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FROM LINGUISTICS TO LITERATURE

MANSUR EKHTIAR

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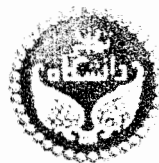
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From Linguistics to Literature

By

MANSUR EKHTIAR

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On this occasion I wish to extend my thanks to those on both sides of the Atlantic who, through their assistance, have made the production of this book possible. I would like to take the opportunity to thank my wife, Shelley, who read the proofs with appreciable care and patience.

It has to be stated that without a trip to the United States the production of this work would never have materialized. The debt I owe to Professor A. A. Siassi and Professor M. Eghbal is of a very special nature. The scholarly guidance of several linguists and literary critics, particularly of Professor F. Householder, has been so extensive that one can hardly acknowledge it with words.

As this work is only a preliminary attempt to apply the linguistic approach to literature, I sincerely hope that it will lead to further and more extensive research in this area, and therefore help to modify the tendency to remain solely within the boundaries of conventional literary analysis.

Mansur Ekhtiar

Professor, Tehran University

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Since the main purpose of this section is a linguistic approach to literature, some account of the analytical tools available seems a primary requisite. If the following pages sometimes appear repetitious, it is because the literature to be surveyed is itself repetitious, complex, and voluminous. Many problems of *poetics* still remain unsolved; many others have only recently been solved--the latter will command our immediate attention.

In this part a few problems of *poetics* will be presented and suggestions will be made for their solutions. Our major purpose is to find linguistic criteria through which literature can be described, and indicate the interest that a linguist may take in literary analysis.

Our primary concern is an attempt to define *style* and *literature* to be acceptable at least to some linguists. Style and stylistics may be regarded from the statistical point of view i.e., in terms of *individual deviations from the norm*; from the standpoint of æstheticians who are concerned with value judgments, or from that of different schools of linguistics. We expect to arrive at the conclusion that literature is a part of the language system; hence scientific or even mathematical techniques should be applied to define literature .

The phenomenon of *meaning* appears to be the most serious obstacle which a linguist must hurdle. The *semantic* element seems to be a problematic factor in the study of style, poetics, verbal behavior, and general linguistics.

We intend to define *literature* and distinguish it from that which is not literature. Linguists do not show interest in value judgement; therefore, Warren's and Vossler's idea of dichotomizing literature into «imaginative» and «non - imaginative» and applying the term «literature» only to the «imaginative» part will be questioned.

As soon as our subject-matter is identified, we may devise a technique for the description of a poetic message. After a survey of the field we shall give our preference to *Structuralism*. Its root will be traced to the doctrines of Russian Formalism and Futurism, to the principles of the Prague School, and especially to the teachings of Neo-Formalism. The investigation of the genesis and the development of Structuralism leads us to the *distributional* technique of discourse analysis presented by Zellig Harris and practiced by some American structuralists. The main merit of the structural approach to the study of «style» lies in the use of *distributional or environmental factors* rather than in subjective judgments exclusively.

1. Linguistics and Literature

A literary work is an utterance; therefore, any phenomenon outside the linguistic domain is not literature. If literature is a part of language, it becomes necessary to make a direct use of the scientific

technique by which linguistics investigates the nature of language. Structuralists¹ wish to develop a cleavage between the traditional approach to literary studies and linguistic techniques. This tendency was initiated in the Russian and the Prague Schools which advocated that linguistic data should be investigated in the framework of synchronic analysis. The pioneering view which was advocated mostly by young enthusiasts was challenged by the classical and philological linguists; among the pioneers we may name R. Jakobson and G.O. Vinokur. Then this new idea developed in Europe and in America; lately Neo - Bloomfieldians have applied scientific techniques and methods to the analysis of poetic messages.

We find *semantics* to be the major problem in applying a scientific method to literature. Within the linguistic domain we must apply a system, similar to mathematics, within which inconsistency is, by definition, impermissible. The main difficulty in the study of language is heavily based on *meaning*. Semantics will be, we hope, one day an important part of linguistic science; at present it is not. In «Problems of Method in the Study of Literature in Russia» A. N. Voznesenski reports that attempts have been made towards the construction of poetics as a «general» science of the verbal art, towards the

1. One should remember that the Russian Formalists, Futurists, the Prague Circle of Linguistics, the Polish Integralists, and American Linguists (Neo-Bloomfieldians) are all called structuralists. In the present paper for the sake of clarity each school will be dealt with separately.

construction of a normative poetics that would codify the rules accepted and followed by an individual literary school; and most often toward the construction of the individual poetics of a given author¹.

In regard to the relationship between « poetics » and « semantics » two points should be mentioned:

- 1- Meaning and sound
- 2- Lexicology and semantics

As regards the kinship of « meaning and sound », we should note whether there is any necessary connection between the words and their names. Plato believed that there was, but his pupil, Aristotle, thought that this connection was purely conventional. This is the view we accept today. An example of this is the word « dog » in the following languages which happen to be in the Indo-European family: in German *Hund*, in French *chien*, in Spanish *Perro*, in Russian *sabaka*, in Persian *sag* and in Kurdish *gamäl*.

This will weaken the concept of onomatopoeia which was considered as an essential basis for poetics in the Russian school of Formalism.

Regarding « lexicology and semantics », we may just add the areas which cover the linguistic discussion of word and meaning. A word can have more than one meaning and different words can have the same meaning; the meaning of some words can be analyzed into components:

hen = chickent + female.

1. *Slavic and East European Review*, VI (1927), 175.

Certain combinations of words have meanings which are different from the combinations of their separate meanings, as in English the words blow up=destroy and the same word with a different preposition may have a different meaning. Lastly the meaning of some words are included in the meaning of others, as *tree* is included in that of *oak*.

So we have three classes of words: morphological, lexical, and semantic. To illustrate the difference, we can cite an example: *table* and *tables* are one lexical unit, but two morphological units; and *table* can be several semantic units according to its usage in different contexts. For the semantic phase of a word, we use the term «sememe».

In the «Conference on Style», sponsored by Indiana University, Edward Stankiewicz pointed out that: although the principles of semantic study have been least considered in structural linguistics, attempts are being made to investigate the problem of *meaning* with no relation to external correlates. Linguists, psychologists, literary critics, and philosophers all showed an interest in discovering a technique of semantics.

In «Language and Non - Linguistic Patterns», B. Emeneau has correctly stated: The linguistic scholar is still puzzled by the many problems involved in talking about *meaning* and still lacks a body of dogma to which he can refer when *meaning* is discussed.¹ The Saussurean version of the organic study of language, a *Gestalt*, where all elements are

1. *Language*, XXVI, 119.

interdependent, might bring semantics into the realm where other branches of linguistics are related. With regard to semantics, the present study is in agreement neither with the Futurists in Russia and Neo - Bloomfieldians in the West (in discarding *meaning* from the linguistic analysis)¹ nor with semanticists whose use of meaning becomes circular and confused.

E. A. Cassier, who suddenly passed away a few days after delivering a paper on « Structuralism in Modern Linguistics », has called attention to the fact that in the whole history of science there is perhaps no more fascinating chapter than the rise of the new science of linguistics. To him and to many other structuralists, the *pattern* equates itself with *Gestalt* theory. He advocates for linguistics the same scientific approach as we employ for the study of chemistry, biology and other scientific fields.²

1. In *Technique of Semantics* and in *Modes of Meaning* J. R. Firth wonders how a linguist will be able to discard the element of *semantics* from his analysis since the whole morphological pattern of a language is based upon *semantic differentiations*. The acceptance of meaning in Firth's theory, versus the neglect of it among the modern followers of Bloomfield, also constitutes a major controversy between linguists and literary critics.

2. In the «Conference on Style», Roger Brown divided the participants of the Conference, made up of psychologists, literary critics and linguists, into two groups: in one group were the behaviour scientists: linguists, anthropologists and psychologists; in the other, were the literary critics. Cassier also declared that linguistics is not a natural science but rather a social science. *Word* I (1954), 105-7.

It is not indispensable to identify two *codes* or *norms* in a language, namely *poetics* and *linguistics*; both domains may be considered as the members of one main body which may be termed the *code*. Then we shall be able to identify the poetic norm with the non-poetic norms inside of *one linguistic code*. Poetics is based on the teleological principle; therefore, it uses as points of departure the concept of «devices». Poetics, like all sciences revolves around the category of phenomena. Traditionally, through the efforts of such theoreticians as F. de Saussure or Baudouin de Courtenay, the concept of devices (the teleological principle) was recognized as the cornerstone of modern linguistic approach to poetics. One can paraphrase the concept of the linguistic code and state that: as no science can go beyond mathematics, no criticism (poetics) can go beyond its linguistics.

1.1 **Style and Stylistics**

The study of *semantics* and *style* in isolation resembles the work of medical research scholars who have discovered many independent cases for cancer, but not yet the essential cause. An analogue to this necessary but passive attempt is an interesting simile which Jakobson made in *Novejsheja Russkaja Poezija*. He describes classical literary history as: a loose conglomeration of home-bred disciplines; then he compares its method to that of police who, ordered to arrest a suspected person, would take along, to make sure, everybody and everything they happened to find in the culprit's apartment as well as all passers-by encountered in the street. These examples indicate

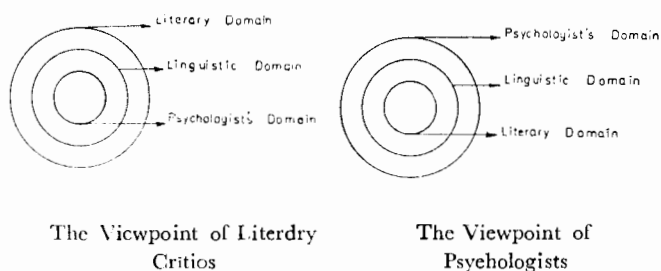
that literary scholarship does not thoroughly know its subject matter.

In the «Conference on Style» about two dozen literary critics, psychologists, and linguists discussed their problems and defined their terminology as applied to literature and style. It is only fair to report that although they failed to define style, they succeeded at least in identifying «what is *not* style».¹

This negative result gives hope for a future definition which will be acceptable to literary critics, linguists and psychologists alike. Each participant had a particular point of view which differed from that of the others. As I was privileged to be present at the meetings of the Conference, I may roughly formulate the theme of the controversy: the psychologists were interested in *individuals*; the linguists' concern was a search for a system or a *code* to cover all individual variations or differences. The search for the *individual* was the last stage for a psychologist, but a first stage for a linguist. The literary critics were looking for *pure beauty* either in individuals or in a system; their concern was mainly with *content*, whereas *beauty* to a linguist was embedded in *form* and in the *organization* of the corpus.

1. There may be different kinds of «style». Alo Raun, my professor and colleague at Indiana University, a follower of the European tradition, considers different forms of « style»: time style: characteristic of a certain moment or period; space style: restricted to an isolated community; genre style causing the differences between chant, song, casual, non-casual, prose vs. poetry, personal style and so on.

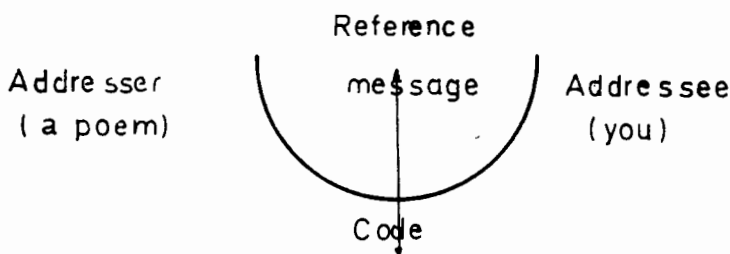
On several occasions the psychologists mentioned an old Formalistic simile in which a writer's style was likened to a fingerprint by which he could be identified. The psychologists were concerned with the notion of deviation from the norm, but, of course, the term *norm* was differently used by the linguists. Another major controversy in the Conference was based on the *domains* which can be schematized in the following circles. Here the psychologists considered *in-*



dividual behavior as the larger domain, covering literary and linguistic behaviours; whereas the linguists and the literary critics figured the status exactly opposite.

In the Conference among the various definitions which were presented for *style*, Jakobson's pronouncement, paraphrased by Stankiewicz, was most appealing. They declared that poetic instrumentations are embedded in the linguistic system and that these two domains interact with each other; eventually, the study of poetics becomes the study of structures in interac-

tion. Jakobson illustrated the relation of the addresser and the addressee to *the code* schematically thus:



In order to understand how different aspects of a poetic message, namely, sound and meaning are related, we should first consider how a speaker formulates his message; how it is transmitted to the hearer; and how the hearer receives the message. In these stages of «coding» and «decoding» there are nine steps: 1- semantic encoding 2- grammatical encoding 3- phonological encoding 4- sending 5- transmission 6- receiving 7- phonological decoding 8- grammatical decoding 9- semantic decoding.

Before accepting this statement as the definition of *style*, it may be worthwhile to note other views. The stylistic apparatus of a work of literature ought to be observed in two contexts: (a) the artistic form of the literary language and (b) the context of social linguistic systems which can be discerned within the linguistic pattern. According to the Russian Formalists one of the crucial points in describing the style

of a writer is examining his deviation from the linguistic pattern of his time: the norm. The Formalists believe that the poetic language is perceived against the background of ordinary speech. The poet's artful freedom or *deviation from the norm* (but not deviation from the linguistic code) cannot be scientifically appreciated unless the concept of *the code* is firmly engrained in our consciousness. We can hardly use the terms: *style*, *norm*, *code* and *deviation* unless we have already defined them linguistically. Therefore they will be defined at length in the coming pages.

The critics of the Prague School believe that there are three possibilities in the style of a writer:

(a) The composer of a poetic message may either not distort the linguistic components of his work at all or he may distort them;

(b) He may subordinate the linguistic distortion to the subject matter by giving special colour to his lexicon in order to characterize personage and situation.

(c) On the other hand, a writer may distort the linguistic components by either subordinating the subject matter to the linguistic deformation or even emphasizing the contrast between the subject matter (content) and linguistic expression (form).

In Prolegomena to a Theory of Language, Hjelmslev insists that the systematic study of literature and style finds its natural place within the framework of linguistic theory. At a more advanced stage of the procedure the larger textual parts must be further partitioned into the production of a single author, and then in the same way, into his sentence structures,

morphological distribution, and phonological patterns. A given text always displays some structural homogeneity. Various parts of a text can be composed of six different forms:

(a) stylistic form (which is characterized by various restrictions such as verse or prose or the combination of the two),

(b) style (creative and imitative styles)

(c) value style (vulgar and neutral value style),

(d) media-style (gesture, flag, code),

(e) tones,

(f) idioms (vernacular and dialectal languages).

Another literary phenomenon that poetics and stylistics may be concerned with — as an ultra-linguistic factor—is *aesthetics*. According to Vossler, language is primarily *art* and must be treated as *art* and *creation*. He considers linguistics in principle nothing more than the investigation of style and the æsthetic achievements of a writer both in phonology and in syntax.

The linguist's interest in poetics or in individual style is to bring out *unity* by subsuming all its symbolism under a *single* plan characterized by a relationship between all its parts. In *Boroždy i nezhi*, Vjaceslav Ivanov, believes that *macrocosm* is reflected in each *microcosm* in the same way that the total rainfall is reflected in each drop of rain. In Ivanov's interpretation of poetry, contrary to de Saussure's theory of «signifié» and «signifiant», there is no longer any arbitrary division between the linguistic detail and the linguistic whole. To discover the structure of a message he says, one should find out the «form» from rhythm

word-boundary, word order, metrical system, and other euphonic devices, and metaphors. Even an analogy like K. Balmont's that vowels are women and consonants are men may be described scientifically¹. From a linguistic point of view, *style* may be thus discussed: Individual styles (artistic freedoms) have discoverable patterns which are all parts of *one* linguistic code. Poetic patterns (individual) may differ from other patterns, but they do not deviate from the linguistic system of a given language.

1.1.1 Psycholinguistics and Meaning. The psycholinguists are interested in «measuring» the mental aspects of language behaviour. To them language is a system of symbols of «communication meaning». To a linguist, language is a system of vocal symbols through which human beings can communicate. The province of a linguist is an abstraction, whereas a psychologist is concerned with the study of how people *use* and *learn* a language system. It is assumed to be the domain of a psychologist to re-examine his theories of learning and develop new concepts.

In the case of a literary analysis, one theory may be the formulation of sentences on two levels: a) grammatical selection, (b) word selection.

The theory does not specify which one of these selections takes place first. The understanding is that while a person grows older, he is more apt to organ-

1. Victor Erlich. « Russian Poets in Search of a Poetics », *Comparative Literature*, IV (Winter, 195), 56.

Note: One may satirize the argument that *high* vowels are little and *low* vowels are large as in *big* and *small*.

ize his memory traces for words into sets of grammatical equivalence-classes. James Deese of Johns Hopkins University is inclined to reduce the adjectival concepts of about forty bipolar ones-pairs like: above / below, alone / together, active / passive, alive / dead and so on.

Another interesting factor is the free-association experiment: to ask the subject to report the first word that comes to his mind.

J. B. Carroll gives the word *light* as an example. He then concludes that many persons respond with *dark*; others with *lamp*, *bright*, *sun*, *bulb*, *heavy*, *day*, and so on; the words have certain relations to *light*.

Charles Osgood of Illinois and of the Tehran Research Unit has gone one stage farther and measured the «semantic differential». To him the word *nice* is found to connote something mildly feminine, *good* is neutral. He finds three major dimensions inherent in connotative meaning: (1) the «evaluation» dimension: how good or bad the concept is; (2) the «potency» dimension: how big and powerful the concept is; and (3) the «activity» dimension: to what degree the concept suggests: active, fast, and unexpected actions. He has found these three dimensions to be almost universal in different languages.

Before we deal with the «definition of literature» a few words should be mentioned about «language and communication». According to Birdwhistle, communication is not a process made up of a total of individual expressions in action-reaction sequence; it is

a system of interaction with a structure independent of the behaviour of its individual participants. In regard to the conveyance of a poetic message, it should be stated that one person does not communicate «to» another person, but he, in fact, engages himself in communication «with» the spoken-to.

1.1.2 Definition of Literature

We intend to define *literature* from the standpoint of the *linguistic system* of a given language. To introduce a technique for the structural study of a literary message, one may refer to an instance presented by Archibald Hill. He found himself explaining to the students of literature that there is no *assonance* in the following line, if it is transcribed into phonemic transcription. If there is any assonance at all, it is merely *eye assonance*:

The	lonely	dove	moves	not	with	mothlike	¹
	↓		↓		↓		↓
	ou		ɔ		uw		ɔ

In the above line there are five «o»s of which no two have the same pronunciation, even though they all look alike orthographically. The resemblance of the shapes of «o» to each other is termed *eye assonance*.

The reverse difficulty may also occur in which a line may apparently not have «eye assonance» but,

1. A. A. Hill, «Towards a Literary Analysis», *Studies in Honor of James Southall Wilson* (University of Virginia Press (1951), 851.

if it is transcribed into phonemic symbols, then a structure will be revealed.

A literary analyst should be armed with a knowledge of linguistics to be able to discover the organization of a poetic message. It is interesting to cite a simile in which the literary critic seems to be the man who possesses *the powder*, but the linguist is the one who has *the gun*. If these two co-operate, hopes for fruitful achievement will not be in vain; otherwise they may be both led astray by whims and prejudices. James Sledd says, in this respect: if men of letters want to debate the value of linguistics in literary study, they should learn some linguistics.

In regard to the delimitation of the poetic domain, we may observe «poetry» from three angles: 1) poetry is language, so it lies within the linguistic system; 2) poetry is not language but it is art; 3) poetry is the overlap between language and art, so it is this dual membership which characterizes poetry.

A linguist's approach to style is based upon the assumption that all poetry is language but not all language is poetry. According to this interpretation, we should cite that the relation of language to poetry is *not* as stone to sculpture or pigments to painting or sounds to musical components.

We should also remember that poetry is different from science; one must not interpret this statement by concluding that poetry is different from science as stars are different from astronomy. Poetics is based upon the «scientific» approach to language combined with art. The term «scientific» is usually meant to

apply not to phenomenon but to a way of dealing with them.

Sledd may intend to state that the « scientific » method has little to offer to the understanding of poetry, that there is an inherent difference between stars, and poetry, which makes stars amenable to scientific study.

Referring to the above discussion, we may conclude that poetry is language; therefore, if poetry is language and linguistics is the scientific study of language, linguistics is also the « scientific » study of poetry.

We must now investigate the type of statements made by linguists based upon the model that Charles Morris suggested which includes three areas: 1) syntactics: the study of the relation of sign to sign; 2) semantics, the study of the relation of sign to signatum, and 3) pragmatics, the study of the relation of sign to user.

The above discussions can be reworded thus : 1) poetry is language 2) syntactic analysis must be explored before semantics 3) stylistics is based upon grammar or more precisely upon classification 4) every poetic message deviates from norms in two ways: the elimination of certain restrictions and the introduction of new boundaries. It has to be added that many questions about the meaning of a poem may still remain unanswered, particularly in regard to private symbols, irony, humor, parody and literary genre. It can simply be stated that the classification of these poetic artistries could be achieved with the assistance of linguistic methods.

Another approach to literature is advanced in *Theory of Literature* by Austin Warren. He holds that the term literature should be limited to «*imaginative literature*». Some literary critics have suggested that language is the material of literature as stone or bronze is of sculpture, paint of pictures, sound of music and movement of dance. These comparisons appear to be justifiable if our concern in poetics is only with *content*; whereas total critical interest should be in *form* as well as in *content*. If one looks at a literary message from the value standpoint, one naturally wonders as Warren does, how to discover the secret that makes Shakespeare *Shakespeare*. Warren becomes even more involved when he plunges into two boundless domains of individuality and evaluation; therefore, he arrives naturally at an unfortunate conclusion. He states, «Attempts to find general laws in literature have always failed». He adds that the play, *Othello*¹ is not about *jealousy* but about Othello's jealousy, the particular kind of jealousy a Moor married to a Venetian might feel.

According to I. A. Richards, a poet in his «poetic process» is an imaginary construct based upon the reader's understanding of the poem. In other words, a poetic message may be regarded as a suitcase. In this literary communication the poet packs and the reader unpacks. This associative factor may take place in different layers of the society. An interesting example of this is a conversation which took place between

1. Rene Wellek and Austin Warren, *Theory of Literature*, (New York, 1967), 6, 10.

R.W. Emerson and a farmer in which the farmer told Emerson that a farmer's ideas are the ideas offered him through the semantic structure of his language. Therefore when we say that poetic ideas are in the language, the word «in» has an intimate connotation with the term «system».

Warren's theory gives the impression that his idea centers chiefly around the domain of «content» and touches « individuality » and « evaluation » — terms which are vague and hard to apply to any scientific discipline. Warren continues on the same track and adds:

If we recognize fictionality, invention, and imagination as the distinguishing traits of literature, we think thus of literature in terms of Homer, Dante, Shakespeare, Balzac rather than of Cicero, Montaigne and Emerson.¹

One may be lost in discovering the criterion that Warren employs to gauge the degree of *literariness* in comparing a passage by Balzac with an essay of Emerson. It is hard for a poetist to explain this term or to give a preference to any poetic message unless two degrees of *organization* are compared with each other. No criterion has been devised to evaluate beauty and there is no standard to grade varieties of beauty in a hierarchic manner.² Warren himself admits that a literary work is not a simple object but rather a highly

1. *Ibid.* 7.

2. E. Kant considers two criteria to gauge the aesthetics of a piece of poetry; (a) pleasure to relieve us from the tension of emotion, (b) utility.

complex organization of stratified character with multiple meanings and relationships. Because of this very fact, a linguist tries to evolve a *mathematical* method rather than an impressionistic one; hence he attempts to keep himself and his analysis away from the labyrinths of *meaning*, *aesthetics*, and *psychology*.

The concept of the roles of literature has been raised by literary critics as well as by the poets or the composers of literary material. The linguist has the tendency to appreciate the view that there is *one* poetry, *one* literature comparable in all ages, yet developing, changing, and evolving new ranges of possibilities.

It may be stated that a literary critic is not by himself in a position to explain the nature of a poetic message, unless he possesses a sufficient knowledge of linguistic technique; conversely, a linguist alone is not competent to discover and define a poetic message unless armed with the techniques for analyzing the *content* or the *culture* which have affected the composer as well as his compositions.

A poet is a creator who is aware of his poetic freedom and of techniques by which it may be exploited *within the totality of his language*. In Persian, for example, no speaker of the language is linguistically permitted to use an initial consonant cluster; therefore, a poet is not authorized to try it. There are, of course, some non-initial consonant clusters which are permissible, even though they are not commonly used. If a poet uses those rare consonant clusters in rhyme, his action must not be interpreted as a violation of the *code*, but as a utilization of a poetic freedom. The same

degree of freedom exists on the higher linguistic levels; namely: the morphological, syntactic, and metrical levels.

Not that the linguist underestimates the *aesthetic* function of literature; he believes in Boris Tomashevski's statement¹:

La poésie est un phénomène essentiellement esthétique (poetic instrumentation, but not image), où tout a sa valeur propre et doit être apprécié et senti comme un objet immédiat d'impression esthétique.

In estimating this statement, one must not forget that the term *aesthetics* does not have the same connotation to a linguist as it has to a literary critic. To a linguist *aesthetics* means *higher organization* of a poetic message. Every poem is an autonomous unit of higher organization which is based on a set of generally observed norms, but which also admits areas of relative freedom. The great poet is, however, the composer who is able to operate the rules which are obligatory within his own poetic tradition and its linguistic code, but who can also manipulate these rules in accordance with his own intuitive and artistic ability. Linguists, on the other hand, in looking for objective criteria for classifying utterances, argue differently.²

1. « La Nouvelle école d'histoire littéraire en Russie » *Revue des études slaves*, VIII (1928), 233.

2. In the « Conference on Style » I. A. Richards of Harvard questioned F. Householder as to whether it is at all necessary for a linguist to define *literature*. Householder answered that he does not want to make a dichotomy between *good* literature and *bad* literature until he has first separated non-literature from *good* or *bad*.

1. **Permanence:** In order to distinguish literature from non-literature, we may reject the concept of permanence as a major criterion and argue that it should be replaced by *stylistics* which includes vocabulary choice, structural selection and co-occurrence patterns over segments of greater length than a single sentence. It appears that permanence if it covers audible and subvocal repetitions, might be also considered as an autonomous criterion.

2. **Length** is another criterion a poetist may argue and say that any utterance of less than five syllables is not likely to be *literature*.

3. **Partial Predictability** of certain special kinds, both retrospective and prospective, is a characteristic of a literary message. In the case of English meters or in Persian rhyme, it is non-structural or ornamental (mosaic).

Householder, the formal discussant of «Conference on Style», ventured to define literature, or in other words, to delimit its domain, even though literary critics like Richards did not find it necessary to define *literature* at all. Householder asserted thus:

Literature includes all continuous utterances that are over a certain minimum length and also have a structural regularity not required necessarily by the grammar.

1.1.3. **Linguistics and Literature** Roman Jakobson mentioned in the Ninth International Congress of Linguists that for the first time a special section of linguistics has dealt with stylistics and poetics: the study of poetry has been conceived as inseparable from linguistics and its pertinent task.

It is clear that the conflict between the critic and the linguist is just a misunderstanding: the critic ignores the findings of the linguist, and the linguist ignores the perceptive observation of the critic. The linguist is eager to point out that the critic's statement is vague, and the critic assumes that strict linguistic analysis of a text will impair its beauty.

A statement should be made that an extensive analysis of a literary text should not destroy the «wonder» of the text, but rather should enhance it. The linguist is primarily interested in «*objective*» data ; whereas a literary analyst is concerned with «*value*».

It can be said that both approaches will eventually meet and head on at the same destination. Since the linguist must deal with the structure of a language, it is easy to expect that he should follow a similar discipline in his literary analysis.

Another linguistic approach to the study of a literary text is the generative transformational approach-known and abbreviated as the TG discipline.

Samuel Levin and J. Thorne have incorporated the TG model in their literary text analysis and have reached two points:

1) A TG grammar will generate all the grammatical sentences of a language and none of the ungrammatical ones. A TG grammar allows a sentence such as « Jack likes milk », but does not accept a sequence such as: « Girl the drinks milk the ».

Levin has analyzed two poems by E.E. Cummings and Dylan Thomas. He has discussed two utterances as: « He danced his did » and « a grief ago ». The English grammar does not generate either of these sentences.

It can be stated that the utterances are « deviations from the norm ». Then one may conclude that the greater the number of such unwanted consequences the less grammatical is the sentence in question.

In order to « fix » a grammar, two methods may be used: a) the grammar may incorporate a new rule, b) certain co-occurrence restrictions may be relaxed.

In E.E. Cummings' « He danced his did », using the first method, involves the following new rule:

NP Verb (NP = a noun phrase which may consist of a verb) which would break a rule that says that only N (a noun and not V a verb) may be the result of the rewriting of NP.

In other words, the sequence NP dominates N, but never V, so sequences such as « may went » or « the had » are also considered ungrammatical.

In regard to Dylan Thomas' statement: « a grief ago », the grammar will generate sequences like: « a happiness ago », « some sorrow back », « a disappointment ago. » We should find out the reason that : « a grief ago » appears more grammatical than: « He danced his did. » The answer is that the two sequences differ in degree of grammaticalness.

The sequence « He danced his did » breaks a more general rule than the sequence: « a grief ago ». The grammar to permit the occurrence of : « He danced his did » would require the additional rule: NP V; since V is any verb. The addition of this rule would break the restriction which disallowed any V to be an N.

In the sequence of «a grief ago», the case is different: it violates a more specific rule. Therefore, it can be concluded that the rules of grammar to cover sequences, analogous to : «a grief ago» are much less extreme than those that cover the sequences similar to : «He danced his did». So a sequence : «a grief ago» is less ungrammatical than the sequence: «He danced his did»; because of finding analogies in a normal grammar such as: «a while back», or «sometimes ago». Since «grief» is substitutable for a temporal noun, one may think of «grief» as implying time.

