

Title:

Russian Evolution: Rozhdestvensky and the ‘*image of the author*’ explored with reference to his book *General Philology* (1996) Moscow

Author:

Dr Mary Coghill: Visiting Research fellow, School of Advanced Studies, Institute of English Studies, University of London

This paper was originally presented at the ‘**Russian Evolution: Russian Reflections Conference: A Conference on the work of Yuri Rozhdestvensky: his Contribution to Linguistics, Rhetoric, Communication theory, Semiotics, Poetics and Narratology**’ held at Senate House on October 21st 2017. The conference provided the opportunity to present work by Professor Yuri Rozhdestvensky of the Moscow State Lomonosov University (1926-1999) in English for the first time. The conference provided the completion of the second part of the author’s Visiting Research Fellowship at the Institute of English Studies, School of Advanced Studies, University of London. Details of the speakers and the titles of their presentations at the conference are listed in Appendix III.

Keywords: Yuri Rozhdestvensky; V V Vinogradov; the *image of the author*; Diachronic Philology; Roman Jakobson; Narratology

Abstract:

The work of Professor Yuri Rozhdestvensky is almost completely unavailable in English. This paper provides analysis of two parts of his book, *General Philology* – the Introduction and Chapter Five entitled ‘Printed Literature’¹. This work is translated for the first time by Paul and Elena Richard² and is now available on <https://sas-space.sas.ac.uk>. Analysis of this translated work reveals Rozhdestvensky’s lifelong interest and commitment to a theory of culture as a historical, linguistic, philological and semiotic development. The paper presented here highlights the analysis of poetics in Chapter Five with reference to Professor V. V. Vinogradov whose work is also largely unavailable in English translation. The use of codes, as defined by Roman Jakobson, provides the theory for the provision of connections between Rozhdestvensky’s analysis of culture, poetics, linguistics, semiotics and philology whereby his work can be understood by those unfamiliar with his theoretical position. This includes special emphasis on Vinogradov’s theory of the *image of the author*. The necessary component of diachrony in Rozhdestvensky’s work and the links to the discipline of Narratology are highlighted. It is concluded that Rozhdestvensky has unique and original contributions to make to academic studies through his particular understanding of a Theory of Culture.

A theory of the development of culture is a particular life-long research area of Yuri Rozhdestvensky. Professor Maria Polski will discuss this later today. The first parts of Chapter Five³ of *General Philology* deal with a historical survey of the development of printed literature. Rozhdestvensky analyses how the development of printing presses affected the nature of the printed text. He explores the different categories of the participants of the printed text and their relationships – the author, editor, publisher, printer, bookseller and reader. He proposes a theory of how monetary requirements and the readerships’ need for novelty shape the processes of production

and how these processes differ for novels or academic scientific literature. It is from this discussion that the first key definition which informs this paper arises: 'If a text cannot be read and understood by the reader, the reader has to find the text or texts containing the codes to the text' (p209/11) [page numbers throughout the paper refer first, to the Russian printed book and second, to the English translation]. This term 'code' is also used by Jakobson in his diagrammatic representation of Formalist communication function and is defined as 'the message requires....a CODE fully, or at least partially, common to the addresser and addressee (or in other words, to the encoder and the decoder of the message) ('Linguistics and Poetics' [1960] 1987, p66)⁴. Professor Marina Subbotina will cover the details of connections between Rozhdestvensky and Jakobson in her paper later in this conference.

By the end of the chapter, with Rozhdestvensky's analysis strongly influenced by Viktor V. Vinogradov, there is a strong requirement to find a 'code' which would explain the central theory of the chapter, that of *the image of the author* (образ автора). Another 'code' needed to support interpretation, was that of the discipline of Philology. Rozhdestvensky's use of the term includes an acceptance of the passage of time as a central aspect. Hence the use, in this paper, of the term 'Diachronic Philology'. Philology frequently focuses on a particular text, type of literature or a particular era. For Rozhdestvensky, the development and the changes in text reproduction and interpretation over time are just as important as the particular types of text in themselves. Rozhdestvensky's theory of the Development of Culture, in this instance that of the printed text, is a discipline for research in its own right. By definition it requires a study of its development through the passage of time.

The Philological Society, a British institution, states that the function of Philology is:

to investigate and promote the study and knowledge of the structure, the affinities, and the history of languages'. As well as encouraging all aspects of the study of language, PhilSoc has a particular interest in historical and comparative linguistics, and maintains its traditional interest in the structure, development, and varieties of Modern English (Philological Society website 6.17 www.philsoc.org.uk).

