face-to-face interaction will lower the motivation among team members. Greater one-to-one interaction and flexibility among parties and greater levels of trust imply higher levels of motivation among team members. Motivation in emotional intelligence is the emotional attitude guiding or facilitating the attainment of goals. Motivation is low in virtual teams, and through self-motivation in emotional intelligence employees can learn to improve their performance and reduce uncertainty. Self-motivation increases initiative and optimism, which is what a virtual team manager or an organization needs.

**7.3. Social awareness**

Empathy – as another aspect of emotional intelligence – is the understanding of others by being aware of their needs, perspectives, feelings, and concerns, sensing the developmental needs of others.

**Service orientation**

Service orientation i.e. meeting customers' needs is done through social awareness, which is important for virtual team employees and managers alike.

## **Empathy in emotional intelligence and cultural difference in virtual teams**

Members of different organizational cultures may often have different norms, values and policies that may lead to misunderstandings, hidden agendas, uncertainty and conflict. With regard to emotional intelligence, respecting people from different backgrounds is one of the elements of social awareness. People with this competency see diversity as an opportunity, creating an environment where diverse people can thrive. This quality of emotional intelligence plays a major role in virtual team and increases motivation. Cooperation aided by high emotional intelligence helps people balance a focus on the task with attention paid to relationships, thus promoting a friendly, cooperative climate, which is essential for an effective virtual team. People with this competency collaborate, share plans, information, and resources thus enhancing trust and reducing cultural differences.

### **7.4. Relationship management**

Social skills are fundamental to emotional intelligence. This cluster of competencies revolves around teamwork and it includes the effectiveness with which managers get things done in organizations. Many managers fail because they are too rigid and have poor relationships. As a consequence, they are unable to adapt to changes in the business environment, organization, culture, work processes, and technology – which is exactly the dilemma with which virtual team managers are battling all the time. Managers who are unable to receive or respond to feedback are unable to determine how they need to change their approach to leading others. These emotional intelligence skills, combined with empathy, can enhance satisfaction and productivity at work and in other aspects of life.

## **Communication Management**

Communication and conflict management is one's ability to effectively encode and decode messages to be able to convey ideas across different media to various receivers of the message; it is also demonstrative of the social skills, which are learnt through social awareness. Dispersed teams have less opportunity for face-to-face communication and hence lose non-verbal aspects of messages that make up 65 per cent to 93 per cent of their meaning. It is important that geographically dispersed members should know each other for effective communication. The lack of face-to-face interaction in virtual teams may make obstacles to effective coordination and communication more salient and thus further impair team effectiveness. The lack of mutual knowledge and shared language among team members can hamper communication. People with emotional intelligence listen well, seek mutual understanding, and welcome sharing of information. They also foster open communication and stay receptive to bad as well as good news.

## **Conflict Management**

Conflict is common in teams. Without the ability to interact face-to-face and learn from one another, conflict is even more likely to occur in the virtual environment. Cultural differences between team members may cause conflicts and affect performance. As regards emotional intelligence, people with conflict management competency handle difficult co-workers and tense situations with diplomacy and tact. They spot potential conflict, encourage debate and open discussion and orchestrate win-win solutions.

## **Change**

Globalization, increased competition, technological development and diversification are some reasons why organizations should be prepared for change and undertake it. Handling change is vital for virtual teams as the virtual environment is dynamic in nature. Managers with this competence recognize the need for change and are ready to remove barriers.

## **Team capabilities**

When coworkers are not located in the same place, camaraderie and socializing – as important informal aspects of teamwork coordination – are significantly reduced, and cohesiveness and team unity as well as the means of socializing with new members of the global team are harder to cultivate. Thus, creating group synergy in pursuing collective goals is a challenge in virtual environment. New improved methods must be explored and adopted, such as video conferencing, employee special newsletters, celebrating special cultural and personal events etc. People with high emotional intelligence cultivate team qualities like respect, helpfulness, and cooperation. Enhancing emotional intelligence skills of Team Leaders and Project Managers enables them to maintain a positive attitude as they eliminate impediments to team success. Thus, emotional intelligence helps managers to cope with the challenges of virtual environment through social awareness.

There is a positive correlation between the ability to use emotions and a virtual team building style. The team building style involves the most explicit emotional encoding. Those who are better at using emotions realize which emotions are helpful in facilitating their thought processes for a given task. It is possible that a higher ability to handle emotions motivates individuals to influence the emotional states of others in a manner consistent with their objectives. For example, such individuals may be motivated to use emotional expressions in

highlighting the importance of taking a certain course of action for the overall benefit of the team. It is also possible that the individuals will attempt to transfer their own emotional states to others so they will be more likely to be influenced by the opinions suggested.

## **8. Emotional intelligence and the power of communication**

The main advocates of the theory of emotional intelligence argue that emotional intelligence contributes to the ability to communicate effective messages (Goleman 1998b: 20-26; Mayer et al. 2004: 197-215; Weisinger 1998). For example, Deeter-Schmelz and Sojka (2003: 211-220) found out that successful salespersons relied upon some dimensions of emotional intelligence, either consciously or unconsciously. That is, in doing sales, the salesperson has to accurately perceive, understand, and respond appropriately to customers' verbal and nonverbal cues. A person with higher emotional intelligence is able to respond appropriately to emotional behaviour of others, and this emotional capability is the pivotal factor in optimizing performance. In another study, Ikemi and Kubota (1996: 104-121) report that workers who have a manager trained in emotional intelligence remark, "stormy interactions had diminished"; besides, "in general, they found the manager to be a nicer person".

Emotional intelligence theories emphasize the importance of understanding others, which is also relevant to communication where adaptation and appropriate use of knowledge and skills are crucial when interacting with other people. Therefore, there could be a common underlying element which seems to connect emotional intelligence with communication. A particular construct which is likely to fit this function is cognitive complexity.

The results of numerous studies indicate that cognitive complexity contributes to communication effectiveness (Hale

1980: 304-311), competence (Duran and Kelly 1985: 112-119), conversational topic selection (Chen 1996: 1-12), information transmission (Saine 1976: 281-288) and problem-solving effectiveness in groups (Watson and Behnke 1994: 63-67). With research showing that the ability model of emotional intelligence has a high correlation with intelligence measures, it would be appropriate to examine this construct for its conceptual redundancy with this other cognitive-related variable, cognitive complexity. To the extent that cognitive complexity involves the ability to accurately identify others' emotional state and to use situational information to produce messages (Burleson and Caplan 1998: 233-286), it may be equivalent to the concept of emotional intelligence.

As much as the external processing of emotional messages is important in human interactions, the salience of the internal processes cannot be overlooked. In this regard, Oatley (2004: 216-238) suggests that reliance on one approach to a study is incomplete without taking the related aspects into consideration: "If we see only people's behavior, we are compelled by the habitual to see everything as it seems and know nothing much about what generated the behavior". That is to say, to understand a person's behavior, we also have to understand the underlying thinking processes of that person.

In most conscious acts, an individual's behaviour (and obviously communication) is a manifestation and a product of the processes that occur in the mind of that individual. A person's behaviour reflects the information-processing activities that take place in the brain. Studying and understanding the underlying cognitive make-up of that individual might reveal some aspects of the individual's behavior and the communication processes that are attached to it.

Attributes are the qualities or characteristics that an individual assigns to objects or events which make up cognitive structures (Zajonc 1960: 159-167). Zajonc adds that the process of identifying, discriminating and sorting out the multitude of information (be it object or event) and placing them in

organized groups and subgroups depends on the capacity of an individual's cognitive structure – the higher the degree of differentiation, complexity, unity, and organization of the structure, the larger the number of disposal concepts or attributes that individual possesses. Individuals with high cognitive complexity have well-developed cognitive structures with which they are able to “predict others behavior, form more elaborate interpersonal impressions, and require fewer trials on learning unbalance social structures” (Saine 1976: 281-288). Intelligence, which can be defined as adaptation to the environment (Sternberg 2002: 9-28), may be evaluated by determining the maximal usage of available information, achievement of goals, and meeting of the demands of a changing environment. With the amount of available means of information processing capabilities, a cognitively complex individual would have better adaptive abilities than one who has lesser cognitive complexity.

Traditionally, psychologists study intelligence as adaptive behaviors in academic areas, but now with the increasing interest in adaptation in nonacademic or social contexts, they found that intelligence “is not the factual knowledge needed in answering IQ test questions, but rather practical knowledge” about self-regulation and getting work done with and through others (Chiu, Hong and Dweck 1994: 104-134). In the social context, intelligence generally refers to an individual's ability to adapt to the environment (Sternberg and Detterman 1986) and with successful intelligence, the adaptation goes beyond shaping and selecting that environment (Sternberg 2002: 9-28).

As leadership is “largely a shaping function” (Sternberg 2002: 9-28), when applied in an organizational context, successful intelligence leadership is about shaping the organization. With a high level of cognitive complexity, individuals would have a more differentiated system of dimensions. This would enable them to better integrate the nonverbal cues conveyed by the other person and to arrive at a more accurate

perception of the affective state of that person (Rosenthal, Hall, Dimatteo, Rogers and Archer 1979).

In everyday interactions, what individuals say or do is generally spontaneous, unprepared, and unguarded. When this occurs, individuals tend to rely on the stored information in their memory to create a response due to the limited time to generate coherent and organized cognitive structures. In such situations, those who have a well developed interpersonal cognitive construct system will find the communication process less tenuous than those who have a less developed interpersonal cognitive construct system. In this instance, the quality of constructs makes a difference in our ability to persuade, comfort, and instruct other people (Sypher and Applegate 1984: 310-329). Nevertheless, despite this repertoire of alternatives, "we can remain unconscious of a structure though we be[sic] capable of following it faithfully" (Leeds-Hurwitz 1989).

Cognitive complexity is an important determinant of an individual's communication competence. Most, if not all, communication scholars and researchers agree that there is a cognitive component in communication competence (Duran and Kelly 1985: 112-119). In the 1970s, communication and psychology researchers seemed to converge in their understanding of the mechanisms individuals employ to make sense of reality and one aspect of these cognitive studies was information-processing in social interactions with a focus on the implications of social cognition on communication behavior (Sypher and Applegate 1984: 310-329). In line with this claim, other researchers found that communication competence has a cognitive as well as behavioral component (McCroskey and Beatty 1998: 215-231; Metts et al. 2005). Jablin and Sias (2001: 819-864) note a similar pattern in their organizational communication competence research findings which they classify into two main categories: basic conceptual orientation (behavioral or cognitive) and level of analysis.

Cognitively complex individuals have been found to be more competent communicators than less complex ones (Duran and

Kelly 1985: 112-119; Hale 1980: 304-311). A study by Duran and Kelly (1985: 112-119) showed that highly cognitively complex individuals demonstrate greater social experience; these individuals were more able to accurately form impressions of others and perceive their behavioral motives than low cognitively complex individuals. Additionally, Duran and Kelly found that individuals with high cognitive complexity had a better role-taking ability and formed more differentiated impressions of others, concluding support for cognitive complexity to be a measure of communication competence. In another study, Duran and Kelly (1985: 112-119) maintain that communication competence not only involves the ability to evaluate others' motives and behaviors, but also ability to perceive contextual cues apart from those provided by another individual's behavior.

In a study on the cognitive domain of communication competence, Duran and Kelly (1988: 91-96) conducted a canonical correlation analysis between communicative adaptability (a suggested cognitive and behavioral construct) and interaction involvement (a cognitive dimension of communication competence). The researchers found significant correlation between the two variables, which indicates that to be communicatively adaptable, one needs to possess some degree of cognitive complexity.

The view holds that emotional intelligence is an outcome of the communicative process. It follows that improving team effectiveness requires a significant emphasis on communication effectiveness since it is through communication effectiveness that emotional intelligence occurs.

## **9. The nexus between virtual teams, emotional intelligence and communication**

Individuals who are more aware of emotions in themselves and others and also able to understand and manage those emotions may form more positive and effective relationships with

others. These individuals may also be better at inducing positive emotions in others, which is useful in creating and maintaining a team that handles conflict more effectively and with less damage to interpersonal relationships. Perhaps these individuals are better at establishing, maintaining or repairing trust and are more effective in serving as emergent leaders through displaying context appropriate emotional expressions.