It is hard to discover the first scholar who applied the TG grammar as a model in the analysis of prose style, but certainly R. Ohman is of the pioneers of this application. He has pointed out that a prose style represents a «characteristic use of language as reflected by the «habitual and recurrent» use of certain specified grammatical patterns of the language.

He has also added in his scholarly article that the recent development in TG grammar, particularly on the transformational model, promises to clear away the mist from stylistic theory and to make a corresponding refinement in the practice of stylistic analysis.

He adds that a style is a characteristic way of employing the transformational apparatus and to accept that method will be a practical tool to the description of actual style.

Ohman has chosen models from Ernest Hemingway, D. H. Lawrence, Henry James and William Faulkner. He has concluded that each author favours

certain « habitual and recurrent » use of TG grammar. Faulkner: the relative clause, the conjunction, and the comparative and superlative forms.

Ohman has also picked up a passage from «Soldier's Home» by Hemingway to analyze his style. He concludes that the passage reflects the «recurrent and habitual use» of the following TG form: 1) the quotation, or reported-thought, 2) indirect-discourse (change of pronoun and verb tenses), 3) deletion forms.

It is quite possible to use TG grammar to illustrate the differences which exist in the prose style of Hemingway, Faulkner, James, and Lawrence. The analysis can be based upon the qualitative differences of the style used by any two writers.

The TG model can be employed to show the syntactic relationship to indicate intuitive responses to certain forms of writing. To use this model, an analyst may conclude that there is a close kinship between the prose-style of writers such as Edward Gibbon, Samuel Johnson even though the difference is not «qualitative»; the difference is in fact «quantitative» or «syntactic.»

With certain reservation, it can be generalized that the prose style of Gibbon is «grand», «complex» and «ornate» (the linguistic argument is that syntactical patterns, based upon the TG model, can account for these assumptions).

Another literary critic, Curtis W. Hayes, has chosen a passage from Gibbon's *Decline and Fall of the Roman Empire*, and has used the TG model for its analysis. Let's discuss the following sentence from the same work:

«Their discontents were secretly formed by Laetus, their praefect, who found, when it was too late, that his new emperor would reward a servant, but would not be ruled by a favourite.»

This sentence can be analyzed into the «source sentences»:

- 1- Laetus secretly formed their discontents
- 2- Laetus was their praefect
- 3- Laetus found NP¹..... Adv. T
- 4- It was too late then
- 5- His new emperor would reward a servant
- 6- A favourite would not rule his new emperor

The TG form of the above «source sentences» can be classified:

- 1- Passive
- 2a- Relative-clause
- 2b- Deletion (ellipsis)
- 3- Relative clause: who found
NP.... Adv. T
- 4- Adverbial
- 5- Factive: the new emperor would reward a servant.

6a- Negative transformation : a
favourite would not rule his new emperor

6b- Passive transformation : his new emperor
would not be ruled by a favourite

6c- Conjunctive transformation

This analysis shows the: «grandness», «complexity» of Gibbon's style.

1- NP stands for a noun - phrase. T for «adverb of time»

1. 2. **Movements in Literary Analysis**

During the whole period of the nineteenth century, literary historians focused their attention on subject matter and ignored completely the significance of form. Since the second decade of the present century, literary critics, armed with linguistic techniques, have increasingly made use of the concept of « methodological » system.

1. 2.1 **Formalism and Futurism**

Two basic notions originated in Eastern Europe and Russia: (a) Formalism: a discipline which regards literature as a component of the linguistic code (b) dialectical materialism. The Formalistic technique has intimate contact with the domain of linguistic science, particularly with morphology. Formalists recognize a literary piece as a pure form; its content is significant as long as it is of any assistance to the systematization of the form. Instead of the classical notion of form and content, the Formalists introduced a new distinction between material and process. Formalists repeated themselves to make the fact clear that an analyst should separate *form* from *content*, but should examine these phenomena interrelatively. The Formalists analyze the questions, formerly regarded as content, under the title of « thematics ». In this the theme of a specific « message » or an individual poetic style is considered a problem of poetics.

Russian Formalism is, in fact, a school in Russian literary criticism which came to life during the First World War, flourished widely in the early 20's, but was frustrated or politically suppressed in the late

20 s. In 1916 in St. Petersburg a book was published which dealt with the theory of poetic language. The co-authors organized the «Society for Investigation of Poetic Language», (in Russian, the abbreviation is *ОПОЖАЗ*). The members of this Society were neither aestheticians, idealistic philosophers nor classical literary critics; they were all linguists. However, before it could achieve its proper destiny, Formalism was excommunicated by the Marxists on the grounds that its theories were «reactionary!». Marxists like Gelfand said that the Formalist philosophy of literature is utterly false; not only is it completely «reactionary», but also that it is reactionary because it is utterly false.¹

A few of the left wing literary critics did not hesitate to admire the Formalistic technique in poetics. Osip Brik maintained that owing to its emphasis on literary value Formalism or *ОПОЖАЗ* ought to be regarded as the best educator of the young proletarian writers. Boris Tomashevski (a Formalist) also pointed out:

Il n'est pas exagéré de dire que le mouvement créé par le formalisme n'est rien moins qu'un mouvement de la philologie russe.²

1. Formalism is the name adopted by the East European literary critical school of the inter-war years. It manifested itself in such diverse fields as the Vienna Circle in philosophy, the Austrian School in economics, learning theory in psychology and New Criticism in Western literature.

2. La Nouvelle École d'histoire littéraire en Russie, *Revue des études slaves*, VIII (1928), 238-239.

As long as the Marxian literature had not become a rigid dogma, a non-Marxian heresy, such as Formalism, had a right to exist; even though to the fanatic Soviet art was a weapon in the class struggle. Formalism lost its political reputation, but not at first its literary validity. Even some of the traditional critics of Russia like V. G. Belinskij, the father of Russian literary criticism, being aware of the significance of *form* or *structure* of a poetic message, said: no Marxian and hardly, any modern poetist, has since been free from *OPOJAZ* influence. Yet in Russia it was not easy to defend a school which was not acceptable to the political system. Even today one encounters cases like Pasternak's *Dr. Zhivago* or Vera Panova's *Time Walked*. In a communistic society literature is a vehicle for political publicity. If a school of thought does not thoroughly meet this need, it will inevitably be condemned and ultimately destroyed.

In *Russian Formalism: History-Doctrine*, Erlich quotes Khachaturjan, who appears to be anti-Formalistic, as he is accused of «Formalist distortions and anti-democratic tendencies»; Khachaturjan mentioned the struggle against the *reactionary* Formalism. He believed that the vaunted Bolshevik vigilance did not fail to bring to light reactionary infiltration even into scientific research. Soviet nuclear physics, Erlich asserts, was found to be infected by the Formalistic bacilli.

The reports on the Russian Formalist School in Western Europe or in American publications were scarce and brief, and not quite geared to a potential specialized audience. Yet many Formalistic insights outlasted the totalitarian purge, and found a new

lease on life in kindred movements on the other side of the Marxian Leninist iron curtain.

The linguistic structuralism of Roman Jakobson, Nicholaj Trubetzkoy and the whole Prague Linguistic Circle were strongly influenced by Formalism; Roman Jakobson acted as the leader. It appears relevant to call attention to the other literary schools in Europe while Formalism was on the threshold of its being.

In France the early development was the method of *explication des textes*, (which is not a structural approach); in Germany the resurgence of intrinsic analysis had broader methodological and aesthetic applications; Germans call their approach the study of fine arts or *Kunstwissenschaft*. Moreover, the contributions of Russian Formalism proper were reinforced by the work of Polish and Czech critics.

The Polish Integralists, however, were less inclined than their Russian or Czech confreres to state their plea for the autonomy of literary scholarship in purely linguistic or semi-sociological terms. The equivalent to Russian Formalism in the Western nations was the fresh, and largely autonomous, Anglo-American *New Criticism* in the literary domain, and *synchronic descriptivism* in the linguistic field.

In order to acquire a general understanding of the principles of the Russian Formalist and Futurist, Polish Integralist, and Czech Structuralist movements, their main doctrines will be presented briefly. Three major problems faced by Formalists and other schools; namely, *Content and Form*, *Code and Message*,

and the *Orchestration of a Poetic Message* will be dealt with later. Other factors can be briefly summarized thus:

1. The Formalists brushed aside the discussion of intuition, imagination, genius, and the like as being a legacy of nineteenth century philosophy. They instead proposed analytical and experimental techniques.¹

2. The Formalists speak of integrity and of oppositions. They hold that each language is an internally opposed system of sub-languages. They discover oppositions in phonology, morphology, syntax and grammar as well. The task of a poetist, they contend, is to discover the pattern of a poetic message in poetry as well as in prose. The success of a poetist is based on his manipulation of grammatical *oppositions* and upon the patterns of phrase melody.

3. The Formalists' approach to versification is shaped by two basic tenets: (a) that a poetic message is an organic unity; and (b) that such phonological factors as *rhyme*, *alliteration*, and internal textures fall into definite organizational patterns.

4. Besides the opposition of Form and Content, the Formalists believe in the opposition of *content* in relation to an organization which includes the melody of verse, the system of images, the composition of the whole poem, the rhyme and the general pattern of rhythm. Tomashevski pointed out:

Les *formalistes* encore sont l'opposition de la matière; les éléments de l'œuvre, l'idée aussi bien que le rythme, sont des facteurs artistiques et ne sont actifs qu'en tant que tels,

et par suite doivent être étudiés comme tels. 1.

5. The Formalists tend to reject: (a) the acoustic approach to versification (German terms it Schallanalyse) and (b) the classification of poetic styles in terms of a poet's verbal repertory without reference to his prosody.²

6. The Formalists attempt to deal with both morphology and syntax regarding the latter as on the border line between surface patterns and semantics.

It is undeniable that although Formalists contributed greatly to the study of *poetics*, their approach, as Harkin notes, is not free from defects. Concerning the negative aspect of Formalism, Harkin has mentioned some points with which it is difficult not to agree. In all fairness, however, it should be said that some of the following defects of Formalistic doctrines were remedied at least in part by the Polish Integralists and the Czech School:

1. Literature is located in its form and in its structure, but not the author's psyche. Jakobson has pointed out that if a poet composes a love poem, it does not necessarily indicate that he is in love. The love poem is, in fact, a linguistic pattern rather than a literary form. See: Manfred Kaidl's «Russian Formalism» *The American Bookman*, I (1944) 23.

2. Jakobson says that the sound-form of poetic messages depends upon the phonemic pattern of a given language; therefore, the predilection of phonological devices like rhyme, alliteration or other poetic instrumentations are not a matter of *chance* but a matter of *organization*. See: «La Nouvelle École d'histoire Littéraire en Russie», *Revue des études slaves*, VIII (1928), 238.

1. The Formalists disregarded the historical development of poetic language and lacked a semantic theory.

2. While the Futurists discarded *content* and considered only *form*, the Formalists tried to relate them; but they did not propose a definite theory of inter-relationship.¹

3. The Formalists overestimated the quality of *artifice* in literature.

1.2.2 Neo-Formalism

Roman Jakobson is considered to be the pioneer of the Neo-Formalist movement first in Russia and then in the West. After he left Moscow in 1920, a sharp cleavage developed between the poetic tenets of the Moscow Linguistic Circle and the Husserlian ideas which were flooding in on the more westerly European notions. Jakobson, as a kind of plenipotentiary, introduced Russian notions, many of them quite novel to Western linguists, critics and to the non-Marxian world. His *Khlebnikov's Poetic Language*--basically a study of poetic devices--attracted both linguists and literary critics; while his concept of onomatopoeic and emotional utterances startled them. Neo-Formalists believed that if literary criticism was to become a scientific discipline, it must be concerned

1. American Structuralists have demonstrated the practicality of their theories by analyzing poetic and non-poetic messages. See: James Lynch: « The Tonality of Lyric Poetry: An Experiment in Method», *Word*, IX (1953) 211-224; and also Z. Harris «Discourse Analysis: A Sample Text», *Language* XXVIII (1952), 474-494.

with poetic devices and with their systematization in the linguistic code. All other facts of literature like ideology, emotion evaluation and the psychology of characters and writers were to be left outside the domain of poetics.

Neo-Formalists did not hesitate to maintain that the identification of the poet with the idea of *feeling* is just as absurd as the behaviour of the mediaeval people who beat up the actor who played Judas. The Jakobson-Tyjnjanov thesis, however, leads us directly to the most interesting theories of Neo-Formalism. They believe, for instance, that versification cannot be the result of phonetic similarities since poetics recognizes *artifice* or systematic instrumentation as a part of the overall linguistic pattern (*la langue*) controlling the idiolect (*la parole*).

Shklovskij has said that versification is a systematic dance of the articulatory organs; accordingly, the creative distortion of nature by means of a set of *devices* or the use of the *poetic freedoms* in the domain of the linguistic code is the real aim of art. The device is the art of *making*¹ [instead of *writing*] a literary piece; therefore, the presentation of life or reality is not *poetic*; what is *poetic* is: (a) the distortion of *banal* usage of language, (b) the use of artistic freedom.

1. In Persian the term *making poetry* is always used to denote «writing poetry» since versification is considered an art with a great deal of poetic freedom that only a poet can achieve by his intuitive talent.

One of the essential tasks of the early Formalists was to refute theories which had been presented by classical or pseudo-literary critics like Potebnjanists. In two articles which are regarded as the «manifesto» of Formalism, Shklovskij attacked the classical school of literary criticism which ignored the form and stuck to images and psychology. Later the Neo-Formalists introduced the notion of *devices* to analyze a poetic message. Jakobson's favourite technique is to break down words or the larger segments into their constituent morphemes.

Works of literature, including those of fiction, are thought of as a kind of textured wrap woven from sounds, articulatory movements and ideas.

Other essential contributions of the Neo-Formalists and particularly of Roman Jakobson are : (a) the study of *metrics* and the investigation of metrical typologies in various languages, (b) the study of *metaphor*. Jakobson has made an extensive analysis of several Slavic poems in order to arrive at general metrical rules permitting no exceptions. In his «Studies of Comparative Slavic Metrics» he reaches an interesting conclusion concerning the decasyllables of *Starina* where word-units have the following distributions:

Odd syllables containing an Anlaut¹:

IX	III	V	VII	I
50%	30%	43%	70%	100%

1. Roman Jakobson, «Studies of Comparative Slavic Metrics», *Oxford Slavic Papers*, III (1952), 40.

Note: Jakobson is considered guilty of oversimplification when he says that in some literary genres, as, for instance, the novel, the verbal material has a less limited degree of *organization* or, to use his term, it is «aesthetically neutral».

Jakobson's success is based on his general rules (the 100% case) and on relating the metrics of one language to that of another (comparative typology). Several examples are cited in *Studies of Comparative Slavic Metrics*. He recognizes three segmentations in poetry: (a) the foot, (b) the colon, and (c) the line. Parallel to these are three other metrical units which work adequately for Slavic metrics and perhaps for several Indo-European languages. They are: (a) syllables, (b) word-units, (c) sense groups. According to his technique the subordination of phonemes into «non-syllabic» and «syllabic»; the subordination of syllables to neighbouring syllables divides the syllables into «unaccented» and «accented»; and the subordination of the word-unit to neighbouring word-units divides the word-units into: dependently accented and independently accented. This systematization is applicable to some Indo-Germanic languages; even though in «The Disintegration of the Avesta Studies», Professor W. B. Henning reports that the metrical analysis of the Avesta is still fraught with so many problems that reference to such lines as: «ono porno tonum o isifois» can do little to advance the discussion of the Indo-European decasyllables.

The other linguistic phenomenon to which Neo-Formalists, particularly Jakobson, have greatly contributed is the study of *metaphor*. In «The Metaphoric and Metonymic Poles», he asserts that metaphor is alien to the «similarity disorder», and metonymy to the «contiguity disorder». In short, deviation of a discourse may take place along two different semantic lines: one topic may lead to the other either

through their similarity (metaphoric) or through their contiguity (metonymic). Similarity connects a metaphorical term with the term for which it is substituted. When one constructs a meta-language to interpret tropes, one possesses a sharp and efficient tool to handle *metaphor*; therefore, the study of poetical tropes is directed toward metaphor.

It may be stated that Jakobson was the first synchronic linguist who dealt with the analysis of idioms and metaphors from the structural point of view. Two criteria delimit a fixed idiomatic phrase from non-idioms: (a) *substitution*, and (b) *totality*. In a non-idiomatic phrase such as «John kicked the ball. » it is permissible to substitute different items for each morpheme with obvious replacement of meanings. In an idiomatic phrase such as «He kicked the bucket.» no other stem-morpheme is substitutable for any stem-morpheme of this sentence without radically changing the meaning. Totality implies that the individual morphemes of an idiomatic phrase have no independent significance and that their meanings depend on the total phrase; whereas in a non-idiomatic phrase each morpheme by definition is meaningful.

It appears that Futurism contributed to the theoretical structure of Neo-Formalism; therefore, it seems worthwhile mentioning its contribution and its major controversies with Neo-Formalism. The main difference between these Schools is based on the degree of stress which Futurists laid on *form* and the very slight attention that they paid to the *content* or subject-matter. For this reason the Futurists are called the followers of the *all-form*; whereas the Formalists,

particularly the Neo-Formalists, have made efforts to *relate* form to content and even preserve semantic factors in their poetic approach.

Futurism has influenced American Structuralism; it appears that models or techniques such as Z. Harris' «discourse analysis» may be related to or even initiated in Futurism. For this reason we find the study of Futurism and Neo-Formalism significant for a proper understanding of American Structuralism.

The major target of Futurism and Neo-Formalism is based on *morphemes*; therefore, both schools are in the strictest sense of the term *morphological*. Russian Formalists were actually those Futurists who first looked for the theory of the self-sufficient word in poetry and strived for the creation of an analogical «trans-sense» poetry in which the element of semantics is completely discarded and the literary analysis is based upon the structure of the phonological and morphological systems of the subject-matter.

A. Kruchenykh, an acknowledged spokesman for the Futurists, repeatedly declared that genuine novelty in literature is independent of *content*, that what really matters is *form*. Erlich calls attention to the activity of the Futurists in systematizing the inner dynamisms of poetics-euphony: rhyme, alliteration, assonance, consonance, and other phonological devices.

1.23 **Structuralism and Poetics.**

Structuralism in the West is either a development of Formalism, Futurism, and the approaches of the Polish and Czech schools, or, in America, a native growth, anthropologically based, and later leavened by borrowings from abroad. In more recent years

another leavening has come from the indigenous American «Neo-Criticism».

What a Formalist understands of Structuralism is neither a «Weltanschauung» antedating and transcending empirical data, nor is it a literary technique. It is a linguistic method of investigating the relationship of morphemes inside a sentence construction and their distributive relation to the linguistic pattern of a given language. According to the Prague School, the mutual relationship of the components of a poetic message constitutes its *structure* -- a dynamic structure both convergent and divergent.

The crucial point is that each component has its distributive value in terms of its relation to the totality, that Structuralists have managed to encompass historicism in its differentiation of synchronic from diachronic (the historical description).

Classical literary critics of the Western world who are familiar with aesthetics, but not with the structural method of poetic analysis, had attained at best the French stylistic and philological method of *explication des textes*. F. De Saussure coined the terms « rapports associatifs » and « rapports syntagmatiques » for two key literary dimensions at a relatively early date. These two interrelated dimensions obviously parallel the techniques of those structuralists who operate « mathematical » devices for their discovery -- devices used later in James Lynch's « The Tonality of Lyric Poetry » which in turn almost parallels Harris' distributional technique.

Lynch introduces his method thus: If x , y , and z stand for indeterminates, but with positive values, $x + y + z = 1$

could represent the value of one which receives stress, $1+y$ could represent the value of one which is prominent by « repetition ». Through this mathematical technique three phonemes, each having one orchestral quality, can be demonstrated as a mathematical formula in this fashion: $1+x+y+z$. Not only can this method be used for the phonological pattern of poetic language, but also for its morphological structure.

Zellig Harris in his *Methods in Structural Linguistics* and in two articles¹ comes from distributional techniques for analysis of the morphemic structure patterns of a given text to the final stage of text analysis. In every poet, as in a painting or a molecule, there is a discoverable structure; discovery must be based on a theoretical groundwork possessing completeness, simplicity, and consistency.

In «Distributional Structure», Harris defines structure as being a set of phonemes or a set of data which describe the members of the set and their interrelationship. He adds that the perennial man in the street believes that when he speaks, he freely puts together whatever elements he likes; but, in fact, he is so limited by the linguistic code that he is unable to go beyond it. An example may be cited to elucidate this idea. A speaker of English may use terms like *analyticity*, *linguistician*, *grammaticalness*, and

1. «Discourse Analysis», *Language*, XXIV(1925), 1925 1-30; and «Discourse Analysis; a Sample», *Language*, XXIV (1925), 474-494.

antitranssubstantialistic — terms not commonly used. Such constructs should, however, be interpreted as innovation rather than *a violation* of the linguistic code; since their constructive patterns already exist in the code.

In « Discourse Analysis», Harris is not interested in discovering « what a text is saying »; he merely wishes to find out « how a given text is morphologically organized ». While the morpheme is the minimum unit of speech, the maximum unit is not a sentence but a larger unit which may possibly be *a text*. The important phenomena for this analysis are the distribution of morphemes and the morpheme boundaries: junctures and morphemic intonations which are shown, in part, by punctuation marks.

Discourse analysis proceeds on two interrelated levels: (a) the distributional relations among sentences or among morphemes, and (b) the overall study of a whole discourse or of a single text in relation to the code. Harris' main intention is to devise an analytical method which can discard *meaning* phenomena from his analysis. To him meaning is merely *distribution*.

The analyst classifies morphemes into groups having similar *distributive behaviour*. Then he considers the distribution of these groups (classes) as a whole. In a sequence like A-M and A-N one finds that M and N have the same distributional occurrence. If a sequence of B-M and C-M could also be traced, then an analyst may conclude that A, B, and C have the same distribution (equivalent but not synonymic

or homonymic).¹

According to Harris, homonyms do not exist unless they have the common distributional environment. The statement that A, B, and C are members of the same class does not indicate that they «mean» the same thing; it only means that they have a common environment. Harris presents an example which sheds light on his hypothesis and calls attention to the similar class-function of the following *underlined* phrases since all three have a common environment:

1. He speaks English *at home*.
2. He speaks English *three times a week*.
3. He speaks English *wherever he is*.

An analyst should look for the members of an equivalence class which, at least, have one environment in common. Examples can be cited in which *sun* and *son* are members of the same class, but *a table* (of words) and *a table* (of statistical data) are of two different classes.

According to the Harris' method an analyst has two columns: (a) the horizontal which shows the «equivalence class», and (b) the vertical which indicates the members of each class appearing at successive intervals. A traditional analyst may argue that

1. In «Language and Poetic Creation», Margaret Schlauch calls attention to an interesting example of «homonyms» in French. She asserts that in French there are two words: *louer* one meaning «to praise»; the other «to rent». It is possible to use both in the same environment; therefore, these two words are «homonyms». We may say «*Je loue votre maison parce que je la loue*». *The Gift of Tongue* (New York, 1955), 235.

such a conclusion may naturally have been obtained intuitively; but one has to remember that intuition does not yield any scientific result. Harris' method may be formulated in the following fashion:

1. The whole sentences of a text can be formulated into NVI (in which N stands for any noun - phrase and V for any verb-phrase and I for the intonation of the contour).

2. Then an analyst may look for morphemes which have a different frequency of occurrence (the occurrence may be a morpheme occurrence or a class environment).

3. An analyst may classify morphemes or morpheme sequences which are substitutable for each other, although they do not occur in the same environment.

An aspect of the theory of environment may be illustrated by the following example in which the elements A and B have the same *environment* except that the environment of A always correlates with an X which never occurs with B. In this case A and B are alternates of each other. The word « wife», for instance, has the same distribution as «wives», except in the singular and plural positions; but the forms /ekenâniks / or /iykenâniks/ are free variants of *economics* and have the same morphemic distributional patterns.

Thus Harris' method reduces a text to the repetition of sound segments or to the pair text : if A is a set of similar elements and so is B, and only AB occurs (never A or B alone) , then we set

up AB as a single element. If a whole connected discourse is considered as *an environment*, one may find that there are certain substitutional sets of morphemes which occur with a certain regularity throughout the text, while certain elements never occur with other elements.

In «Linguistic Analysis of Gongord's Baroque Style» in *Descriptive Studies in Spoken Spanish*, B. E. Uhrhan sets up a frequency of occurrence of six distributive principles: substitution, separation, coupling, transposition, asymmetry, and modification. In several tables she indicates the distributional pattern of these six phenomena in relation to two linguistic factors: (a) the number of sentences containing those principles, and (b) the percentage of total sentences. The Lynch, Harris, and Uhrhan approach to poetics is structural, i.e., presenting a technique generally applied to text-analysis by Neo-Bloomfieldians as a successful attempt to replace *semantics* with distributional methods.

1.3 Content and Form

In this section approaches to the interrelationship of «content» and «form» will be discussed in brief.

1.3.1. Content without Form (*New Criticism and Semanticism*).

Classical literary critics were only concerned with the subject matter: images, plots, and other literary factors, they underestimated the significance of structure. Even the so-called New Critics are more concerned with the interrelation of images or referential

meanings than with the patterns of poetic devices. For a Structuralist like Jakobson and for Shklovski, who never really did become a Structuralist, the watchword is *innovation*; for the New Critics like Tate, Ransom, T. S. Eliot, Elton and others, it is *tradition*. Elton's approach to poetics is *organistic*. In this respect Elton is less idealistic than Tate, Ransom, and T. S. Eliot.

The extreme standpoint of Futurism was a reaction against semanticism; yet, the traditional concept of dichotomizing a literary message into *content* and *form* still appeals to some modern literary critics.

In *Theory of Literature* Warren has pointed out that content and form are used in widely different senses to dichotomize the work of art. As an example one may cite poems by du Bellay. This school makes attempts to prove the existence of the material part of a poetic message (the content), the part which can be translated into another language.

Even the modern New Critics do not perfectly understand the New-Formalistic idea of interrelating *content* and *form*. Neither the Formalists nor the Futurists, however, were able to deny this dichotomy. The Formalists obviated the difficulty by maintaining that *content* always has a *form*.

Modern poetists do not also ignore the existence of *content*; they believe that the portion of a poetic message which can be scientifically analyzed is the *structure*, not the meaning.

Linguists, even most American linguists, do not intend to ignore « meaning »; they want, in fact, to

substitute *distributional meaning* for *subjective meaning*. J. R. Firth wonders how a linguist will be able to discard the element of *semantics* from his analysis since the whole morphological pattern of a language is based on semantic differentiations. The acceptance of meaning in Firth's theory, versus the abolition of semantics in the Bloomfieldian schools, is the major controversy between the linguists and the literary critics.¹

1.3.2 **Form without Content** (*Futurists and American Structuralists*).

The concept of *all-form* is a traditional notion which originated in Russia and influenced Neo-Bloomfieldians. This trend of thought has been presented, more or less scientifically, by such modern American Structuralists as Z. Harris, K. Pike, and others who, however, are linguists, not literary critics. In «Kamesian Verse», John Lotz, who is both linguist and critic, has stated that content analysis and semantic consideration would never yield an understanding of the verse character of a text; since verse is defined by its *form* but not by its *content*. Verse structure can be established on the basis of a formal linguistic analysis with an accompanying metric or other formal structure².

1. In *Language* Bloomfield holds that the statement of *meaning* is the weak point in language study and will remain so until human knowledge advances very far beyond its present state.

2. *Journal of American Folklore*, LXVII (Oct. — Dec., 1954), 373.

We may call attention to Kruchonykh's idea (product of pre-revolutionary Russian Futurism) that genuine novelty in literature does not depend upon content. What really matters is form. To lay such a heavy stress on form is, in fact, the emancipation of the formal word from its traditional subservience to meaning.

1.3.3 **Content Together with Form**

It appears indispensable to develop my personal reaction to one of the two above—cited literary façades; namely, *content* without *form* and *form* without *content*. It is quite possible to agree neither with the Russian Formalists and Modern American Bloomfieldians, nor with the New Critics and Semanticists. I tend to walk in between, and follow those Neo-Formalists who believe in relating the form to the structure of the content without dichotomizing these aspects.

Rhyme, for example, is considered to be a poetic device, but it may have phonological repetition (consonance or assonance) or a grammatical pattern. A poem may have a rhyming system of nouns or verbs, etc., or even a semantic rhyming scheme. This is an example in which the content meets form.

With regard to free rhyme a poem cannot be decomposed into separate elements — form, semantics, etc. An analyst must look at the total poetic message as the sum of different aspects — aspects of content as well as the aspect of form. Each of these two factors is but a certain function of the totality of a text;

thus he is able to avoid the old fallacy of a form-content dichotomy.

The Polish literary critic and philosopher, Roman Ingarden, using the phenomenologist technique of Husserl, denied *form-content* dichotomy, and regarded a work of literary art as a series of interlocking levels (norms) commencing with the linguistic levels and ending with the *cultural* levels.

This relationship may be interpreted in such a way that the linguistic level, semantic level, image level, and the cultural and metaphysical levels are related to each other. There are, of course, two levels which are interrelated: (a) the horizontal level which covers the sender, the receiver and the message (b) the vertical or the hierarchic levels which include phonological, morphemic, syntactic, poetic and semantic levels. The discussion of interrelating these horizontal and vertical levels is an interesting innovation in poetics which may be successfully substituted for the traditional concept of dichotomizing a poetic message into form and content.

By full exploitation of the resources of the linguistic system, the poet is able to arrange his themes or the formal elements, such as rhyme and syntactic parallelism, to coincide with phonemic or grammatical opposition.