One of its senior members, James Clackson, Professor of Comparative Philology at Cambridge University, in personal correspondence, has stated that the European and American definition of Philology is closer to the Russian definition and the English definition of Philology is different again. Those of you here who are familiar with the work of Vinogradov⁵, will know that the passage of time is an essential part of the definition of his understanding of Philology. Chancellor

Emma Volodarskaya will discuss the theoretical development of Vinogradov's contribution in her paper here today. Rozhdestvensky also explicitly mentions (p212/15) that a philologist must consider printing laws – this is not often considered to be part of the philological or literary researcher's remit.

A further word which requires a code to interpret it in English is the use of the word 'scientific'. For the Russian student this refers not only to the study of science but also to literature in the sense that if empirical methods are applied to the study of language then the study of words, including Philology, is a science and it is therefore a scientific study. For Rozhdestvensky it is therefore second nature to state: 'Philology primarily studies the style of scientific literature. The main characteristic of style in scientific literature is terminology' (p218/21). The theoretical scientific principle goes back to Aristotle's empiricism. Vinogradov's lifelong search for concrete examples in poetry for the explication of poetic theory is well known to anyone familiar with his work and is an example of just such a scientific study.

There are further definitions which require decoding by the English researcher. Rozhdestvensky's research of texts, that is, Textology, supports his cultural exploration of the production of printed literature, he defines it as the study of: 'the reproduction of the entire original work' (p214/17). His adherence to scientific methods of study includes his category of imaginative literature (fiction) within which, in agreement with Vinogradov, he includes poetry. He continues with the further definition:

Historically, fiction originates from ancient poetic texts, i.e., texts that were built according to the rules of poetics. Scientific texts go back to ancient prose. They are built on the principles of rhetoric' (p214/17).

I know that we will hear more about Rozhdestvensky's work on Rhetoric from Professor Tatiana Dobrosklonskaya today.

Rozhdestvensky separates scientific texts from the fictional by defining them as requiring different responses from the reader. With fiction 'the reader is required to "merge his or her heart with the author's"' (p215/18) whereas 'scientific texts imply a regular text exchange where each reader is also an author' (p215/18). The readers of imaginative texts understand that 'the writer's mastery is often believed to be a mystery' (p215/18). But of course, where the text is considered scientifically, that is, from the viewpoint of the linguist or the structural literary theorist, the 'mystery' of fiction is mastered, at least in part. In the next section, 5.5, of this chapter, Rozhdestvensky

considers scientific literature, introducing the term the *image of science*. This is a term which incorporates a generic function and includes the study of, for example, the *image of the scientific object*. It is a term which has a semiotic structure. It is with regret that this paper cannot study every aspect of Rozhdestvensky's work presented in his chapter. His section on social sciences is not considered here. He develops the theory of the *image of science* with reference to the *image of the scientific object*. Rozhdestvensky begins by defining this as:

The difference between scientific abstraction and common classification in the style of scientific texts is made by the presence of the *image of the scientific object*. The object may be given a postulate or premise of a science, and be influenced by the development of knowledge, philosophical ideas, generalization and systemization of scientific observations and logical thinking (p220/24).

The effect of a diachronic interpretation of scientific ideas is inherent in this definition, just as the diachronic interpretation is acknowledged in the *image of the author*. Rozhdestvensky provides a further definition:

The existing *image of the scientific object* is consolidated in the form of postulates and links which originate from representations of eternity, material constancy, and the infinity of the physical world, the hypostasis of which are in primordial motion and endless transformation, based on the principle of energetic equivalency' (p220/24).

This is a dense definition of terms involving time and movement within a physical and scientific domain. It is, regrettably, not within the scope of this paper to research the source and further interpretation of these definitions. The term *image of the scientific object* requires further explanation in order to reveal its full complexity. The semiotic nature of the definitions given by Rozhdestvensky, involving, as they do, interpretation of time and movement, both within the scientific object itself, and, as is further explored later in this chapter, in terms of the diachronic interpretation of the scientific material itself, makes it quite clear that these are not semantic definitions of planar objects but definitions which involve both interpretation of the physical and scientific material objects themselves and definitions of the scientists' responses to the objects.