The nature of the working environment can be a significant element affecting virtual teamwork, as the operating style of a virtual team as opposed to a conventional team can create some difficulties for communication in the virtual team cooperation. Virtual team members' attitudes toward sharing knowledge in a team can be seriously influenced by the sense of social isolation because virtual teamwork relies highly on the use of computer mediated communication and teams cannot collaborate in face-to-face meetings. The communication style is an important factor influencing virtual team members' cooperation as it can affect individual psychological feelings about contacting and collaborating with other team members. Team members will not continue participating in the team activity and will not be willing to collaborate if they have experienced difficulties or differences while making contact with other team members.

Virtual team members who have high individual competencies may not perform well in virtual team cooperation because using only computer-based communication is not an effective and efficient method for transferring knowledge in the team. Also, team members' individual competencies to work in a cross-national team are influenced by their previous experiences of coping with different cultures. People may have higher individual cultural intelligence if they have more experience of communicating with foreigners and had contacts with people from different cultural backgrounds, because they can acquire knowledge from those valuable cross-cultural experiences.

Individual cultural openness will also be influenced by personal cross-cultural experiences. A person's openness to other

cultures may be higher if he or she has more positive cross-cultural experiences, such as pleasurable overseas travels and good relationships with foreigners. Team members who have more negative cross-cultural experiences may be afraid of contacting people from other different cultures due to the unpleasant experiences they have encountered. Team members' willingness to make contacts with other cultures in the future is decreased by their disappointing virtual team experience, as they may feel considerable anxiety about the situation and wonder why other team members did not respond to their comments or why there was a lack of cooperation. The negative team experiences can result in harmful effects concerning being open to working and contacting people from different cultures in the virtual team.

With the decrease of willingness to collaborate with other team members, virtual team members reduce their participation and discussions in team cooperation. Some virtual team participants communicate more actively with other team members at the beginning stage of the teamwork; however, they cannot keep participating often after they find that the other team members do not respond as much as expected.

Many virtual team members continue to complain and report that team interaction did not improve during the whole process of teamwork, and therefore, they finally decreased the frequency of sharing personal ideas online in the virtual teamwork. Hence, team interaction is the most important factor affecting virtual teamwork because it can directly influence individual attitudes towards working in a virtual team.

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# LITERARY STUDIES



## **References to Antiquity in Henry James' novella "The Beast in the Jungle"**

AGATA MARCINKOWSKA-WAJNER

### **Abstract**

The paper examines numerous references to tradition of Antiquity in Henry James' novella "The Beast in the Jungle" and draws attention to their binary nature. The binary pairs which most of the references seem to form are based on the simple opposition between reality and illusion. The story depicts the life of John Marcher, who believes himself to be destined to experience an event which will transform his life dramatically. The main protagonist is waiting for the arrival of the beast. The allusions to particular ancient texts, beliefs and architecture help to define the nature of John Marcher's problem, by highlighting his tragic situation, the conflict within him, as well as the stagnation which characterizes his existence. The majority of the references can be joined into pairs within which one reference indicates how the protagonist falsely perceives himself while the opposing one suggests the real condition which he is not aware of. Moreover, the references offer a greater understanding of the role of the second character of the novella, May Bartram, in Marcher's life. The parallel between May and the mythical Ariadne, for instance, enables us to predict the fate of Miss Bartram in the story. The references in question are presented in the article, while their functions are thoroughly examined.

### **Key words**

Henry James, Antiquity, ancient, image, beast, references, binary oppositions

## **Références à l'Antiquité dans la nouvelle d'Henry James « La Bête dans la jungle »**

### **Résumé**

Le présent article analyse les nombreuses références à la tradition de l'Antiquité dans la nouvelle « La Bête dans la jungle » d'Henry James et il tire l'attention du lecteur sur leur caractère binaire. Les paires binaires que la plupart des références semblent former sont basées sur la simple opposition entre la réalité et l'illusion. Le récit présente la vie de John Marcher, qui se croit destiné à vivre un événement qui transformera sa vie de manière dramatique. Le héros principal attend la venue de la bête. Les allusions à certains textes antiques, à certaines croyances et à certaine architecture aident à définir la nature du problème de John Marcher, en soulignant sa situation tragique, son conflit intérieur et la stagnation qui caractérise son existence. La majorité des références peuvent être mises en paires dans lesquelles une référence indique la façon dont le héros se perçoit à tort et l'autre suggère sa condition réelle dont il n'est pas conscient. De plus, les références permettent de mieux comprendre le rôle du second personnage dans la nouvelle, May Bartram, dans la vie de Marcher. La parallèle entre May et l'Ariane mythique, par exemple, nous permet de prédire le destin de Miss Bartram dans le récit. Les références en question sont présentées dans l'article et leurs fonctions sont examinées en détail.

### **Mots-clés**

Henry James, Antiquité, antique, image, bête, références, oppositions binaires

## 1. Introduction

“The Beast in the Jungle”, written by Henry James in 1903, is a highly acclaimed novella which contemplates the universal themes of fate, the meaning of life, loneliness and love. It is a story of a man named John Marcher, whose existence concentrates on waiting for the prodigious event which is supposed to alter his life dramatically. The central character defines this moment as the leap of the beast in the jungle. The pace of the story is slow and monotonous with a minimal amount of action. At the same time an atmosphere of mystery is created; the reader is anxious and curious about the true nature of the event to come. The reason why John Marcher adopts this peculiar premonition, or even certainty, as he perceives it to be, becomes clear as early as in the fifth line of the story: “[...] it was his theory, as always, that he was lost in the crowd” (33). This fragment of text reveals Marcher’s fear of being ordinary and invisible. Hence, his desire to stand out, to experience something exceptional, which will give his life sense and value, and which will differentiate him from others. Only one other character, other than John Marcher, is introduced into the story, namely May Bartram, with whom the man shares his secret. The protagonists bear features of different figures of Antique origin, such as Theseus and Ariadne, Nero, Sybil. Hence, being the references themselves, the couple actually forms the major binary opposition with Marcher representing illusion whilst May being an embodiment of reality.

The construction of both characters is simplified. The reader is not provided with details concerning their appearance, or Marcher’s profession, family and place of residence or May’s acquaintances, hobbies and everyday activities. This aspect together with the previously mentioned lack of dynamic action, suggests a predominantly psychological approach to the characters and the story developing around them. Indeed, the descriptions mainly offer an insight into the protagonists’ feelings, thoughts and anxieties. John Marcher seems to repre-

sent every human that is being troubled by existential problems, such as the place and significance of a single unit in the universe, as well as the meaning and sense of life. Marcher is also an embodiment of human aspirations, and even haughtiness, due to his certainty that he is *the chosen one*. Moreover, due to the fact that he does not recognize the arrival of the beast in the simple form of a love relationship with May, the protagonist is an example of lost opportunities, potential, and eventually, of a wasted life.

It can be assumed that the story possesses certain features of a parable, a genre deriving from Greek tradition, telling a simple story with a moral. Undeniably, the construction of “The Beast in the Jungle” is not complex. It offers only one story line. Additionally, there are merely two protagonists, neither of whom is presented in detail. Finally, the novella tells a story of particular behaviour, an attitude to life and actions, which eventually will lead to failure. Thus, the presence of a moral can also be observed. A further investigation of the text reveals that the similarity to an ancient parable is not its only reference to Antiquity. Traces of particular myths as well as mythical characters, ancient architecture and its remains, poetry – specifically Virgil’s *Aeneid*, which was the subject of heated discussions between James and Robert Luis Stevenson, and ancient drama, can all be found in “The Beast in the Jungle”.

The function of the references is to intensify and, at many points, clarify the main issues, as well as the plot’s details of the text. Being aware of the fact that Antiquity was the époque in which the fundamental questions of fate and the role of humanity in the world were continuously posed and highly debated, the references to this tradition are of some value in recognizing and defining the major themes of the novella, namely: the purpose of life, human influence on his or her future, and relationships. Additionally, the allusions draw attention to the long history and eternity of the troubles which afflict John Marcher. Moreover, numerous associations with an-

cient tragedy and myths emphasize the catastrophic situation of the protagonist.

Furthermore, the allusions to the period of the Caesars and literary heroes enable an understanding of the category of the desire which occupies John Marcher's mind. They make it clear that the main character is certain to be soon involved in a grand and glorious event. However, it should be noted that the ancient époque finishes with the fall of the Roman Empire, a highly apocalyptic moment in history. It appears that the period in question does not only represent power and greatness but also failure and destruction. Thus, the époque itself contains an example of a binary opposition namely greatness versus failure. It can be stated that the allusions to ancient tradition highlight the contrast between illusion, in which the protagonist functions, and the reality which surrounds him. The use of the images of Antiquity enables us to see how incorrectly John Marcher perceives himself and his future. He attempts to find in his existence echoes of the heroism and grandness of the past époque. By means of associations with it, he defines his extraordinariness. Yet, due to the period's double implications, the presence of the ancient texts and art in the novella in fact unmasks the disastrous situation of the protagonist.

For Henry James, furthermore, the end of ancient Rome seemed to be parallel to the contemporary situation of his times, that is, the gradual decline of the British Empire and the evident economic and political development of the United States. In his essay, Adrian Poole writes: "For James [...] the modern equivalent of Rome could well seem to be London [...] And the modern equivalent of the Goths could well seem to be the Americans" (1997: 80). The Americans in this quotation are compared to barbarian tribes who contribute to the death of Imperial Britain. Indeed, admiration for the richness and glory of the old world with the simultaneous awareness of its evanescence can be observed in Henry James' novels. In "The Beast in the Jungle", John Marcher, being an American citi-

zen, may in fact signify the political changes of James' times. The man appreciates and admires the past époque of heroic deeds. Yet, he paradoxically refuses and fails to obey the traditional order which this époque represents, by, for instance, not conforming to the generally accepted social norms such as marriage. Therefore, due to its references to ancient heritage, John Marcher's story can also be seen as a critique of progress and modernity which America embodies as well as the general direction in which the world moves.

A further feature of the allusions to Antiquity is their tendency to foreshadow the future events in the life of John Marcher and his friend May. To formulate it more clearly, if the reader assumes that certain ancient myth traces of which can be found in the novella corresponds with John Marcher's life, then, on condition that the reader is well acquainted with the myth, he or she may predict further events in the life of the protagonists, expecting an outcome similar to the one offered by the myth.

The allusions draw attention to the range of issues which the novella discusses. They, at times, reveal the unnoticeable. Additionally, they operate as an aid in comprehending the essence of the protagonist's problem. The aim of this paper is to trace and examine each of the references to ancient works of art, analyze their various functions as well as to show the binary nature of most of them.

## **2. Ancient traces in "The Beast in the Jungle"**

The first reference to ancient tradition can be seen in the words which John Marcher utters when he notices that his old friend May still remembers their last encounter. Marcher is said to be aware of the fact that May "hadn't lost the thread" (34). The origins of this phrase can be found in Greek mythology, particularly in Ariadne and Theseus' myth in which a woman in question waits for and secures, by means of a thread, the safe return of her beloved from the dangerous

mission in the labyrinth. The concept of John resembling a mythical protagonist destined to find and kill the monstrous Minotaur in the centre of the maze is substantiated by the passage which mentions that Marcher “had from earliest time [...], the sense of being kept for something rare and strange, possibly prodigious and terrible, that was sooner or later to happen [...]” (39). This *something* is later specified as “a crouching Beast in the Jungle” (43-44). Thus, John seems to believe that he has been chosen for the meeting with a terrifying creature hidden in the jungle – a situation parallel to Theseus’ fate. Moreover, it is clearly stated that a long time prior to this, May was informed by John about his thrilling future or rather his expectations regarding his life, and agreed to watch and wait with him for the beast. In the light of these facts, the common expression *she hadn’t lost the thread* appears to acquire a new meaning, namely that May not only “supplies a link” (37) between her and John’s two encounters and enables continuation of their friendship, but also constantly protects and supports him.

The allusion to this particular myth reveals how Marcher perceives himself and how he understands his destiny. It is important to note that Theseus was a Greek hero: the son of the god Poseidon and a mortal queen. He was a king-founder of Athens and a brave, great man. Analogically, John apparently desires to become an extraordinary figure. He does not want to be a common human being. Additionally, he is certain to be doomed to participate in a grand, heroic act. It is said for instance that while recalling his youth as well as the beginnings of his acquaintance with May:

Marcher could only feel he ought to have rendered her some service-saved her from a capsized boat in the bay or at least recovered her dressing-bag, filched from her cab in the streets of Naples by a Lazaro with a stiletto (36).