According to these ideas, the study of poetic language is a study of a certain type of rearrangement and modification of the elements of every-day spoken language. In regard to casual versus non-casual speech and their relation to poetic language, one has to

state that casual speech is subject to systematic description, whereas the latter derives from the language norm.

C.V.Voegelin has stated that the idea of «deviant», listing from a casual utterance corpus, permits linguists to hold to a theory that language is a system based upon the common speech of the speakers. By taking the casual and non-casual utterances into account, the study of poetic language becomes a study of a certain type of rearrangement of the elements of everyday spoken language.

The handling of poetic subject-matter is not just a semantic problem; so it is not possible to separate «form» from «content».

Form and content are inseparable in poetry. For instance, one may generalise by saying that « epic poetry » deals with the presentation of important past glories and events, « dramatic poetry » with the presentation of conflicting present events which are heading toward a solution, whereas « lyric poetry » has no thematic or temporal limitation.

No study of literature is practicable without attention to the form-content relationship. A linguist can say very little about semantics, but linguistics has had a conspicuous success in translating continuity into discreteness, not in the sphere of semantics, but in the realm of linguistic patterns.

Although K. Pike is a follower of Bloomfield in linguistics, he disagrees with both the New-Bloomfieldian concept of all-form and Firth's idea of meaning. He asserts that neither of these ideas (Firth's nor Bloomfield's) should prevent us from utilizing form

and content as the basic and useful hypostatized components in the definition of «emic structure». In linguistics, minimization of the meta-linguistic as an approach to the micro-linguistic can be considered as a means of avoiding the circularity of form in terms of meaning and vice-versa. Structuralists in America are not in favour of de Saussure's theory of interrelating form with content. The Neo-Formalists, however, have appreciated his view and considered his theory a safe foundation for literary analysis. Although de Saussure's idea parallels that of the Structuralists — language as a system of forms, not a mere mass of substance—he advocates simultaneously the theory of interrelating form to content in terms leading directly to Ingarden. De Saussure asserts, « *La langue est une forme et non une substance.* » He protects the theory of form, but he finds it impossible to separate form from substance. In his *Cours* he made an interesting simile to illustrate the impossibility of this dichotomy. He holds.

La langue est encore comparable à une feuille de papier : la pensée [the content] est le recto et le son le verso ; on ne peut découper le recto sans découper en même temps le verso ; de même dans la langue, on ne saurait isoler ni le son de la pensée, ni la pensée du son ; on n'y arriverait que par une abstraction dont le résultat serait de faire de la psychologie pure ou de la phonologie pure.¹

1.4 Code and Message

Here an attempt is made to clarify the notion

1. *Cours de Linguistique Générale* (Paris, 1931), 157.

of *deviation from the norm*, and to refute the application to linguistics of a term useful in behaviouristic psychology.

1.4.1 **Deviation from the Norm and Individual Style**

First we must clarify certain poetic terms, since they embody different concepts as used by philologists, modern linguists, psychologists and literary critics. *Deviation from the norm* is commonly employed by linguists of the Prague School and by certain American linguists in different senses. The followers of the Prague School believe that the violation of the norm of the standard, its systematic violation, is what makes possible the poetic utilization of language; without this possibility there would be no poetry. The more deviation from the norm, the more variety of devices and the more possibility for poetry in that language. The weaker the awareness of the norm, the fewer possibilities of violation and hence the fewer possibilities for poetry.

The use of the terms *norm*, *deviation*, *violation*, and a few others are not strictly comparable to their use in poetics among Structuralists. If an analyst wants to convey the concept of *the poetic freedom* or *poetic artistry and tendencies* by the term *deviation from the norm*, he certainly needs first to re-define the concept of *norm* before tracing the term *deviation*.

The understanding is that in every language one finds a code which includes different styles: poetic and non-poetic, casual and non-casual, and the idiolectic versions of speech. It may be possible to make

a statement that there are several styles of speech in the code, that each one of them may have a norm of its own, but all the norms are members of the overall code of a given language.

If in Hopi, for instance, the phonemic pattern of the casual speech is different from that of non-casual, or if the word form in the casual speech of Persian is distinguishable from that of the honourific style, these stylistic features cannot occur at random and outside of the code of Hopi or of Persian; the same is true of idiolectic style.

Everyone has an individual style and an individual grammar (a fingerprint) which may be different from that of others, but idiolects represent the personal adoption of *one* code. Linguists, like most psychologists, have, in fact, overestimated the value of the individual addressor (the totality of speech habit of a single person at a given time) and ignored the fact that a language (or *language* but not *langue*) is not an individual phenomenon but possesses an over-riding social element.

It is true that an individual message has particular intonational contour, a pattern of word boundaries and cæsure, a rhyming alliterative or assonantal system, certain morphological tendencies and other poetic freedoms which identify the composer's style as compared with that of other writers ; at the same time, these variations have to be recognized as artistic freedoms or tendencies which are parts of the total code of the language. Idiolects are part of the code and individual styles are related to the general writing style of a language in that each of

the former is some sort of specialization within the confines of the latter, just as the latter is a specialization of the language as a whole.

A simile can be presented: suppose the holder of an American passport is not permitted to travel in Russia or in any of her satellite countries. This is a norm but not a social code; it can be violated or it can be changed. Then Mr. X who holds an American passport travels in Russia. This is another norm parallel to the first one. The second norm would not be considered the deviation from or of the first one; they should both be recognized as members of one code. Let us relate this simile to linguistics. In a language in which a compounding system is permissible (like German) or in which derivative forms are common (like Russian) if a poet coins, for instance, a new compound in German or a new derivative form in Russian, his action should not be interpreted as a deviation but as an artistic tendency or *freedom*.

Let us pose another example to shed more light on this discussion. If a Persian poet disregards length in rhyming two morphemes, his action may be interpreted as an artistic freedom; because length is not phonemic in Persian (as it is in Arabic). But if a Persian composer of verse uses a consonant cluster after a double bar juncture or introduces phonemes such /ð/ or /θ/, which do not exist in the phonemic pattern of the language, his action should be considered as a *deviation from the norm* or from the code, since those combinations are impermissible in the code

of Persian. Therefore, no speaker is a completely free agent in his linguistic behaviour.

1.4.2 **One Linguistic Code and No Deviation**

The composer of a literary work has a variety of freedoms (tendencies) while he is restricted to the boundaries of the code. (He is unable to introduce new phonemes or any morphological patterns to the language). The degree of his freedom varies from one level to another: on the phonemic level it is zero and on the syntactic level it is the maximum although it is never great. In order to avoid the circular process from norm to deviation and vice-versa, one should recognize one code and relate styles, idiolects, and different forms of speech to the code. In the whole process of recognizing one code, the watchword of a modern analyst is poetic freedom.

One has to remember that a poet is a person who possesses an intuitive mastery of the rules which are obligatory in the linguistic code, but who can also manipulate the rules in accordance with his artistic tendencies. Emerson believes in the co-existence of the norms and the poetic freedoms. To him the Ben Jonson fanaticism which said, *Donne for not keeping of accents, deserves hanging*, is satirical¹.

Another example of this nature is a symbolic organization of English lyric poetry in which four norms or possibilities for lyric writing in this language are found. These four possibilities taken together may establish the lyric code of English symbolism. They are: (a) *equations* such as: beauty is truth,

1. *Works*, VIII, 53.

truth is beauty, (b) *analogies* (A is to B, as C is to B), (c) *sums* (something plus something else gives something new), (d) *effects* (something does something to something else). If a poet relates these possibilities together in a poem, or if he innovates a pattern which consists of a combination of them, his action is artistic; but if he goes beyond these possibilities, his action may be interpreted as a deviation.

On the way to codifying a linguistic domain, one may face the term *typology* variously used with different connotations. American anthropologists have employed the term to classify the phonology or the morphology of different dialects or languages and have come up with the idea of *unified grammar*. To some critics the term is dear and is used in a literary sense; the New-Formalists use typology in a strictly poetic sense: they believe that a language may have several *norms* within one linguistic code -- norms operating simultaneously on a co-existent basis. On the phonological level a language may subsume structurally any one of the four linguistic styles of versification: accentual, syllabic, free verse, and tonic principles; it may, at the same time, use two or even three styles together. If these four styles are supposed to be considered norms, the combination of them is also permissible as a poetic tendency; but not as a deviation. The deviation will be, therefore, the use of other types besides the above-cited principles. It is not necessary to recognize two codes, i.e., poetics and non-poetics; both are parts of *one* linguistic code.

1.5 Prose versus Poetry .

Prose and poetry are both considered to be the members of *one poetic code*. We are not concerned with classical terms such as foot, mora, syllable unless we either find them in the non-sophisticated speech of a native speaker (parole) or define them linguistically for special metric patterns of a given language. Another factor which we are inclined to ignore is the style of recitation. An analyst should look for a pattern of a poem which can be revealed when that poem is read exactly like prose without any accentuation, exaggeration, and sophistication. Therefore, if the pattern of a poem is dependent upon a certain way of recitation, that pattern will be considered a personal style of recitation, not an underlying linguistic pattern.

The highest form of poetic organization, verse, differs from prose in its rhythmic pattern. Rhythm implies the recurrence of certain elements within regularly distributed intervals. The rules of distribution of these elements along the syntagmatic axis constitute the system of versification.

The dependence of the metrical scheme on the linguistic system can be illustrated by comparing the versification system of Russian or of Polish. Russian poetry is based upon a system which utilizes the phonemic stress of the language as the main element of periodicity, because the Russian « rhythmic vocabulary » lends itself easily to a free arrangement of its stress. The ultimate constituent of Russian meter is therefore the *foot*, in which the « heavy syllable » alternates with one or two « light syllables ».

Polish could hardly select stress as an element of periodicity, since Polish words, invariably stressed on the penultimate syllable, could only with difficulty fit into long strings of trochaic and dactylic feet, even less so into iambic or anapestic feet, which require final stressed syllables.

At this point we may add that Russian, German, and English poetry employ isotonic meters, which involve stress as the basis of periodicity. The rhythmic pattern of Russian verse is quite different from that of English and German, as is indicated by the different impression that German metrics makes *upon Russian*.

1.5.1 **Definition of Prose and Poetry**

From one angle poetry can be described as literature in the form of *verse* and verse can be defined as discourse in which certain doctrines of code form the government of the overall structure of the linguistic pattern of which *rhythm* is the essential part. Therefore, the main criterion for differentiating prose from poetry is *rhythm*. Elements like stress, tone, length and other phonological instrumentations all fall under the heading of rhythm.

In the present paper the definition of prose somewhat contradicts that of J.C. Ransom and Smith and Trager. They declare that poetic language does not have the same norms as prose. They also propose that a literary message like a poem, a play and a song can be assumed to be different from casual utterances by having characteristics of a highly symmetrical organization and a regular pattern more systematized

than a casual message.¹ In *Prose Miscellany*, H. P. Biddle defines poetry thus: *poetry is beautiful thought, though expressed in appropriate language — having no reference to the useful.*

These statements are not completely irrelevant to a poetist, although there are points in them which sound more literary than empirical. In the following pages light will be shed on some of their obscure aspects.

1.5.2 **Less Organized Poetic Message (Prose)**

The modern school of criticism which is more related to linguistics than to literature — which we call poetics in the present study — stresses the degree of poetic euphony as the most effective criterion for distinguishing a less organized message from a more organized one. The idea of discriminating *prose* from *verse* based on the degree of organization is an indirect influence of Neo-Formalism. Some Slavic Formalists object to this hypothesis and hold in their theory that prose and poetry are sharply opposed. It appears to be a weakness in Formalistic theory to dichotomize verse and prose this way; although some Formalists themselves have discovered that prose has also an orchestration, euphony, even a metric pattern. Verse, in contrast with prose, might be described as being bound to some restrictions aiming at a great regularity of constitution and a repetition of some of its parts (rhythm); the repetitive factors may be formulated to identify or to gauge the degree of organization.

1. John Crowe Ransom, «The Strange Music of English Verse», *Kenyon Review* XVIII (1956), 460-477.

There is, in fact, no linguistic difference between prose and poetry; it is doubtful whether the traditional antithesis such as concrete vs. abstract, images vs. concepts and synthetic vs. analytic could provide any justifiable criterion for this differentiation. Therefore, the difference between poetry and prose is mainly based upon *the degree of organization or of regularity*.

As Lotz mentions, one may note that the degree of regularity reaches an extreme in the following patterning of Mordvinian decasyllabic verse:

- a. Word boundary after each fifth syllable
- b. Phrase boundary after tenth syllable
- c. Sentence boundary after a decasyllabic stretch

It is true that such a regular pattern may never take place in prose, but one should not forget that, on the one hand, there are loose poems with little regularity and on the other, there are pieces of prose with regular repetition. There is a tendency among poetists to look for other criteria to distinguish the fluid domain of prose from that of poetry.

The divergence between prose and poetry is not great; and even in their extreme differences the common basis of the rhythm is the same. In both prose and verse there are the same relations of time, stress and pitch, except that in verse the arrangement and order of these constituents follow a perceptible pattern, verse is but prose fitted over a framework of meter.

Ideas different from those of Lotz and Jakobson have been introduced according to which it seems a fallacy to say that the less strictness or the less regularity, the closer we are to prose. Emerson remarks

that there are *prose poets*: Thomas Taylor is really a better poet than any man between Milton and Wordsworth. Thomas Moore has the magnanimity to say, Emerson asserts, that if Burke and Bacon were not poets (measured lines not being necessary to constitute a poem), he did not know what poetry meant.

It is, of course, possible to find prose which is more regular than many poems. Furthermore, prose approaching regularity sounds more musical than many poems approaching prose.

There are, however, other criteria to differentiate prose from poetry besides *repetition*; namely: (a) rhythmical differences; (b) verse line (when we rewrite a poem and arrange its lines in a new order, the difference is striking; but when we write a poem as prose, we lose the rhythm and the artistic work of the message, too); (c) the description of a system as tonic has no meaning without the understanding of the special task of the verse-line, because the groups of non—strict numbers of stresses can always be found in prose; and instead of the *architectural* or parallel structure in poetry there are periods of a long linear flow in prose.

1. 5.3 **Prose Orchestration**: An analyst may find pieces of prose by Emerson, Poe, and Bacon more organized than most poems by Walt Whitman.

Sometimes even Whitman's prose is as regular as his own verse. *Democratic Vistas* (in prose) is as well organized as such poems as *There Was a Child Went Forth*. In *Notes* Whitman contends that the time has arrived to break down the barriers of form between prose and poetry.

It is perhaps advisable to coin new terms and say that verse and prose are opposed, but not poetry and prose. In *Notes on Structural Analysis in Metrics*, Lotz proposes that all verses are glossic phenomena, but all glossic phenomena are not verse. The term verse referring to poetry may be used in three senses: (1) a metric form, (2) a group of metric lines, (3) a single line of poetry which ends with a double bar or double cross juncture. Certain passages which are usually perceived as being prose show a kind of regularity. For example, if the following passages by Dickens are written in the verse fashion, their rhythmic patterns will be better revealed:

I cannot rest, I cannot stay,

I cannot linger anywhere.

— Dickens, *Christmas Carol*

Much they saw and far they went,

And many homes they visited,

But always with a happy end.

— *Ibid.*

The following prose passage from Emerson's *Spiritual Law* appears to have a rhythm (orchestration) and regularity (this sign — stands for a syllabic length and this sign ~ for a short syllable):

Ťe are the / p̃hōtōmēters, / wē / the irrītāblē
gold-lēaf / and tīnfoil / thāt mēasurē the / āccūmūla-
tīōn / ōf the subtlē / ēlēment wē knōw / the āuthen-
tic / ēffēcts / ōf the trūe firē / thrōugh evēry one / ,
ōf its millīōn / dīs guīsēs, /

The aesthetic value of this passage largely depends upon its metric prose pattern. If the idea (the content) of the passage be written in less organized prose, its aesthetic value will simultaneously disappear:

Men can be compared to photometers, the instrument that physicists employ for recording the relative intensities of light...

From what has been said about the differences between prose and poetry, we may make the following statements:

(1) Poetry and prose are both phenomena of poetics.

(2) The highest degree of organization belongs to poetry although some prose may be highly organized.

(3) If the degree of regularity is considered as a main criterion to identify rhythm and the variety of prose and relate it to poetry, one is able to have three types of prose; namely, (a) characteristic prose in which no regularity is easily appreciable, (b) cadenced prose, or that in which the regularity is perceptible, and (c) metrical prose in which the regularity is quite noticeable. The rhythm of prose is largely based on the regularity of syllables which have the sound attribute of duration, intensity, and pitch.

(4) The degree of organization is not the only criterion to separate prose from poetry; there are other criteria which are equally important.

(5) An analyst should look for a general pattern, either phonological or grammatical both in prose and in poetry.

(6) J. Mukarovsky believes that intonation is the only formal feature by which poetry can be distinguished from prose.

(7) P. Baum holds that the characteristic of rhythm is determined by the relative proportion of coincidence and syncopation (and substitution) of which the former has preponderance in verse and the latter in prose¹.

1.6 Poetic Devices.

The organization of a poetic message may be investigated on four levels: phonology, morphology, syntax, and semantics. In phonemic analysis, the smallest distinctive unit in the poem is the phoneme. The goal of phonology is to discover the total effect of the poem, euphony or tonality or what Professor Wellek — following the Russian Formalists — calls *orchestration*. The aim of poetic analysis is to relate the phonological findings to the morphological and cultural levels of a text to demonstrate techniques through which the phonological pattern of a message supports the overall structure of poetics².

The Formalists defined the work of art not as a cluster of devices, but as a multi-dimensional structure, integrated by the unity of aesthetic purpose. By aesthetics they mean organization, or sometimes, distortion. In *Tradition and Individual Talent*, T. S. Eliot states that it is not the expression of personality, but an escape from personality which makes a literary work artistic. It is of course true that fundamentally art is transemotional. *Blood* in poetry is not bloody,

1. Intonation comme facteur de rythme poétique, *Archives Néerlandaises* VIII-IX (1933), 153, 158.

2. James Lynch. The «Tonality of Lyric Poetry», *Word* IX (1953), 211.

but a component of a rhyme sound pattern or an image.

The study of poetic devices has two main aims: (a) to discover the pattern of a message and its orchestration on the different linguistic levels, and (b) to bring these data together to demonstrate their interrelationships.

1.61 **Phonological Harmony (Euphony)**

In the study of euphony the Formalists and the American Structuralists tried to discover patterns for sound repetition — not as in the traditional method which studied rhyme, alliteration, assonance, and metrics atomistically, ignoring pattern. They discovered that euphony is related to intonation since the sound pattern helps to govern the sentence melody or the control of the breath which is classically symbolized by punctuation. Harkin describes literature as a combination of linguistic devices and their application to reshaping or deformation whether rhetorical (phonological devices), or figurative (metaphor, metonymy, etc.).

This parallels Shklovskij's concept of *making strange* or *making difficult*, as being a literary device on all the linguistic levels. It is the same problem as the Formalists' deviations in phonology and in syntax — deviations which should not be considered *mistakes*, but as devices for *making strange*.

Systemic deformation can be carried out on all the levels: in phonology (the euphonic pattern as opposed to classical random repetition), in morphol-

ogy, and in syntax as we note in the following line by Shakespeare:

Better thee without than he within.

Stimulating phonological and morphological devices observable in any poetic message are these :

1. Polyphonic sentences
2. Reinforcement of sound (For example, Euripides permits Medea to hiss her reproaches at Jason in a line full of sibilants. In Emerson's poems onomatopoeics like dorsal sounds for *weight*, liquids and nasals for *languorous* effects, can easily be found.
3. Synesthesia by juxtaposition, as in Milton's *blind mouth*.
4. Word formation
5. Shift of grammatical categories
6. Rearrangement of sentence units (When a poet ignores the classical or the school system syntactical rules, his action may be interpreted as an artistic device.)

This is how Joyce introduces sentences as presentations of image plus predication in *Ulysses*:

God they believe she is : or goddess
But went his eyes
See me he might...
Glorious tone he has still
Down he sat, all ousted looked

1.62 **Juncture, Stress, and Word-boundaries**

These phonological phenomena are among the main poetic items on the sound level. Juncture is purely a phonemic element which is classically demonstrated in writing by the punctuation marks. In *Linguistics, Poetics and Interpretation*, Seymour Chatman

presents an instance from Spenser which is full of little problems of analyzing the metrics of the *Faerie Queene*. He demonstrates how junctures may be correlated with punctuation marks as in the following lines from Spenser:

And like a Persian mitre on her hed
She wore, with crows and owches garnished.

Readers, he says, must resist the temptation to read thus: *And like a Persian mitre*, in that the correct meaning is revealed if it is read thus:

(the figures 1,2,3 stand for the intonational forms)
And like a 3 Persian # 3 mitre / on her 3 hed 2 she wore¹ ...

Two types of pitch are usually observed : (a) upturn pitch, frequently symbolized by the comma, (b) downturn pitch, frequently symbolized by the period or the semi-colon. An analyst has to remember that a juncture is not necessarily a pause. The classical definition that a comma indicates a little pause, a semi-colon a longer pause, and a period a long pause does not have any scientific value. Sometimes in poetry we may pause without any registered comma, (as between the fundamental subject, verb, complements of a sentence) or we may have a comma without any pause. Accordingly, an analyst is in need of other linguistic phenomena to substitute for punctuation marks as: junctures, word-boundary markers and cæsuras.

The following favourite example of K. Pike will demonstrate the structure of lines in relation to stress and junctures (double bar // and double cross #):

1. *The Quarterly Journal of Speech* XLIII (1957) 254.

English // is easy #

English // is very easy #

The English language // is very very easy #

If stress is given to *English* and *easy*, one finds the time between the two stresses equal, even though the material between them is different. Thus, the roles of stress and juncture are functional in English, not depending on the number of syllables or of morphemes.

In the following lines by Hopkins one finds a phonological phrase always with one primary stress, with at least one secondary or a tertiary stress; and, of course, highly variable unstressed syllables:

Glory be to God // for dappled things #

For skies of couple-colour // as a bended cow #

The above cited lines and the distribution of one stressed syllable in the environments of # — // or in // — # will show that no matter how the lines and syllables within them may be segmented, the junctures still show the quality of the time unity in English (isochronism).

Some poets, like Ransom, are rigid in their style and end each line with a terminal juncture (#); with no terminal junctures within the line. In most Ransom poems each structure group has the grammatical form of a sentence with the subject, verb, complements and ends with a double cross juncture¹.

As *stress* is a significant factor in English versification, and it is not dependent on word-boundaries, a few words may be said about it. In Persian poetry

1. By the term *syllable* I do not mean the classical sense of the term: *a sequence of phonemes making up at least one word*, but a vowel or a combination of phonemes separated by a pitch break.

word-boundaries coincide with transition or serve as the sources of alternants in order to shape the poetic rhythm. This variational element of stress in Persian gives the English observer the impression of meagerness and monotony; whereas to Persians, an English verse appears to be totally lacking in poetic or rhythmic pattern.

The only thing which matters in English is the different features of syllabics: the heavier and the lighter, a supra-segmental feature of stress; hence the stress in itself does not constitute any meter. Four degrees of stress in English may be characterized. Following Smith and Trager, Whitehall has recognized four degrees of stress — what he calls the *orchestration* of the poetic line. Whitehall characterizes the stress thus: a maximum ('), a major(·), a minor (^), and a minimal (u), which is left unmarked. They can be demonstrated thus:

The lōwîng hêrd / wînds slōwly / o'êr thê léa//¹

It is dangerous to use terms as foot, mora, open syllables, and closed syllables without identifying their function through operational definitions. If an analyst discovers a pattern and its distribution in a poetic message, then he may use any terms he wishes (even the classical terms); as long as he understands their

1. « English Verse and What Is Sound Like.» *The Kenyon Review* XVIII (Summer, 1956) 518. *Note:* In the *Conference on Style*, Whitehall answered Wimsatt that the idea of the five stress line has neither been in its history nor in its production. We have four degrees of stress: a zero stress which is always stressless and a variation of primary stress and weak stress which make four stresses altogether.

patterning. In Persian, for example, an analyst may introduce the term *foot* in relation to the length of a syllable or to time pause, but not in relation to the junctures or the stresses.

1.63 **Metric Systems and Metric Tendencies**

There are mainly four approaches to metrics; two of these are the literary and prephonemic; the rest constitute a mechanical approach which counts syllables and breaks up a verse into those units of various types traditionally called *feet*. It works well only with highly organized isosyllabic verse containing very few or no variations. The follower of this school becomes frustrated whenever he faces an iambic line with an extra foot at the beginning or an extra or an omitted syllable at the end. Yet it is useful to a linguist as long as he is not involved in counting syllables but working on the basis of time pause.

The main problem of metrics is the selection of certain units of a metrical pattern. The tendencies for the deletion or the addition of a unit do not happen at random. All poetic artistry or even enjambement should be detached from an individual but be related to the code. The second approach owes its being largely to Sidney Lanier's theory (in *The Science of English Verse*) that poetry is a kind of musical pattern. He has successfully recorded isochronous verse in a musical notation which counts the time intervals as well as syllables. In *Verbal Style: Logical and Counter-logical* W. K. Wimsatt introduces a third approach. He declares that meter is not so closely related to semantics as to the poetic pattern or to the *poetic*

frame of reference which in large measure allows for the extremes of metrical forms. In *Theory of Literature* Wellek and Warren examined the weaknesses of these three approaches to metrical theory and of the fourth technique, the one involving phonemic analysis, particularly of the supra-segmental phonemic patterns.

The latter is the technique that should be followed in the analysis of poetic structures. The four degrees of pitch will be combined with junctures: falling and fading, rising, sustentional, and interrupted normal transition.

They will be demonstrated respectively thus: #, //, /, + (or unmarked). Four degrees of stress will be recognized; namely, major /'/, tertiary /^/, secondary /·/ and unmarked; phonemically reducible to two stress phonemes for the analysis of poetic messages. This method may be termed the juxtaposition of traditional metrics and the supra-segmental analysis of verse.

In the analysis of a poetic message one should be concerned neither with the style of reading nor with such classical terminologies as a foot, mora, open syllable, closed syllable and other traditional prosodic terms not linguistically defined.

The poem, as a document, is lifeless until it is actualized in a phonetic pattern. The poetist should start his analysis with performance, not with the written text on the conventional basis or in any stylistic fashion of utterance. It is hard to agree with Ransom who states:

The best reading of a poem is the *silent one* where the reader keeps the written text before him and tries the various options in his imaginations.¹

We shall not be concerned with the different fashions in which a piece of poetry may be read. The concept of a pattern does not and should not vary from one style of recitation to another. On higher levels of interpretation, however, these are of first significance. The best method of discovering a pattern of a poem is to read it exactly like a piece of prose. The structure which comes out by this method of reading will reveal the pattern of that poem. One of the conventional factors causing trouble in reading poetry or in presenting different variants of a poem is the punctuation system of English. It often quite fails to guide the reader with any accuracy to the juncture, stress, and the word-boundaries of a poem.

This makes the poetry subject to various possibilities of recitation with different degrees of expressiveness. For this reason, in a modern approach to poetics,

1. The definition of a *foot* varies from one language to another. In English a foot is a section of speech rhythm containing stressed elements, and unstressed elements. In English the foot may be iambic X/, trochee / X, anapestic XX/, dactyl / XX, spondee//, or other feet which are not common. There is no reason that the foot should correspond with word-boundaries. In the following lines by Gray, words such as *curfew*, *parting*, *lowing* and *slowly* are dichotomized more according to the foot division rather than the word-boundaries:

The cur/few tolls/ the knell/ of part/ ing day
The low/ing herd/ winds slow/ ly o'er/ the lea.

the style of recitation is considered to be extralinguistic.

The study of metrics may be divided into two domains: (a) phonological constituents (syllabification, word-boundaries, stress, prosodic features like: pitch, intensity and duration), (b) syntactic constituents (such as word, sentence, and line in a classical sense). A metric utterance, a poem, can be considered a combination of shorter units like lines which may have a higher patterning in strophes or an internal amalgam of cæsuras, alliteration, assonance, consonance, and rhyme. In *Notes on Structural Analysis in Metrics*, Lotz discusses different metric patterns in various languages. He recognizes English metrics as belonging to the *dynamic type* having the following organization¹:

1. Three levels in units; namely, lines, strophes, and cycles.
2. Two determining positions in lines: (a) isosyllabic lines, (b) isodynamic lines in which the number of heavy bases is fixed.
3. The possibility of *free variation* or *tendencies*. e.g., deleting or adding a light syllable at the end or, on very rare occasions, at the beginning of a line.

The typological study of metrics yields this result that although every language has its own pattern of metrics, general metrics can be codified. From the phonological point of view three main types of metrics may be thus identified:

1. *Helicon* (1942), 132. Where the position of heavy and light bases can be determined by numerical orders.

- a. The quantitative type (as in Persian and Arabic)¹; an example of this type will be introduced at the end of this section
- b. The accentual type (as in English);
- c. The sonantal and consonantal type (as in Greek).

An analyst should remember, however, that the metric system may be a combination of two or even of three metrical types. In English metrics, for example, stress is dominant, but syntactic repetition contributes vitally to the total metrical scheme (the rhythm). The abstract metrical scheme is, of course, realized in the *rhythm* of metrics which may be interpreted as a combination of the general metric pattern and the prosodic system of speech. Jakobson calls it *organized violence perpetrated by the poetic form on the language*.

The Formalists have two interests in metrics : (a) the totality of phonemic phenomena, usually discussed under these headings: stress, pitch, length, etc., (b) such qualitative elements as alliteration, vowel harmony, assonance, consonance, rhyme, etc. To the Neo-Formalists the basic unit of verse rhythm is not the imaginary foot, but a verse line as a distinct phenomenon which Jakobson terms *rhythmico-syntactic* or *intonational-segment*.