He sums up this section by stating that the 'text exchange' between the author and the reader in a scientific text is of central importance:

If scientific literature did not presume a text exchange, the text would only move from the author towards the reader, as in the case of imaginative literature, then the reader could have his own understanding of the text, without taking into consideration the entirety and precision of that understanding (p224/28).

Within 'text exchange' the reader is also an author and this provides accurate understanding. This is interesting because someone who writes fiction or poetry as well as reading it, can also

participate in a scientific ‘text exchange’, and understand the imaginative text in a fully scientific manner - as might be evidenced in a Creative Writing Degree. It is noted that there are no references given for this part of the chapter and his terms do not entirely correlate with those used in the discussion of fiction in later sections.

Rozhdestvensky’s construction of a philosophy of culture includes analysis of its development through time in relation to the printed word and he brings this up to date with the emergence of computers with the reference to ‘Information Systems’. The tables are shown below in Appendix I. I give grateful thanks to Marina Subbotina for the English version. Please note that the table included in the translation of Chapter 5 posted on sas-space is an earlier version. I draw your attention to a crucial word in Russian ‘slovesnost’ – the totality of words in literature – which provides a particular interpretation of Philology and in Rozhdestvensky’s case an interpretation of the history of culture. This table will be explored and explained more fully by other speakers here today.

How does this relate to *the image of the author*? Section 5.6 of this chapter is entitled ‘The Main Semantic and Stylistic Characteristics of Fiction: The Image of the Author’. The idea of the *image of the author* is not currently familiar to the theoretical research of literature either in the UK or America. Other Western European countries may well be more influenced by this concept. When this chapter was in the process of being translated, the term *image of the author* was so unfamiliar that the natural response was to insert the term ‘persona’ instead. However as the complexity of Vinogradov’s term emerged through the course of Rozhdestvensky’s analysis and it became clear that this English (Latin) term was not appropriate. A discussion on the correlation of these terms is covered later in the presentation paper after the theory of the *image of the author* has been explored (please see p19 et seq.).

Viktor Vinogradov is the architect of this term. He spent much of his life fascinated by this theoretical analytical position and developing it. His determination to pursue his research through the accumulation of an encyclopaedic range of concrete examples for this theory was unfortunately incomplete when he died. Very little of Vinogradov’s work has been translated into English. Lawrence Thomas published some adapted extracts of his work: *The History of the Russian Literary Language from the Seventeenth Century to the Nineteenth*, in 1969. The focus of his book is Vinogradov’s interest in research into regional dialects. Further references in English into his work include an article by A P Chudakov (1985) ‘V V Vinogradov and the Theory of Literary

Language in the First Third of the Twentieth Century’. This article proved very helpful in establishing how Vinogradov became interested in the idea of the *image of the author* and how he developed it. Alexander Chudakov is best known for his work on the poetics of the Russian dramatist Chekhov.

Rozhdestvensky, referring to Nekrasov, notes that early writers of Old Russian literature did not aspire to an individual style but tried as much as possible to blend in with the accepted canon of work, namely ‘canonic style models’ (p225/30). He notes that Likhachev, in studying Old Russian literature observed that certain ‘formulae are compulsory’ when writing about certain subjects – for example saints or the military (p226/30). The individualization of style which emerged in fictional works from the 18th century onwards led to an understanding of *functional style* – that is, a differentiation of styles – business style, conversational style and so on. As Rozhdestvensky notes, to Vinogradov ‘the *image of the author* is both a stylistic individual characteristic of a work of fiction and a general characteristic within specific categories of fiction as a separate function style’ (p226/31).

Rozhdestvensky’s theory of the development of culture in theory and practice is an important contribution to Philology. Vinogradov’s and Rozhdestvensky’s philology is expressed not only through their study of the history of the development of a particular style of literature – for example, the novel or a particular type of novel, but also through their acknowledgement that each era, each generation will perceive the *image of the author* differently when considering a work of fiction and that this in itself is therefore a diachronic study. This matter can be further explicated with the help of Chudakov’s article as well as Rozhdestvensky’s chapter.

Chudakov’s paper reviews Vinogradov’s development of his theory of literary language, the *image of the author* and its related terms. There are early links to Formalism and *skaz*. This Russian word has been absorbed, in the Russian, into the English academic field of Narratology. It was brought into English usage largely through the work of Eichenbaum and Bakhtin. This term describes both the development of oral tradition (originally from Russian comic monologues), emphasising the relationship between the narrator *towards* the reader/listener. It is here that the dialogic element of Vinogradov’s term the *image of the author* possibly derives.