The protagonist regrets and even despises the simple course of events. Instead, he imagines a dramatized version of the past

which, by the way, is referred to as *ancient*. According to Leon Edel, Marcher struggles “against annihilation and anonymity” (1972: 139). The protagonist, indeed dreams of great deeds which could distinguish him from the crowd and in a way save him from his perceived mediocrity.

A further function of the reference to the myth of Ariadne is to define the role of May in John’s life and to foreshadow her fate. It is said that Marcher’s “conviction, his apprehension, his obsession, in short, wasn’t a privilege he could invite a woman to share” (43) and that “a man of feeling didn’t cause himself to be accompanied by a lady on a tiger-hunt” (44). The main protagonist does not offer May participation in the quest and remarkable events. However, he expects from her that she will offer involvement and guidance. The woman is supposed to remain beyond the area of interest, the jungle, which appears to be John’s life, correspondingly to Ariadne, who is occupying a position outside the maze. Moreover, it is worth examining the last, often omitted, part of the myth in which after the victory over Minotaur (achieved to a high extent due to Ariadne’s assistance), Theseus takes the lady with him only to abandon her later on the island of Naxos. Similarly, Marcher requests and uses the help of May, but at the same time keeps her at a distance, rejects her affection and her actual presence in his life.

The image of the jungle which can be associated with the mythical labyrinth is also noticeable in the construction of the sentences of the story. The text is written in an extremely convoluted style. David Smith comments on it in the following way:

A few steps more and we are already in the thick of it, wading through syntax that surges fitfully forward, over and around the interjections and oppositions, hacking through dense qualifications and abstract nominal, sweating at pronouns that buzz about, hovering, always seeming to be but never quite there. We resist an initial impulse to just give up, to return to easier terrain,

because deep inside we believe that attacking the wilderness is good for us [...] (1983: 219).

The reader encounters a number of obstacles. The text contains a considerable amount of defining and non-defining clauses which impede reaching the core of the problem. The receiver is trapped in the labyrinth of phrases and seems to be unable to find the way out. Furthermore, the vast number of repetitions, as well as the presence of double subjects and pronouns force the reader to withdraw from the already chosen path. Hence, it can be stated that the style of the novella resembles the jungle, in which a human being struggles to reach his destination.

An interesting issue is the fact that in 1899, four years before the publication of Henry James' novella in question, the ruins of the palace of Knossos, which is believed to be the setting of the Theseus and Ariadne's myth, were excavated by the archeologist Sir Arthur Evans. Numerous labyrinths of passages were found, together with exceptional artifacts which spoke of the grand époque. The discovery seemed to prove the existence of king Minos, his daughter and their prosperous kingdom. Furthermore, it pointed to the origins of the myth about a voracious monster, courageous hero and a woman in the background.

However, a scholar named Hans George Wunderkind claimed that the find used to be a huge complex for an organized cult of the dead. The space of the myth offers binary implications. It is associated with power and glory. However, in fact it is a place of sorrow and death. These opposite or rather binary views on the function of the Knossos palace – in conjunction with the images of ruins and death which appear in the subsequent parts of the novella – may suggest a contrast between John Marcher's fantasies and anticipations, and the reality which is ordinary and in the end, due to the protagonist's actions, lost, wasted and killed.

The images mentioned in the previous paragraph are connected with the location of the pair's first meeting. The protag-

onists cannot agree whether they met each other in Rome or Pompeii. The two cities seem to stand on the opposite poles with Rome standing for illusion while Pompeii suggesting reality. The fact that John mistakenly claims the place to be Rome is described in the following way:

It hadn't been at Rome – it had been at Naples [...] The incident of the thunderstorm that had raged round them with such violence as to drive them for refuge into an excavation – this incident had not occurred at the Palace of the Caesars, but at Pompeii, on an occasion when they had been present there at an important find. (35)

William Lance, according to James Ellis, claims that Marcher's error reveals his "heroic aspirations" (1984: 27). The palace of the Caesars stands for greatness and exceptionality, which the protagonist desires. Pompeii, on the other hand, symbolizes "hollowness and premature death" (Ellis 1984: 27). Moreover, Courtney Johnson notes that in this historical city people are buried alive, which would suggest "buried memory, the burial of the past, and the burial of hidden potential, of love" (1984: 27). In other words, Marcher's mistake explains his ignorance of the past as well as his rejection of the feeling and a possible relationship with May. However, it should be added that Rome was also affected by a calamity. During the reign of Nero the city was destroyed by a fire presumably set by the Caesar himself. It seems to indicate that Marcher is awaiting an earth-shaking event with *him* playing the leading part and initiating it. Pompeii, in contrast was annihilated by lava after the Vesuvius eruption. The inhabitants of the city were buried under the molten ash and immobilized forever. Therefore, the symbol of Pompeii may account for the main character's passiveness. John Marcher does not notice that the issue he is occupied with is merely waiting which leads to complete stagnation. Paradoxically, he has plunged into total inactiveness during his imaginary dynamic hunt. For the second time a reference to ancient period indicates disparity between illusion and reali-

ty while the two mentioned locations form a further binary pair.

The quotation presented above contains yet another image worth examining. The excerpt mentions a thunderstorm as the time of the pair's meeting. The storm, with its thunder and lightning, may be associated with a moment of intensive emotion, breakthrough, revelation and enlightenment. Indeed, it is the moment of Marcher's confession about his beast and his fate. Moreover, it is the moment of May's declaration to wait with John for the prodigious event. Apart from that, the situation is primarily parallel to a section in *Aeneid* by Virgil in which Aeneas and Dido hide in the cave from thunderstorm. Not only does Aeneas seduce Dido in the grotto but he also tells her about his adventurous life- similarly to Marcher. The epic continues with Aeneas abandoning Dido in order to fulfill his duty. Analogically, John repels the love of May, who, like Dido, eventually dies with this failure. The allusion to the greatest of ancient poems enables us to understand the role and future of May in John's life. Thus, its function is comparable to Ariadne's myth. Additionally, the echo of Virgil's epic is a further emphasis of the previously stated conflict inside Marcher as the basic difference between him and Aeneas is that Marcher has not experienced any adventure, yet he merely anticipates it.

The direct reason why Aeneas leaves Dido cannot be omitted. His departure is connected with the will of the gods. Mercury and Jupiter remind the hero of his commitment. As far as John Marcher is concerned, he too mentions gods as being responsible for his fate. Firstly, it would be useful to recall the already cited words which John utters many years before in Pompeii and which are repeated by May during their reunion:

You said you had had from your earliest time, as the deepest thing within you, the sense of being kept for something rare and strange, possible prodigious and terrible, that was sooner or later to happen to you, that you had in your bones the foreboding and the conviction of, and that would perhaps overwhelm you. (39)

The fact that John had a feeling *of being kept for something* suggests that Marcher is certain not to possess any influence on his own existence. He supposes that his life has already been decided about. The use of passive voice can imply that the protagonist is an object in the hands of some unnamed agent. Moreover, the verb *kept* may explain the necessity to wait for the crucial moment, for actually Marcher is not in the middle of experiencing the *something* – it is still ahead of him. The second hint which would indicate John's being driven, and account for his submissive attitude, is expressed in the following words: "It isn't a question of what I 'want' – God knows I don't want anything. It's only a question of the apprehension that haunts me – that I live with day by day" (40). The passage reveals that Marcher does not desire anything himself. It seems that the protagonist believes that it does not lie in his power. Furthermore, he mentions *God* as a figure perfectly oriented in his fate. The continuation of the phrase "God knows I don't want anything" could be *because God has decided it for me*. John's confession about living with the apprehension *day by day* unmasks a complete inactiveness of the protagonist, who is merely focused on surviving until the right moment comes. It is also stated that Marcher feels that the great thing is "in the lap of the gods" (44). The phrase illustrates John's conviction further. Additionally, it makes the allusion to Greek gods, who govern mortal lives, even clearer. Marcher thinks that he does not participate in the creation of his life. It appears to be entirely in the hands of the Gods. Above all, he maintains that *he is inertly* driven by a force in the direction of the inevitable event. Consequently, it could be assumed that the protagonist resembles a tragic character of the Greek theatre.

At this point it would be essential to highlight few features of the Greek tragedy, visible in "The Beast in the Jungle". The genre of Greek Tragedy originated from religious rites in honor of Dionysus. Initially, the subjects of the tragedies were related to Greek myths. The first plays obeyed the principle of one ac-

tor, whose contribution to the story seemed quite minimal. The choir, on the other hand, was the most significant element of the tragedy. It commented on and explained the events. With the development of the genre, a second actor was introduced – which aroused a great deal of controversy. The revolution was started by Aeschylus. In his book *Greek Tragedy* Gilbert Norwood writes:

To bring two opposed or sympathetic characters face to face, to exhibit the clash of principles by means of the clash of personalities, this is a step forward into a new world, a change so great that to call Aeschylus the very inventor of tragedy is not unreasonable. (2009: 11-12)

Similarly to early Greek tragedies, “The Beast in the Jungle” contains the minimal number of characters. Although a few other people, including the general crowd, are sometimes mentioned, they only create an anonymous, blurred background. The main protagonist is John Marcher. Therefore, the plot concerns his dilemmas, anxieties and tragic situation. However, only through the introduction of May's character can the reader understand the true nature of John's case. It is the clash of principles and personalities stressed by Norwood that provides facts and answers.

The two characters form a binary pair themselves. The true illusory nature of Marcher is understood mainly because of the introduction of May into the story, who represents an opposite perspective – the one of reality. Due to May, the reader learns that Marcher alters the truth, perceives himself as the chosen one, and tends to be egoistic in his behavior (he demands the woman's assistance but at the same time excludes her from his hunt). Moreover, the importance of the female character in John's life suggests that the fate prepared for Marcher is simply love, the relationship with May and the life itself. Finally, it is May, in one of the last scenes before her death, who, being a representative of the pole of reality, offers John the possibility to experience enlightenment regarding his existence. It is

also during this significant moment that one can see that Marcher fails to comprehend his destiny. He wastes an opportunity to accept its ordinariness. Indeed, in his essay "What May Knew in *The Beast in the Jungle*" Eugene Goodheart writes that one could get an impression that May might "not be a character at all. Perhaps she is no more than a narrative device, a vehicle for eliciting Marcher's story" (2003: 117).

A further aspect of James' novella which may allude to Greek drama is the peculiar presentation of time, space and action. Around 335 BC the Greek philosopher Aristotle wrote *Poetics*, a theoretical treaty, in which he formulated the principle of three unities, namely of time, space and action. According to these rules, the action of the play should not exceed 24 hours, which is the cycle of one day, should cover a single scene and follow one action and story line. Although James' novella does not respect these rules directly and literally, it refers to them to some extent. First of all, Marcher locates the first meeting with May, not only in the wrong place, but also in the wrong time. He is not aware how many years have passed since their stay in Italy. The moment when May raises the subject of the beast is said to have "supplied the link" (37) between the two distant meetings. It appears as if nothing has changed and that no time has actually passed. The previously evoked symbol of Pompeii, which indicates Marcher's stagnation, would also suggest a stop in time. Moreover, an interesting issue is the fact that the main protagonist does not notice his old age until he sees May weak and wrinkled. In this case, the pair also remain in the two opposing positions. John is not aware of the irreversible loss of time. Actually the reader is not aware of it either as the story is as if suspended. The cycle of one day described by Aristotle finds its reflection in the cycle of the year.

Numerous references to seasons remind one of the eternal cycle of nature which, in turn, symbolizes endless reappearance of the existential problems that Marcher struggles with. The pair meets in autumn and parts, due to May's death, in

April – between the months of March and May, to which the protagonists' names refer. April, therefore, poses a chance for John to approach May and requite her love. Unfortunately, John does not accept this challenge. Consequently, he remains where he is, or even makes a step backwards to find himself again in the period of waiting. Carrying the surname Marcher, John seems to be doomed to a passive life, for the month which his name derives from is also the time of waiting for the next season. Indeed, the entire acquaintance with May covers the seasons of sleeping, loss and sorrow, namely winter and autumn. Additionally, while describing the anticipated beast, John Marcher claims that the beast will spring upon him. According to John, the highly awaited visit of the beast would initiate a new stage of his life. Marcher is suspecting a change, a new quality and the termination of sluggishness in which he remains. He expects the winter of his anticipation to transform into a spring of new hopes and new meaning. It is actually in April that such an opportunity appears.