The Neo-Formalists consider the factor of regular repetition to be a certain recurrent of glossic elements in a sequence. Lotz has classified repetitive phenomena under the following heads: (a) phonemic quantity like vowels in stressed and unstressed positions, (b) word-boundaries, and (c) internal constit-

1. P. N. Khanlari, *Tahghighe Enteghaadi dar Aruze Faarsi* (A Critical Study of Persian Prosody), Tehran, 1948, 11-12.

uents such as assonance, consonance, alliteration and rhyme. The crucial point is that a pattern of repetition should not necessarily be on the phonemic level, but it may be on morphological or on grammatical levels; also, phrase repetition, as the repetition of grammatical elements, can occur. An interesting application of this hypothesis is demonstrated in *Kamassian Verse*, where Lotz relates the grammatical category of Kamassian to the metric system of this language.

It may be concluded that a versified message can be analyzed according to the modern linguistic techniques in order to discover the pattern of a poetic message not only in its *macro-structure* but also in its *micro-structure*. Even literary figures, have advocated similar ideas to those of linguists when defining the *natural* quality of rhythm. In *Poetry and Imagination*, Emerson asserts:

Meter begins with a pulse beat, and the length of lines in songs and poem is determined by inhalation and exhalation of the lungs. If you hum or whistle the rhythm of the common English meters— of the decasyllabic quatrain, or the octosyllabic with alternate sexasyllabic, —you can easily believe these meters to be organic i.e., derived from the human pulse, and to be therefore not common to one nation but to mankind.

1.64 **Sample Analysis : The Structure of the Persian Sonnet**

Before reaching the end of this chapter, it seems relevant to present our conclusions by analyzing one Persian poem as a sample of poetic organization and

demonstrating two linguistic phenomena: (a) regular repetition, and (b) poetic orchestration.

Although length is not a phonemic entity in Persian, the Persian metric system is based on the *quantitative* type in which the phonetic duration of a syllable, i.e. a vowel or a combination of vowel with consonants, is counted. F. C. Anderias has discovered and reported that the metric type of Old Persian religious verses was *accentual*, not syllabic. At the same time one may be impressed with M. W. Henning's theory that the basis of Old Persian versification was neither syllabic nor quantitative, but was a type of accentuative system in which the quantity of the syllables had a minor function.

To demonstrate the overall pattern of one type of lyric poetry (*Ghazal*) in modern Persian, it is appropriate to present first the general structure of the *Ghazal* and then demonstrate the pattern of a single *Ghazal* by Hafiz.

I should hasten to say as a preliminary that a *foot* in Persian metrics is a non-linguistic portion of a verse occurring between two hypothetical parallel lines just to demonstrate structure. Neither the foot nor those parallel lines have any linguistic value; they are decorative but only vaguely and inefficiently structural.

The syllabification of Persian metrics can be better demonstrated if syllables are divided into two groups: (a) short units covering V, Cv, C#, Cv// (they are marked: U), and (b) long units covering

CVC, CvC, CV, Cvv, C \check{V} #, and Cv (they are marked:—)¹.

Then the nine following bases will be found permissible if the whole combination of any long unit (—) with any short unit (U) is examined in the Persian Ghazal:

I	U —	e.g. navaa	II	— U	e.g. caame
III	U U	e.g. hame	IV	— —	e.g. aavaa
V	U U —	e.g. khoshaavaa	VI	U U	e.g. benavaa
VII	— — —	e.g. nikaava	VIII	U — U	e.g. taraane
IX	— U —	e.g. khoshnavaa			

On the highest level of abstraction, all the variants and the tendencies of the Persian metric pattern of a *Ghazal* may be classified into the four following metremes in which no junctures or word boundaries are used (each line consists of sixteen vowels or syllables):

- 1, U — — — U — — — U — — — U — — —
- 2, — U — — — U — — — U — — — U — — —
- 3, — — U — — — U — — — U — — — U — — —
- 4, — — — U — — — U — — — U — — — U — — —

Our example, a *Ghazal* by Hafiz, can be written in morpho - phonemic transcription with juncture markers, stress, and the number of syllables in each line:

1. The capital (V) stands for a long vowel like aa, i, u, etc. and the small (v) stands for a short vowel like e, a, o, and (vv) stands for a vowel sequence.

1. zolf / aash¹ ofteo // khoy / kardeo // khandaan-
labo / mast #.

2. pirhan / caako // ghazal / khaano // soraahi
dar dast#.

3. nargesash // arbadejuyo // labash afsus / konaan#

4. nim(e) shab / mast // bebaaline / man aamad/
beneshast #

5. sar faraa / gushe // man aavardo // be aavaaze
hazin #.

6. goft // ei / aasheghe shurideye man // khaa-
bat / hast #

7. aasheghi raa // ke cenin // baadeye / shabgir
dahand #

8. kaafereshq / bovad // gar nabovad // baade
parast #

9. boro / ei / zaahedoo // bar dordkeshaan //
khorde / magir

10. ke nadaadan (d) / jozin tohfe // be maa ruze
alast #.

11. aance u / rikht / be peimaaneye maa //
nushidim #.

12. agar as / khamre / beheshto // agar as / baa-
deye // mast #.

13. khandeye / jaame meyo // zolfe / gerch gire//
negaar #.

14. ei basaa / to(u) be // ke con/to(u) beye// haa-
fez beshkast #.

1- /sh/ as in *shop* /j/ as in *judge*

/c/ as in *church* /ʔ/ for a glottal stop

/gh/ for the voiceless velar or uvular plosive phonemes.

/kh/ for the unvoiced velar or unvoiced uvular fricative as
in German *doch*.

The following poetic pattern (orchestration) is noted in the above cited Ghazal of Hafiz:

1. All seven lines plus the first verse of the first line end with / a consonant + a morpheme + ast /
2. Every line has two verses, and each verse ends with a double cross juncture i.e. #
3. Every verse contains three double bar junctures. i.e. //
4. Every verse consists of fourteen syllables, except No. 11. which contains 13 and No. 12 which has 15 syllables. The reason for this difference is, perhaps, that verse No. 11 contains *eight* long vowels; whereas verse No. 12 only contains *one* long vowel; so these two verses are also quantitatively equal.

If we ignore the poetic freedoms, (or as it is said in Persian, *ekhtiaaraate shaaeri*), in the above cited *Ghazal*, the poem will have the following rhythm (orchestration):

- | | |
|--------------------------------|----------------|
| 1. ---UU -- UU --- UU -- | (14 syllables) |
| 2. ---UU -- UU -- UU -- | » |
| 3. ---UU U--UU --UUU -- | » |
| 4. -U -UU U- UU -U -U - | » |
| 5. ---UU -- UU --- U -- | » |
| 6. ---UU -- UU-- U-- | » |
| 7. -(uu)-UU-- UU-- UU-- | » |
| 8. -(uu)-UU-- UU-- UU-- | » |
| 9. UUU-UU--UUUUU -- | » |
| 10. U-- U -- -- U ---(uu)-U -- | » |
| 11. ---U -- (uu) -- -- UU-13 | » |
| 12. UU-- UU -- UU--UU-15 | » |
| 13. -UU (uu) UU (uu)-UU--U -- | » |
| 14. -U -UU -- UU-- UU-- | » |

At the same time if one takes the poetic freedoms of the Persian *Ghazal* into consideration, one may come up with a unified pattern applicable to every line of the above *Ghazal* thus:

— / — — UU — — UU / — — UU / —

Again I must emphasize here that in this system the *feet* have no real linguistic value.

This has been a long and, as I hinted at its beginning, a somewhat repetitious chapter. However, to observe clearly the *sensitive plant* of poetry one needs to hack away the surrounding underbrush and weed-growth. This done, one can proceed to actual analysis of verse with some hope of success.

SECTION TWO

*Rhyme, Alliteration, Compounding Forms, and
Grammatical Classes in Poetry*

SECTION TWO

Rhyme, Alliteration, Compounding Forms and Grammatical Classes in Poetry

The chief purpose of the first section of the present paper is to introduce a linguistic theory through which the organization of a poetic message or the *orchestration*, as Professor Wellek calls it, can be described.

In the second section our main aim is application: we intend to demonstrate how the theory can be used to solve poetic problems and to reveal the organization of poetic messages. We intend to investigate two essential phonemic factors of repetition, viz., rhyme and alliteration and one morphological factor, viz; compounds and grammatical word classes.

Many literary critics have already faced problems in discovering the rhyme pattern of Emerson's poetry. Even American critics attacked Emerson for his carelessness in rhyming words which do not match phonetically. They even became courageous enough in attacking him to say that in two hundred pages of his poems, there are over several hundred mis-rhymes or imperfect rhymes.

The understanding is that in all cases of apparent imperfect rhyme, judgements are drawn on the

basis of our present habits of pronunciation; but Emerson's vowel system is not quite the same as any system in present American English. His mis-rhymes can be reduced to those rhyming pairs which are different in his own pronunciation. Problems of this type can be settled by an appeal to the history of Emerson's speech. In order to discover the origin of the New England dialect, the sound structure of Middle English and of Early Modern English will be taken into consideration. For example, rhymes which appear to be imperfect owe their imperfection to the fact that the vowel in one word of the rhyming pair is long, while the other one is short. In fact, pairs such as *eaten/threaten*, *sweat/heat*, *great/get*, *spreads/meads* and the like all contained homogeneous long front vowels in Middle English, and were then perfectly rhymed. This Middle English rhyme through Early Modern English development, however, remained valid, as an eye-rhyme even during early 19th century.

Sound patterns will be reconstructed through the phonemic system of Middle English and that of Early Modern English. We do not claim that Emerson never rhymed amiss; we hold, however, that statements like the one made by Stratton or the following one made by G. M. Robert are extremes¹.

Emerson's verse contains elementary faults of technique that Macaulay's boy of fourteen could have patched and mended—forced rhymes and arbitrary inversions.

1. *Emerson: A Study of the Poet as Seer* (New York, 1928),

We wish to claim that Emerson was aware of the technique, principles, and poetic licenses in euphony. If we fail to establish a relation between his imperfect rhymes and his sound pattern, then, and not till then, are we entitled to say that his rhyme is faulty. The present inquiry will apply tests to a large number of rhymes which at first glance appear to be *mis-rhymes*, but will suggest that many of them are *perfect* and good rhymes.

Peculiarities in rhyme are mainly concerned with the *vowels*; the effect of consonants on the rhyme is not significant. Four phenomena will be considered in the discovery of Emerson's sound pattern and in classifying his imperfect rhymes:

1. The usage of those poets who are his predecessors¹.;
2. The Middle English and Early Modern English vowel system and the effect of the two vowel shifts;
3. Documents left to us indicating the pronunciation of his time, including the testimony of occasional spellings;
4. The co-existence of New England *bourgeois* and southern *aristocratic* pronunciations in New England in the eighteenth century.

One should also remember that during the early 19th century in New England, there were words which had two pronunciations, both of which were acceptable. Emerson may use either form or both in

1. Henry Cyclic Wyld, *Studies in English Rhymes: From Surrey to Pope* (New York, 1924), pp. 2-11.

his rhyming pattern; but the one he prefers as being the more usual type is by no means always the one which is current now. Different pronunciations of one word were often used by many poets contemporary with him. A poet may employ rhymes which are traditionally used again and again in the verse of his predecessors. For example, unrounding of short /o/ — that is, the pronunciation of this sound as short /a/ — is left to us from Early Modern English; Emerson and his contemporaries often disregarded it as a license.

It is generally accepted by literary critics that *rhyme* and *alliteration* are only the most obvious manifestation of basic euphonic laws which have been closely related for centuries. The purpose for introducing a short history of rhyme is to show that these repetitive elements have been historically related. The corpus for the study of Emerson's rhyme and alliteration consists of two thousand lines.

A part of the present study is concerned with discovering whether Emerson employed a definite *rhyme-scheme* or shifted from one scheme to another at random. The scheme of his phonological repetitions, including rhyme and alliteration, will cover the following environments;

1. In final position
 - a. The repetition of v c v c
 - b. The repetition of v c
 - c. The repetition of v (assonance)
 - d. Artistic rhymes: cvc, visual rhyme, voiced consonants and the like,
2. In initial position:

a. The repetition of initial consonants and consonant clusters (c-)

b. The repetition of initial vowels (v-).

The repetition of phonemes in initial positions (*alliteration*) will be one of our main concerns in the present paper. We expect to prove that:

1. His poetry shows a tendency towards *alliteration*;

2. His use of *alliteration phonemes* in initial position appears to have a different frequency from the general occurrence of initial phonemes in his works;

3. There is also a possibility of relating *alliteration* to *meaning*.

The third part of our applicable study will be based on the morphological distribution of style, viz; (a) compounding patterns in his poetry (b) grammatical elements in his style.

1-0 Rhyme and its Phonological Distribution

Before investigating phonological style, we should make one point clear: that the study of style of any writer cannot be achieved unless an analyst has access to two phenomena: (a) *norms* of the language with which he can compare his data and (b) *data* on other English writers and their poetic devices. If we accept the definition of style as being *a deviation from the norm* (s), as the Formalists and the Prague School propose, then the present paper should be regarded only as a preliminary examination of style.

To Russian Formalists, rhyme, far from being a mere ornament, marks verse boundaries and thus serves to determine syntax, intonation, or even semantic function¹. Rhyme is one of the scissors of poetic perception which may be defined as a linguistic entity or the *repetition* of phonologically analogous elements arranged at regulated intervals. Rhyme need not necessarily be at the end of a line: *end-rhyme* or in one syllable (*masculine rhyme* as often found in English) but it may be in two syllables (*feminine rhyme* as in Spanish and Italian), in more than two syllables (Persian and its branches are generally given as the typi-

1. Harkins, «Slavic Formalists' Theories in Literary Scholarship,» *Word* VII (1951), 181-2.

cal example)¹, or may involve the repetition of homophonous pairs (*rich rhymes*). Lastly, a poet may violate the antique convention of rhyme and present his own patterning of the artistic device. In rhymed pairs one may distinguish the final consonant (s) : (a) after the accented vowels, and (b) after the unaccented vowels.

It is accepted by linguists and acousticians that the vowels, principally the accented vowels, carry the melody, stress, and tone quality of the whole ending and help to arrange the verse line into such large rhythmical units as stanzas or strophes.

Two thousand lines of Emerson's poems have been scanned in the hope of finding a general scheme in his rhyming system and of arriving at a statement about his mis-rhymes or imperfect rhymes. After presenting the structural definition of rhyme, the section may be outlined under the following heads:

- 1.1 A brief history of rhyme
- 1.2 Nature of rhyme
- 1.3 Poetic theory of rhyme
- 1.4 Emerson's rhyme pattern, its variation and its phonological freedoms
- 1.5 Discussions of imperfect rhymes

1.1 A Brief History of Rhyme

We are not, unfortunately, able to trace the paths of rhyme within any particular literature known to us. There are various hypotheses for the genesis of rhyme, of which some appear more plausible than others.

1. *Encyclopaedia Britannica* (Chicago, 1956), XIX, 479.

The earliest mention of rhyme is found in Aristotle, who considered it a rhetorical device, called it *homoeoteleuton* and discussed its use in the organization of periods as a device for making the extreme words of both members of a period like each other. He explained that rhyme must occur either at the beginning or at the end of each member¹. The oldest religious poems of the Chinese and the Arabs were mostly rhymed.

The *hymnological* hypothesis states that rhyme originated in the African church Latin of Tertullian in connection with choral singing in the early Christian churches and afterwards penetrated into secular poetry². Even Old High German and Anglo-Saxon *alliterative* verse, however, possess decorative rhyme possibly reflecting Latin influence through Keltic. For a long time, the hymnological theory was generally accepted; it has found some support from Byzantine rhymes.

Rhyme received its strongest impulses from the most brilliant poet of the Byzantine period, Romanus the Melode³. The fact that both Romanus and Synesius, another pioneer of rhyme, were born in the East suggests that rhyme might have come to Europe from Arabian sources.

In the eighth century Byzantine rhyme declined, chiefly because of the expansion of the *iconoclastic*

1. Aristotle, Opera; *Rhetoric*, III, 9, p. 141 oa.

2. S.W. Duffield, *The Latin Hymn Writers and their Hymns* (London, 1889), p. 44.

3. Romanus lived in Syria in the sixth century.

movement whose followers were puritanically antagonistic to any forms of ornamentation. Presumably the earliest poem in English in which rhyme occurred regularly was Conybear's rhyming poem of the late ninth century¹, but this is an experimental, and, for Anglo-Saxon, a unique poem. In English, rhyme — first via Keltic, later from Provençal via France — coexisted with unrhymed alliteration. Several centuries elapsed between the Old English and that fourteenth century Middle English verse in which rhyme was finally established as a regular practice. Even in the days of Chaucer (1340? -1400), alliterative verse existed and was more popular among the sub-aristocratic classes than rhymed verse.

The bourgeois classes of the North East Midlands, however, seem to have developed a taste for rhymed romances. In the opinion of some modern English scholars the idea that English rhyme originated in Latin church poetry is less acceptable than the idea that rhyme is derived from Arabic sources; even though Guest believes that *end-rhyme* was initiated in or through Old Keltic.

It appears that rhyme was used in English before Chaucer² in the Old Irish Lorica of Saint Patrick as early as 433 A.D³. In regard to the genesis of English

1. Edwin Guest, *A History of English Rhythm* (London, 1838) pp. 388-9, 394-5.

2. A manuscript of a poem of the time of Edward III found in Trinity School, Cambridge, with perfect end-rhyme all through the poem. See: Henry Lanz, *The Physical Basis of Rime* (London, 1931), pp. 106, 115, 118, 120, 125-6.

3. Whitehall, « Dawn at Tara, » Folio 23, (1958), 19-22.

rhyme, one may state that Latin contributed via the Goliardic lyrics and hymns; Irish contributed in the Old English period; and Arabic sources, via Provençal and Catalan, are definitely channels through which rhyme penetrated into English; of these three sources, the last appears the most significant.

George Saintsbury, the famous historian of English prosody, declares that rhyme appeared no one knows quite how, or why, or whence¹. We may conclude that the historical origin of rhyme is obscure; we are not able to lay a finger on any particular document that allows us to say: here is the place where rhyme appeared for the *first* time. It may be stated that no matter through what influence and at what specific time rhyme appeared, it always proceeded from more or less imperfect forms of terminal assonance (as in the Spanish *Cid*) to a more accurate repetition of sound.

Rhyme, as the element making *vowels melodic by repetition*, appeared first in brief phrases, largely as internal-rhyme and afterwards, reached the end of paired verse lines. It is clear that no European language originally used rhymes as a major structural factor of verse.

1.2 Nature of Rhyme

A poet has the ability to arrange his theme such as rhyme or alliteration or syntactic parallelism, to coincide with phonemic opposition. In the Slavic languages thematic contrasts can be highlighted by the use of different aspects of genders. Rhymes may hinge

1. Lanz, *op. cit.*, pp. 118, 131.

on similar derivational or grammatical suffixes or may emphasize certain sound features at the expense of others such as length, voicing, palatalization and other poetic elements.

Modern English prosody, making no allowance for imperfect rhyme, is willing to regard the visual rhyme as a legitimate license in poetic composition. Nearly every Shakespearean sonnet, judged by the standard of modern pronunciation, contains at least two visual rhymes, such as *loving/moving*, and the like.¹ These, however, may often be resolved as perfect rhyme when one knows the pronunciation of the period.

In *Music and Poetry* Sidney Lanier considers music as a species of language². Most of his ideas about the acoustic function of rhyme are correct, even though he appears to be misled in his conviction that musical quantity, not accent, is the basis for English verse. He inherits, of course, the concept -- stated by Walter Pater and espoused by all French symbolists except the later Mallarmé -- that all art aspires to the state of music.

The inherent vagueness of the acoustic theories and their association with the elements of mysticism made modern scholars reject the musical conception of rhyme, and apply a more scientific basis to it. W. Webbe, Dryden, W. Grimm, R. de la Grasserie, E. Guest, G. Saintsbury, and the Russian critics of the

1. In Byron and Shelley cases of visual rhyme are very frequent.

2. (New York, 1898), p. 81.

nineteenth century have pointed out, in different phraseologies, that *rhyme is not ornamental* but has the proper artistic function of organizing the poetic material into larger rhythmical units. In *Rhyme, Its History and Theory* V. Zhirmunski relates rhythm to rhyme and defines the latter as an acoustic repetition that carries a structure in the metrical composition of the verse¹.

Although the aesthetic validity of rhyme is undeniable, there has been an extensive attack on the use of rhyme—an attack which may be summed up as (a) rhyme hampers thought, (b) without rhyme a poet can express his thought in a briefer manner, (c) rhyme is a cheap, superficial, and mechanical device to escape from the difficulties of rhythm.

Lessing has convincingly defended the significance of rhyme, holding that those (such as the Bodmers) who are mercilessly antagonistic to rhyme wish only to avenge themselves for their own failure to master it. Moreover, he sympathizes with Haller and Gellert, who demonstrated that rhyme is an artistic device emphasizing the regularity of rhythm².

An absolute dichotomy of artistic devices, such as rhyme, into *structural* and *mosaic* (or *ornamental*) does not appear to be legitimate. Every poetic device has a certain degree of organization—a hierarchy of levels—although sometimes it may have a very loose pattern. In «Towards a Literary Analysis» Hill declares that rhyme in Japanese is neither *ornamental*

1. (St. Petersburg, 1923), p. 25.

2. Lanz, *op. cit.*, pp. 191, 302, 318.

nor *structural*, because this language permits only a very small number of sounds in final position and rhyme occurs everywhere¹. If a literary discipline is too easy, it is structurally ignored. In Keltic tradition rhyme appears highly systematic, whereas its structure seems loose (ornamental) in Old English and in Middle English. In the poems of Early Middle English poets, affected by the French system of versification, rhyme is combined with alliteration. In Early Modern English, rhyme was used with considerable looseness because of the vowel changes of the «Great Sound Shift» and true rhyme has gradually been diluted by visual rhyme, slant rhyme, consonance, and assonance. Dylan Thomas uses assonance as a recurrent device. The ill-fated Wilfred Owen repeats a vowel sometimes at the end of lines, and sometimes initially².

We may state that *rhyme* is a component of the phonological system of language; thus it should be related to other phonological features such as *alliteration*, *assonance*, and the like.

1.3 Poetic Theory of Rhyme

Emerson was quite familiar with the mechanisms of rhyme and, as a matter of fact, was an appreciator of rhyme. In the *Journals*, in his *Works*, and in

1. *Studies in Honor of James Southhall Wilson* (University of Virginia, 1951), p. 851.

2. A good deal of Chinese rhyme is true assonance.

his *Letters*¹ he makes several remarks about rhyme of which four examples are cited below in chronological order.

Emerson praises the natural rhythmic characteristics of rhyme, grand pindaric strokes, or the rhyme that vindicates itself as an art like the stroke of the bell of the cathedral.

In «Art» Emerson makes several statements relating *rhyme* to *rhythm*. In «Poetry and Imagination» he holds that periodicity or organization counteracts monotony. Architecture gives a like pleasure by the *repetition* of equal parts in a colonnade, in a row of windows, or in wings². We do not enclose, he adds, our watches in wooden, but in crystal cases, and rhyme is transparent—an ornamental frame that allows almost the pure architecture of thought to become visible to the mental eye³.

Emerson admires *organization* both in prose and in verse. In «Poetry and Imagination» he introduces symmetrical organization similar to rhyme, in the following short Biblical passage where the words *he, fell, bowed, down, and at her feet* are repeated seven, three and two times respectively:

At her feet he bowed, he fell, he lay down:

1. *Journals of Ralph Waldo Emerson*, ed. Edward W. Emerson (Boston, 1909); *The Complete Works of Ralph Waldo Emerson*, Centenary Edition (Boston, 1903); B. R. Ruck, *The Letters of Ralph Waldo Emerson* (New York, 1939) - subsequent reference to these editions will be listed *Journals, Works, and Letters* respectively.

2. *Works*, VII, 53; VIII, 47.

3. *Works*, VIII, 31, 52.

*At her feet he bowed, he fell: where he bowed,
There he fell down dead.*

The most significant points in Emerson's attitude toward rhyme are:

(1) The *wild* freedom of a poet should be attuned to the poetic sculpture¹,

(2) Rhyme is conceived as visual rather than auditory².

1.4 Emerson's Rhyme Pattern and Its Variations

To analyze Emerson's rhyme patterns, two thousand lines from his anthology, *The Centenary Edition, Poems*, were selected. In selecting the first one thousand lines preference was given neither to the form, the content, nor to the chronology of the poems. The second thousand lines were selected on the basis of chronology to indicate his rhyme pattern in the early, middle and last stages of his poetic career. In view of my nationality, I included «Bacchus,» and «Saadi», about 243 lines³. Two thousand lines is a convenient round figure to reveal his phonological tonality in percentages, and it represents about all one could handle in a study of this scope. Here are the sources⁴:

1. *The Holy Bible*, Song of Deborah, in Judges, 5.27. *Works*, VIII, 47—49.

2. V. Hopkin, *Spices of Form* (Cambridge, Mass., 1951), 119.

3. Both poems are presentations of the philosophy of Hafiz and Saadi, the most famous Persian mystics.

4. This table lists the titles of the poems and the number of their lines, and in subsequent references the poems will be cited by Roman numerals.

Poem Numbers	The Title	Lines	Poem Numbers	The Title	Lines
I	«Good Bye»	80	XVI	«Saadi»	176
II	«Each and All»	51	XVII	«Brahma»	16
III	«The Problem»	72	XVIII	«Meropa»	12
IV	«The Rhea»	75	XIX	«Waldeinsamkeit»	48
V	«The Visit»	30	XX	«Webster»	22
VI	«Uriel»	56	XXI	«Holidays»	20
VII	«The World Soul»	112	XXII	«The Apology»	20
VIII	«The Sphinx»	132	XXIII	«Suumcuique»	22
IX	«Alphonso of Castile»	82	XXIV	«Concord Hymn»	16
X	«Mithridates»	32	XXV	«The Ode»	40
XI	«To J. W.»	23	XXVI	«Boston Hymn»	88
XII	«Destiny»	50	XXVII	«Voluntaries»	122
XIII	«Guy»	50	XXVIII	«The Humble Bee»	63
XIV	«The Rhodora»	16	XXIX	«Woodnotes»	90
XV	«Bacchus»	67	XXX	«Monadnoc»*	367
			Total		2,000

* «Monadnoc» is the second longest poem Emerson ever wrote, second only to «May-Day» (514 lines).

The phonological analysis of these 2,000 lines shows that Emerson had a strong tendency to employ variant rhyme schemes. The following table indicates the general rhyme scheme of each poem, variations on the scheme, and final rhymes other than obvious perfect rhymes. The symbol «A» in the table stands for *auditory rhymes*, viz., rhymes which are true in New England in the 19th century pronunciation or in the general English pronunciation of his time. The *auditory rhyme*, viz., A, may be divided into two sub-classes: A₁ the auditory perfect rhyme, and A₂ those rhymes which differ by one or two phonological features. The A₂ sub-class includes the following pairs: (the linguistic criteria of these pairs can be introduced)

/ey/	rhymed with /iy/, e.g., <i>they/key</i>
/ey/	rhymed with /e/, e.g., <i>shade/head</i> and <i>displace/less</i>
/ɔ/or/ʌ/	rhymed with /əw/ or with /u/, e.g., <i>flood/stood</i> or <i>one/grown</i>
/iəh/	rhymed with /əh/ or /eh/, e.g., <i>year/were</i>
/ɔ/	rhymed with /əw/, e.g., <i>God/cloud</i>
/u/	rhymed with /uw/ or /ow/, e.g., <i>wood/rude</i> <i>good/abode</i>
/ɔh/	rhymed with bourgeois /o/, e.g., <i>road/broad</i>
/aw/	rhymed with /ow/, e.g., <i>cowl/soul</i>

The symbol «E» stands for an eye-rhyme or a visual rhyme—many of which were originally perfect rhymes in Middle English or in Early Modern English. E₁ indicates identity of spelling, E₂, variation in the presence or absence of final silent «e».

«S» stands for a slant rhyme, viz., a rhyme with (1) a variation in the final consonant, (2) variation of traditional « short» and «long» in the final vowel; «v/vl» stands for a rhyme of a voiceless consonant with a voiced consonant; and, finally, «D» for *Donnesque* rhyme viz., rhymes of stressed syllables with unstressed syllables.

In the following table, the *imperfect* rhymes are classified according to the above cited symbols.

Poem No.	General Schemes	Scheme Variants	Irregular Rhymes		
I	aa·bb....	ab-ab (2 paris)	come/home (E1)	ME. u/ow otherwise none	
II	aa-bb....	ab-ab (3 paris)	sky/deity (E1+D)	noon/Napoleon	(E1+D)
III	aa-bb....	none	wreath/breath (E1)		
			cowl/soul (A2+D)	Parthenon/zone	(E2+D)
			wind/mind (E1)	date/Ararat	(E2+D)
			shine/within (E2)	shear/air	(A2)
IV	aa-bb....	none	Augustine/line (A1+D)	both/contain/syn/	
			road/broad (A2)	gods/period	(D+S)
			all/shall (E1)	deaf/leaf	(A1)#
V	aa-bb....	ab-ab (3 ps.)	men/again (A1)	good/beautitude	(A2+D)*
VI	aa-bb....	--a--a(1p.)	state/that (E2)	otherwisene	
VII	--a--a....	none**	own/confusion (A2+D)	God/cloud	(A2)
			key/they (A2+E)	main/again	(A2)

Webster registered/divf/for «deaf»; *word Study* (February, 1945). P.8.

* The rhyme is the eighteenth century/u/with/uw/.