Wolf Schmid, Professor emeritus of Hamburg University cites all the Russian origins of the ideas and their development, including the work by Vinogradov in his online reference document⁶. It is

with difficulty that the Russian development of *skaz* and the *image of the author* are reconciled with the Western European narratological analysis of the characteristics of authorial and narrator positions. Using Narratological terms, Schmid writes:

Skaz is not simply a stylistic or rhetorical issue. In its sharp linguistic and ideological dissociation of implied author, narrator, fictive addressee, and implied reader, it lays bare the fundamental communicative structures of narrative (p5, section 3.4, 2014).

In his own paper on ‘The Problem of *Skaz* in Stylistics’, ([1925] 1978) Vinogradov wrote:

Skaz is a self-willed literary, artistic orientation toward an oral monologue of the narrative type; it is an artistic imitation of monological speech which contains a narrative plot and is constructed, as it were, as if it were being directly spoken (Vinogradov [1925] 1978: 244).

In this essay Vinogradov demonstrates the same kind of excitement and commitment to the ‘new’ as Rozhdestvensky. He writes: ‘The conservatism of the written literary language is overcome by infusing into it living, varied dialectical elements’ (1978, p249) [this, I understand is, as in regional dialect]. He argues that the position of the narrator is not defined by literary historians and he states: ‘Meanwhile *skaz*, proceeding from the author’s ‘I’, is free. The writer’s ‘I’ is not a name but a pronoun’ (1978, p249); and: ‘In the literary masquerade the writer can freely change stylistic masks within a single artistic work’ (1978, p249). He further writes: ‘It is the crucible in which ancient synthesised forms of literary narration are blended with various aspects of oral monological speech, a crucible which presages the development of new forms of written, literary, artistic speech’ (1978, p249). It is of course useful to note here Roman Jakobson’s work on the pronoun ‘I’ as a shifter. This introduces a further theoretical tool for the analysis of the authorial persona.

Roman Jakobson’s chapter on ‘Shifters, Verbal Categories, and The Russian Verb’ in *Russian and Slavic Grammar* (1984) explores in a unique way the multiple interpretations of pronouns, especially the pronoun ‘I’, which operate in conversation and dialogic exchange. If *I* speak the listener registers this as *he/she* is speaking or *you* are speaking. This is not a characteristic only of the spoken word, this shifting exists within the written text as well. With reference to *skaz*, the link is clear. There are special characteristics of monologic speech. Again in Western European academic research the interpretation of shifters has been poorly understood because they are almost always described as deictics – the word which has the over-riding quality of placing – one person or thing in relation to another. This linkage was due in part to the work by the German Philologist Bühler in the first half of the 20th Century. The scope for shifters to interpret the ‘I’ of the imaginative text, as can be seen from the work of Rozhdestvensky and Vinogradov, is centred more on the author’s work than the placing of the text and author in relation to each other.

Narratology has attempted many diagrammatic representations to explain the relationship between the narrator, the text and the reader/listener. It is not possible here to do more than refer to some of these by name – Booth (1991), Chatman (1990), Oliver (1989) and Rimmon-Kenan (2002). The narratological analysis of authorial position in relation to the text and receiver is essentially deictic in Western European narratological analysis. The Russian analysis, as explained by Vinogradov, and here by Rozhdestvensky is dialogic or dialectic. This means that for Western narratologists the analysis is essentially deictic, one of position – where the participants of the text perception sit in relation to each other. For the Russian the *image of the author* is essentially a process of communication. The author is placed in a central position and can have more than one voice in relation to the text and the reader. The Russian analysis comfortably makes provision for both the author and the reader/listener to move from one kind of relationship to another within the text. Whereas from the Western European position, the analyst struggles to *label* all the possible different *positions* of the author, text and reader/listener; the Russian analytical position, by placing the author in control of his/her text, describes all the *dialogic processes* of communication which the text provides through the *authorial dialectic*. This is an original definition of these two developments of analysis. This is research which would benefit from further discussion.

Accepting a dialogic, and therefore communicative, basis for the *image of the author* requires analysis of diachrony and synchrony in relation to it. Diachrony, of course, is the passage of time, and synchrony is that which happens at the same or similar time. Vinogradov's analysis derived to some extent from the work of Saussure who represented these two positions as an axial model⁷. This photo, and I apologise for the poor quality image, is a reproduction of Saussure's original diagrams from 1910/11 (see Saussure *Writings in General Linguistics* 2008, p237 and p240).