It has already been mentioned that May, before dying, offers John the chance to realize the significance of the beast. It seems that it is May herself. According to Walter Wright the beast “had sprung in that cold April when [...] [May] had risen from her chair” (1962: 199). The spring of John's life, however, never comes, as he overlooks each valuable moment. As a result, he does not proceed further into the future but stays in present time, or rather out of time. To conclude, although the time of the action is actually changing, for Marcher it stopped the moment he formulated his apprehension in Pompeii. Since then he has lived in suspension. Richard Hocks maintains that although John perceives the encounter with the beast as a particular moment which is about to happen, it is in fact “a kind of slow motion springing that begins with the first line and completes itself with the last” (1974: 184). Thus, it could be assumed that the time of the action comprises one long jump.

The unity of action is undoubtedly obeyed in “The Beast in the Jungle”. The plot concentrates only on one story, which is the acquaintance of Marcher and May. There are neither subplots nor other characters, resulting in a strong psychological dimension of the novella. The story offers a deep insight into Marcher’s thinking and presents him as a tragic hero doomed to annihilation and filled with existential anxieties.

As far as the unity of space is concerned, it cannot be denied that James’ novella does not conform to it. John re-encounters May in the mansion named Weathered. Afterwards, May purchases a house where the couple also meets. After May’s death, John leaves for Asia where he is hoping to find his beast. Finally, he comes back to his country where he regularly visits May’s grave. There are definite shifts in the setting. Yet, the majority of places revolve around the figure of May. Marcher experiences illumination concerning the beast’s identity over May’s grave and he must remain there as it is the only space in which he can operate. The space of the story could then be defined as continuously involving the presence of May or rather as being her space which Marcher can occupy. The subsequent settings share one thing. The final place parallels the image of Pompeii where the victims lay buried similarly to May. Weathered, where they meet after the long break, in turn, contains a number of emblems of the past greatness of its owners.

Certain allusions to ancient ruins and ancient events evoke the atmosphere of the past as well. Thus, it can be claimed that the described locations, being all, in a way, connected with the past, suggest the long history of Marcher’s frustration. The protagonist himself refers to it in his conversation with May in the following manner: “You mean you feel how my obsession – poor old thing – may correspond to some possible reality” (40)? Not only does the phrase *poor old thing* indicate that Marcher’s mind has been preoccupied with the idea of the beast for an extremely long time but it also stresses the universality of the problem. It draws attention to the fact that the

fundamental questions concerning fate, sense of life, the meaning and value of a single human being in the world have been pondered on since the very beginnings of time. As a result, the space also adopts features of universality. Every fragment of the earth seems to bear traces of the struggling units.

A thesis could be risked that the third person narrator in "The Beast in the Jungle" is loosely related to the ancient choir, which played a crucial role in the ancient tragedies. It can be noticed that Marcher speaks less often in his own voice than in the narrator's. Moreover, the moments of his active participation are constructed by means of the dialogues which Marcher exchanges with May, which resembles the structure of a drama. The importance of the narrator appears to be invaluable as John perceives the world and his own condition in a false way. According to Eugene Goodheart, the narrator

[...] is indeed inside Marcher's consciousness without absolutely identifying with it. Marcher is "the center of consciousness" without having the narrative control that he would have as a first-person narrator. The third-person point of view gives us the advantage of a perspective on Marcher's consciousness that Marcher himself does not possess. (2003: 121)

As has already been referred to, John often misjudges and misinterprets his state. He frequently deceives himself. A perfect example of this is the way in which Marcher reassures himself that he is being extremely thoughtful and generous while buying May birthday presents. In fact, the gifts are highly impersonal, and prove his egotism. Moreover, the protagonist believes that he is not able to possess control over his life. Such a situation resembles Greek tragedies in which the character is not aware of the future plans prepared for him. The events must be commented on by the choir. Similarly, the reality must be presented by the third person narrator in "The Beast in the Jungle". It must be added that there is a parallel between the third person narrative and the way in which

Marcher discovers himself. The narration must be placed outside the protagonist to unmask him, just as he needs to look outside himself for self-discovery. A good illustration of this observation is the moment of Marcher's realization that he has grown old. He understands this truth only after he notices that May is actually old. Additionally, only after seeing a mourning man at the cemetery, does he comprehend that one of the reasons for his tragedy is his inability to suffer after the loss of a person who was close to him. Due to this experience he finds that he is a failure. To conclude, only external factors, beyond the character's choice, can lead him to self-discovery.

All the above stated elements to some extent refer to the Greek theatre. To sum up, the function of this technique is to present the tragic position of the protagonist and the fact that his fate is decided by the Gods. It also shows his premonition to participate soon in some heroic act, with the simultaneous lack of proper perception of the environment as well as its influence on his own life. Furthermore, it suggests that Marcher is not the first person to experience such dilemmas and to aspire to great deeds. The problem seems to be timeless.

Some references to Ariadne's myth, the ruins of Pompeii and the Palace of the Caesars, *Aeneid* and the Greek tragedy have already been discussed. Further allusions to the elements of the ancient heritage are: the image of The Greek Sphinx, Sybil, the goddess Hestia and Styx.

The narrator, during Marcher's visit to May's house just before her death, describes her in the following way: "she was the picture of a serene and exquisite but impenetrable sphinx, whose head, or indeed all whose person, might have been powdered with silver" (54). The context of this situation which reveals the entire significance of this comparison must be evoked. The words are uttered when Marcher is offered the opportunity to face the meaning of the beast he is waiting for. He suspects that May already knows the answer. He says for instance: "You know something I don't. You've shown me that before" (56). He asks the woman to tell him if he "shall con-

sciously suffer" (57) as if May possessed some knowledge inaccessible to John. The man even begs May to provide him clues. He inquires whether the thing is "[m]ore monstrous than all the monstrosities we've named" (57). It is stated that May "listened, motionless and white in her chair, as on a decision to be made" (57). She is referred to as "ancient" (57). Afterwards, she rises from her chair, giving the scene a highly significant tone and highlighting its culmination. Indeed, it is the moment when John is supposed to articulate the answer which would indicate that he has finally realized the true sense of his life.

The Greek Sphinx, with which May is associated, was a monster with the face and breasts of a woman and the body of a lion, additionally equipped with wings (Parandowski 1989: 204). Such a description may support the previously given argument interpreting May as the actual beast. As far as the mythological Sphinx is concerned, it was kidnapping people and throwing them into the abyss. It would undertake to stop doing so when somebody answered a riddle correctly, and as a result escaped annihilation (Parandowski 1989: 204). The allusion to the creature implies that May formulates a riddle for Marcher to which she knows the solution. The riddle concerns the essence of John's life. It is the last occasion for Marcher to reach the core of the problem and avoid destruction. The protagonist is offered certain clues, which lead to the moment of the final declaration as to whether he can solve the puzzle or not.

The mood of this moment is presented as being exciting, emotional and illuminating. The text of the riddle, borrowed by Sphinx from the muses, reads as follows: *What creature with one voice walks on four legs in the morning, on two legs at noon, and on three legs in the evening – and is weakest when it has the most legs?* The answer to this question is *the human being*. Marcher, as well, is given a puzzle concerning the nature of his existence and the whole of humanity. However, he is incapable of comprehending his fate. In May's opinion, during the crucial moment there is a chance for Marcher's enlightenment. Yet,

when Marcher forfeits the opportunity May says: "I'm not sure you understood. You've nothing to wait for more. It has come" (61). Later she adds: "It's past. It's behind" (62). The sudden shift to the past tense in defining the beast suggests that Marcher has not succeeded in the task. Hence, a punishment awaits him. Interestingly, it is the Sphinx/May who actually dies after receiving the wrong answer or rather no answer at all. However, Marcher is sentenced to an even harsher fate, which is an empty existence, deprived of any sense for which he so insistently searched. He is doomed to a complete lack of any experience. In this reference the binary poles of illusion and reality approach each other and eventually blend. Moreover, the alleged "present tense" of John Marcher becomes the past or, rather, finally occurs to have always been the past.

During the same scene May is compared to Tucuman Sibyl, an ancient prophetess. According to Virgil's *Aeneid*, Aeneas asked Sybil for her prophecies in his journey. John Marcher asks May a similar favor. He is absolutely convinced of his friend's supernatural powers or rather her exceeding consciousness and knowledge concerning his fate. The entire course of the situation and the phrases uttered by the protagonist prove his conviction. Indeed, May possesses answers to John's questions. She is aware of the true nature of the beast. Furthermore, May foresees the further events in John's life. She knows exactly that no experience awaits him – merely emptiness and sorrow.

### **3. Conclusions**

To conclude, the novella "The Beast in the Jungle" contains a considerable number of relations with Antiquity. Apart from the major examples examined above, the novella offers numerous minor indications, such as an indirect comparison of May to the goddess Hestia. May is often seen in the vicinity of the fireplace. However, when her life and her protection over Marcher come to an end, the fire is said to have been put out.

This image defines the role and duties of May in John's life, which involve cultivating, and maintaining their relationship and guarding his secret. The allusions in question introduce into the story the atmosphere of the old order, which Marcher neglects by rejecting May's love. It is May, after all, who stands for *the past*, being an expert on the long history of the Weathered mansion in which she lives at the beginning. Her death, together with Marcher's negligence of the traditional social norms, suggests the final disappearance of the past époque. Weathered, the home of the subsequent generations of the old family, is being sold, which can also imply the breakdown of traditional family values and community (Weissman 1998: 200). The concept is strengthened by the presence of mementos, heirlooms and pieces of art which Marcher retains – but also feels overwhelmed by their presence. In the light of the initial considerations, the images imply the decline of a different empire as well, namely the British Empire.

Due to the fact that the majority of traces of mythology form binary pairs or bear double implications within themselves, a kind of contrast is introduced and highlighted in the story. The binary technique, in which one image from the pair as if denies or contradicts the other, draws attention to the conflict between the illusion in which the protagonist remains and the reality which he disobeys to accept or even notice. The binary oppositions reveal the protagonist's heroic aspirations and his expectations concerning the beast. However, being confronted with the reality, they indicate that John's existence is actually deprived of any grand features. One more time, the reason for such ordinariness in Marcher's life can be the fact that the world of great deeds no longer exists. Additionally, the introduction of the ancient heritage frequently uncovers the future events in the lives of the protagonists, whose fate can be figured out due to parallel stories.

Above all, the presence of Antiquity in the story stresses the tragic position of John Marcher, who believes himself to be governed by gods and doomed to an outstanding fate. Howev-

er, the tragic situation of Marcher is questioned in the story by the fact that the protagonist actually possesses all possible means to direct his life according to his wishes. He simply overlooks the opportunities. Finally, the references seem to force the reader to focus on the existential and essential issues governing an individual's life.

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## **Mythological references in *The Chronicles of Narnia* and *The Space Trilogy* by C. S. Lewis**

MAGDALENA ZEGARLIŃSKA

### **Abstract**

The author of the world famous saga for children *The Chronicles of Narnia*, C. S. Lewis, is a writer whose works abound in intertextual references. Biblical, Christian, mythological and chivalric ones are among the most explicit ones that constitute an additional theological and historical dimension to Lewis's books and place them in a particular cultural context. The following paper discusses numerous allusions to the world's mythologies: Greek, Roman, Norse, Celtic, Germanic and Arabic that are present both in the Narnian saga and *The Space Trilogy*, and proves that Lewis exceeds the boundaries of children's fiction by composing his stories in a form of an extended metaphor. Furthermore, the paper provides an interpretation of some mythological motifs used by the writer and, finally, it attempts to justify an abundance of intertextual allusions, in particular the mythical ones in the abovementioned works.

### **Key words**

Lewis, Narnia, mythology, intertextuality, *The Space Trilogy*

## **Références mythologiques dans *Les Chroniques de Narnia* et *La Trilogie cosmique* de C. S. Lewis**

### **Résumé**

L'auteur de la fameuse saga pour les enfants intitulée *Les Chroniques de Narnia*, C. S. Lewis, est un écrivain dont les œuvres

sont très riches en références intertextuelles. Les références bibliques, chrétiennes, mythologiques et chevaleresques sont parmi les plus explicites et elles forment une dimension théologique et historique additionnelle des livres de Lewis, en les plaçant dans un contexte particulier. L'article suivant analyse les nombreuses allusions aux mythologies : grecque, romaine, nordique, celtique, germanique et arabe, qui sont présentes dans la saga narnienne et dans *La Trilogie cosmique*. Il s'agit de prouver que Lewis dépasse les frontières de la fiction d'enfance et de jeunesse, en composant ses récits dans une forme d'une métaphore étendue. En outre, l'article présente une interprétation de quelques motifs mythologiques utilisés par l'écrivain et, finalement, il essaie de justifier l'abondance des allusions intertextuelles, notamment les allusions mythiques, dans les œuvres mentionnées ci-dessus.