** A perfect rhyme-scheme will be revealed if two lines be counted as one line.

Poem No.	General Schemes	Scheme Variants	Irregular Rhymes
VIII	- - a - - a...	none	dame/I am (D) cheerfully/to me (D) name/beam (A2 + E2) stone/moon (A2)
IX	aa - bb...	none	you/mildew (A1 + D) wise/advice (V/V1) blood/Adamhood (E + A2) fellows/zealous (V/V1) over/lover (E1) #
X	aa - lb...	ab-ab (2ps.) - - a - - a (3ps.) and--a-a (2ps.)	none
XI	ab - ab...	- - a-b-b (3ps.) -- a - - a-a (4ps.)	Three stanzas begin with/set/, one stanza has neither a rhyme scheme nor a final rhyme, but « vowel harmony » appears to be substitution for final rhyme.
XII	aa - bb...	ab-ab (2ps.) a - a - a (2ps.) - a - - a (2ps.) and - - a-a - - a (3ps.)	generous/rose (E2 + D and V/V1) face/ways (V/V1) sodden/forgotten favour/good (S + D and A2)* (V/V1)
XIII	aa - lb...	none	year/were (A2) Polyerates/breeze (A1 + D)

This type of rhyme is from Pope.

* The rhyme is based upon the eighteenth century / eh / with / u /. See Matthews.

Poem No.	General Schemes	Scheme Variants	Irregular Rhymes			
XIV	aa-bb...	ab-ab (2ps.)	Solitude / woods	(A ₂ + D)		
XV	aa-bb...	ab-ab-b (2ps.)	Juice / Erebus	(A ₂ + D)	due / stature	(S + D)
		-a-ab (2ps.)				
		--a-a (7ps.)				
		and-ab-ba (4ps.)				
XVI	aa-bb...	ab-bc (2ps.)	town / alone	(A ₂)	head / comforted	(D)
		aa-a (2ps.)	eye / ecstasy	(E ₂ + D)	eyes / paradise	(A ₁ + D)
		ab-ab (2ps.)	stature / nature	(A ₁)	million / alone	(A ₂ + D)
			most / exhaust	(A ₂)	sun / contrition	(A ₁ + D)
XVII	ab-ab...		upon / persuasion	(E + D)	on / town	(A ₂)
			own / contradiction	(A ₂ + D)	sweat / sea	(S + E)
		none	abode / good	(A ₂)		
		none	none			
XVIII	ab-ab...	none	begone / lone	(E ₁)	noon / knew	(S)
XIX	ab-ab...	none	none			
XX	aa-bb...	none	none			
XXI	--a-a...	none	none			
XXII	ab-ab...	none	rude / wood	(A ₂)		
XXIII	aa-bb...	ab-ab (6ps.)	flood / stood	(A ₂)	stone / gone	A ₂ and E ₁
XXIV	ab-ab...	none				

Poem No.	General Schemes	Scheme Variants	Irregular Rhymes		
XXV	ab - ab...	- - a - - a (4ps.)	above	/move	(E1)
XXVI	- - a - - a	ab - ab (4ps.)	more	/war	(A1)
			God	/cloud	(A2)
XXVII	aa - ab...	a - - a (1p.)	message	/ease	(S1 + D)
XXVIII	ab - bb...	ab - ab (2ps.)	zone	/down	(A2)
			of the sun/dominion		(A1 + D)
			displace	/less	(A2)
			gloom	/come	(E2)
			dressed	/beast	(E1)
XXX	aa - bb...	ab - ab (16ps.)	time	/me	(E1)
		a - a - a (3ps.)	dark	/clerk	(A1)
		- - a - - a (4ps.)	cloud	/blood	(A2)
			flowed	/abroad	(E2 & S)
			shadow	/meadow	(E1)
			words	/affords	(E1)
			strong	/among	(E1)
			zone	/down	(A2)
			boughs	/louse	(V/V1)
			God	/cloud	(A2)
			waste	/passed	(E2)
			atmosphere/of air		(A2 + D)
			raise	/place	(V/V1)
			troubadour/face		(A1 + D)
			before		
			dark	/wark	(A1)
			present	/tense/	
			permanence		(A1 + D)
			head	/shade	(A2)
			prove	/Jove	(E1)
			stood	/flood	(A2)
			breath	/beneath	(E1)

Looking over these tables, we conclude that Emerson's rhyme scheme has a definite *structure* ; it appears that he liked to have *variant* schemes in one poem. The following table is devised to indicate the variety and the frequency of the rhyme scheme that Emerson employed in 2,000 lines of his poems:

Poem No.	Lines	aa-bb	ab-ab	--a--a	a-a-a-
I	30	26	4	—	—
II	51	6	45	—	—
III	72	72	—	—	—
IV	75	75	—	—	—
V	30	24	6	—	—
VI	56	44	—	12	—
VII	112	—	—	112	—
VIII	132	—	—	132	—
IX	82	82	—	—	—
X	32	18	4	10	—
XI	23	2	7	14	—
XII	50	32	4	10	4
XIII	50	50	—	—	—
XIV	16	12	4	—	—
XV	67	37	16	14	—
XVI	176	168	4	—	4
XVII	16	—	16	—	—
XVIII	12	—	12	—	—
XIX	48	—	48	—	—
XX	22	22	—	—	—
XXI	20	—	—	20	—
XXII	20	—	20	—	—
XXIII	22	10	12	—	—
XXIV	16	—	16	—	—
XXV	40	—	32	8	—
XXVI	88	—	18	70	—
XXVII	122	—	114	6	2
XVIII	63	59	4	—	—
XXIX	90	72	12	—	6
XXX	367	317	32	12	6
Other schemes	20	—	—	—	—
Total	2000	1,128	430	400	22

Thus, his rhyme schemes will yield the following occurrence frequencies in the whole corpus of the analysis:

aa — bb	1.128	55 %
ab — ab	430	22 %
— a — a	400	20 %
a — a — a	22	1.5 %
Other patterns	20	1.5 %
Total	<hr/> 2,000	<hr/> 100 %

1.5 Discussion of Imperfect Rhymes

There are so many attacks on his technique of versification that it does not appear possible to deal with all of them. For the sake of brevity, four of them will be summarized here:

(1) In *Ralph Waldo Emerson*, Oliver Wendell Holmes declares that though Emerson was a born poet, he was not a born singer¹.

(2) In *A Study of the Poet as Seer*, G. M. Robert comments that Emerson's verse contains elementary faults of technique that Macaulay's boy of fourteen could have patched and mended — forced rhymes and arbitrary inversions².

(3) K. A. McEuen has cited Emerson's difficulties of rhyme in this fashion:

(a) Emerson's mis-rhymes are not regular even

1. (Boston, 1884), p. 327.

2. (New York. 1928), p. 193.

in innovation.

(b) It is regrettable that, if he was going to break with poetic tradition, he did not go the whole way and write *vers libre*¹.

(c) He used faulty rhymes of one kind or another, the seriousness of his defects apparently depending upon what dictionary one consults and to what regional pronunciation the ear of the reader is accustomed.

(4) C. Stratton, a harsh critic of Emerson's rhyme, claims that he detected the presence of 800 false rhymes in 237 pages of his poetry² — an average of three false rhymes to a page. He declares that the alert eye and ear can readily find an occasional poor rhyme such as *slimy/lion* or *dreads/Arcades*.

Several other critical attacks of a similar kind have been made against his *imperfect rhymes*. The linguist, however, looks for *organization*; as an example of a linguistic approach, we may cite M. Camara's study of Brazilian imperfect rhymes. He finds that four tendencies and a few stylistic pronunciations affected the classical rhyme pattern and this accounts for imperfect rhymes that formerly appeared to be mis-rhymes to most Brazilian literary critics³.

The spelling of Modern English (in a semiphonetic alphabet of Late Middle English) causes a

1. F. I. Carpenter, *Ralph Waldo Emerson* (New York) 1930 pp. XII, XIII.

2. C. Stratton, «Emerson's Rhymes,» *Word Study*, December 1944), pp. 2—4.

3. «Imperfect Rimes in Brazilian Poetry, » *Word* II, No. II (1946), 131.

discrepancy between what the eye sees and what the ear hears. If a critic is visual-minded, he may be satisfied with the rhyme: *flood/food*; but if he tends to hear internally what he reads he will feel the discord.¹

Moreover, many poets, Emerson included, find conventional final-rhyme monotonous. They deliberately revert to poetic freedoms or rhyme licenses, assonance, near rhyme, or to use J. Ingall's terminology, chromatic rhyme²; one may cite as an example the poems of John Crowe Ransom.

We may conclude that Emerson was not incapable of composing regular traditional rhyme; that, in fact, he deliberately avoided it and used a variety of rhyme schemes and non-true final rhymes to show his skill. His disinterest in classical poetic conventions is reflected in «Merlin»:

He shall not his brain encumber
With the coil of rhythm and number;
But, leaving rule and pale forethought,

1. Wordsworth and his follower Emerson, followed their ears in rhyme as in «one» and «sun»: (*wán, sùn*) but went astray in a visual or «eye rhyme» where «one» goes with «stone» as in Wordsworth's poem «Lucy» or in several of Emerson's poems.

2. Ingalls proposed this term for the recurrence of sound to cover consonance, alliteration, and apocopation. He reports that one observes this in Chinese poetry, in Emerson's, Dickinson's and Hopkins' poems up to the elaborate use of it in Eliot, Wallace Stevens and Auden. He adds that some of the peculiar richness of Shakespearean and Miltonic blank verse, or so-called *unrhymed verse*, comes from chromatically rhymed. See: Jeremy Ingalls, «Chromatic Rhyme,» *Word Study* (October, 1949), pp. 1-2.

He shall aye climb
For his rhyme¹.

One should remember meanwhile that most of his rhymes, about 88.2 per cent, still fall into the framework of traditional final rhyme. In our corpus, «Mithridates», «To J.W.», «Merope», «Webster», «Holidays», «Suumcuique» and many others, have perfect final rhyme; «Good Bye», «The Visit», «The Rhodora», «The Ode», and «Brahma» show only one aberrant; some others have three, four, and a few of them even more. Emerson's chief tendencies can be summarized under four or five *licenses* (parenthesized above in the table).

In fact very few masters of English versification have completely followed the classical conventions of rhyme; even Edgar Allan Poe,² fanatic master of artistic devices and organization, refused to follow traditional rules. W. L. Werner reports that Poe in his best poems uses five identical rhymes, sixteen eye-rhymes, and thirty-five irregular rhymes--a total of fifty six in twenty-seven short poems.

It is often stated by the classical literary critics that an imperfect rhyme is a *bad rhyme*. Even if we accept this statement simply for the sake of discussion, we should bring into account several other factors which may make a rhyme imperfect. In *Studies in English Rhyme from Surrey to Pope*, H.C. Wyld asserts that it is scarcely possible to conceive a conspiracy among poets to spoil their verse by adopting bad or imper-

1. *Works*, IX, 121.

2. «Poe's Theories and Practice in Poetic Technique», *American Literature* II, 160.

fect rhyme. The popular poetry of all languages contains numerous illustrations of so-called imperfect rhyming often even more effective than mechanical final rhyme. The Russian heroic *bylina-epos* contains examples of rhyme artistries¹. A linguist may, therefore, feel reluctant to agree either with H. P. Biddle who asserts:

It is impossible to have any definite rules for rhyme.... because some of the best poets have been the worst rhymers, and some of the worst the best.²

or with J. Lynch who holds: «An analyst is concerned with what a poem *is*, not with what it *was* at the time of its composition³.

Our two main concerns with Emerson's rhymes are:

(a) to find the *basis of his irregularities*, and (b) to consider the pronunciation of his period. This explanation is elaborated in a separate study which I have discussed with American and British authorities in the field.

The analysis of two thousand lines of Emerson's poetry yields results which can be thus summarized:

1. He shows a tendency *to vary* both his rhyme scheme and final rhymes, particularly in long poems.

2. Three rhyme schemes, i.e., aa—bb, ab—ab and -a-a cover 97 per cent of his lines, of which aa—bb by itself has a definite preponderance.

1. *Ibid.*, p. 91.

2. «The Analysis of Rhyme,» *Prose Miscellany* (Boston, 1867) p. 74.

3. The Tonality of Lyric Poetry,» *Word* IX (1953), 212.

3. 88.2 per cent of his rhymes are *good* ear rhymes; the remaining 11.8 per cent reveal his use of the following linguistic or poetic features:

a. His idiolect accounts for about 50 per cent (47.1 per cent)¹.

b. The use of visual rhyme or *eye-rhyme*, 22.8 per cent;²

c. *Slant* rhymes, 8.9 per cent;

d. Pairing of *voiced with voiceless* consonants, 8.9 per cent;

e. Rhyming of *stressed with stressless syllables*, Donnesque rhyme, assonance, the repetition of one phoneme at the beginning of lines (a substitute for rhyme, as in « To J.W. ») and others including loose rhyme, 12.3 per cent.

Now one may note the importance and the necessity of investigating his pronunciation; otherwise

1. In « Emerson's Rhymes, » *American Literature* XX (1948) 20-31, K. A. McEuen maintained that if New England pronunciation of Emerson's day be considered the following pairs will be perfectly rhymed: *haunted / dischanted, obeyed / gainsaid, vaunt / chant, breath / mirth, arm / psalm, and the like*.

2. We agree with Stankiewicz that sometimes imperfect rhyme serves as a kind of « *expressiveness* ». A number of English poets, even twentieth century American poets such as T.S. Eliot and J.C. Ransom, employed visual rhyme as a deliberate poetic device.

more than 50 per cent of his auditory rhymes (including many of his visual rhymes) would lack criteria. The following table will demonstrate his tendencies in final rhyme and the occurrence frequency of his tendencies both in relation to themselves and to the total corpus of the present analysis.

Deviants	Percentage of Irregulars	Percentage of 2000 Lines
A ₁ , A ₂ , A + D, and A + S	47.1	5.2
E ₁ , E ₂ , E + D, E + S, and, E + A	22.8	2.9
S, and S + D	8.9	.9
V/Vl	8.9	.9
D, others, and loose rhymes	12.3	1.9
Total	100.0	11.8

PART TWO

Alliteration as a Poetic Device

2.0 It is already posed elsewhere that poetic phonology covers rhyme, assonance, alliteration, and rhythm; thus they are all based on phonological features. In *A History of English Versification*, Jakob Schipper asserts that out of the various possibilities of likeness there arise three chief kinds of rhyme in its wide sense: *alliteration*, *assonance*, and *end-rhyme*.¹

The chief purpose of the preceding part was the study of vowels in rhyme pattern; in this part we will concentrate on the *consonants in initial position*.

The following points will be discussed in brief:

- 2.1 The phonological aspect of alliteration
- 2.2 Alliteration in two thousand lines of Emerson's poetry
- 2.3 Distinctive feature analysis in alliteration
- 2.4 The relation of alliteration to « *meaning* »

2.1 The Phonological Aspect of Alliteration

The line in Anglo-Saxon verse consisted of four beats divided into two cadences of two beats each separated by a pause. The initial consonants of the

1. (Oxford, England, 1910,) p. 12.

third beat set the alliterative pattern of the line¹. In Anglo-Saxon many lines are found to have one of these types: either the first three accented verse-sounds begin with the same consonant-colour, or with some vowel colour or the second and the third accented sounds begin with the same consonant-colour, or with some vowel colour². Thus in Meredith's *Love Is the Valley* we have an almost perfect modern example of the Anglo-Saxon pattern with alliterative *head rhyme*—as Lanier calls it—on the second and third beats such as:

Shall the bird in vain then valentine their sweethearts.

An interesting aspect of alliteration in Old English is the mutual effect of this phonological factor on the syntactic structure of verse. In Old English two distinct pauses occur in every alliterative line, one between the first and second hemistichs, the other at the end of the line. The hemistichs must contain such parts of the sentence as belong closely together; and such coherent parts must not be separated from one another by the cæsure.

The set system of alliteration vanished from English versification as rhyme was introduced structurally into English. Chaucer, with his «ram, ruf», made fun of alliteration. Shakespeare's jokes on alliteration in «raging rocks with shivering shocks» and in the «preyful, princess, pieces... » of *Love's Labors Lost* are

1. Robert Hilcyer, *First Principles of Verse* (Boston, 1938), p. 23.

2. Sidney Lanier, *The Science of English Verse* (New York, 1892), p. 310.

well-known. Milton, who was a master of alliteration¹, employed it very effectively, as the repetition of one sound, mostly a fricative and a plosive, as many as six times in a line.

The two-beat principle, in which each of the two accented syllables, remained valid several centuries. The writing of King James VI contains several examples analogous to the following distich (i.e., a long line):

*Fetching fude for to feid it fast furth of the
Farie*².

In his *Elements and Science of English Versification*, William Jones finds alliteration in marked abundance in such poetry as Whittier's «Among the Hills» , Longfellow's «The Saga of King Olaf», Lanier's «Ireland», Emerson's «Saadi», «Voluntaries», and elsewhere.³

Alliteration, in fact, acts as a powerful drum in the melody of verse. It emphasizes the musical phrase within the verse; helps us to delimit the word boundaries; and acts as the completion of the time interval. Alliteration has a common function with assonance, but a different aesthetic value, because alliteration is of rhythmical origins. A study has been made of John Crowe Ransom's poetry in which alliteration is considered to be *structural*. The justification for this claim appears to be the occurrence of 676 alliterative pho-

1. Hillyer, *op. cit.*, p. 23.

2. Schipper, *op. cit.*, p. 19.

3. (Buffalo, 1897), p. 40.

nemes in 1,440 lines of Ransom's poetry.

I am hesitant to employ the term *structural* for the similar situation in Emerson's alliteration. It appears that the marked frequency of occurrence (in Emerson's alliteration the proportion of alliteration to the number of lines is 54.3 per cent and in Ransom's it is 46.8 per cent) can only be considered as a factor if it is accompanied by a regular distributive pattern; otherwise mere frequency of occurrence does not appear to be a sufficient justification for calling alliteration or any poetic device *structural*. The following examples will show how Emerson used alliteration:

In «Uriel,»

Or from fruit of chemical force.

In «The World Soul»,

Still, still the secret presses

In «Saadi».

For Saadi sat in the sun

And yet his runes he rightly read

Flee from the goods which from thee flee

Sun rise and set in Saadi's speech

Nor scour the seas, nor sift mankind

Saadi, see! they rise in stature.

In «Voluntaries»

The strong they slay, the swift out stride

In «Monadnoc»

No sir survive, no son succeed

To sound the science of the sky

Toil and tempest are the toys
Zion or Menu, measure with man

In the present study *visual alliteration* has not been considered significant, even though *eye-rhyme* was recognized as a legitimate poetic device in his rhyme pattern. We have to remember, therefore, that we may have alliteration when the letters are different as :

The sea that doth exceed his banks,
but we may not necessarily have alliteration where letters *are* the same:

The harp not honoured with a song¹.
in which the «h» in «harp» does not alliterate with silent «h» in «honoured».

The repetition of any word-initial phonemes in the following environments will be called alliteration:

1. The repetition of consonant before a stressed vowel (consonant alliteration)
2. The repetition of stressed v- (vowel alliteration)
3. The repetition of a c- or a v- on the vertical dimension, i. e. in successive lines.

2.2 Alliteration in Two Thousand Lines of Emerson's Poetry

It is interesting to note that the total frequency of consonants in prose or poetry has an absolutely different distribution from that of initial consonants (and only initial consonants can be used for allitera-

1. Lanier, *op. cit.*, p. 309.

tion). In «The Tonicity of Lyric Poetry»¹, Lynch shows that in the poems of Keats, Hayden, and Dewey the phonemes /r/, /n/, /t/ and /s/ have the highest frequency of occurrence.

In «Phonological Aspect of Style: Some English Sonnets»², Dell Hymes has analyzed twenty sonnets of Keats and Wordsworth in Lynch's manner. Hymes' table lists the most frequent consonants in this order: /r/, /n/, /t/, /l/, /s/, /d/, and /m/. The study of non-literary messages also yields a similar result. R.H. Hayden has analyzed a series of six lectures, given in the English Language Programme at the University of California, and found out that in 65,122 phonemes, the following consonant phonemes have the highest frequency of occurrence: /n/ 5,179, /t/ 4,947, /r/ 4,925, /s/ 3,186, /l/ 2,377, etc³.

The following table shows the distribution of alliterating consonants in 2,000 lines of Emerson. The horizontal rows list the alliterative occurrences of phonemes in each poem,⁴ and the vertical lines list the titles of the poems, their line numbers, and the occurrence of each alliterative phoneme in the whole corpus.

1. *Word* IX, No. 3 (1953), 211-225.

2. (Not published), submitted to the Conference on Style. (Indiana University, Bloomington, 1958).

3. «The Relative Frequency of Phonemes in General American English,» *Word* VI (1950), 219-221.

4. Two repetitions of a single phoneme in initial position is counted as one alliteration, three repetitions as two, and four repetitions as three alliterations. Our corpus does not include five repetitions of a single phoneme in initial positions.

The Poems	Number of Lines	p	b	d	k	g	m	f	v	s	δ	r	l	h	w	Total
«Good - Bye »	30	—	—	—	2	4	2	4	—	4	4	—	—	2	—	22
«Each and All »	51	2	2	—	2	—	—	—	—	14	—	—	—	—	4	24
«The Problem »	72	2	6	—	—	4	—	6	—	8	—	—	4	2	2	34
«The Rhea »	75	—	2	2	—	4	4	8	—	6	2	4	—	4	—	38
«The Visit»	30	—	—	2	—	—	—	—	—	2	—	—	—	2	—	6
«Uriel»	59	—	4	2	—	—	—	—	—	10	2	—	—	—	—	18
«The World Soul»	112	—	2	—	—	2	4	2	—	18	—	—	—	2	8	38
«The Sphinx»	132	6	—	2	—	—	6	4	—	14	—	—	—	—	—	32
«Alphonso of Castile»	82	4	2	—	2	4	—	4	—	14	—	2	4	—	—	36
«Mithridates»	32	—	—	—	—	4	8	4	—	—	—	2	—	—	—	18
«To. J. W.»	23	—	—	2	—	—	—	4	—	—	—	—	—	—	4	6
«Destiny»	50	—	2	—	2	—	6	—	—	2	—	—	—	—	—	12
«Guy »	50	—	2	—	2	—	4	6	—	10	—	—	—	2	4	30
«The Rhodora»	16	2	4	—	2	—	—	2	—	6	—	—	—	—	2	18
«Bacchus »	67	2	2	4	—	4	4	—	2	6	—	—	—	—	20	40
«Saadi »	176	—	2	2	2	4	4	10	—	44	2	4	—	2	6	72

The Poems	Number of Lines	p	b	d	k	g	m	f	v	s	δ	r	l	h	w	Total
« Brahma »	16	—	—	2	—	—	—	4	—	6	—	—	—	—	—	12
« Merops »	12	—	—	—	—	—	—	2	—	4	—	—	—	—	—	6
« Waldeinsamkeit »	48	4	—	—	2	—	2	6	—	6	—	—	—	—	—	20
« Webster »	22	2	—	2	—	2	4	2	—	—	—	—	—	—	—	12
« Holidays »	20	—	—	—	4	—	2	2	—	—	—	—	—	—	2	8
« The Apology »	20	—	2	—	—	4	—	4	—	—	—	—	—	—	—	10
« Suumcuique »	22	—	2	—	—	—	—	—	—	2	—	—	2	—	4	8
« Concord Hymn »	16	—	—	—	—	—	2	—	—	12	—	—	—	—	—	14
« The Ode »	40	4	2	—	—	—	4	10	—	6	—	—	—	—	4	30
« Boston Hymn »	88	—	—	—	2	—	2	2	—	6	—	—	—	6	4	22
« Voluntaries »	122	8	4	6	6	2	—	10	2	40	—	—	—	2	10	90
« The Humble Bee »	63	2	6	—	2	2	—	—	—	10	—	—	—	2	2	26
« Woodnotes »	80	4	8	—	8	4	2	16	—	20	—	—	2	8	12	84
« Monadnoc »	367	6	14	4	14	4	24	38	—	76	—	8	6	18	2	234
Total	2000															1.020

Other consonants have 24 occurrences thus: /v/ eight, /t/ six, /θ/ four, /c/ two, and others four. The vowels have a low degree of alliterative occurrence; they occur only 38 times in our corpus in which /a/ covers 60 per cent of all the vowel alliteration.

The following table will shed more light on some dark areas of alliteration in relation to total lines and to the alliterated lines. In 2,000 lines of his poetry 1,066 alliterating forms are listed. In other words, over fifty per cent of his lines contain at least one instance of phonemic repetition in initial position.

Rank	Phonemes	Number of Alliterations	Alliterations of 2,000 Lines	Alliterations of 1,066 Cases
1	s	352	16.4	32.5
2	f	138	7.0	12.9
3	w	108	5.3	9.9
4	m	82	4.3	7.7
5	b	66	3.4	6.2
6	h	50	2.6	4.6
7	p	48	2.4	4.4
8 - 9	k	46	2.4	4.3
8 - 9	g	46	2.4	4.3
10	d	30	1.8	2.8
11	r	20	1.2	1.4
12	l	16	.8	1.3
13	ð	10	.6	.7
14	v	8	.4	.6
15	<i>Other consonants</i>	24	1.2	2.1
16	Vowels	38	2.1	4.3
Total		1,082	54.3	100.0

Since only initial phonemes can alliterate, it appears relevant to compare the general frequency of initial consonants with that of phonemes used in alliterative forms of Emerson's poetry. Therefore, a corpus of about three thousand initial consonants has been examined in twelve of his poems: namely, «Good - bye», « Each and All», « The Problem», « The Rhea», «The Visit», «Uriel», «The World Soul», «The Sphinx», «Alphonso of Castile», «Mithridates, « To J.W.,» and «Destiny.»

The following table shows both the number of all occurrences and the percentage of the consonants in initial position. I should hasten to add that /ð/ holds the first rank among the consonants with a marked high frequency, mostly due to the fact that initial /ð/ occurs in the following very common morphemes: *the then, this, that, thee, though, they, thou, thy*, etc.

Rank	Phonemes	Number of Occurrences	Percentage
1	ð	408	13.6
2	h	266	8.9
3	w	252	8.4
4	s	247	8.3
5	b	216	7.3
6	f	202	6.8
7	m	182	6.1
8	k	152	5.0
9	n	142	4.7
10	t	138	4.6
11	l	134	4.4
12	d	115	3.8
13	g	114	3.8
14	p	112	3.7
15	r	82	2.7
16	y	60	2.0
17	sh	50	1.7
18	θ	49	1.6
19	v	29	0.9
20	c	27	0.9
21	j	20	0.7
22	z	3	0.1
Total		3.000	100.0

The following comparative table is devised to show the difference of frequency (and rank order, in parentheses) of phonemes: (a) in all positions, (b) in initial position, and (c) in alliteration. This table suggests that the phonemes preferred in the alliterative positions are not exclusively those of higher general initial frequency.

We note that /n/ and /t/ which have high frequencies in general, and a middling frequency initially, were never alliterated. The phonemes /r/, /l/, and /d/ which also have a high frequency in general have a lower frequency initially, and consequently in his alliteration. Moreover, we note also that /w/ keeps rank three in his alliteration with a frequency of 9.9 per cent, initial position in general, whereas this phoneme goes down to number 16 in all positions with a low frequency of about 1.7. per cent. The frequencies of /s/, /f/ and /p/ are somewhat higher in alliteration than initially in general, whereas /h/, like /ð/, is somewhat lower (perhaps for similar reasons, since words like *he*, *her*, *him*, *how*, *who*, etc. account for many occurrences of initial /h/.) It is worth noting that all labial consonants have either the same or high rank in alliteration as compared with general initial frequency.

Rank in Alliteration	Consonant Phonemes	Alliterative Forms	Consonant Phonemes	Consonant Initials	Consonant Phonemes	Alliteration Positions
1	s	32.5	s	8.3(4)	s	6.2(7)
2	f	12.9	f	6.8(6)	f	5.0(9)
3	w	9.9	w	8.4(3)	w	1.7(16)
4	m	7.7	m	6.1(7)	m	5.0(3)
5	b	6.2	b	7.3(5)	b	2.6(14)
6	h	4.6	h	8.9(2)	h	2.2(15)
7	p	4.4	p	3.7(14)	p	3.3(13)
8	k	4.3	k	5.0(8)	k	4.8(10)
9	g	4.3	g	3.8(13)	k	1.2(17)
10	d	2.8	b	3.8(12)	d	6.4(5)
11	r	1.4	r	2.7(15)	r	7.6(3)
12	l	1.3	l	4.4(11)	l	7.2(4)
13	ð	0.7	ð	13.6(1)	ð	6.4(6)
14	v	0.6	v	0.6(19)	v	3.7(12)
15	Others	6.4	t	4.9(10)	t	10.3(2)
			n	4.7(9)	n	10.3(1)
			y	2.0(16)	y	4.4(11)
			sh	1.6(17)	sh	.9(18)
			Θ	1.6(18)		
			Others	1.7	Others	10.3
		100.		100.0		100.0

2.3 The Distinctive Feature Analysis of Alliteration

The above table may be studied from the standpoint of distinctive features. According to Jakobson's technique¹ the phonemes may be broken into the inherent distinctive features which are the ultimate signals. The phonemes which have not been used in the alliterative system of Emerson's poetry are omitted from the lists. The horizontal rows of the following table list the relation of the distinctive features to the phonemes; the vertical columns indicate the frequency of occurrence of each phoneme:

1. Roman Jakobson, C. Fant, M. Halle, *Preliminaries to Speech Analysis: Its Distinctive Features and Their Correlates* (Mass., 1955).