Chudakov in his 1985 paper on Vinogradov wrote:

In discussing its application to a writer's individual style, Vinogradov noted that description of this style must avoid all diachronic investigations into historical genesis [as I understand it, that is, biographical]. Such description (is) [should be] necessarily static, or synchronic. As for the dynamics of the individual style, Vinogradov saw it as a kind of transformation of the same system, the core of which remains consistent (Chudakov, p100).

This is an analysis of diachrony and synchrony which is not only a linguistic analysis of the components of an individual textual construction but is also an analysis of a particular author's work, a particular example of their work, and further, a macro-textual analysis of the development of literature and culture as a whole as well. Chudakov explains:

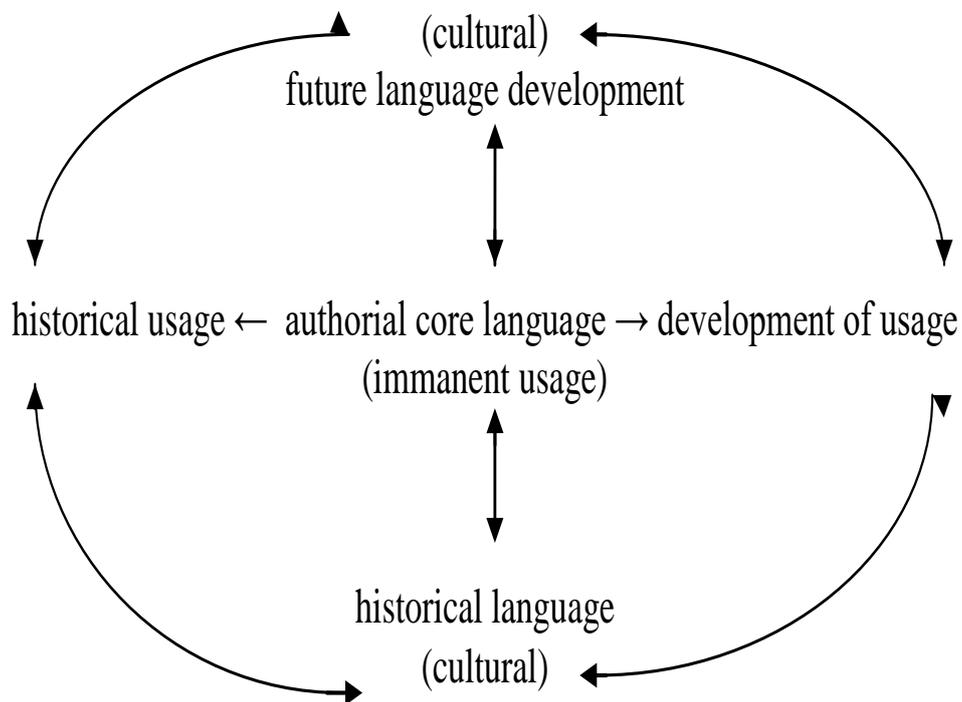
For Vinogradov there is the imperative to study scientifically the development of language: Functional, immanent description is not independent; it must be followed by investigation into the retrospective, projective sphere and viewed against a background of the diachronic arrangement of other literary structures....For Vinogradov, these approaches cannot exist apart from each other (Chudakov, p100/1).

It is understood from this, that the diachronic development of the author's work is a source of information for the comprehension of the text. This highlights how the syntactic organisation of the words can be used to develop a diachronic understanding of the writer's work. This is clearly explained by Rozhdestvensky where he writes of the author's *functional style*: he defines this as 'the choice of lexical units, and the creation and choice of syntactic constructions for the needs of a certain functional and thematic content' (p226/31). Rejecting a purely Formalist position, diachrony as a retrospective and projective analysis of a text was natural to Vinogradov. In his analysis of Anna Akhmatova, Vinogradov investigates not only her diachronic use of language within a poem but also as manifested within her work as a whole. He wrote:

Diachronic description of works such as, for example, Akhmatova's poetic style should present a "system carried beyond the limits of its creation, of hierarchically arranged linguistic phenomena" (Chudakov quoting Vinogradov, p102).