### **Mots-clés**

Lewis, Narnia, mythologie, intertextualité, *La Trilogie cosmique*

## **1. Introduction**

Mythology appears to be an inseparable part of the world's history and culture. As (Smith 1981: 25) points out, "the civilizations of the past live on in us, for our lives are rooted deep in the remote, mysterious and ancient civilisations of the past". A perennial quest to discover human roots directs the scholars to myths and legends, which are a rich source of knowledge about the past, and contain numerous enduring ideas that have not lost their freshness and topicality through the ages. Harry Slochower justifies the fascination in mythology in the following way: "Mythology draws on our oldest memories, and it has always fascinated the common man, as well as the artist, writer and thinker. [...] The myth touches on man's basic relation to his world and fellow men, on his original roots, his future possibilities and destiny" (Slochower 1970: 14). Ron Smith, by contrast, presents an older approach to mythology, and defines it as "a well-charted realm of frivolous and unin-

formed beliefs, with innumerable and repetitive stories that told the wild speculations of peoples too remote in time and place ever to be taken seriously” (Smith 1981: ix). H. R. Ellis Davidson, somehow paraphrasing Slochower, contradicts this view, claiming that one ought to perceive the study of myths as a quest for a more profound discovery of the mysteries of the human mind, rather than merely as an “escape from the reality into the fantasies of primitive peoples” (qtd in Smith 1981: ix). Hence mythology is something more than just a series of ancient stories about gods and supernatural creatures, it offers a key to deeper understanding of human nature and history.

It is widely acknowledged that mythology and classical culture have become a source of remarkable inspiration for many generations of writers, and C. S. Lewis proves to be no exception. One of his most recognizable literary achievements, *The Chronicles of Narnia*, is a saga that abounds in multifarious intertextual allusions. Apart from mythology, the author seems to have been inspired by a wide range of texts, philosophical and religious ones in particular. Only when seen through the prism of those references can all the subtleties and the complexity of the novels be fully noticeable. The following discussion will attempt to examine the question why Lewis incorporated mythology in his text in such abundance and what purpose they serve. Chad Walsh offers the following explanation: “He creates the metaphors and myths that can truly say the real but unsayable” (Walsh 1969: 8). By “unsayable” one may understand what Lewis defines as “a real though unfocused gleam of divine truth falling on human imagination” (White 1969: 37).

The multitude of mythological characters and motifs well illustrates Lewis’s fascination with Greek, Roman, and Celtic cultures, which was suggested in his biography *Surprised by Joy*, where he claims that mythology has become a milestone on his way towards conversion to Christianity and thus played an extremely important role in his life (*Surprised by Joy*, 234-

236). Paul F. Ford further discusses this issue referring to *Mere Christianity*: “Christianity was founded on the great myth of dying and rising god [...] with the distinction that this myth had become a fact in the historical figure of Jesus of Nazareth” (Ford 2005: 314). Lewis believed that “faith is based both on the facts and also on the mythic elements that give meaning to those facts” (Ford 2005: 315), which enabled him to create a world based both on the Christian creed and mythological beliefs. The reality of Narnia perfectly well merges Aslan’s rule with the reigns of pagan gods who, in the novels, are presented as subordinate to the Great Lion’s power.<sup>1</sup> However, they were not created by him but sprang forth due to the divine nature of Narnia. In *Four Loves* Lewis states that, “it is only in God’s name that they rule their domains [...]. Without God, they would disappear or become demons” (*Four Loves*, 166), and that, “even a Pagan mythology contains a Divine call” (White 1969: 41), which perfectly well explains the relations between the monotheist and polytheist divine beings in Narnia.

The Narnian saga is not the only Lewis’s work that is enriched by mythological references. His science-fiction trilogy, which comprises of *Out of the Silent Planet*, *Voyage to Venus* and *That Hideous Strength*, though highly religious in tone, contains certain allusions to world’s mythologies which, however, are less explicit, but definitely not less important than those in *The Chronicles*. Dr Ransom, the protagonist, performs an interplanetary spaceflight to Malacandra and Perelandra.<sup>2</sup> The former is inhabited by two kinds of beings: rational but inhuman creatures, i.e. *sorns*, *hrossa* and *pfiffltriggs*; and ethereal *eldils*. It is an old world, in which only the valleys and caves are fit to be inhabited. The very surface of the planet is almost dead due to an extremely thin layer of atmosphere. Only *sorns*, white longish creatures, are adjusted to survive there (*Out of the Silent Planet*, 114). The remaining representatives of

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<sup>1</sup> Aslan, the Great Lion, is a counterpart of Jesus Christ in *The Chronicles of Narnia*, and the son of the Emperor Beyond the Sea (who is supposed to imitate the Christian God).

<sup>2</sup> In Old-Solar language the terms refer to Mars and Venus.

Malacandrian society, namely *hrossa* and *pfifltriggs*, occupy “hand-ramits” located in rocky crevices. Conversely, Perelandra in *Voyage to Venus* is shown as a newly created world unaltered by human hands, pure, and not affected by evil where “the commandments of Christianity are unbroken law, and where spiritual beings have visible existence” (Węgrodzka 1995: 30). The planet is a beast land (exactly like Narnia), with the exception of the King and the Queen who are meant to become the first mother and the first father of all the human habitation; or at least human-like because the Queen resembles an emerald goddess: “He had been expecting wonders, had been prepared for wonders, but not prepared for a goddess carved apparently out of green stone, yet alive. [...] Was this another myth coming out into the world of fact?” Ransom asked himself (*Voyage to Venus*, 56). Such a presentation of the abovementioned lands gives them an allegoric and somehow unreal quality. Malacandra embodies apocalyptic vision of the dying world, whereas Perelandra is more like the world right after its creation, prior to Original Sin. One might interpret those visions as a metaphor of the Earth’s distant past and future.

The land to which Ransom is sent by Maledil<sup>3</sup> to a certain extent resembles a mythical Garden of Eden. An abundance of fruit, plants, birds and animals, and an almost euphoric happiness which fills the place, provide a magical atmosphere (*Voyage to Venus*, 40). This strange solemn mood is so overwhelming that Ransom feels as if he were in a dream. Later he claims that “at that moment he had a sensation not of following an adventure but of enacting a myth” (*Voyage to Venus*, 48), which is further emphasized by the presence of mythological creatures which will be discussed later. In this respect, this land closely resembles Aslan’s country where those who believed in Him were sent after the Last Judgment and the apocalypse. In both cases Lewis presented his own vision of paradise and the reward one receives for proper conduct.

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<sup>3</sup> A term used for God in Old Solar language.

The following sections will enumerate the most noteworthy references to world mythologies that one may find in Lewis's Narnian saga and *The Space Trilogy*, together with the discussion of their significance and function in these representatives of the writer's oeuvre.

## **2. Greek and Roman mythologies**

Mythological references can be found throughout the whole Narnian saga, with Greek and Roman being the prevailing majority, which vindicates the notion advocated by Smith (1981: 139), that no myth system in the world appears to exert a stronger influence on the Western culture than the classical Mediterranean ones. Lewis apparently follows this trend and incorporates many elements corresponding to Greek and Roman mythologies into his texts (White 1969: 54). The main reason for this may be the willingness to place his works of fiction within European historical and cultural context as a token of appreciation of its heritage.

When discussing *The Chronicles*, it seems necessary to notice that Narnia is a beast land inhabited mainly by talking animals that coexist more or less peacefully with a great variety of creatures that originated in mythologies. They can be classified into two types of beings, namely gods/goddesses and supernatural creatures often shaped in the form of transformed animals. The representatives of the former group are considered to be the spirits of trees, plants, and waters. In the Narnian saga Lewis mentions such gods as Bacchus – a god of grape harvest and wine, and Pomona – a Roman goddess of fruit trees and orchards (Ford 2005: 347). Moreover, he describes various kinds of supreme beings, namely woodland spirits, the Silvans; wild sprites of the woods – dryads and hamadryads; and water nymphs called naiads, which are daughters of the River-God, who may be associated with Neptune in Roman, and Poseidon in Greek mythology (Ford 2005: 316, 377). Other aquatic mythical creatures, such as mermen

and mermaids are presented in *Voyage to Venus*, *The Lion, the Witch and the Wardrobe*, and *The Voyage of the Dawn Treader*. In the first of the abovementioned, they accompany Dr Ransom in his travel through the Perelandrian ocean. He describes them as human-like but with dead, emotionless faces (*Voyage to Venus*, 108). In *The Narniad*, however, they accompany the coronation of the Pevensies (*The Lion, the Witch and the Wardrobe*, 194) and sing beautifully when Caspian travels with his companions to the end of the world on a Dawn Treader (*The Voyage of the Dawn Treader*, 531). Ford describes these creatures in the following way: “Their unforgettable music differs from ordinary music in its strangeness, sweetness and profoundly piercing character” (*The Voyage of the Dawn Treader*, 309). The presence of semi-divine beings enumerated in this paragraph confirms Narnia’s status as a semi-mythical country where the physical coexists with the spiritual and the divine. Were it not for the evil that exists in Narnia, embodied by the White Witch and King Miraz, one might treat the country as a utopian ideal land, which only the chosen ones are allowed to enter. Those chosen ones are children, who are not yet deprived of their childhood innocence and imagination. Lewis appears to postulate that growing up causes people, e.g. Susan Pevensie, to lose belief in the possibility of existence of the spiritual and the divine.

References to mythological figures continue in *Out of the Silent Planet* with Danae, implicated with the description of Ransom’s voyage to Malacandra. Confined to an iron spaceship, like Danae in a bronze chamber, he is unable to liberate himself and has no certainty as to his future lot (*Out of the Silent Planet*, 34). Further, a hrossa named Hyoui is compared by Ransom to the Greek caryatids:<sup>4</sup> “To his astonishment, the hross, without any appearance of effort, lifted the boat bodily on the top of his head [...] and proceeded, erect as a Grecian caryatid to the land” (*Out of the Silent Planet*, 70). In *Voyage to*

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<sup>4</sup> Caryatids are Greek columns supporting the temples, having a form of Greek goddesses.

*Venus Ransom* evokes the myths of Kirke and Alkione, fearing that he is an eyewitness of the creation of even a more dangerous myth (*Voyage to Venus*, 56). Further associations with mythology are brought to Ransom's mind when he encounters the Queen. She reminds him of a mythical Diana, Christian Madonna, or even a Meanad. Innocent, shameless, naked, surrounded by animals, she may as well be perceived as a counterpart of Mother Nature (*Voyage to Venus*, 96). Jadwiga Węgrodzka (1995: 22) suggests that one of the possible interpretations of the Queen is that of a Perelandrian Eve. Another mythological reference may be recognized in Ransom's travel through the subterranean caves in *Voyage to Venus*, which brings the image of Hades into the reader's mind. Even the motif of an underworld river is retained, with a difference that here it leads the protagonist towards life on the surface of the planet and not to death. Darkness, boiling lava at the bottom, and a monstrous creature that arouses when Ransom fights with Weston, recall the Christian depiction of Hell (*Voyage to Venus*, 198). The fact of Ransom's comparing the extraterrestrial cultures with those familiar to him establishes the link between Lewis's fictional world and the real one with its history and culture.