Distinctive Features	s	f	w	m	b	h	p	k	g	d	r	l	δ	v	a	i
Compact/Diffuse	32.5 —	12.9 —	—	7.7 —	6.2 —	—	4.4 —	4.3 +	4.3 —	2.8 —	—	—	.7 —	.6 —	1.8 +	.6 —
Grave /Acute	32.5 —	12.9 +	—	7.7 +	6.2 +	—	4.4 +	—	—	2.4 —	—	—	.7 —	.6 +	1.8 +	.6 —
Nasal/Oral	32.5 —	12.9 —	—	7.7 +	6.2 —	—	4.4 —	4.3 —	4.3 —	2.8 —	—	—	.7 —	.6 —	—	—
Tense/Lax	32.5 +	12.9 +	9.9	—	6.2	4.6 +	4.4 +	4.3 +	4.3 —	2.8 —	—	—	.7 —	.6 —	—	—
Continuant/Interrupted	32.5 +	12.9 +	—	—	6.2 —	4.6 —	5.4 —	4.3 —	4.3 —	2.8 —	1.4 —	1.3 +	.7 —	.6 +	—	—
Strident/Mellow	32.5 +	—	—	—	—	—	—	4.3 —	4.3 —	—	1.4 —	1.3 —	.7 —	.6 —	—	—

The analytical study of the alliterative phonemes of Emerson's poetry in relation to six relevant distinctive features yields the following data:

1. Emerson shows a marked tendency toward the oral feature (90.9 per cent) and a marked tendency away from nasality (9.1 per cent).
2. One finds a tendency toward diffuseness (87.4 per cent), tensity (71.2 per cent), continuity (71.5 per cent), and stridence (75.5 per cent); as opposed to the compact (12.6 per cent), lax (28.8 per cent), interrupted (28.5 per cent) and mel-low (24.5 per cent features).

The following table lists the percentage frequency of the binary distinctive features in the alliterative forms of two thousand lines of Emerson's poetry with his alliterative favour:

Distinctive features	Alliteration		General initial consonants		Alliterative favour
Compact/Diffuse	87.4 —	12.6 +	79.8 —	20.2 +	—7.6
Grave/Acute	51.1 —	48.9 +	62.1 —	37.9 +	+11.0
Nasal/Oral	90.9 —	9.1 +	85.1 —	14.9 +	—5.8
Tense/Lax	28.8 —	71.2 +	42.2 —	57.8 +	+13.4
Continuant/ Interrupted	28.5 —	71.5 +	45.1 —	54.9 +	+16.6
Strident/Mellow	24.5 —	75.5 +	74.3 —	25.7 +	+49.8

We conclude that Emerson shows a tendency towards alliterative phonemes with *grave, oral, tense, continuant, and strident qualities*, rather than the compact, acute, nasal, lax, interrupted and mellow features. So far as the use of distinctive feature analysis in general initial position versus alliterative forms is concerned, an exact parallel has not been noted. In the case of compact/diffuse, nasal/oral the distributional differences between initial consonants and alliteration is not great; whereas in the case of grave/acute, tense/lax continuant/interrupted, and particularly in the use of strident / mellow (the mellow feature has the frequency of 74.3 per cent in general initial position but it has just the frequency of 24.5 per cent in his alliteration) the difference appears to be quite significant. In other words /s/ occurs in initial position less than one would expect.

2.4 **The Relation of Alliteration to Meaning**

For a long time linguists have been interested in the relation of *sound to meaning*. In «Rime, Assonance, and Morpheme Analysis,» Dwight Bolinger suggests examples in which a phoneme sequence may be associated with a vague pattern of meaning, e.g., /gl/ may indicate *phenomena of light*, as in: *glitter, glow, glare*, etc. and /fl/ may represent *phenomena of movement* such as: *flow, flare, flood*, etc¹. The use of *rust, crust*, and *dust* evinces the notion of *surface formation* but with the suffix /y/ the resulting «-usty» in *rusty, crusty, fusty*, and *dusty* gives several clearcut synonyms for *old*.

1. *Word* VI (1950), 117, 118, 120.

In this part we will make another attempt to classify phonetic features and relate them to *content*. From the phonological level we may consider the semantic level and look for the possibilities of reconciling *content* with *form*.

The foregoing pages have shown the distribution of the phonemes in Emerson's alliteration and his tendency to prefer /f/ and /w/. Two examples will be cited below to indicate the relation of his *phonology* to *meaning*.¹

1. In «Bacchus», the occurrence of the phoneme /w/ in the alliterative positions covers 47.9 per cent of all the alliterative occurrences in this poem. In no other of his poems has alliterative /w/ such a marked frequency. So far as our corpus is concerned, of thirty poems fourteen do not contain any /w/ in the alliterative position; in the others /w/ ranges in frequency from 8 to 14 per cent. Now we may consider such a high occurrence of /w/ in «Bacchus» as an *intentional or artistic device*. One may justifiably argue that it cannot be a mere matter of accident. The hypothesis is that Emerson used this device—the alliteration of /w/—in «Bacchus» to relate this phoneme to the concept of *wine* which has /w/ in its initial position.

2. The other noteworthy example in the corpus is the alliterative use of /s/ in «Saadi». Although /s/ has the highest occurrence in Emerson's alliteration, its repetition in «Saadi» is particularly significant. Not

1. Many other examples may be discovered in which Emerson relates alliterating sounds to meaning. Perhaps the use of twenty-two /m/ in «Monadnoc», which is a unique instance of the high frequency of /m/, is another example of this kind.

all his poems have alliterative /s/; in «To J. W.», «Destiny», «Webster», «Holiday», «The Apology» there is not even one alliteration of this phoneme. In his poems alliterative /s/ has a frequency varying from zero to 48 per cent. It is interesting to note that in «Saadi», which contains 176 lines, the phoneme /s/ is alliterated 44 times, sometimes twice and sometimes even four times in one line. This seems to be intentional. One obvious conclusion is that Emerson alliterated /s/ because of the initial consonant of the name of the Persian Sufi, «Saadi».

2.5 Discussion

The study of alliterative form in Emerson's poetry enables us to make the following statements:

1. In his poetry alliteration is not considered to be structural, even though its frequency is very high for a mosaic device.

2. It is notable that sometimes he substitutes *alliteration* for *rhyme*. e.g., in the poem «To J. W.».

3. Although the distributional scheme of his alliteration does not show any definite pattern in his poetry, it occurs in 54.3 per cent of his lines.

4. As the frequency of initial consonants appears to be similar to that of alliteration, some germane differences should be also noted. In initial position the phoneme /ð/ keeps the first rank with a frequency of 13.9 per cent which is dominantly high compared with other consonants in this position. The second and the third ranks are taken by /w/ and /s/, respectively, which have also high ranks in alliteration. The following differences between the usage of consonants in initial position and *alliteration* may be thus

noted (in the following comparative figures the first ones indicate the percentage frequency of all initial consonants and the second figures show the percentage frequency of alliteration):

- a. The low frequency of /s/ and /f/ in initial position as opposed to their high frequencies in alliteration; /s/ (8.3 / 32.5), /f/ (6.8/12.9).
- b. The low frequency of /ð/, /n/, /t/, /y/, /h/, /l/, and the like in alliteration as compared with their frequencies in initial position: /ð/ (13.9/0.7), /n/ (4.7/close to zero), /t/ (4.9/ close to zero), /y/ (2.0/close to zero), /h/ (8.9/4.6), /l/ (4.4/1.3), and the like¹.
- c. Similar frequencies both in initial and alliterative positions: /w/ (8.4/ 6.9), /b/ (7.3/ 6.2) , /p/ (3.7/ 4.4), /k/ (5.0/4.3), /d/ (3.8/2.8), /g/ (3.8/4.3), /r/ (2.7/1.4), etc.

5. If one looks back at the preceding pages he may be impressed with three points:

- a. Emerson shows a fondness for alliteration. In his lines, out of 24 consonantal phonemes of English, 18 are employed for alliteration, of which /s/, /f/ and /w/ cover 55.3 per cent of all cases. The phoneme /s/ by itself has a frequency of 32.5 per cent .
- b. The distribution of *alliterative consonants* is not at all the same as that of consonants in all positions. It was pointed out in the body of the present part that

1. The phonemes /n/ and /t/ have the highest frequencies in the general distribution of consonants in all positions, but they have frequencies close to zero in alliteration and low frequencies in initial positions.

Lynch and Hymes report that in Keats' and Wordsworth's poetry the phonemes /r/, /n/, /t/, etc. have the highest frequency in all positions, whereas the pattern of his alliteration yields a result in which /n/ and /t/ do not occur at all and /r/ has a frequency of less than 1.4 per cent (rank 15). Most of these differences are due to the fact that only initial consonants can alliterate.

c. In his style consonants in alliteration naturally show a close similarity in frequency to consonants in initial position, but there are some significant differences.

6. So far as his choice of distinctive acoustic features is concerned, he uses *diffuseness* (87.4 per cent), *orality* (90.9), *tensity* (71.2), *continuity* (71.5), and *mellowness* (75.5 per cent) most. In general initial position, the pattern of distinctive features does not yield exactly the same result as it does in alliteration; the difference is especially significant in the use of *mellowness* (24.5 per cent in alliteration and 74.3 per cent in general initial position).

7. The presence of 47.9 per cent of /w/ in the alliterative position of «Bacchus» (which is the highest occurrence of /w/ in alliterative position in our corpus), and the use of 44 alliterative /s/ in «Saadi» (within 72 lines) suggest relating the alliteration of /w/ in «Bacchus» to *wine* and the alliteration of /s/ in «Saadi» to the initial /s/ of *Saadi's* name.

PART THREE

TWO MORPHOLOGICAL ELEMENTS OF STYLE

3.0 The purpose of the first and the second parts of this study is to indicate *a model* for the classification of rhyme and alliteration; the study is on the phonological level. In the morphological study of Emerson's style (*compounds and grammatical form-class distribution*) we simply intend to introduce a linguistic technique for this type of investigation. This study should *not* be regarded as more than a *preliminary* investigation. The present study, in fact, lacks two major elements: (a) a norm and (b) enough data to make a comparative study possible. In spite of these shortcomings, the attempt may be found worthwhile.

Compounding Pattern

3.1 The material of the present part is furnished by the study of his works in verse, i.e., *poems*¹ and ten of his essential essays: «Nature», «Nature II», «The American Scholar», «Transcendentalism», «The American Freedom», «Politics», «Self-Reliance», «Spiritual Law», «Character», and «Persian Poetry». These works provide us with one thousand compounds.

1. Ralph Waldo Emerson, *Poems* (Boston, 1918).

The main goal of the present investigation is to arrive at a hypothesis that he had a tendency towards the use of some types of compounds and less inclination in employing others. Compounds, in fact, crystallize by a natural linguistic process from word groups and are invariably accompanied by stress and juncture modification¹.

In our corpus fifty per cent of his compounds contain *the hyphen*, therefore, it appears worthwhile to investigate the function of the hyphen in compound analysis. Horace Teall, Ball and many others introduce the hyphen as the main criterion for identifying compounds²; we believe that the hyphen does not appear to be a linguistic criterion differentiating phrases from compounds. On the contrary, it appears to be an inconsistent orthographic element which may hinder scientific analysis. The element of inconsistency of the hyphen is the essential trouble. The hyphen may involve the use of two, and even sometimes three renditions for the same morpheme sequence. For example, in Webster's dictionary, even in Emerson's essays, words such as *cup bearer*, *free will*, *well doing*, and the like are registered in three shapes: (a) with a hyphen: *cup-bearer*, (b) without a hyphen but with a space: *cup bearer*, and (c) without a hyphen and without a space: *cupbearer*. The use of the hyphen appears to be so complicated that it is hard to present a definite rule for its usage if there be any.

1. Whitehall, *Structural Essentials of English* (New York, 1956), p. 142.

2. Alice Ball, *Compounding in the English Language* (New York, 1939), pp. 61, 62.

A linguist searching for a structural function of the hyphen might conclude that it is intended to assure the reader that the word-stress falls on the first morpheme. In the analysis of Emerson's compounds only *those hyphenated morpheme sequences which carry the primary stress on their first syllables are considered as compounds* and included in our corpus; we have, therefore, ignored the presence and the absence of hyphens and word spaces.

Among several definitions posed in *Compounding in the English Language*, that of C.O. Mawson's statement appears more appealing than that of Webster's or of others¹. Mawson holds that *stress* is the determining factor by which *compounds* can be distinguished from *word groups*². In Emerson's morpheme sequences the determining part of the compound (the determinant), such as *rain* in *rainbow*, precedes the determined part (the determinatum), i.e., *bow* in *rainbow*. (In *bahuvrihi* types such as *pale face* the determinatum, as a formal element, is missing; they are also called *exocentric compounds*).

In *Language* Bloomfield asserts that whenever we hear lesser or least stress upon a word which would always show high stress in a phrase, we describe it as a compound member. So far as meaning of phrases and compounds is concerned, the latter denotes

1. Paul considers a compound as being different from its components; H. Koziol holds that a compound is a psychological unity; and Bloch calls a compound a word made wholly of smaller forms (*op. cit.*, pp. 54-68).

2. *Style Book for Writers and Editors*, (New York, 1924) p. 4.

more specific notions than the former, e.g., *red-coat* and *black-bird*, as phrases with two primary stresses mean any coat which is red, and any bird which is black, whereas the same morpheme sequences with a *primary forestress* denote *a British soldier* and *a particular bird*.

It seems to lead to confusion to recognize meaning as a functional element in differentiating compounds from phrases. As we have already pointed out, Bloomfield is one of the pioneers who dealt with the study of compounds from the linguistic standpoint; in the present study his approach, with a slight modification, is employed for the classification of Emerson's compounds. Otto Jespersen introduced the idea of *concept* as a major criterion in differentiating *phrases* from *compounds*. Jespersen holds that if we remain with stress, we should have to refuse the name of compound to a large group of linked phrases that are generally called compounds.

The definition of compound applied to the present study may be thus paraphrased: a compound is a combination of free morphemes consisting of two or more base morphemes and a stress superfix of primary plus secondary or tertiary. For example, a morpheme sequence such as *blackbird* is a compound, but *black market* is a phrase.

The pattern /' ^/ and /' ^'/ commonly distinguish a construction of a word-group, consisting of an adjective and noun, from a compound, e.g., *bîg hêad* versus *bîg hêad* (conceit). In Emerson's style the pattern /' ^'/ mostly denotes verbal compounds, whereas /' ^/ generally indicates a nominal compound. The

following examples may better clarify the difference:

1. The gréen hoûse or the whîte hoûse
(a house which is green or white.)
2. The gréen hoûse (a conservatory) or the White Hoûse (the residence of the President of the U.S.).
3. The Gréen hoûse (a house belonging to Mr. Green) or the White hoûse (a house belonging to Mr. White).

Emerson's words ending in *-ing* fall into three grammatical categories: (1) participles, (2) gerunds (which are both categorized under the verb form), and (3) independent nouns, e. g., *building* or *ceiling* which are treated like other nouns. The problem is that sometimes morphemes ending *-ing* may semantically fall into two categories. The relationship of the components of compounds and the grammatical classification of their morphemes are problematic.

A problem raised by Hockett is another interesting example of difficulties in morphemic scansion. He holds that in *Lake Michigan* one can argue that the first immediate constituent—hereafter registered IC—is attributive to the second, or with equal cogency that the second modifies the first. In both cases we speak of apposition, not of attribution; both IC's are *heads*, and both are also *attributes*. Then Hockett cites examples such as *The White House* is a *white hoûse*(.) in which the first White House is a compound with a single forestress, whereas the second one is a phrase with two primary stresses¹. Hockett concludes that in each type of phrasal compound such as *housewife*, the struc-

1. *op. cit.*, p. 316-17.

tural signal has no particular meaning save precisely that of marking the form as idiomatic¹.

In analyzing Emerson's morpheme sequences, we have considered combinations such as *writing table* as compounds, because the underlying concept is that of purpose; but if the verbal *-ing* can be a participle the combination is susceptible to becoming a syntactical group. In his compounds the following cases are subject to *forestress* pattern:

(1) The underlying concept of purpose such as *fountain pipes* (in *Nature*).

(2) The determinant origination in what is expressed by the second such as *wood land* (in *Nature*).

(3) The determinatum resembling the determinant, such as *silver weed* and *Godman* (in *The Over Soul*).

(4) The combination of determinant with such suffix-like free morphemes as *-man*, *-ware*, *-shop*, *-fish*, etc².

Sometimes a sharp cleavage, however, has not been developed between the syntactic group and the

1. For example, *housewife* is a relatively recent coinage : *housewife* / həʊzɪf / *sewing-kit*, now obsolescent, dates back to M.E. coinage with elements which have come down separately as *house* and *wife*; *hussy* comes from an O.E. compound / hūs-wif / coined from the even earlier forms of the same elements.

2. The treatment of adjunct / primary combinations consisting of two substantives has a parallel in Persian and Turkish. Determinative substantive plus substantive combinations all receive the *determinatum group suffix*, whereas coordinative combinations made up of two substantives do not.

compound; therefore, the border line between them appears fluid. Emerson uses the morphemes *all* and *self* in abundance, both as determinants. These morphemes may not always be stressed in English, but in his style a morpheme sequence, including *all*—and *self*—, receives primary stress on the second member. Thus these combinations will be considered as syntactic groups.

Before dealing with the analysis of his compounds, a few points should be clarified. Two words in succession are not and never can be one word unless and until they are morphophonemically united, no matter whether written with or without a *hyphen*; therefore, there is really no such thing as a *two word form* of compound—and the use of this anomalous expression has been discarded from our analysis.

It appears necessary to differentiate the morphemic elements which we regard as compounds and those which are not considered as compounds. In our preliminary corpus we have found two groups of morphemic clusters:

1. *Morphemes not compounded*: the following combinations of our corpus have *not* been considered as compounds:

a. *A gerund and noun*, one of which functions as an adjective, with no major forestress: *June planting*.

b. *Two nouns* one of which functions as a modifier (unless the two words are used to qualify another noun), e.g., *fellow citizen*.

c. *An adjective or a participle and the noun* it modifies with no primary forestress: *good fellow*.

d. *Derivatives* in which the prefixes do not carry stress, *foretell*, *enable*, and the like.

The generalization that all proper nouns are compounds or are not compounds does not appear justifiable; even though certain proper names such as *Rosemary* may have once been compounds. English for about three centuries has developed the syntactic group of the type *stone wall* which carries two major stresses¹; while the co-existence of two types of substantive combinations has long been recognized.

2. *Morphemes Compounded*: In our corpus the following morpheme sequences are considered as compounds:

a. *Two nouns* joined together of which the initial morphemes receive *the forestress*. This compounding pattern covers over 50 per cent of Emerson's nominal compounds:

- (1) A noun and a gerund or vice versa, e.g., *fact finding*, *printing office*, etc.
- (2) Two nouns, e.g., *figure head*.
- (3) A possessive noun and a noun, e.g., *bull's eye*.
- (4) Words with — *man*, — *like*, etc., e.g., *fisherman* or *fisherlike*.

b. The object/verb relation such as *mindreading* (a noun plus a noun in which the latter noun is derived from a verb), *doorkeeper*, *bookkeeping*, etc.

1. Hans Marchand, «Notes on Nominal Compounds in Present-day English,» *Word*, XI (1955), 220-221.

EMERSON'S PATTERNS IN ONE THOUSAND COMPOUNDS

3.2 In the study of his compounds several thousand lines of his poems and of his essays were scanned to find out the patterns of his compounds. In the following table the figures 1, 2, 3, and 4 denote *nouns*, *verbs* (including nouns derived from verbs), *adjectives*, and *adverbs*, respectively; the symbol «P» stands for a *participle*, which covers prepositions and the subordinate conjunctions. The horizontal rows show the type of compound used in Emerson's poetry and in ten of his essays, and the vertical columns list the occurrence frequency of each compounding pattern:

Examples	Compounding Patterns	Poems	«American Scholar»	«American Freedom»	«Nature II»	«Self-Re- liance»	«Spiritual Law»
book worn	1-1	27	13	10	23	22	22
book learned	1-3(2)	83	6	1	2	4	—
world wide	1-3	19	2	—	—	—	—
outskirt	P-1	16	2	—	2	4	4
counting house	1(2)-1	14	3	3	—	1	1
freedom	3-1	43	1	2	5	1	4
harp-like	1-P	13	—	1	—	2	—
fast-flowing*	4-1(2)	—	—	—	1	1	1
trustworthy	2-3	3	—	—	—	1	—
forthcoming	P-3(2)	39	1	8	3	4	3
thorough going	4-3(2)	15	6	—	3	2	1
wide spread	3-3(2)	44	—	—	4	—	1
bitter sweet	3-3	21	—	1	—	7	1
thousand eyed	3-1(+cl)	1	—	1	—	—	—
overgood	P-3	6	—	—	4	—	2
henceforth	P-P	14	4	5	3	16	2
Total		358	38	32	50	65	42

*In *Structure of American English*, N. Francis reports that «adverbs» are relatively rare as noun modifiers, seldom constituting more than two per cent of the single-word modifiers of nouns in ordinary prose (p. 304).

Examples	«Character»	«Nature»	«Transcendentalism»	«Politics»	«Persian Poetry»	Total	Total Emersonian
book worm	12	38	11	10	13	448	54
book learned	1	—	7	2	2	108	15
world wide	—	1	—	—	—	22	4
outskirt	5	5	4	1	2	45	2
counting house	—	—	6	1	—	29	8
freeman	5	1	1	2	2	67	8
harp like	—	—	—	—	—	16	—
fast-flowing*	—	1	—	—	—	4	2
trustworthy	—	—	—	—	—	4	2
forthcoming	—	1	9	3	1	71	3
thorough going	3	—	1	—	—	31	—
wide spread	—	3	—	—	—	52	6
bitter sweet	1	—	1	—	—	32	4
thousand eyed	—	—	—	—	—	3	—
overgood	—	—	2	—	—	14	2
henceforth	1	2	2	1	2	52	—
Total	28	52	44	20	22	1,000	110

To discover his use of particular compounds, our data, i.e., one thousand compounds used in his poetry and in ten of his essays, is disposed to five educated native speakers of American English who will be called *judges* — of which two are from Boston, Emerson's area, one from Chicago, one from Mississippi, and one from Indiana. The judges went through all of the material and put check marks in front of 15.7 per cent of compounds in the corpus which appeared either unusual or unfamiliar to them. About a third of these marked compounds were discovered to be archaic, but not Emersonian; therefore they are not included in our list. The 11 per cent of the compounds in our corpus which appear to be *Emersonian*¹

1. The following one hundred and ten compounds appear to be coined by Emerson (the sign x stands for any common noun): wheat air, pickerel- weed, down beds, earth-baking x, sea boy, earth-proud, sea-marge, earth-fire, sea-walls, elder-below , eye beams, far appearing, farm-furrowed, far-wandered x, fate conjoined x, fire-seed, foam-bells, mind-harps, better-garnished, wood-lot, ginger bread, checker-berry, church-bell, clothing weeds, cloud shadow, clover-blow, clover-heads, cantoo cook, cowship wreaths, day-moon, death-bell, sentry-bird, skyhoop, snow-tower, sole-sitting, south-cone, spirit touch, stone-cleaning, style-disce- ring, summit level, sun path, sun spark, thunder cloud, air pic- tures, line packet, death cold, thunder tops, tide-wave, Titan- born x, town incrusted, town-sprinkled x, trumpet-loving, under- song, upborn, upspringth, vampyre-fanned x, vintage-day, weath- er-fend, weather glass, well spring, wheat-snow, whip-scripus, wisdom-fruited, woman-born x, woodbell's x, wood-kinds, world- old, world-warning x, yellow-breeched x, flying-scheme, hind-

(continued)

have the following distribution (the first row lists the patterns of compounds in our corpus; the second row shows the occurrence of compounds in the Emersonian style; the third row lists the ratio of his personal compounds in relation to his general compounds and the last row lists the difference between this ratio and 11.0 per cent of the Emersonian compounds):

head, outsee, adder's tongue, balance-loving, tip-peddler, day-beams, wood-copper, charity-boy, leaf-bud, thousand clover, muse-born, music-born, music drunken, myriad handed x, over bold, over much, over true, light-asking x, lightning-knotted, hung-low, maple-keys, minstrel-journeying, noon-drawn, fountain-drop, gold moth x, gulf-encrimsoning, heart stone heart overlading x, hermit-thurst, pearl-seed, pickerel-blower, flayfellow, purple-piled, rainbow-flowering, rash-leaping, river-grapes, over rolling, woods awyer, and foreshow.

General Compounding Pattern	Emersonian	Ratio-General to Emersonian	Difference
I — I, I — I(2 + er)	52	12.2	+ 1.2
I — 3(2)	15	14.8	+ 3.8
I — 3	4	18.1	+ 7.1
P — I	2	4.4	— 11.3
3 — I, 3(2) — I	8	11.9	+ 0.9
I — P	—	—	—
4 — I(2), 4 — I	2	50.0	+ 40.0
2 — 3	2	50.0	+ 40.0
P — 3(2)	3	4.2	— 6.8
4 — 4(2)	—	—	—
3 — 3(2)	6	11.5	+ 0.5
3 — 3	4	12.5	+ 1.5
3 — I(ed)	—	—	—
P — 3	2	14.2	+ 3.2
P — P	—	—	—
Total	110	—	—

The table of his compounds shows that nominal compounds have a considerable frequency in relation to the other types of compounds. Disregarding the possibility or the frequency of occurrence, one may hypothesize the potential existence of the following compounding patterns in English (of course, some of them may never exist and some may have very low frequencies):

1-1	1-2	1-3	1-4	1-p
2-1	2-2	2-3	2-4	2-p
3-1	3-2	3-3	3-4	3-p
4-1	4-2	4-3	4-4	4-p
p-1	p-2	p-3	p-4	p-p

His nominal compounds, viz., 1-1, 1-3 (2), 1-3, p-1, 1(2)-1, 3-1, 4-1(2), and 1-p cover 71.8 per cent of all occurrences. In his compounds the nominal compound has the frequency of 86.3 per cent. Other compounds, in which the nominal element does not appear, cover only 28.2 per cent of the total occurrences. It is significant to note that the 1-1 pattern covers at least 60 per cent of the nominal and 42.7 per cent of the total compounds in his work. Unfortunately, I do not have access to any study of compounds as used by any other English writer to be able to make comparisons.

3.3 TRANSFORMATIONAL RULES IN EMERSON'S NOMINAL COMPOUNDS

Transformational rules can be applied to the generation of nominal compounds. In January, 1958, at the Thirty-Second Annual Meeting of the Linguistic Society of America (in Chicago), R. B. Lees discussed the generation of nominal compounds in English. Emerson's compounds may be investigated with reference to Lee's rules. He suggests six transformational rules by which a part of English nominal compounds can be generated—of which four have been employed in the present study to cover only nominal compounds, i.e., noun-noun (or verbal nouns):

x winds the sheets T_1 sheets for winding T_4
winding sheet

x reads with glasses T_2 glasses for reading T_4
reading glasses

x counts in the house T_3 house for counting T_4
counting house

The above forms consist of three morphemes of which only the first receives *major stress* and the rest receive either tertiary or weak stress. Several compounding types can be deduced with reference to these transformational rules (optional rules); through them a great part of Emerson's nominal compounds can be classified. In the following patterns his productive compounds are indicated.

The letters with the figure «1» indicate that a

noun has the same or a different referent; «iv» indicates that a noun is derived from a verb; the symbol «x» stands for any proper noun either singular or plural; the *ng* denotes the *-ing* form; *p* for a preposition; and *not p* means that the particular generated form is not productive in Emerson's compounding system:

I	1a	+	2	+	1b	→	1b	+	1a	<i>eye-ball</i>
II	1a	+	be	+	1b	→	1b	+	1a	<i>servant girl</i>
III	I	+	2			→	2ng	+	I	<i>working man</i>
IV	1a	+	2	+	p 1b	→	1b	+	1a	<i>foot soldier</i>
V	×	+	2	+	I	→	I	+	2	<i>brainwash</i>
VI	×	+	2	+	p+I	→	2	+	I	<i>swim suit</i> (not p)
VII	1b	+	p	+	1a	→	1a	+	1b	<i>heart attack</i>

The last rule, rule VII, is the most productive pattern in our corpus; thus we develop it into the following sub-patterns:

1.	1b	+	p	+	1a	→	1a	+	1b	<i>snow ball</i>
2.	iv	+	p	+	I	→	I	+	iv	<i>field work</i>
3.	I	+	for	+	iv	→	iv	+	I	<i>reception hall</i>
4.	I	+	p	+	iv	→	iv	+	I	<i>departure date</i>
5.	I	+	for	+	2ng	→	2ng	+	I	<i>looking glass</i>
6.	2ng	+	p	+	I	→	I	+	2ng	<i>sleep walking</i>
7.	2er	+	of	+	II	→	I	+	2er	<i>lie detector</i>
8.	2er	+	p	+	I	→	I	+	2er	<i>city dweller</i>
										(not p)

3.4 DISCUSSION The analytical study of his compounds gives the following impressions, most of which probably apply to English in general:

1. *Nominal compounds* cover 71.8 per cent of his

compounding system. It would be, of course, an interesting study if we had access to the compounding pattern of another writer to make a comparative investigation of the use and the frequency of nominal compounds in his style. Over 86.3 per cent of his compounds are *nominal compounds*.

2. Our corpus does not register high frequencies for the following patterns, i.e., 4-1, 2-3, 3-1, (+ed), 1-p, and (no occurrence for 4-p). His compounds list only 7.2 per cent for these patterns and no occurrence for 1-p, 4-3(2), 3-1 (+ed), and p-p.

3. He shows a tendency toward the use of particles preceding the nouns, adjectives, and verbs rather than following them. The figures given below are the number of occurrences of each compounding form in both environments:

p-1	45	p-3	(2)	71	p-3	(2)	14
1-p	16	(3)	2-p	4	3-p	(1+ed)	3

There is again no norm for the compounding structure of English through which this statement can be evaluated; this particular pattern may either be a characteristic of his style, or it may simply be the nature of compounds in English.