The Saussurian model of synchrony and diachrony is modified to provide a scientific synchronic and diachronic study of the text, that is, the text in itself, both within the history of the writer's era and within the writer's own development. This analysis by Vinogradov did not adhere to Saussure's dichotomy between 'langue' [general language usage] and 'parole' [word usage by an individual]. There is therefore a semiotic component to this theory. I think we will hear more about this from Professor Olga Hazanova today. Vinogradov developed his own spherical model of language as opposed to a planar model, and here he refers to work by Rozhdestvensky⁸. It has not been possible to find a diagrammatic representation of Vinogradov's model. Any information on such a form of representation would be gratefully received. I have attempted to demonstrate Vinogradov's model here. It should be noted that the proposed model derives from the secondary source quoted above by Chudakov, not from work by Vinogradov himself. The arrows indicate the communicative movement between the different influences on the authorial immanent language usage and their exchange between the other influences on the writer's text. The author is placed in a central position and controls the language selection processes. From this central position the author selects language both from culture and history and from his/her personal creative impetus and develops a future personal and cultural language usage.

Vinogradov's spherical model of an individual writer's style



For Vinogradov the word reaches out beyond the individual sentence and is also understood within the context of the author's usage. It can also be readily accepted that it should be understood within the context of the reader's cultural usage. As such, the word becomes a symbol. Chudakov wrote: 'all of Vinogradov's stylistic categories, from the "symbol" to the "image of the author", although they did not become separated from their linguistic foundation, were always oriented toward **the specific character of the word as an aesthetic object**' (p106) [my emphasis]. This also echoes Jakobson's insistence that the 'focus on the message for its own sake, is the POETIC function of language' (1987, p69)⁹. For Vinogradov there was 'diunity' in every word – from its source in the national language and from the style of the individual author (p106/7).

The Formalist position is to study the text in itself rather than within its historical or generic background. Vinogradov's theory developed over the years and Chudakov identifies three stages: 1. the methodological investigation of stylistics and linguistics linking him to the Formalists; 2. his paper: 'Towards a Theory of Poetic Language' (1926) where the language of literature is greater than poetic language in itself - this is not a Formalist position and 3. from his paper: 'On Artistic Prose' where he develops a theory of poetic language as the unknown quantity yet to be discovered (Chudakov pp107/8).

Vinogradov's theory of the *image of the author* originally had an emphasis on oral discourse but in response to work by Bakhtin and Tynjanov it developed into a structure which could be assimilated into literary works – the voice of the narrator merges with the author's voice, can be contrapuntal to it or indeed alien to it. For Vinogradov the *skaz* does not break down into separate voices, as with Bakhtin, but it remains strongly monologized and the author is therefore the ultimate producer and controller of the text. For Vinogradov the text contained 'different types of narrators, the various kinds of substitute narrators, their relation to the author, and the author's place in the "orchestra of voices"' (Chudakov p132). And in a development of this theory:

'For Vinogradov, the "image of the author" was more than just a stylistic concept; it was a philosophical category that resolved what was for himan acute antimony between the projective, empirical study of the innate movement of literary forms as governed by extra-personal, objective forces, and the idea of the personality, which creates the artistic world confronting the scholar' (p139).

Vinogradov developed his *image of the author* from an earlier term "linguistic consciousness". His early research analysed many poets and their work. He postulated one further image: the lyric "I" (p132). He wrote a paper 'On the Hero in Lyric Poetry' (1926). He understood that Esenin's image of the Lyric "I" developed from folkloric symbolism, to become, as in his later Futurist work, an "I" that is attached to the author's persona and is dramatized' (p133). The lyric "I" is used to construct masks which he compares to the dichotomy of inspiration in the work of Mayakovsky: 'A lyric image running parallel to its comic antipode, the lyric "I" of Mayakovsky, develops along another linguistic track and on another, tragic, plane' (p133). We are grateful for Qiaoyun Peng's contribution on this aspect of the *image of the author* which she is presenting today.

Rozhdestvensky's discussion of the *image of the author* uses the example of Vinogradov's analysis of 'The Bronze Horseman' by Pushkin. One element which I think is not fully explained here by Rozhdestvensky is how the *image of the author* is best explored by a poetic example rather than a prose one. The acknowledged origins of the *image of the author* from *skaz* make the reason clearer. *Skaz* as a monologic device, akin to drama, is readily interpreted by the semi-dramatic voice of poetry. Whereas the novel seeks, by definition, to create a world within which the reader enters – and the more he/she enters it the more successful the novel is considered to be – the poem seeks to present a world which is constructed in order to be readily open to interpretation by the reader. The reader does not enter the world of the poem (although they may) but seeks to listen to the poet

speaking. It is a bridge between the response to drama and the novel and Rozhdestvensky's choice is therefore very apposite. It certainly provides a developmental background for Vinogradov's theory.