As far as gods are concerned, Malacandra and Perelandra are monotheistic cultures. There is only one God – Maledil – who has his subordinate spirits – eldils. Each planet in the Solar System has its own ruling spiri – Oyarsa – who maintains the responsibility for his land. Ransom reflects on Oyarsa as follows:

It was not possible, he told himself, that the hrossa should obey any evil or monstrous creature, and they had told him—or had they? He was not quite sure—that Oyarsa was not a sorn. Was Oyarsa a god? —Perhaps that very idol to whom the sorns wanted to sacrifice him. But the hrossa. Though they said strange things about him, clearly denied that he was a god. There was one God, according to them, Maledil the Young. (*Out of the Silent Planet*, 97)

Augray, the sorn, further dispels Ransom's doubts concerning the nature of Oyarsa: "Oyarsa does not die. And he does not breed. He is the one of his kind who was put into Malacandra to rule it. His body is not like ours nor yours, it is hard to see and the light goes through it. [...] He is the greatest of eldila" (*Out of the Silent Planet*, 105-6). This description establishes Oyarsa as a similar being to Greek and Roman gods who were subordinate to Zeus and Jupiter respectively. In *Voyage to Venus* Professor Weston, possessed by an evil spirit, denies the existence of any personal god. He unsuccessfully attempts to convince Ransom that all that exists is pure energy and pure spirit (*Voyage to Venus*, 98). Ransom, reflecting on those revelations, reminds himself of creatures known from mythologies: elves, dewes and similar spirits (*Out of the Silent Planet* 1956: 107). Perelandrian and Malacandrian airy creatures may be associated with the spirits of nature in Narnia or with angels in Christian iconography. Invisible to humans, they are able to manifest their presence by hardly noticeable movements of the air. They serve Maledil and sometimes play the role of hnau's<sup>5</sup> advisors in moral dilemmas. One of the characters, Hyoi, describes them in a following way: "Eldils are hard to see. They are not like us. Light goes through them. You must be looking in the right place and the right time, and that is not likely to come about unless the eldil wishes to be seen" (*Out of the Silent Planet* 1956: 87). Again the Christian model is merged with mythological one. If one treats the eldils and Oyarsa as various classes of angels, the resemblance to Christian beliefs seems to be inescapable. However, if the interpretation directs towards the spirits of various domains of nature, it is the pagan model that comes to the fore.

As has been mentioned before, Lewis's universe contains a variety of mythical, yet physically visible, beings such as fauns, centaurs and unicorns, which are presented as para-

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<sup>5</sup> *Hnau* – a term used by hrossa to describe rational beings including three classes of Malacandrian society. Ransom is also perceived to be a hnau.

gons of virtue and archetypal figures. Always brave, they fight on Aslan's side against evil powers of the White Witch and are invited into "the Real Narnia," resembling the Christian heaven, after the Narnian apocalypse (*The Last Battle* 2005: 744). All of them play a unique and important role in the saga, a case in point being the centaurs. Remarkably wise and possessing the ability to foresee the future from the stars, they repeatedly affect the history of Narnia. Roonwit, the most distinguished of them, is King Tirian's most loyal adviser, who resembles Greek philosophers with his wisdom (*The Last Battle*, 675). One should also notice the presence of the man-headed bulls and minotaurs that direct the reader's thoughts to mythology as well. They devote themselves to the opposite sides of the conflict in *The Lion, The Witch and The Wardrobe*. The former support Aslan, whereas the latter, like their mythical counterpart, are monsters that deliberately choose the side of evil (Ford 2005: 311). When enumerating Narnian protagonists, one must not fail to mention the fauns. Those woodland creatures, half-humans with goat legs, associated with Greek satyrs, were the followers of Bacchus and his attendants in the feasts and dances. Lewis gave them Latin names, for instance Mentius, Tumnus, Nausus and Voltinus, to stress their Roman origin. To complete the list of Greek and Roman mythological references presented in *The Chronicles of Narnia*, one ought to mention the Phoenix,<sup>6</sup> a bird and symbol of resurrection that is reborn from the ashes after burning himself (Ford 2005: 332). It accompanies the creation of the world and sits over the thrones of the first king and queen of Narnia (*Magician's Nephew*, 92).

As has been presented above, both *The Chronicles* and *The Space Trilogy* abound in references to Classical mythologies. However, Greek and Roman myths and sagas contain the description of various customs and cultural activity, such as

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<sup>6</sup> The correct classification of the Phoenix proves to be quite a challenging task because the creature belongs to many worldwide mythologies, albeit often included in the Greek one.

feasts and dances performed by moonlight. Forest and water spirits together with fauns, Silenus,<sup>7</sup> and Maenads<sup>8</sup> dance to celebrate the feast of the Greek god of wine, Bacchus. Excluding a magical winter that lasted over a hundred years, life in Narnia has always been filled with festivity and enjoyment (*Prince Caspian*, 349). An abundance of wine, fruit, and meat, conducive to long-lasting celebrations, recalls the great Roman tradition of revelry. Yet the setting is different; instead of happening in luxurious palaces or grand gardens the feasts take place simply in a glade (*Prince Caspian*, 352).

However, in contrast to the rich Greek and Roman heritage, there is almost no artistic tradition in Narnia. Literature, art and theatre are hardly mentioned by the author. Actually the only places where the reader encounters books are in the residence of Mr. Tumnus – the faun, and in Doctor Cornelius' chamber.<sup>9</sup> No artists are mentioned, but from the descriptions of splendid weapons, tapestries and the interiors of the royal castle of Cair Paravel (*The Last Battle*, 697) one may conclude that there must have been some artisans who had skillfully adorned them. The dearth of sculptures, the only exception being the inner courtyard of the White Witch's castle, implies that Narnia is rather an artless land, unlike ancient Greece or Rome, though definitely not entirely deprived of culture.

Conversely, Malacandra has a long poetic tradition. Hrossa, though physically resembling furry animals, are very skillful songsters creating long odes, songs and poems commemorating the most important events in the Malacandrian history. The literary tradition is definitely oral and handed over from generation to generation, though no poem is repeated twice, since, "the most splendid line becomes fully splendid only by means of all the lines after it; if you went back to it you would

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<sup>7</sup> A drunken companion of Bacchus, depicted as riding a donkey in Greek and Roman mythology (Ford 2005: 400).

<sup>8</sup> Female attendants of Bacchus in Roman mythology who perform the dance of plenty (Ford 2005: 301).

<sup>9</sup> Doctor Cornelius is a tutor of the young Prince Caspian, who is fluent in astrology and proudly preserves the ancient Narnian legends (*Prince Caspian*).

find it less splendid than you thought. You would kill it” (*Out of the Silent Planet*, 83). Ransom wonders why literature is not created by sorns, who seem to be the most intelligent, and he is answered that hrossian language is simply the most poetic and that they truly enjoy the role of bards (*Out of the Silent Planet*, 130). Surprising as it may seem, literary achievements are not the only representation of art in Malacandra. Pfiltriggs, apart from being miners, embellish the rocks and monuments in Meldilorn and its vicinity with the carvings presenting all the most important events in Malacandrian history. Ransom is stunned and amazed seeing the precision with which they are made. What is more, his presence on the planet is immortalized in stone by one of the pfiltriggs as well (*Out of the Silent Planet*, 132). What delights Ransom in those carvings is that Venus and Mars are presented as feminine and masculine concepts, as is the case in earthly Greek and Roman mythologies (*Out of the Silent Planet*, 126). This motif is repeated in the penultimate chapter of *Voyage to Venus*. The Oyéresu (plural of Oyarsa) of Malacandra and Perelandra show themselves to Ransom in a form of pure gender. He cannot explain why, because they have no sexual features, but Malacandra is definitely male and Perelandra female. He comments on it as follows: “My eyes have seen Mars and Venus. I have seen Ares and Aphrodite” (*Voyage to Venus*, 220).

By including these allusions, the author not only makes his fictional worlds, be they alien planets or countries located inside a wardrobe, more familiar, but also adds an extra level of recognition of cultural and mythological Classical heritage to his adventure stories, which deepens their impact on the reader.

### **3. Celtic and Norse mythologies**

The second most important set of references to world mythologies is that to Northern European ones, including Celtic and Norse. Giants, witches, dragons, demons and black dwarves

constitute a “dark” side of the Narnian society, subordinate to black magic. They fight against Aslan’s army in *The Lion, the Witch and the Wardrobe* (191) under the command of the White Witch. Northern giants from Ettinsmoor, though seemingly hospitable and kind, are presented as cannibals, intending to eat Jill and Eustace in *The Silver Chair* (610). One might compare them to the inhabitants of Brobdingnag in Jonathan Swift’s *Gulliver’s Travels*, who might have probably served as role models for Lewis, judging by a similar presentation of the characters. In Norse mythologies and poetic Eddas, giants, referred to as Jotnar or Ettins, were monstrous creatures, often related to gods by marriages and engaged in various battles with them, which was also characteristic of Greek mythology, where giants took part in Gigantomachy – a battle with Olympian gods. They were supposed to take part in the final battle of Rangarök right before the destruction of the world in Icelandic sagas (Ford 2005: 224-5). Similarly, in *The Last Battle*, a giant called Father Time, on Aslan’s command, blows a giant horn, thereby commencing the Narnian apocalypse.

In *The Lion, the Witch, and the Wardrobe*, the reference to Scandinavian mythology becomes explicit in the character of Fenris Ulf, a gray wolf, and the captain of the White Witch’s secret police, who is slain by Peter (170). His name is taken from the great wolf begotten by Loki; a Norse god of combat; who was killed by Vidar, the god of silence (Ford 2005: 213). Another Norwegian name noted in the Chronicles is the Kraken, “a mythical sea monster, said to dwell in Norwegian waters” (Ford 2005: 280), which in *The Voyage of the Dawn Treader* is a monstrous creature feared by the Sea People (529). In *Out of the Silent Planet* there is a sea monster as well. It dwells in the rivers in Handramit and is treated as a saint creature by all hrossa: “Hnakra is our enemy, but he is also our beloved. We feel in our hearts his joy as he looks down from the mountain of water in the north where he was born” (*Out of the Silent Planet*, 85). The tradition of Hnakra – hunting – is an inseparable part of hrossian culture and the

reference to the North as Hnakra's birthplace infallibly refers to the so called Northern mythologies. The fact that the majority of characters derived from Northern mythologies are shown as negative figures in *The Chronicles* does not present them as subordinate to those taken from Classical mythologies, but rather complies with their original roles in Scandinavian sagas.

The setting in both Narnia and Perelandra is magical, partly congruous with the one prevailing in Celtic and Arthurian legends. Nature is almost unaltered by human hand and green plains and rivers are divine in character. None of the creatures is superior over the others, the partial exception being Aslan. A talking mole is of similar status to a human being and deserves equal respect. Similarly, in *Out of the Silent Planet* all three species of intelligent creatures are equal to each other, each occupying the most convenient place in the society. Sorns are intellectuals, hrossa are the hunters and poets, and pfiltriggs work as miners, goldsmiths and architects. None of them is subordinate to the other species and none is forced to work (*Out of the Silent Planet* 130-2). A corresponding attitude may be observed in Slavic and Teutonic mythologies, where the earth is sacred and praised as a goddess and people are equal to each other (Smith 1981: 195). In *Voyage to Venus* the majority of living creatures resemble ordinary earthly animals, like frogs or fish, with the exception of dragons which are rather friendly to humans. One of them accompanies Ransom before he meets the Green Lady. It behaves rather like a dog and enjoys Ransom's presence. "The beast had followed him. It was once more nosing and nudging. Ransom quickened his pace. So did the dragon. [...] It accompanied him so closely that its side pressed against his thighs" (*Voyage to Venus*, 48). In *The Narniad* dragons are dangerous creatures, and one of the protagonists in *The Voyage of the Dawn Treader*, a boy named Eustace, is magically turned into a dragon as a punishment for his greed. In *The Last Battle* giant dragons and lizards devour Narnian flora, prior to the apocalypse. In Euro-

pean mythologies dragons were creatures that were fought by such mythical heroes as Beowulf, Sigurd, or Tristan, who were subsequently called the “dragon slayers” (Ford 2005: 176).

Another similarity that may be observed between *The Narniad* and Scandinavian mythologies is the world’s shape. The Norse vision of the world, in which the earth is perceived as a flat disc surrounded by waters, is similar to the Narnian geography (Smith 1981: 198). In *The Voyage of the Dawn Treader* the protagonists reach the edge of the Narnian world, which is encircled by an enormous shiny sea<sup>10</sup> (539).

As far as Celtic religious and magical rituals are concerned, many references to Arthurian legends are included in the third volume of *The Space Trilogy*. A wizard Merlin, who is referred to as a druid, is summoned to modern England. Druids in Celtic mythologies were tribal priests who, performing magical activities, were able to establish direct contact with gods. Dr. Ransom plays a role of the Pendragon of St Anne’s group, being the same the inheritor of King Arthur (Węgrodzka 1995: 15). Merlin’s role in *That Hideous Strength* appears to be crucial, for Ransom and his followers fear that his union with N.I.C.E. would have disastrous effects: “The old Druid would inevitably cast his own lot with the new planners. A junction would be effected between two kinds of power which between them would determine the fate of our planet” (Węgrodzka 1995: 15). The main aim of the novel is to present an eternal struggle between good and evil forces governing the world, and reference to both mythology and religion strengthens the image and gives it a supernatural quality.