Notes on Grammatical Elements in Style

3.5 In the analysis of grammatical form classes we wish to make notes both on the morphological and grammatical aspects of style. J. B. Carroll's article on «A Factor Analysis of Literary Style» has been

of considerable assistance to the body of this section. His approach is statistical¹.

One may be impressed also with two interesting studies made along the same line; namely, (a) «The Primary Language of Poetry in the 1750's and 1840's» by Josephine Miles, who has investigated the distribution of the three grammatical classes of nouns, verbs, and adjectives in ten lines each of twenty poets of that period²; and (b) a recent doctoral dissertation by R. E. Miller (1957), who studies the correlations among incidences of thirteen grammatical categories in a sample of freshman compositions, in which he finds the incidence of pronouns and verbs to be inversely related to that of nouns and articles,³ and that the occurrence of adjectives is largely independent of any other parts of speech. We will note in the following pages that Emerson's style does not yield conclusions identical to either of these.

In his study Carroll selected 150 literary and non-literary passages of American English writers, after the year 1800, covering highly heterogeneous and varied samples of written material. He has analyzed 300 words in each of these samples totaling 45,000 words; eight judges have evaluated them from the

1. (Unpublished), presented to the «Conference on Style», (Bloomington, 1958).

2. (Berkeley: University of California, 1947), pp. 169-170.

3. «An Analysis of Certain Psychogrammatical Categories in Expository Verbal Situations», (Unpublished: Ph. D. Dissertation, University of Minnesota, 1957).

standpoint of style (their grading was based on 25 units for the form and four units for the content of each passage out of a 29 point rating scale). Our present analysis uses methods similar to those employed by Carroll and Miller.

3.6 Notes on the Distribution of Grammatical Classes

In this study 1,202 morphemes, covering 1,422 syllables or one thousand words of Emerson's essay, «Persian Poetry»¹ are chosen. Stress and junctures are marked, words are assigned to five grammatical categories (classes), viz., *nouns*, *verbs*, *adjectives*, *adverbs*, and *particles* (including preposition and phrase connectors), the distribution of each class, its subclasses, and their frequency of occurrence are investigated; and lastly, other elements of his style such as the number of paragraphs, sentences, bound morphemes and free morphemes, and syllables are counted and compared with Carroll's conclusions.

The figures 1, 2, 3, and 4 stand for the four grammatical classes; the symbol «P» denotes the *particle group* which covers preposition and word connectors and subject-predicate word-group connectors. We have already explained that our analytical method would be on the basis of descriptive linguistics; thus we have identified and, at the same time, delimited the distributional environment of each grammatical class.

1. *Works* VIII, from page 237 to the middle of page 243 up to the words «Take, as a specimen...»

3.7 The Occurrence Frequency of the Form Classes

The following table lists the frequency of occurrence of five grammatical classes and their subclasses in one thousand words of Emerson's writing; they are partially compared with Carroll's findings:

Groups and Sub-groups	Total Occurrences	Percentage Occurrences	Carroll's Analysis
<i>Group 1</i>			
Nouns	335	33.5	23.3%
Relative Pronouns	27	2.7	
<i>Group 2</i>			
Verb Nuclei	117	11.7	—
Satellite Verbs	20	2.0	—
<i>Group 3</i>			
Determiners	185	18.5	16.19*
Modifiers	98	9.8	6.01
<i>Group 4</i>			
Adverbs with-ly	4	0.4	—
Adverbs (free morphemes)	15	1.5	—
<i>Group P</i>			
Prepositions	155	15.5	
Connectors	44	4.4	12.0
Total	1000 words	100.0	—

*Under «determiners»: the final determiners (such as *all, most*), and demonstratives acting as modifiers but not preceded by another modifier, and articles are counted.

3.8 Discussion

Our corpus supports Carroll's statement that the characteristic of prose which we have both chosen tends not to be quite stable from one half of a passage to the next half of the same passage. There are, however, some characteristics which are quite stable, e.g., the number of syllables, clauses, verbs, nouns, and articles.

We may make the following statements:

1. We have listed 31 sentences in one thousand words of Emerson's essay — «Persian Poetry» — whereas Carroll's analysis lists 21 sentences in 300 words; average will be 71 sentences in one thousand words. So far as our corpus is concerned, Emerson's sentences are over one hundred per cent longer than the average; for example, our corpus contains two long sentences of which one contains 129 words (184 syllables and 164 morphemes) and the other 85 words (118 syllables and 105 morphemes).

2. Emerson does not particularly show a tendency toward the use of *polysyllables*. In one thousand words he employs, at most, 422 polysyllabic forms. Carroll's analysis indicates that average American and English writers use 452 syllables in 300 words or 1,505 syllables in one thousand words, i. e., at most 505 polysyllabic words. Our corpus registers one instance of hexasyllable, i. e., improvvisatori, three pentasyllables, ten tetrasyllables, and the rest are either trisyllables or disyllables.

3. In the use of grammatical form-classes Emerson shows a tendency toward the use of substantives (including relative pronouns) which cover 36.2 per cent of his morphemes. English, after all, is a nominal language; nevertheless, Carroll's study reports the occurrence of fewer nouns in average writing than that of Emerson. Miles and Carroll report the ratio of nouns, adjectives, and verbs thus: (the difference between Emerson's verb adjectives and Miles' and Carroll's analyses is noticeable:

	Ratio of adjectives/ nouns	Ratio of verbs/nouns	Ratio of verbs/ adjectives
Miles' analysis	63.1%	47.3%	75.1%
Carroll's analysis	70.6%	41.6%	62.7%
The present analysis	78.1%	35.0%	47.9%

4. Further analysis of grammatical and morphological elements in our corpus yields differences between Emerson's style and our norm (Carroll's analysis). The following figures are based on one thousand words both in Emerson's texts and in Carroll's inventory:

Grammatical factors	Emerson's text	Carroll's analysis
Paragraphs	5	13
Sentences	31	17
Syllables	1.422	1.505
Proper nouns	42	27.73
Articles	81	90.2
Prepositions	155	113
Pronouns	74	90.5
Morphemes	1.202	—*
Free-morphemes	426	—
Bound morphemes	776	—

* Carroll has not included the frequency of free morphemes and bound morphemes in his study.

One may note that Emerson's use of grammatical morphological elements is not quite parallel to the average. One should *not* interpret the above-stated differences noticed in Emerson's style as *deviations* from the grammatical or morphological norm of English, but the differences may be considered as characteristics of his style or, perhaps, his artistry.

CONCLUSION

Conclusion

The employment of phonological and morphological devices such as *rhyme* and *alliteration*, the *distribution of compounds* and *grammatical form-classes* in Emerson's message is not the aggregate of isolated facts, but shows a definite pattern — a system. In the present study attempts were made to test statements made about his rhymes and to formulate a general assertion about it.

His theory of rhyme may be thus stated: (a) a tendency toward poetic freedom, (b) more interest in visual than in auditory rhyme, (c) deliberate artistry in rhyme scheme. He employed a *variety* of rhyme-schemes of which aa-bb, and -a-a constitute 95 per cent; of these aa-bb alone covers 55 per cent of occurrences. His end-rhymes show 88.2 per cent regular, traditional and classical final rhymes, and 11.8 per cent irregular rhymes. Only four to seven per cent of his rhymes appear to be truly loose.

According to his mode of pronunciation two words might be rhymed which do not rhyme in present American pronunciation; in the present study these are considered as *good* rhymes. The spelling of present English is, in fact, based on the phonetic system of Middle English; therefore what are called visual rhymes were in many cases once perfect rhymes. Pairs such as *love* / *prove*, *flood* / *brood*, *hear* / *bear*, *waste* / *past*,

have /*grave*, *food* /*blood*, and the like were true rhymes in Middle English.

Emerson's eye-rhymes are largely based upon a poetic tradition. There is always a low percentage of individual deviations; in his case these do not exceed seven per cent. The popular poetry of all languages contains numerous illustrations of imperfect rhymes which in some cases are more effective and beautiful than the exactness of the classical rhyme.

We have tried to discover his phonology from the following types of evidence which have assisted us in classifying his irregularities in rhyme (a part of this study will be presented in the appendix):

1. Considerations based on earlier irregularities in rhyme.
2. Poetical traditions which have been employed by poet after poet.
3. *The Linguistic Atlas of New England*.
4. Statements of early writers of English pronunciation in New England in the eighteenth century.
5. Occasional spellings such as those studied in *The Orthography of John Bates of Sharon* by Whitehall.
6. The co-existence of two variant pronunciations, viz., New England *bourgeois* and the Southern *aristocratic* version during the early eighteenth century in New England.

When Emerson's phonemic pattern was discovered, then his final-rhymes were transcribed into that phonemic pattern in which we may not necessarily find a close parallel between his mode of utterance and present American pronunciation. For

example, according to his sound system the following pairs are perfectly rhymed: *deaf* / *leaf*, *enchants* / *wants*, *haunted* / *dischanted*, *vaunt* / *chant*, *obeyed* / *gainsaid*, *hearth* / *mirth*, *arm* / *psalms*, *abroad* / *sword*, and the like. We observed in our introduction that during Emerson's time one could often find two variant pronunciations. We should not censure him as Stratton Robert and others do for rhyming a word with another word of which we now know only *one* pronunciation.

Emerson's pronunciation accounts for about 50 per cent of his irregularities in rhyme. The linguistic and statistical evaluation of visual rhymes (rhymes to eye) and auditory rhymes, (rhymes to ear), as the explanation for his tendencies in rhyme, are the innovations of the present paper. It has already been mentioned elsewhere that he used 88.2 per cent perfect, traditional, and regular final-rhymes; 11.8 per cent of his rhymes are not quite classical, so they have been considered *licensed rhyme* and assigned as follows;

I- Auditory rhymes due to his pronunciation:

- (a) perfect
- (b) nearly perfect and customary

II- Visual rhymes (most of which would have been accurate rhymes in Middle English)

III- Slant rhymes, viz., perfect with a variation in the final consonant and variation of traditional *short* and *long* in final vowels.

IV- A voiceless consonant is rhymed with a voiced consonant.

V - Stressed final syllables with unstressed syllables (Donnesque rhymes) and other rhymes with low frequencies including loose rhymes.

The following table lists the distribution of his irregular rhymes both in relation to 2,000 lines and to 11.8 per cent of the apparent mis-rhymes:

Types	Percentage of 2,000	Ratio of 11.8%
I	5.2	47.1
II	2.9	22.8
III	0.9	8.9
III	0.9	8.9
II	1.9	12.3
Total	11.8	100.0

Alliteration is undoubtedly the other significant element in the phonological or euphonic study of poetics. In the body of this study the distribution of alliteration, its phonological behaviour, and its relation to meaning are investigated.

An analysis of his poetry enables us to make a few remarks about his use of *alliteration*:

He showed a tendency toward the use of alliteration without delimiting himself to any definite pattern; sometimes he substituted alliteration for rhyme.

The study of two thousand lines of his poetry and of the poetry of others yields the conclusion that in English the total frequency of phonemes in prose or

poetry has an absolutely different distribution than that of alliterative consonants. The last column of the following table shows the percentage frequency of consonants in general usage, the third column indicates the percentage frequency of consonants in alliterative forms, and the fifth column shows the percentage frequency of consonants in initial position (the ranking of the phonemes is based on their frequency):

Rank	Phonemes	Alliterative Positions	Phonemes	Initial Positions	Phonemes	General Usage
1	s	32.5	ð	13.6	n	10.3
2	f	12.9	y	8.6	b	10.3
3	w	9.9	w	8.4	r	8.6
4	m	7.7	s	8.3	l	8.2
5	b	6.2	b	7.3	d	7.4
6	m	4.6	f	6.8	ð	6.4
7	p	4.4	m	6.4	s	6.2
8	Others	21.8	Others	40.6	Others	42.6
Total		100.0		100.0		100.0

Phonemes in initial position have a distribution closer to alliterative consonants than to the use of phonemes in general even though one may note differences. The essential differences are based upon the lower frequency of /s/, /f/, /m/ and /p/ and the higher frequency of /ð/, and /h/ in initial position compared with alliterative frequencies. There are, of course, phonemes such as /w/, /b/, /k/, /d/, /g/, and /r/, which have similar frequencies both in alliterative and in general initial positions (in this comparison we are only concerned with the comparative frequencies but not with the phoneme ranks in the tables).

In alliteration /s/, /f/, and /w/ together have such a high frequency that it exceeds 55.3 per cent of all occurrences. Such a high frequency of three phonemes in alliterative forms may be considered as a characteristic of alliterative distribution which varies from the frequency of these phonemes in initial position (/s/, /f/, /w/, have a frequency of less than 23.5 per cent) and from general usage of these phonemes in English (/s/, /f/ and /w/ cover only 13.2 per cent). One should also note that up to rank six there is even a phoneme which has a high frequency both in the alliterative form and in all positions in English. The phoneme /s/ is the one which holds rank *one* in alliteration and rank *seven* in general usage.

Two thousand lines of Emerson's poetry contain 1,066 alliterative pairs; in other words; 54.3 per cent of his lines contain at least one instance of alliteration, i.e., one consonant phoneme in initial position twice repeated.

Through Jakobson's technique of distinctive feature analysis we arrived at a conclusion that in alliterative patterns Emerson showed a marked tendency toward the use of *oral* (90.9 per cent) versus nasal, *diffuse* (87.4 per cent) versus compact, *tense* (71.2 per cent) versus lax, *continuant* (71.5 per cent) versus interrupted, and *strident* (75.5 per cent) versus mellow features.

Cases have been discovered in which alliterating phonemes were related to *meaning*:

a. In «Bacchus», the occurrence of /w/ (47.9 per cent of the total alliterative phonemes in this poem are linked to the initial phoneme in *wine*.) So far as our corpus is concerned, in no other poem of Emerson does the alliterative /w/ have a frequency of more than 14.2 per cent.

b. In «Saadi», the occurrence of alliterating /s/ 44 times in a poem with only 72 lines (60 per cent /s/ alliteration) is an indication of possible relationship between the alliterative /s/ and the initial phoneme of the Persian poet's name — Saadi. Several of Emerson's poems do not contain an alliterative /s/, even though /s/ is the most common phoneme in his alliteration. «Saadi», however, is the example of maximum occurrence of alliterating /s/ in our corpus.

c. A third example, perhaps, would be 22 repetitions of alliterative /m/ in «Monadnoc» in our corpus; «Mithridates» in which /m/ is alliterated eight times has the second position.

In the present study two other linguistic aspects

of his style, viz., compounding and frequencies of form-classes have been investigated. One thousand compounds were examined; they enabled us to make statements concerning the distribution of different types of compounds. Stress is recognized as the functional criterion to differentiate compounds from syntactic groups. The study of his compounds shows that schemes of nominal compounds account for a large majority (71.8 per cent) of all compounds. He never used certain compounding schemes either in verse or in prose. R. B. Lee's technique for generating nominal compounds has been of assistance in enabling us to introduce four major transformational rules and several minor rules. The rule $1b+p+1b$, e.g., *heart attack* (an attack on the heart) is considered to be the most productive scheme in our corpus. We have also discovered that 11 per cent of Emerson's compounds are *Emersonian*; this is one of the characteristics of his style—about 86.3 per cent of these compounds are nominal.

The statistical investigation shows that his sentences are markedly longer than those studied by Carroll. His sentences are over one hundred per cent longer than the average sentences in literary English; for example, our corpus contains one sentence with 164 morphemes. Classification of his morphemes shows that bound morphemes have a frequency of 35 per cent and free morphemes 65 per cent. He does not show a tendency toward the use of *polysyllables*. In one thousand words he employed 378 monosyllables and

most of the rest are disyllables, with very few tetrasyllables and one hexasyllable. The occurrence frequency of polysyllables in his style appears to be less than average in English literary texts.

* * * *

Included in the appendix of this paper is a resumé of an intensive study of his pronunciation. This analysis has enabled us to formulate linguistic criteria by which 50 per cent of his apparent mis-rhymes can be justified as good rhyme.

THE APPENDIX

THE NEW ENGLAND PHONOLOGY IN THE EIGHTEENTH CENTURY

5.0 We have noted in Part One that about 50 per cent of Emerson's apparent mis-rhymes are due to his pronunciation and most of his eye-rhymes can be traced in *Middle English phonology*.

The discovery of Emerson's phonemic pattern will shed light on those rhyme tendencies which Stratton¹ and others called *mis-rhymes*; the Middle English sound system will clarify many eye-rhymes.

Less than half a century before his time, the Southern Colonies, *aristocratic* in organization, tended to adapt the aristocratic language of England; the northern colonies moved to the «bourgeois lingua franca». The bourgeois gentleman of the north succeeded in supplanting cultivated eighteenth century English with his «lingua franca»; thus the basis of modern cultivated American English is strictly *bourgeois*².

Ralph Waldo Emerson, the first of the American transcendentalists, was born just three years after

1. Emerson's Rhyme, *Word Study* (December, 1944), p. 3.
See above, p. 2.

2. Whitehall, «America's Language;» *Kenyon Review* (Spring, 1940), p. 212.

the end of the eighteenth century — on May 25, 1803 — in the parish house of the First Unitarian Church of Boston, of which his father was the minister. Peter Bulkeley, his earlier ancestor, the Rector of Woodhill or Odell in Bedfordshire, came to America in 1634 and founded the town of Concord. Owing to Emerson's social background, his idiolect may be described as that of an *educated New Englander*.

Moreover, as he was born in the first decade of the nineteenth century, his linguistic time may be considered more related to the eighteenth than to the nineteenth century¹. If these two hypotheses be correct, his idiolect can be defined as eighteenth century educated New England speech.

The Linguistic Atlas of New England, which contains more than seven hundred linguistic maps of New England, and several hundred words related to the Concord area, in a careful phonetic transcription, has been of considerable assistance in the present study². Reference has been made exclusively to the dialect of Boston — the city in which he was born and spent his childhood while his linguistic pattern was in the process of development.

1. However, that period, 1950-1830, was a period of rapid linguistics change, partly sociological (the Industrial Revolution) and partly mechanical. By 1830 English had almost reached its present phonemic status.

2. *Linguistic Atlas of New England*, in five volumes, edited by Hans Kruath (Brown University, 1939).

It appears that the analysis of his phonemic pattern would simplify the analysis of the rhymes, alliterations, and the other poetic artifices employed in his poems. The following topics will be considered in this appendix:

- 5.1 New England speech during the eighteenth century
- 5.2 The analogy between New England dialect and southern English
- 5.3 The description of Emerson's phonological system and its origin in the Southeast Midland of Middle English
- 5.4 Parallel rhyme for Emerson's phonology

5.1 New England Speech During the Eighteenth Century

The study of Emerson's phonological system must be established by binding different fragmentary sources together. Among these may be noted local documents and dictionaries devised to introduce New England speech in the late eighteenth century; grammars and spelling books, the latter being directed against improprieties in pronunciation and spelling¹; freedoms in rhyme among his contemporary poets; a few early attempts at spelling reform, particularly the Benjamin Franklin scheme and, to a certain degree, Noah Webster's various pronunciations. All these,

1. Whitehall, «The Orthography of John Bates of Sharon, Connecticut (1700-1784),» *American Speech* (February, 1947).

of course, must be supplemented by the *Linguistic Atlas* and by the Henry Ellis survey (1864) of the English dialects. It is sufficient to notice that the evidence of grammarians, the evidence of spelling, the evidence of rhyme, and the evidence of the dialect survey are in substantial agreement.

Benjamin Franklin, the pioneer of American linguistics, laid the foundation for later studies in American English¹; Noah Webster put it into operation. The study of the literary works of the late eighteenth century of New England², particularly the verse, will

1. Franklin's «A Scheme of a New Alphabet and Reformed Model of Spelling, » is the basis for American phonology during the seventeenth and eighteenth centuries. Besides the great advantages that a synchronic linguist may count on in Franklin's works, the following points are notable:

a. There is no symbol for schwa; it is sometimes transcribed with (e) and sometimes with (ə).

b. He does not differentiate the vowel in « deed » from the vowel in « did ».

c. He does not recognize the physiological quality of consonants as to voicing, place of articulation and manner of articulation. Accordingly, he faces a severe problem in trying to distinguish the phonological function of /y/ and /w/. See *Works of Benjamin Franklin*, edited by Jared Sparks (Boston, 1840 Volume VI p. 295 ff.) Also Poor Richard's Orthography, *American Speech Monograph* No 12.

2. Noah Webster was a follower of Franklin. Webster's *American Dictionary* was published in 1828. It has been published more than one hundred times.

give us enough criteria to describe the Bostonian dialect. In *Travels in New England and New York*, Timothy Dwight observed a distinctive quality in the cadence of the New England speech which separated it from the speech of other regions in America¹. He also noted that during the eighteenth century, the people of Boston, with a very small number of exceptions, spoke English quite analogous to that of Southern England.

Accordingly, one may safely conclude that the phonological system of Emerson's speech was different from that used in other parts of the United States outside of New England. For example, the class of the educated inhabitants of New England, which certainly included him, used to contract two short syllables into one and give the language a rough violent junction of consonants which was often quite different from that reflected in their ordinary spellings².

Phenomena of this kind would affect his rhymes and his syllabification, particularly if an analyst would substitute in his recitation the twentieth century Mid-Western phonological pattern for that of the Concord dialect of his day. There are all sorts of gradations, for example, between the form in his speech and the contemporary Mid-Western pronunciation of the word: *half*. Let us cite another example: when a native of Indiana—to use Liddell's illustration—substitutes the low frequency /e/ for /æ/ in cases where

1. (New Haven 1821-1822) p. 465.

2. This is due to the use of plus juncture and heightening of stress.

the vowel precedes an /r/ followed by a vowel, as when pronouncing *barrel* like *beryl*, the rhyming system of Emerson may sound confused to him. It appears, for example, that in his dialect, dissyllables accented on the first and terminated on the last with a liquid or a nasal, particularly with /l/, /n/ or /m/ were pronounced in such a way that the sound of the terminal vowel was left out. Dissyllabic words like *garden* and *London* were pronounced thus: /gahdn/ and /lɒndn/.

Other instances are : the assimilation of syllables owing to the speed of utterance, and the quality of pitch which was different in New England from that of the slave-holding states. Many other phonological characteristics of his idiolect can be traced in the documents of his time.

For example, according to some American linguists, the English long vowel is a combination of a vowel plus the /h/ or /y/ or /w/ glide. It appears that in his time a long vowel was regarded as a homogeneous simple sound without appreciable glide, such as one would find (in words spelled with r) in the present London dialect as interpreted, say, in the Michigan Phonemic transcription. The reason that we put a heavy stress on the influence of Southern and *Home Counties* English on New England speech is that it was recognized for a long time as the basis of the American language, particularly during his day and even until the late nineteenth century.

We must remember, however, that the influence is that of middle-class England speech, not that of

the literate landed aristocracy. In *The American Criterion of the English Language* James Carrol asserts:

I prefer it [the New England speech] to every other English dialect.... The pronunciation of the Southern States of English - American is almost as different from that of the New England States, even among the learned, as any two dialects of the language of any illiterate nation can be supposed to be¹.

Lowell's *Biglow Papers* are two series which appeared in New England when Emerson was in his 40's and 50's. The subject matter of the *Papers* is based upon the poet's observation during his boyhood; therefore, one may infer that it represents the country usage of Massachusetts from 1825 to 1832.

The *Papers* are considered an authentic reference to the pattern of the New England speech. In order to have a better understanding of the New England dialect in the eighteenth century and of the poetic rhythm of this period, one may take into consideration, as J. K. Piercy has pointed out, the prose style of the seventeenth century; or one may note the misspellings, as Whitehall reports, in the writings of those who were in New England or in areas close to New England².

1. (New London, 1965), Preface, pp. 25.

2. In this paper, Whitehall makes an attempt to discover Bates' phonemic pattern with reference to his misspellings. See: «The Orthography of John Bates of Sharon, Connecticut» (1700-1748) *American Speech* (February, 1947), p.7.

The style of Emerson's prose can be syntactically likened to late seventeenth century prose: *clear* but learned, *sonorous* yet simple, *rhythmical* yet epigrammatical. Piercy describes this style as something between prose and poetry that originated in the King James version of the Bible, but was later modified by French influence and the traditions of homiletic prose¹.

5.2 The Analogy Between New England Dialect and Southern English

In *The Pioneers* Cooper finds the New England regional speech—in an area not far from Emerson's hometown²—very similar to East Anglican dialect of Essex in England³. The same idea is presented in *The Essex Dialect and Its Influence in the New World*, in which H. T. Armfield reports a close analogy between New England speech and what is called Received Standard English. There can be no reasonable doubt that the real basis lies in the London and Eastern counties' speech of an earlier era. J. P. Krapp believes that the so-called Eastern type of American English, which is quite close to Emerson's dialect, stands closer to Southern English than to any dialect in America⁴. In 1789, a few years before his birth, Noah

1. J. K. Piercy, *Studies in Literary Types in 17th Century America* (New Haven, Yale University, 1932), 220, 241.

2. Downtown Boston is no longer typical of the Coastal Eastern Area because of Irish influx; Cambridge is.

3. Chapter XV.

4. *English Language in America*. (New York, 1925), Volume II, 29.

Webster had declared: «The pure English pronunciation in Great Britain and in New England are exactly alike.» In *American Pronunciation of English*, R.G. White traced a close kinship between the speech of the top educated people of New England and so-called Received English¹. He asserted that it was only in a comparatively small circle of people of high urban culture in New England and New York, and in the latter place among those of New England birth or direct descent, that the true standard of English speech was found in the United States².

I agree with Whitehall's conclusion in relating New England speech to Southern English pronunciation. He holds:

The dependence of New England speech upon the East-Anglican dialect of England, a dependence which becomes clearer with every successive investigation of American speech in the Colonial period, emerges from the evidence presented here in a dozen unexpected places³.

After the above citations concerned with the relation between the New England speech of Emerson's time and Standard English, a few examples may be presented below to elucidate the situation:

1. This is essentially bourgeois.

2. *Galaxy* (April, 1879), p. 523.

3. Harold Whitehall, «Middle English «u» and Related Sounds: Their Development in Early American English,» *Language Monograph*, No. 19 (October-December, 1939), 19, 60.

1. H. Wyld reports that the pronunciation of /meyn/ for *mean* and /speyk/ for *speak* was heard in southern England during the eighteenth century. That this is valid can be determined from Pope's rhymes which, in this instance, reflect the aristocratic pronunciation of his time.

2. In *The Father*, Act II, Dunlap has transcribed «n'ither» for «neither» to indicate one of the dialectal features in the speech of the Yankee maidservant Susannah.

3. In «From Franklin to Lowell,» Grandgent calls attention to the usage of /ah/ in place of /æ/ in words like *aunt*, *calf*, *cart*, *glass*, *dance*. etc¹. Holmes has reported probably erroneously, that even during the nineteenth century in New England the first vowels of *man*, *practical*, and *Saturday* were pronounced as /ah/. This, however, seems to be an analogical error. The New England broad /â/ was actually confined to words with Middle English /a/ before fricatives, Middle English /er/, /ar/, and Middle English /aw/. In *A Critical Pronouncing Dictionary and Exposition of English Language*, J. Walker reports that during the late eighteenth century the pronunciation /ah/ in *merchant* was quite prevalent, but after twenty years became gross and vulgar². He also adds that the only words in «er» that retained their /ah/ were *clerk*, and *sergeant*.

4. In *Dissertation II*, Webster asserts that there are many people in England and in New England

1. *PMLA*, XIV (1849), 214.

2. London, (1791), p. 13.

who omit the aspiration in most words which begin with «wh» as in *white* and *whip*¹.

5. In Southern English as well as in New England during Emerson's day, the situation, with respect to pronunciation of /r/, was that all speakers omitted their *r*'s except before the vowel, but in all other regions of America, speakers pronounced the /r/ in all environments, even though it was dying out in the South. This is a late eighteenth century development both in New England and England.

These analogous elements, common between Southern English and New England speech—but not between New England speech and any other dialect of the United States enable us to itemize intimate linguistic kinship between New England pronunciation and that of Southern British English. The structure of the latter and its development is known to us; proceeding from it, and with further New England evidence, it is possible to discover both the pattern of New England speech and the structure of Emerson's dialect.

1. *Dissertations on the English Language*, p. 121.

5.3 Description of Emerson's Phonology in the South East Midland Dialect of Middle English

As his speech appears analogous to middle-class Southern English, it seemed first appropriate to adapt the International Phonetic Alphabet to his sound pattern. Further investigations have shown, however, that the IPA system is more convenient than a phonemic analysis; hence the Smith and Trager system¹ has been employed. In *The American Language*, H. L. Mencken has correctly asserted:

Very few practical phonologists have ever attempted to use the International Phonetic Alphabet without modification.

The transcription of the present study is derived from the Smith-Trager analysis of the English phonemic system; several symbols are modified because of printing exigencies such as : /sh/ and /zh/ for /š/

1. G. L. Trager and H. L. Smith, *An Outline of English Structure*, Norman, Oklahoma, 1952.

2. In this study the IPA symbols are used in brackets to demonstrate the phonetic quality, and the Smith and Trager system used in slashes / / to show the phonemic value of sounds. *Supplement II* (New York, 1948), pp. 62, 63.

and / \tilde{z} / as in *rouge* and *measure*, / η / «ng» as in *king* / I / for / i / as in *just* (the Mid-Western American pronunciation).