It is worth mentioning that Ransom compares some of the aforementioned carvings in Meldilorn to Celtic ornaments. “Pure line drawings, as bare as prehistoric pictures of reindeer on Earth, alternated with patches of design as close and intricate as Norse or Celtic jewellery; and then, as you looked at it, these empty and crowded areas turned out to be themselves

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<sup>10</sup> The Narnian model of the Universe is available in Paul F. Ford’s *Companion to Narnia*, Appendix Six.

arranged in larger designs” (*Out of the Silent Planet*, 120). Moreover, Ransom encounters a wide alley of megaliths, which he compares to Stonehenge, with the difference that it is much grander (*Out of the Silent Planet*, 122). They are covered with carvings presenting the planet’s history back to the Neolithic age. One of the pictures features a winged flame, a symbol of Oyarsa. Malacandrian iconography is simple but faithfully presents the image of the whole Solar System; in which the Earth is shown as a deprived of Oyarsa “Tulkandra” – the Silent Planet deprived of god.

While Greek and Roman mythologies are recalled mainly through the use of mythical names and places, Norse and Celtic references are evidenced by the many of mythical monsters, and, in particular, by the presentation of epic battles between good and evil. Lewis remembers that European cultural history does not comprise only Mediterranean influences, but also Scandinavian and Teutonic ones as well. He uses the latter mainly to represent the forces of evil in eternal struggle with God or gods.

#### **4. Arabic influences**

Lewis enriches his stories by introducing a nation which bears a striking resemblance to nations of the Near East. The associations with Islamic and Arabic culture are inescapable, since the Calormenes are dark-skinned, dressed in an eastern manner and worship their own god – Tash,<sup>11</sup> who is cruel and demands absolute obedience from his admirers (*The Last Battle*, 739). Associating him with Allah would, however, be misleading. Presented rather as a demon or even the devil himself, Tash stands in opposition to Aslan and, after the last judgment, he is deprived of everlasting life and joy in “the Real Narnia” (*The Last Battle*, 755). His worshipers are entirely devoted to him and ready to give their life to serve him and fight

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<sup>11</sup> His name originates from a Scottish dialectical word that means “blemish, stain, fault or vice” (Ford 2005: 423).

in the Holy War against the Narnians. It is striking though that Tash possesses both the features of Allah, i.e. Islamic God and the devil, which simply serves to establish a contrastive figure to that of Aslan. Other Calormene gods mentioned in the saga are Zardeenah, called the Lady of the Night or The Moon Goddess, and Azaroth, whose function is not specified (Ford 2005: 109, 462). Those names are not taken from Arabic mythologies but coined by the author. Islam, nevertheless, is a monotheist religion where there are no gods apart from Allah, which, again, proves that Calormene religion has only been inspired by the Islamic one. The goddesses mentioned above play similar roles to those of Artemis, Diana and Vesta from Greek and Roman mythologies (Ford 2005: 463).

Calormene culture – specifically clothes, weapons, architecture, and an elaborate manner of speaking – are astoundingly similar to the ones that the readers know from *The Arabian Nights*. The Calormene capital city, Tehishbaan, reflects ancient Babylon with its gorgeous hanging gardens (*The Horse and His Boy*, 249). The topographic features of the surrounding area are identical to the deserts and mountains of Asia Minor and the Arabic Peninsula. All those characteristics create an image inescapably suggesting that Lewis deliberately patterned Calormene on Arabic culture, to create a sharp contrast to the Narnian one, which is decidedly European.

## 5. Other mythologies

In *Out of the Silent Planet* the author includes a set of references to South American and African mythologies, to show how erroneous was Weston's perception of Malacandra with Oyarsa as a bloody god who reigns over his servants, sorns, who are cruel and bloodthirsty creatures. In his conversation with Oyarsa, Ransom tries to explain the way in which Weston and his friend Divine perceive him. "They thought you were a false eldil, I think. There are false eldila in wild parts of our world; men kill other men before them—they think the eldil

drinks blood" (*Out of the Silent Planet*, 137). He thus refers to African and South American tribal beliefs in idols and bloody Voodoo rituals devoted to them. Weston, hearing Oyarsa's voice, mistakes him for a kind of a shaman, who, immersed in a trance, speaks to him. Thus, seeing an old sleeping hross, he identifies Oyarsa with him and tries to bribe him with a cheap necklace, which illustrates the lack of appreciation and interest in other cultures, reducing them to primitive pagans (*Out of the Silent Planet*, 142-5).

## 6. Conclusion

It is difficult to resist the conclusion that both *The Chronicles of Narnia* and the *Space Trilogy* go beyond the level of adventure stories. The plethora of intertextual allusions to world's mythologies provides a deeper meaning and a spiritual undertone to Lewis's novels. The foregoing discussion attempts to present the way in which the author conveys "the unsayable", i.e. the meaning of religious beliefs, cultural identity, and the eternal struggle between the forces of good and evil. Using imagery characteristic of such nonmimetic genres as fantasy and science-fiction, Lewis makes more accessible and believable what is supernatural, divine, and spiritual. At the same time, the worlds presented in the *Space Trilogy* and *The Chronicles of Narnia*, though set in extraterrestrial space or in an unidentifiable realm on the other side of the wardrobe, are inextricably linked with our mythology and history. Both worlds – the real and the imagined, the material and the spiritual – thus become united, a fact that Ransom himself comments on in *Voyage to Venus* as follows:

In the very matter of our world, the traces of the celestial commonwealth are not quite lost. Memory passes through the womb and hovers in the air. The Muse is a real thing. A faint breath, as Virgil says, reaches even the late generations. Our mythology is based on a solider reality than we dream: but it is also at an almost infinite distance from that base. And when they told him

this, Ransom at last understood why mythology was what it was—gleams of celestial strength and beauty falling on a jungle of filth and imbecility (Ransom 2005: 220).

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## REVIEWS



**Review of *Słownik metafor  
i konotacji nazw własnych*  
[Dictionary of Proper Names and  
their Metaphors and Connotations]  
by Mariusz Rutkowski**

MARTYNA GIBKA

Olsztyn: Uniwersytet Warmińsko-Mazurski, 2012.

Scholars concerned with onomastics, which is the study of proper names, have still not resolved the most important onomastic issues: namely the definition of a proper name that could decisively determine if a word is or is not a proper name, and the issue of proper names having or lacking meaning. It is to these two matters that Mariusz Rutkowski devotes his two latest publications: *Nazwy własne w strukturze metafory i metonimii* [Proper Names in Metaphor and Metonymy] (2007) and *Słownik metafor i konotacji nazw własnych* [Dictionary of Proper Names and their Metaphors and Connotations] (2012) which supplements the previous one. The author is a linguist who specialises in the theory of proper names and their functions in discourse, the language of the mass media and the forms of communication in the new media.

*Słownik metafor* is the first Polish lexicon of proper names listing their secondary, untypical functions and explaining their textual meanings (connotations). The dictionary consists of three parts: the introduction, the list of abbreviations and symbols and, the most essential, encyclopaedic part. The introduction is further divided into seven sections preparing the reader for using the book. The first section explains in what types of uses of proper names the connotations appear. The

second part concerns the term connotation, presents the problems with defining it and provides the definition according to which the entries in the dictionary are prepared. The third section introduces and divides the types of linguistic entities with the connotation value. Regardless of the type, all the entities can be found in the dictionary under the basic proper name from which they derive. Then, the section lists the kinds of secondary uses of *nomina propria* that were omitted in the book; these are: metonymic uses, regular derivatives and the products of transonymization. Subsequently, the categories of proper names included in the book are enumerated: anthroponyms, toponyms, chrematonyms and ideonyms. They are followed by the list of categories excluded from the book: ethnic names, metaphoric uses of the names of cultural works, and proper names which underwent the process of appellativization. The third section ends with the statistics concerning the preparation of the dictionary (the analysis embraced nearly 5000 secondary appearances of *nomina propria* which referred to about 600 proper names) and a short list of sources of the secondary appearances drawn from National Corpus of Polish and media texts (from the press, radio, television and the Internet). The fourth part of the introduction reveals the reason for writing this dictionary: to fill in a gap in the Polish lexicography, which linguists had been pointing to for a long time. Only some theoretical works on this topic have been written and a few of these works are summarized at the end of this section. The fifth part concerns the conditions for including the entities with connotative value in the book: the key requirements were a high frequency of use and a wide context of discourse, which ensured that the connotations were readily comprehensible to the average Pole. The penultimate section of the introduction explains the choice of the title which refers to the two aims of the dictionary: the explanation of the connotations and the demonstration of real, textual occurrences of the proper names in the secondary functions – usually metaphoric.

The last part of the introduction may be considered to be of the greatest significance for the future user, as it explains and guides step by step through the method employed in building the entries. Each entry is as concise as possible, which admittedly contributes to the book not being of the usual encyclopaedic size (the introduction takes 8 pages, and the entries 112), but which may pose a challenge for the readers beginning to use the dictionary. The style of the entries admittedly requires getting accustomed to but the author certainly provides considerable help. The entry style – whose invention was probably a challenge in itself and may be regarded as one of the dictionary's advantages – makes the entries short and to the point, avoiding the additional burden of clarifications, which are provided once in the introductory section. The time and effort one needs to put in before using the book for the first time is considerably smaller than the time and effort one gains thereafter.

The second part of the book, containing a list of abbreviations and symbols, is short and as such may be thought unworthy of attention, especially since such lists are often present in dictionaries and in a great number of non-encyclopaedic scholarly works. However, the first two parts of this section (1. Symbols used in the entries, 2. Abbreviations and qualifiers) constitute an essential supplementary help for understanding the style in which the entries are presented. Moreover, the remaining two parts (3. Sources of abbreviations, 4. Dictionaries) enable the inquisitive reader or a scholar in need of further analysis of the presented examples to reach the cited use in its original, wider context and/or to compare the presented connotation of the *proprium* with others listed in different lexicographic works.

Finally, the last and most essential part of the dictionary, which starts with *Abel* and ends with *Zorro*, includes 284 alphabetized entries. Among the presented *nomina propria*, there are names of different origin and type of primary denotation. Some appellations come from mythology (*Narcissus*, *Mars*,

*Morpheus*), Bible (*Moses, Lazarus of Bethany, Cain*), and literary works (*Lolita, Kali, Judym*). Other anthroponyms refer to historical figures (*Nero, Hitler, Napoléon*), well-known politicians (*Lepper, Giertych, Gierek*), writers and artists (*Masłowska, Picasso, Rubens*), characters from cinematographic (and literary) artworks (*Bridget Jones, Gargamel, Kargul*) or people of science (*Copernicus, Freud, Einstein*). However, as previously mentioned, not only anthroponyms are included in the book. *Słownik metafor* includes also toponyms (*Częstochowa, Magdalenka, Madagascar*), chrematonyms (*Biedronka, McDonald's, Pampers*) and ideonyms (*Disneyland, Oscar, Woodstock*).

Such a wide range of types and sources of *nomina propria* can be regarded as one of the advantages of the dictionary. Moreover, entries are truly comprehensive as they include not only the proper names' all different connotation values with examples of use, but also (1) lexical and idiomatic derivatives of the proper name which are based on the connotations, (2) collocations and stabilized contexts in which the name appears, (3) references to other related entries in the book, (4) references to other dictionaries which include connotations of the given *proprium*, (5) proper names with similar connotations, and (6) brief information about the primary denotation. Not every entry consists of all the enumerated elements, as not every proper name has such a wide net of connotations. The simplest entries include only two parts: the proper name's connotation with examples of use and the primary denotation's short description (such names are for instance: *al-Qaida, Jonas, Maracanã*). The most developed entries include up to five elements, for example the entry *Balcerowicz* includes: (1) four connotation values with examples, (2) a lexical derivative: *balceroid*, (3) three collocations: *plan Balcerowicza, terapia szokowa Balcerowicza* and *Balcerowicz musi odejść*, (4) a reference to *Słownik polszczyzny politycznej po roku 1989*, and (5) brief information about Leszek Balcerowicz.