The following adapted symbols will be used in the present study:

5.31 **Middle English Phonology and
Its Effect on Emerson's
Language and on his Rhyme**

Emerson's phonology, his rhymes, and his licenses depend upon the particular phase achieved by the Great Sound Shift in the New England of his boyhood. For the elucidation of poetic phonology during the periods ranging from 1550 to 1850, we can give a very simple explanation¹. Modern English spelling in fact is based upon Middle English pronunciation. A linguist, looking at any modern English word, is able to tell what its Middle English pronunciation would have been. Phonetic complexities aside, a linguist can reconstruct Emerson's pronunciation and discover his rhyme tendencies if he follows the dia-

1. The following phonemic synthesis of Great Vowel Shift tendencies was first worked out by Whitehall in «The Sounds in Their Courses», *Kenyon Review* (Spring, 1954), pp. 326-328, and is repeated, with later additions by him, from that source. The treatment of close and loose contact in its linguistic effect--a concept otherwise new to linguistic theory--is obtained from the preliminary version of his forthcoming treatment of the Great Vowel Shift in all its phases.

gram: The East Midland Middle English vowel system consisted of five simple vowel phonemes and twelve complex nuclei:

(a) Simple vowels:

/i/

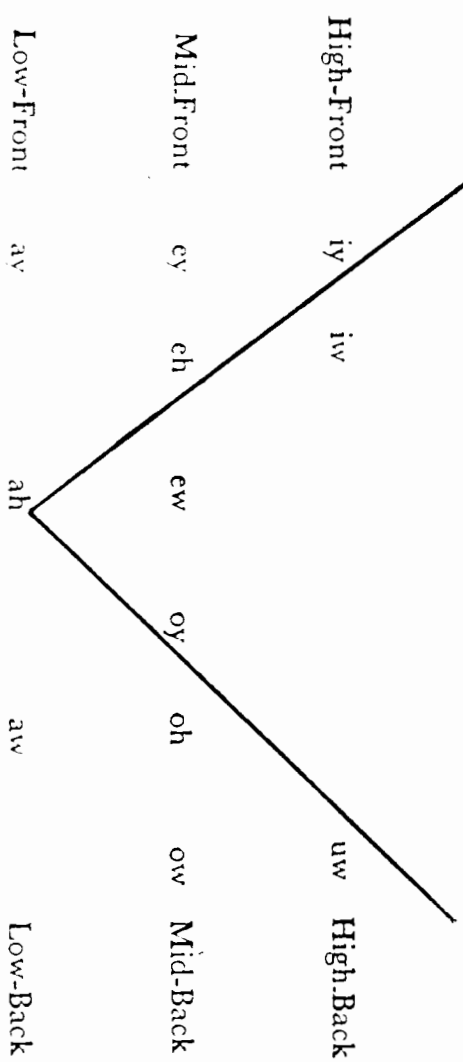
/u/

/e/

/o/

/a/

(b) Complex vowels:



The first phase of the Great Sound Shift affected only the complex nuclei—the diphthongs—outside the triangle and left the pillars of the system intact¹. It consisted of a systematic interchange of glides whereby /h/ became /y/ or /w/ and /y/ or /w/ became /h/ in each case with a tensing and raising of the vowel. Thus:

Early Modern /ih/ in *beet* became /iy/.

Early Modern /ey/ in *beat* became /ih/ and ultimately /iy/.

Early Modern /eh/ in *bait* became /ey/.

Early Modern /oh/ in *bawl* became /ah/ or remained unchanged.

Early Modern /ow/ in *boat* became /uh/ or remained unchanged or passed through /uh/ to East Anglican and New England /o/.

Early Modern /uh/ in *boot* became /uw/.

The second phase of the Great Sound Shift involved all the simple vowels and all the complex nuclei left unchanged by the preceding phase. The process of this phonological shift may be thus summarized:

Simple vowels:

1. The following abbreviated forms will be employed hereafter - O. E. for Old English which denotes Anglo-Saxon from 700 up to about 1125 (*Beowulf*); M. E. for Middle English from 1125 to 1475 (*Chaucer*); E.Mn.E. for Early Modern English from 1475 to about 1720 (*Shakespeare and Pope*); and N.E. for New English from 1720 on. Old English had been an inflectional or synthesizing language; New English is neither one nor the other. It is a language on the way towards becoming analytical. Most M. E. texts are from the East Midland and London dialects shortly after the time of *Chaucer*.

/e/ in close contact was raised to /i/, e.g., *git*,
kittle, chist etc., for *get*, *kettle*, *chest*.

/a/ became /æ/ in close contact but was retained
and then lengthened to /ah/ in loose contact;
hence the broad «ä» of New England and
British English resulted.

/u/ became /ə/ except when prevented by labials.

/o/ usually remained in Eastern New England;
everywhere else it became /oh/ before stops¹.

In New England itself, both stops and fricatives
tended to be in loose contact with preceding vowels,
whereas in other parts of America stops were in close
contact and fricatives in loose contact. In general, loose
contact tended to inhibit the centripetal vowel changes
sketched above. Hence in Coastal New England:

1. M.E. /o/ remained generally as a rounded low
back phoneme.
2. M.E. /a/ remained unchanged before r, l, n,
and before fricatives. This persistence of /a/
also in the form /ah/ is the origin of the so-
called broad ä.
3. M.E. /uw/ passed through /əw/ to /aw/ more
rapidly than in other parts of American, ex-
cept the Coastal South.
4. E.Mn.E. /iy/ passed through /əy/ and later to
/ay/ (aɪ, ɪə).

1. To this we may add the developments of the new vowels
schwa and /I/, the shift of /o/ to /a/ before consonants in close
contact, the initial development of /iy/ in *bite* to /Iy/ and of
/uw/ in *bout* to schwa plus w /əw/.

5. M.E. /e/ became /i/ before nasals.
6. Original M.E. /er/ which had become /ar/ in Late ME. was influenced by the bourgeois development to /ər/, /əhr/, and in New England, presents a confused picture. In many eighteenth and nineteenth century writers, late M.E. /ar/ persists as /ah (r)/, whence *mercy* /mahsi/ and *servant* /sahvənt/ etc.

5.4 Parallel Rhyme For Emerson's Phonology

It is not at all easy to find immediate models for writers as skilled and independent as Emerson, Longfellow, and the other New England masters, any more than one can find immediate models for Macaulay, Thackeray or other dexterous nineteenth century versifiers. Yet the vowel system, which changed its phonetic and phonemic quality roughly from the 1750's on can be so presented as to demonstrate the major phonemic tendencies in Emerson's rhymes:

1. The relation of his pronunciation to the Great Vowel Shift.
2. The blending of the New England bourgeois *lingua franca* with the former aristocratic speech of literary tradition.
3. The effect of traditional authorities such as Pope on rhyme.
4. Emerson's personal tendencies in rhyme as individual aspects of his style.

His sound pattern can be summarized under the following points.

1. his /iy/ from E.Mn.E. /ih/ is chiefly drawn from M.E. /cy/, rarely from M.E. /eh/; the latter retained its E.Mn.E. aristocratic status /ey/ in such words as *deceit* and *conceit* pronounced /deseyt/ and /kõnseyt/. The following allowable rhymes of this kind occurred in his time: *key/they*,¹ *sea/way*,² *beam/name*.

1. The World Soul, *Poems*, p. 17.

2. Joel Barlow, *Hasty Pudding* (New York 1886), pp. 42, 68.

Among the higher class New Englanders *reason* and *raisin* were homophones; they differed, however, among the general run of the population. From the same sources come such pairs as *spread/shade*¹ or *head/maid*—all perfectly accurate rhymes; the words *shade* and *maid* contain /eh/².

2. M.E. /au/, as in *chamber*, *angel*, and *danger*, fell together with M.E. /a/ retained before fricatives.

3. There are three sources for his broad ä, viz., M.E. «au», M.E. «a», and M.E. «er/ar». The distribution is limited to an original bourgeois retention of /a/ before /r/, /l/, /n/, /m/, and fricatives.

4. His /ɔ/ as in *bond* was developed from aristocratic E. Mn. E. /a/. The use of /ɔ/ as in *not* and *God* has been a characteristic of New England speech since the Colonial days (in M.E. *God* and *not* were pronounced /gəd/ and /nət/). A linguist may conclude from Webster's statement that there were no phonemic differences between New England short and long /ɔ/.

5. It appears that M.E. /o/ and E. Mn. E. /ɔ/ both developed into either [ö] or /ɔ/. For example, *bottom* and *scholar* were pronounced /böəm/ and /skölə/. During his time in New England *stone* was heard as /stɔn/, not /stɔwn/³.

1. John Trumbell, *Poetical Work* (Hartford, 1820) II, 44, 65, 216.

2. Emerson, « Monadnoc, » *Poems*, p. 60.

3. Whitehall, «O» in Early American Speech », *American Speech* (October, 1941), 192-203.

6. The vowels in *good*, *blood*, and *road*, all go back to M.E. /ow/, /oh/ which were rhymed with each other in the East Anglican dialect. He rhymed *stood/flood*¹ in «Concord Hymn», *poor/door* in «Saadi», *poor/more* and *poor/war* in «Boston Hymn». It appears that he pronounced *poor* either /poh/ or /poh/. This pattern existed also in the speech of his New England predecessors such as J.G. Whittier who rhymed *door/poor* in «Maud Muller». Emerson also rhymed *God/cloud* and *blood/cloud* in «Boston Hymn» which were pronounced /bled/ and /klɔwd/.

7. In Early American English /yu/ was rhymed with /ɔw/ or even with /ɔh/ as one may note in pairs such as *dew/bough* or *dew/cowl*²; even close to his day this archaic tendency was prevalent in New England. In the eighteenth century, in Boston, there were three pronunciations for long /u/; namely, /yu/ /iuh/, and /uw/.

8. The vowel /ɔ/, as in *hut* /hɔt/ developed in the early eighteenth century and the long /ɔ/ as in New England *heard* /hɔhd/ developed by about 1830; in his pattern the two rhymed.

It should be remembered that vowels in rhymed pairs such as *terms/arms*³, *verse/force*, and *search/march* are found in abundance during his time; they surely

1. Whitehall, «Middle English «u» and Related Sounds: Their Development in Early American English», *Language Monograph*, No. 19. (October, 1939), 16-17.

2. *Ibid.*, pp. 17-19.

3. Humphery and Barlow, *The Anarchiard* (New Haven, 1861), p. 74.

contain /ah/, not /əh/ which will be dealt with in number 9 below.

9. New England /aw/ developed from E.Mn.E. [üw], /əw/, and ultimately from M.E. /uw/. The following rhymes are noted in his lines, and in Barlow, Trumbull, Frencau, and other New England poets. These pairs are seen on many occasions: *power/shore*, *cow/low*, *down/one*, /dawn/ with /wen/.

The New England /ah/ as in *laugh*, *half*, and *calf* developed from M.E. /aw/ as reflected in the spellings *lauf*, *hauf*, and *kauf*. Ultimately in American English—but not in Southern England—we find /læf/, /hæf/, and /kæf/ from M.E. *laghen*, *half* and *kalf*.¹

10. Early Modern English /ow/ either became /uh/ and hence /uw/; it later became the New England short /o/, or remained unchanged. In his rhyme, pairs such as *own/confusion* and *own/contradiction* may be related to this rule. During his time /o/, or interchangeably /ow/, was used in New England in about fifty words; thus, in the present study, a rhyme of this /o/ with /ə/ is considered an accurate rhyme when it occurs in his lines.²

1. During his time it was considered an error to substitute «æ» for /ah/ in the words: *calf*, *half*, *staff*, *laugh*, etc. Cf. Worcester, *A Fourth Book of Lessons for Reading with Rules and Instructions* (Boston, 1847), p. 215.

2. W. D. Whitney, «The Element of English Pronunciation», *Oriental and Linguistic Studies*, Second Series (New York, 1874), p. 216.

The consonants do not play an effective role; therefore, we have not treated them in his rhyme, except to note cases of voiced-voiceless rhyme. Before reaching the end of our discussion, it appears appropriate to mention two points which have a minor effect on his final rhyme:

1. A tendency to replace -ing with -in
2. The loss of /r/ in such rhyming pairs as:

<i>first/dust</i>	<i>nurse/use</i>
<i>first did/hoisted</i>	<i>check first/breakfast</i>
	<i>dawn/thorn</i>

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در فصل چهارم، مطالعه کلمات مرکب شعر او مورد توجه است. برای اینکه باز «سبک» ارسون در ساخت و بافت کلمات روشن شود، هزاران کلمه مرکب شعر او بررسی گردیده و نحوه و «سبک» پیوستن کلمات مرکب او مثل شیوه اتصال دو اسم، اسم و صفت، اسم و قید، صفت و اسم، فعل و اسم و نظائر این ترکیب ها طبقه بندی شده است. بعداً «سبک» او در اتصال کلمات با شیوه شاعران دیگر در ترکیب و ساخت کلمات مرکب مقایسه گردیده است. کوشش شده تا توجه خواننده باصالت «سبک» او در وصل کلمات معطوف شود. زیاده بر یکصد و ده مورد دیده شد که آنها را باید اثرات خلافت او در سکه زنی کلمات مرکب در واژگان انگلیسی دانست.

در فصل پایانی به کاربرد کلمات و خصوصیت دستوری ارسون از باب اسم و صفت و قید و طرز پیوستگی و ارتباط آنها بیکدیگر توجه شده تا از این راه بتوان وجه دیگر از «سبک» او را دسته بندی کرد.

نباید فراموش کرد که از نظر زبانشناس مطالعه «سبک» یک نویسنده بیشتر متوجه یافتن قواعد و قوانین و مشخصات صوتی و دستوری و توجه به صنایع منظوم و منثور است. همت زبانشناس در تحلیل و مقایسه یک اثر ادبی این است که «قواعد» صنایع شاعری یک اثر را بیابد و صنعت یک نظم پرداز را با آن قواعد بسنجد تا «سبک» آن شاعر آشکار شود.

نظرباینکه دوره خدمت زبانشناسی در ادبیات کوتاه است و این رشته مرحله جوانی و تازگی خود را میگذراند، نگارنده توفیق نیافت تا «قواعد» قاطع تری برای مطالعه «سبک» شاعران و طبقه بندی صنعت آنان ارائه کند. امید است این اثر از ارزیابی و راهنماییهای خداوندان ذوق و ادب بی بهره نماند و نظرات خردمندان آنان این بنده را راهنمون گردد، تا در سایه این تعالیم چراغی فراراه قرار گیرد و بتواند از این پس با اطمینان بیشتر در این راه تاریک گام های تازه تر و سریعتر بردارد.

منصور اختیار

پرفسور «ستراتون» در مجله «وردستادی»^۱ در باب دستگاه قافیه اشعار امرسون چنین میگوید:

امرسون در قافیه سازی بی توجه و بی اعتناست. او در ۳۷ صفحه از دیوان خود بیش از ۸۰ قافیه مهجور و نادرست دارد که حتی با توجه به تلفظ های محلی نمیتوان محملی برای دستگاه قوافی او پیدا کرد. تنها در دو صفحه بیش از ۳۷ قافیه نادرست دارد که شاید بتوان تنها برای پنج مورد آن دلیلی تراشید و بقیه را بناچار قوافی نادرست خواند.

البته باید توجه داشت که پرفسور «ستراتون» و دهها منتقد دیگر از آشنائی با زبان شناسی امروز و روش های طبقه بندی اصوات و دیگر صنایع شعری کم بهره بودند. نگارنده در فصل نخست از بخش دوم این کتاب و در قسمت ضمیمه آن کوشیده است تا از روش های نوزبان شناسی، بمنظور یافتن دستگاه صوتی امرسون، یاری جوید و قواعد قافیه سازی او را که یکی از مظاهر «سبک» این شاعر است پیدا کند.

در فصل سوم کتاب به صنعت شاعری دیگر او که تکرار یک صامت در آغاز دو یا چند کلمه یک بیت است^۲ توجه گردیده است. در این فصل کوشش شده تا ارتباط میان صامتهای تکرار شده در اول کلمات یک بیت با «معانی» مورد نظر شاعر نشان داده شود. در این فصل اشاره شده که امرسون بارها و با نظم خاص صامت آغازی کلمات یک بیت را با مقاصد مختلف مربوط کرده است، ولی کمتر کسی متوجه این ارتباط شده است. مثلاً در شعر معروفی که امرسون در باب «شراب» سروده و از فکر حافظ استقبال کرده، بطور محسوس صوت /w/ را که نخستین حرف کلمه Wine است بخدمت کشیده است. حال آنکه در هیچ یک از اشعار امرسون این نیم مصوت تا این اندازه و با این تناوب بعنوان حرف اول چند کلمه در یک بیت بکار نرفته است. مورد دیگر استعمال صامت /S/ در شعر «سعدی» اوست که در این شعر نیز ارتباط صوت /S/ آغازی با اسم «سعدی» - که آنهم آغازش با /S/ است - دیده میشود.

نمونه های این نوع ارتباط «صوت» با «معنی» در شعر امرسون فراوان است که تنها بمثال صوت آغازی /M/ در شعر معروف «Monadnoc» اکتفا میکنیم. در شناخت دستگاه صوتی امرسون از روش محققان دانشمند بزرگ «یا کبسون» و نظر او در «طبقه بندی اصوات» مددی خواهیم تا این ارتباط صوتی را با صامتهای قوافی (صوتهای پایانی) والیتراسیون (اصوات آغازی) روشن سازیم.

1- «Emerson's Rhyme», *Word Study*, Dec. 1944. pp. 2 - 4.

2- Alliteration

پیرو یک قاعده و یک نظام مشخص است. روانشناس استدلال میکند: همانطور که هیچگاه اثر انگشت دو شخص یک نقش ندارد، همانطور دویسنده نیز هیچگاه صاحب یک «سبک» نمیشند. روانشناس علاقه‌مند بادیات همین اختلاف و درعین حال ارتباط را «سبک» یک نویسنده میخواند. دراین شیوه اختلاف‌فراوان میان منطق زبان‌شناس و استدلال روانشناس نیست، جزاینکه زبان‌شناس میگوید: اهمیت انگشت نگاری و اینکه آنرا «علم» انگشت نگاری میخوانیم از آنجاست که این تغییرات تحت «قاعده» و «قانون» درآمده و قابل محاسبه و مقایسه و اندازه‌گیری است.

زبان‌شناس بدنال «قاعده کلی» است. درکار ادبیات و صنایع لفظی نیز زبان‌شناس دربی «قانون یابی» است تا بتواند اثر یک نویسنده را با آن قواعد کلی بسنجد و خصوصیت نویسندگی او را «سبک» آن نویسنده بخواند. درفصول دیگر این کتاب سعی شده تا «نمونه‌ای» از شیوه کار زبان‌شناس در نقد یک اثر ادبی ارائه شود.

در انتخاب نویسنده و مطالب مورد بحث باز دشواریهایی است که نیاز به بازگویی کوتاه دارد. از آنجا که هنر و ریزه کاری نویسندگی در «نظم» زیادتر از «نثر» است، از اینرو کوشش شد تا بیشتر مواد خام و مطالب این بررسی از «نظم» گرفته شود. گرچه از نظر زبان‌شناس اختلاف‌فراوان میان نظم و نثر نیست، باز کلام منظوم را بر نوشته منشور ترجیح داده‌ام.

برای این بررسی آثار منظوم ارسون شاعر متصوف و فیلسوف قرن نوزدهم آمریکا تحلیل و رسیدگی شده است. غرض از انتخاب شعر ارسون دوا امر است: یکی آنکه شاید او در میان نویسندگان آمریکائی تنها شاعر و فیلسوفی است که شرق را به‌تر میشناسد و شیفته و دلباخته آثار حافظ و صنعت سمبولیسم اوست. دیگر آنکه جمعی از ادب دوستان شتابزده غربی بنا حق او را در صنعت شاعری «نبی توجه» و «بی‌اعتنا» خوانده‌اند و بی‌پروا صنایع شعر، وزن، قافیه و آهنگ کلام موزون و منظوم او را بانقاد کشیده‌اند. چون نگارنده حملات منتقدان شتابزده را بدین نویسنده متصوف ایران دوست دور از انصاف دید، برآن شد که «قواعد» صنعت نظم و شاعری او را بیابد تا از این راه هم حقی از این فیلسوف ایران دوست ضایع نشود و هم «نمونه‌ای» برای بررسی این صنایع لفظی به ناقدان ادبی ارائه شود تا در بروز مواردی از این قبیل شخص شتابزده گرفتار پیش داوری‌های نادرست نشود.

از صنایع نظمی ارسون که مورد بررسی قرار گرفته «قافیه» است. غالباً نقادان ارسون دستگاه قافیه پردازی او را مورد خرده‌گیری قرار داده‌اند. حتی

آنها از هم گسیخت. طرفداران مکتب جدا کردن « صورت » از « معنی » بر عقیده دیگرند. آنها میگویند: درست است که نمیتوان زیبایی فرش خوش بافتی را تجزیه کرد یا لطافت آنرا اندازه گرفت، ولی در همین فرش زیبا عواملی مثل طرح تار و پود، وضع پیوستگی آندو، نوع و طرح نقشه بافت، جنس و رنگ نخ و پشم وجود دارد که میتوان ارتباط و پیوستگی آنها را سنجید و بالاخره وزن و اندازه فرش را که بهر حال قابل اندازه گیری است بررسی کرد. گفتگو در این موارد قابل محاسبه را، چه در مثال فرش و چه در یک اثر ادبی، مبحث « صورت » خوانیم. مبحث « معنی » در مثال فرش متوجه « زیبایی » آن و در یک شعر متوجه « الهام » آن می باشد. این نکته را نیز نباید نادیده گرفت که در مطالعه « صورت » امکانات علمی موجود، ولی در مطالعه « معنی » وسائل اندازه گیری نادر یا حتی مفقود است. تمایل نقادان زبان شناس علاقه مند بعالم ادب این است که پس از مطالعه علمی « صورت » آنرا بنحوی با « معنی » درآیزند و از این آمیزش ترکیب نو ارائه کنند.

باید بخاطر سپرد که « معنی » و مطالعه آن از دشواریهای کنونی دنیای ماست. از زمانی که قدرت فلسفه و استقلال سرزمینهای آن به انقراض گرائیده و بمرزهای آن تجاوزاتی شده، فلسفه از یک واحد مستقل به اجزاء پاره پاره درآمده و هر جزء آن به علمی وابسته و مرتبط شده است. ناچار « معنی » و « دلالت » هم توان حفظ تمامیت نیافته و علوم دیگر سرپرستی و اداره آنرا عهده دار شده است. از اینجاست که هرچه درون « دلالت » و « معنی » را بیشتر بشکافند، مشکلات آن ظاهر تر و فزون تر میشود تا بجائی که اکنون این دشواری بصورت یکی از پیچیده ترین معماهای عصر ما درآمده و علم امروز در مقابل آن درمانده گشته است.

زبان شناس میخواهد تا حد امکان خود را از پیچ و خم « معنی » دور نگاه دارد و بیشتر متوجه « صورت » آثار ادبی گردد و صنعت ادبی را بپای امکانات سنجش کشد و از آن « قاعده » و « قانون » استخراج کند. اگر روزی قواعد صنایع لفظی و مینیاتورها و منبت کاریهای شاعری بصورت « قانون » درآید و حدود و ثغور و اجازه های شاعری بررسی شود، آنوقت می توان از « سبک » یک نویسنده و مقایسه آن با نوشته دیگر سخن گفت و برای صنایع شاعری شیوه علمی مهندسی و پی ریزی کرد.

بحث « سبک » و « سبک شناسی » بی شباهت بکار « انگشت نگاری » نیست. روان شناسی که سرگرم نقد ادبی از دیدگاه روان شناسی است اصرار دارد که بررسی « سبک های ادبی » را مشابه تفاوت شکنج ها و نقش های نوک انگشتان انسانی بداند. البته در عین حال که نوع این نقشهای نوک انگشتان بی انتهاست، همه آنها

من هم بر این عقیده‌ام که در اثر ادبی « صورت » و « معنی » چون « تار » و « پود » فرشی زیبا چنان بهم بافته است که اگر کنجکاوی بخواهد « تار » را از « پود » جدا کند ، دیگر اثری از نقش بجا نخواهد ماند . زیبایی نقش تنها در ارتباط « تار » و « پود » است ، همچنان که لطافت یک اثر ادبی نیز در پیوستگی « صورت » با « معنی » نهفته است . البته نباید منطق و شیرینی این بحث را نادیده گرفت ، ولی باید یاد داشت که زیاده بر هزاران سال ادب دوستان بر این عقیده استوار بوده‌اند .

امروزه چرخش باب علم و ادب بر محور میزان های علمی است . گمان و احساس زیاد طالب و مشتاق ندارد . نقادان ادبی ، که خود را متولی بساط ادب امروز میدانند ، سعی دارند تا آنچه را که از یک اثر ادبی قابل سنجش است از آنچه که تنها جنبه احساس فردی دارد جدا سازند و فقط بان جزء قابل سنجش اعتبار و جنبه علمی بخشند و مطالعه جزء احساسی آنرا بدست دلالت شناسان که هنوز بدنبال امور غیر قاطع اند بسپارند . این آرزو در « پراگ » پایه گرفت و قبل از انقلاب سرخ ، مکتب آنروز « مسکو » را که با هدایت « روسن یا کبسون » رهبری میشد بخود مشغول داشت . با مهاجرت « یا کبسون » با سریکا و استقرار او در دانشگاه « هاروارد » مکتب « فرمالیسم » روسیه به جهان غرب کشانده و معرفی شد . بتدریج این مکتب در زیر نام « مبانیون »^۱ شهرت یافت که اکنون مکاتب و مراکز بزرگ نقد ادب انگلیس و اسریکا با این روش هماهنگ است .

نگارنده در طی چند سال بررسی توفیق یافت که نخست از راز این مجاهدتها سردر آورد ؛ بعداً آثار نقادان ادبی نوراً بفهمد ؛ با چند نفر از رهبران این مکتب تازه طرح الفت ریزد ؛ بتدریج سعادت بحث با آنها را بیابد ؛ نوشته های خود را از نظر نقاد و خرده گیر آنها بگذراند ؛ تا بتواند در مکتب پرابهت و دلچسب آنها زانو زند و خوشه چینی کند ؛ و بالاخره توفیق یابد که ثمر مجاهدت خود را با انتشار این سطور بمشتاقان این رشته برنا عرضه نماید .

فصل اول کتاب که دهها صفحه را فرا گرفته است ، وظیفه بحث در « سبک » و « سبک شناسی » را تقبل کرده است . در معرفی این مباحث بنظر رسید که بهتر است بسیاری از کلمات مثل « ادبیات » و « معنی » مجدداً مورد رسیدگی تازه قرار گیرد و یکبار دیگر این کلمات از نظر « زبان شناسی » بررسی شود . بعداً سعی شد تا مراکزی که عهده دار مطالعه امکانات جدا کردن « صورت » از « معنی » است معرفی شود ؛ تا روشن گردد که دشواریهای این امر چیست و چرا در قرن اخیر مساعی فراوان برای جدائی « صورت » از « معنی » بکار رفته است .

گفته شد که یک اثر ادبی بمنزله فرش است که نمیتوان « تار » و « پود »

پیشگفتار

از نام کتاب پیداست که مطلب آن حول وظیفهٔ زبان‌شناس در ادبیات دور میزند. سابقهٔ نقد ادبی در جهان غرب به مرز قاطعیت کشانده شده ولی این کار هنوز در خاور زمین پایه و ریشهٔ آن در احساس و بحث آن در مواردی است که از محوطه و حوصلهٔ علوم خارج است. مثلاً وقتی شعری نغز و لطیف را می‌شنویم، زبانمان به تحسین باز میشود و آنرا با « احسنت » و « آفرین » استقبال میکنیم، ولی درجات این تحسین در زبان و مکان با وضع روحی خواننده تغییر میکند و بستگی به عوامل متعدد دارد که نمیتوان آنرا مشخص کرد و بنحوی سنجید.

در اینکه کار ادب و ادبیات با احساس است و تنها ترازوی ذوق شایستگی توزین آنرا دارد جای شبهه نیست؛ ولی با قاطعیتی که علوم یافته و رشته‌های دانش مسیر خود را به آنسو گردانیده، بنظر میرسد ناچار روزی ادبیات هم باین راه افتد و از سائلی که بانتقاد ادبی قاطعیت میبخشد توسل جوید. آنانکه سنجش اسور احساسی را گناه پوزش ناپذیر میدانند، باید بیاد داشته باشند که امروز مظاهر احساس در دسترس وسائل توزین و اندازه‌گیری قرار گرفته است. روانشناسی که ناچار یکسره با احساسات در ارتباط است، اکنون با عدد و رقم و ماشین‌های آمار گیری سروکار نزدیک یافته است. اینروزها در امریکا و شوروی و انگلستان رسائل و کتابهایی که در زمینهٔ روانشناسی نوشته میشود دیگر، برخلاف گذشته، کمتر در آن شرح و داستان سرائی وجود دارد؛ بلکه در غالب آنها بررسی یک‌عامل بخصوص روانی در میان هزارها مردم مختلف مورد نظر است. اگر مطالعهٔ روان و اثرات احساس براه علمی افتد، دیگر دلیلی نیست ادبیات که زائیدهٔ احساس است از این طریق سنجیده برکنار بماند.

کشاندن « ادب » براه علم تازگی ندارد. از عهد ارسطو این نیت در دل فلاسفهٔ ادب دوست وجود داشته است که روزی نقد ادب و ادبیات بمیدان علوم رخنه کند. در قرن اخیر راه برای واقعیت بخشیدن باین آرزوی کهن باز شد. در اوائل قرن بیستم مکاتب ادبی « پراگ » و « مسکو » بفکر جدا کردن « صورت » از « معنی » افتادند. برخی از شیفتگان شتابزدهٔ ادبیات علیه جدا کردن « صورت » از « معنی » برخاستند و جدائی این توانان را غیر عملی دانستند.

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در چاپخانه سازمان انتشارات و چاپ دانشگاه تهران خاتمه پذیرفت
حق طبع این کتاب تا سه سال در انحصار دانشگاه تهران است
و مسئولیت صحت مطالب آن با مؤلف می باشد

بها : ۱۲۰ ریال

اسکن شد

از زبان شناسی تا ادبیات

تألیف

منصور اختیار

استاد دانشگاه تهران



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از زبان شناسی تا ادبیات