However, *Słownik metafor* is not without some drawbacks. Firstly, even if the entries are comprehensive and the material

comes from a number of areas, no area is analysed and presented completely. One could give the example of children's tales from which only three entries are derived: *Gargamel*, *Pinocchio* and *Peter Pan*, which definitely does not exhaust the category. Secondly, though the dictionary is small and handy with its 131 pages in A5 format, it is to be regretted that only less than a half of the 600 originally analysed proper names were ultimately included in the book since one expects a dictionary to be extensive. Moreover, in addition to the surprisingly low number of entries, some of the author's choices may appear rather strange: for instance, the inclusion of the toponym *Klewki*, referring to a small place near Olsztyn, and possessing the connotation value of "absurd tales and fabrications". Since many other possible toponyms – such as *Pacanów* or *Wąchock*, for example – have not found their way into the dictionary, one may start to wonder about the author's motivations. Another disadvantage of *Słownik metafor* or any other book concerned with connotations of proper names may be seen in the fact that connotations change or cease to be socially significant and therefore disappear from use. This applies especially to the connotations of *nomina propria* referring to people, characters, or places whose fame is ephemeral and quick to fade. When this happens, the part of the dictionary which does not refer to proper names with long-established connotation values (such as, for instance, names from mythology or the Bible) will cease to be valid. Nevertheless, even then the dictionary will continue to reflect the Polish collective memory of the turn of the century and as such will retain its documentary and scholarly value.

Moreover, *Słownik metafor* does have another considerable advantage that needs to be mentioned, namely it does not fail to fulfil one of the conditions of a scholarly work, i.e. it has a precisely specified methodological background, which was not simple to establish since the term *connotation* abounds in varying definitions. The methodology is presented briefly in the introduction of the book and more extensively in six separate

articles concerning the dictionary which Mariusz Rutkowski published in the years 2010-2012: “Kilka uwag o „Słowniku metafor i konotacji nazw własnych”. Zewnętrzne aspekty opisu słownikowego” [A few comments on *Dictionary of Proper Names and their Metaphors and Connotations*. The aspects of the dictionary description]” (2010a), “O kłopotach z konotacjami nazw własnych (na marginesie „Słownika metafor i konotacji nazwownicznych”) [On problems with connotations of proper names [A side-note to *Dictionary of metaphors and connotations of proper names*]” (2010b), “Teoretyczne i metodologiczne tło *Słownika metafor i konotacji nazw własnych* [Theoretical and methodological background of the *Dictionary of Proper Names and their Metaphors and Connotations*]” (2010c), “Od wiedzy o denotacji do definicji. Kilka uwag o definiowaniu w „Słowniku metafor i konotacji nazw własnych” [From the knowledge about the denotation to the definition: A few comments on defining in *Dictionary of Proper Names and their Metaphors and Connotations*]” (2011a), “O zasadach ustalania wartości konotacyjnej nazw własnych [On the rules of setting the connotative values of proper names]” (2011b) and “Koncepcja opisu konotacji nazw własnych w „Słowniku metafor i konotacji nazw własnych” [The idea of the description of connotations of proper names in *Dictionary of Proper Names and their Metaphors and Connotations*]” (2012). The articles were published either in linguistic journals or in post-conference volumes and may serve as a source of additional information concerning *Słownik metafor*.

All in all, a few drawbacks noticeable in the dictionary seem more than balanced by its advantages. Even if the material comprised in *Słownik metafor* is not extensive, the number of entries is rather low, and no category of proper names is treated exhaustively, the dictionary’s brevity can also be seen as an advantage, especially when coupled with the comprehensiveness of particular entries. Although the dictionary’s user may be sometimes surprised by the presence (or absence) of some *nomina propria*, and should be aware of the changeability of

connotations, a very important asset of *Słownik metafor* lies in its carefully specified methodology. Furthermore, it is the first dictionary in Poland, and one of the first in the world,<sup>1</sup> devoted to the connotations and therefore secondary functions of *nomina propria*, and as such it fills in (or at least begins to fill in) a gap in the Polish lexicography. Moreover, apart from being a useful reference book for scholars, *Słownik metafor* can also help foreigners who move to Poland, or even young Polish people not familiar with the denotations of the proper names included in book, to understand the connotation values of the names and consequently also the use of these names in the public discourse. Finally, the book may be considered to be a turning point in the ongoing debate on whether a proper name has or has not any meaning, as it proves that although *nomina propria* do not have any semantic meaning, they can have connotation values. Thus, one of the most basic theories of onomastics, which claims that proper names are semantically transparent, is decisively refuted. Consequently, the scope of secondary functions of proper names widens, which opens a new field for onomastic research.

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<sup>1</sup> The first dictionary of this kind is the work by E. C. Отин: *Словарь коннотативных собственных имен* (2004), which was later updated and published for the second time in 2006. However, since the dictionary covers the connotations from the Russian discourse and presents them in Russian, its usefulness outside the Russian speaking parts of the world is infinitesimal.

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## REPORTS



**The 48th Linguistics Colloquium  
“Linguistic Insights: Studies on Languages /  
Linguistische Einsichten: Studien über Sprachen”,  
Alcalá de Henares 2013**

DANUTA STANULEWICZ

**1. The venue and organizers**

The 48th Linguistics Colloquium<sup>1</sup> was hosted by the University of Alcalá in Spain on 5–6 September 2013. It should be noted that it is one of the oldest universities in the world, founded in the 13th century, and Alcalá de Henares was the birthplace of Miguel de Cervantes.

The Organizing Committee included Professor Isabel de la Cruz Cabanillas and Professor Cristina Tejedor Martínez as well as their several colleagues from the Department of Modern Languages: Professor Soraya García Esteban, Alba Carmena Hernández and Pilar Cobo Corral.

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<sup>1</sup> Kürschner, Sroka and Weber (2009) present the history of the Linguistics Colloquia which were initiated in Germany in 1966. Since then they have been organized by academic centres located in different countries. In Poland, they have been held three times: in Poznań, Gdańsk and Olsztyn. *Beyond Philology* No. 7 includes a report of the 43rd Linguistics Colloquium which took place in Magdeburg, Germany (Stanulewicz and Skrzypiec 2010). Besides, a report of the 46th Colloquium held in Olsztyn was published in *Beyond Philology* No. 9 (Stanulewicz 2012). See also the site of the Colloquia: <<http://www.linguistisches-kolloquium.de>>. It should be added that after each Colloquium, the organizers publish its proceedings. The volumes containing papers delivered during the Colloquia in Poland were edited by Darski and Vetulani (1993), Sroka (1996) and Żebrowska, Jaworska and Steinhoff (2014).



University of Alcalá.  
Photo: Danuta Stanulewicz

## **2. The participants and their presentations**

The 48th Linguistics Colloquium attracted scholars representing various academic centers located in Austria, Belgium, Bulgaria, Croatia, Estonia, Germany, Hungary, Japan, Lithuania, Poland, Romania, Russia, Slovenia, Spain, Switzerland, the U.K. and the U.S.A.

The languages of the the 48th Linguistics Colloquium were English and German. It was also possible to deliver a paper in French, but there were no presentations in this language in Alcalá.

The theme of the Colloquium was broadly formulated, “Linguistic Insights: Studies on Languages”, so as to cater for the versatile scholarly interests of its participants.



Participants of the 48th Linguistics Colloquium.  
Photo: Danuta Stanulewicz

The participants had a splendid opportunity to listen to two plenary lectures:

- (1) “Punctuation and performance: A chapter in the history of literacy” by Jeremy Smith (University of Glasgow);
- (2) “Ontological engineering and linguistic theory: The case of FunGramKB” by Ricardo Mairal (Spanish National Distance-Learning University (UNED)).

The sectional papers concerned a number of linguistic topics, including the following:

- (1) Syntax and Morphology (papers by Silvia Amutio, Marta Carretero, Antonio V. Casas, Avelino Corral Esteban, Reinhard Fiehler, Camiel Hamans, Tomás Jiménez Juliá & Irene Doval Reixa, Wilfried Kürschner, Anelia Lambova, Isabel Negro, Martin H. Prior, Olga Sokołowska, Valentina Stepanenko, Olga Suleymanova, Ana Tavčar-Pirkovič and Henrich Weber);
- (2) Semantics and Lexicology (papers by Anna Dargiewicz, Karin Ebeling, Ariadne Ferro, Oxana Lukoshus, Irina Pasenkova, Reinhard Rapp and Danuta Stanulewicz);
- (3) Pragmatics and Discourse Analysis (papers by Paul Danler, Maria Grozeva, Javier Herrero Ruiz, Bärbel Treicher, Manfred Uessler, Ewa Żebrowska and Urszula Żydek-Bednarczuk);
- (4) Sociolinguistics (papers by Iona Narcisa Cretu, Blaženka Filipan-Žigniċ and Zsuzsanna Szilvási);
- (5) Comparative Linguistics (papers by Juana Marín Arrese & Marta Carretero, Senem Konedareva & Filitsa Sofianu-Mullen and Virginija Masiulionytė);
- (6) Translation (papers by Irina Ivanova and Skaiste Volungeviciene);
- (7) First Language Acquisition and Language Education (papers by Claudia Grümpel, Vladimir Legac, Haruko Miyakoda, Javier Orduña, Małgorzata Smentek, Jürg Strässler and Liudmila Sukhareva);
- (8) Languages in Tertiary Education (papers by Peep Nemvalts and Oleg Shabanov).

The participants presented their research concerning numerous languages, including, *inter alia*, Bulgarian, Chinese, English, German, Greek, Japanese, Lithuanian, Polish, Russian, Spanish and Sami. As can be easily seen, the largest group of participants included those who presented the results of their research in syntax and morphology. For instance, Marta Carretero (Universidad Complutense de Madrid) investigated evidential adverbs in English, Wilfried Kürschner (Universität

Vechta) analyzed the formation of country names and related adjectives in German, Olga Sokołowska (University of Gdańsk) used cognitive linguistic tools to investigate grammatical gender, Olga Suleymanova (Moscow City Teachers' Training University) analysed atelic verbs in Russian and Heinrich Weber (Universität Tübingen) talked about grammatical correctness.

Lexicology and semantics were also popular with some participants. For instance, Ariadne Ferro (Davidson College) analysed anglicisms in the sports sections of newspapers published in Spanish in the United States and Oxana Lukoshus (Moscow City Teachers' Training University) investigated the use of the English adjectives *loyal* and *faithful*.

The papers concerning pragmatics concentrated, *inter alia*, on political discourse (Urszula Żydek-Bednarczuk, University of Silesia, and Paul Dannler, University of Innsbruck).

The papers on first and second language acquisition concerned various issues. For instance, Vladimir Legac (University of Zagreb) compared communication apprehension and achievement in the speaking skill in monolingual and bilingual learners of English as a foreign language, Haruko Miyakoda explored the relationship between orthography and speech from the point of view of Japanese children learning to write and Liudmila Sukhareva (Moscow City Teachers' Training University) presented the development of abstract notions by children.

It must be explained that the classification of numerous papers could be different from the one presented above as they crossed the borders of traditional branches of linguistics as well as of other disciplines. For instance, Ewa Żebrowska (University of Warmia and Mazuria in Olsztyn) presented a paper on the multimodality of communication involving language and visual elements, Karin Ebeling (Otto-von-Guericke-Universität Magdeburg) used linguistic methods to investigate the use of metaphors in literature, Małgorzata Smentek (University of Gdańsk) explored the use of translation in foreign language education and Jürg Strässler (Universität Bern) explored fun-

damental frequencies of the voice in multilingual speakers, which could be treated both as a sociolinguistic study and a study in language acquisition. What should be stressed is the holistic approach to linguistic phenomena in some papers, e.g. Senem Konedareva and Filitsa Sofianu-Mullen (American University in Bulgaria) investigated lexical, semantic and prosodic similarities between Bulgarian and Greek proverbs. Scholars presented their research connected with the use of new technologies, e.g. Reinhard Rapp (University of Leeds) talked about using word associations to measure corpus representativity.

### **3. A final word**

The 48th Linguistics Colloquium provided all the participants with a great opportunity to listen to papers presenting research on language from various perspectives. Needless to say, the participants also enjoyed the lively discussions following the papers.

It should be added that a volume containing selected papers, entitled *Linguistic Insights: Studies on Languages*, edited by Isabel de la Cruz Cabanillas and Cristina Tejedor Martinez, was published in 2014.

Summing up, the 48th Linguistics Colloquium was a very successful and inspiring event for its participants. The Colloquium clearly demonstrated that on the one hand, linguists recognize the various possibilities offered by new technologies and explore the emerging linguistic phenomena of the new technological era; on the other hand, they still investigate the structure of language and its social aspects. Many of the presented papers emphasized the need of an interdisciplinary approach to linguistic phenomena.

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