It is an often held belief that detailed analysis of the poetic text removes the power of the creative genius. In the quest for 'codes', with which to interpret the concept of the *image of the author*, it emerged that the British poet, T S Eliot's, essay on 'The Three Voices of Poetry', written in 1953, might be relevant. Perhaps his quest for the analysis of the poetic voice falters because it is not detailed enough. T.S. Eliot opens his essay by stating:

The first voice is the voice of the poet talking to himself – or to nobody. The second is the voice of the poet addressing an audience, whether large or small. The third is the voice of the poet when he attempts to create a dramatic character, speaking in verse; when he is saying, not what he would say in his own person, but only what he can say within the limits of one imaginary character addressing another imaginary character' (p96)

and he goes on to state that all this 'points to the problem of poetic communication; the distinction between the poet addressing other people in either his own voice or an assumed voice' (p96). In conclusion Eliot sums up his argument with reference to the reader rather than the poet:

If the author never spoke to himself, the result would not be poetry, though it might be magnificent rhetoric; and part of our enjoyment of great poetry is the enjoyment of *overhearing* words which are not addressed to us (p109).

It is so hard to align analyses which start from such very different places. Eliot is positing a reader-response which is based on personal emotion and appreciation – it may include some knowledge of rhythm and tropes. For theorists such as Rozhdestvensky and Vinogradov, the text, with its authorial control over selection of language, is a complex source of theoretical and scientific possibility. These two responses seem almost irreconcilable. There is further discussion of Eliot's 'three voices' with respect to *persona* (see p19 et seq. below).

But where is the evidence that the theorist does not appreciate and respond to poetry or the evidence that poetry is harmed by structural analysis? Why must the existence of analytical or scientific tools result in an insensitive and unappreciative reading of the poem? Close reading and prioritising the reader's response is sufficient to appreciate poetry, this is indeed true. To have the theoretical tools with which to analyse it, to then appreciate its semantic, stylistic, semiotic patterns and then use these to appreciate both the poet and the development of his/her poetry and culture generally is also true. T. S. Eliot is firmly within our English speaking consciousness with

regard to poetic appreciation. It is his voice which we often overhear when we read poems. This paper provides an opportunity to overhear Rozhdestvensky and Vinogradov.

Rozhdestvensky's exposition of 'The Bronze Horseman' by Pushkin, presents analysis of the different authorial positions, and reveals how the appreciation of the poem is thereby increased. He demonstrates with the aid of the theory of the *image of the author* that Pushkin presents his material through several styles: high epic, everyday, colloquial ironic, narrative, historical ironic, and allusive. The easy and effortless flexibility of the reader to adapt to the different positions is just as remarkable as the poet's versatility with his, what is in effect, varied *image of the author*. It is with regret that the time allowed for this paper does not provide me with the all important opportunity to demonstrate, as Vinogradov himself would have preferred, the text and analysis of the poem itself (This can be read in full in the English translation of Rozhdestvensky's chapter: <https://sas-space.sas.ac.uk>). However, suffice it to say that Pushkin's consummate range of authorial position makes this poem an excellent example of the *image of the author*. Rozhdestvensky has done justice to this analysis in his summary (pp227-228/31-34).

The Bronze Horseman by Pushkin contains a range of styles which take the reader through a number of changes in the position of the *image of the author*. Rozhdestvensky describes the language of the poem as having 'expressive nuances and usage of social and oral spheres' and that it is 'tightly woven and interconnected' (p227/32). Pushkin rapidly interprets the *image of the author* in a range of styles: a) the language reflects high Slavic Russian epic style; b) this is replaced by a more domestic habitual tone; c) the style indicates collusion between the poet and reader with the use of the pronoun 'us'; d) the language adopts a learned and rhetorical style which influences the mood of the initial stanzas; e) the poet refers to his own earlier choice of tone and this indicates that there is a distancing between the poet and his subject, the reader learns more about him and the *image of the author* increases in complexity of interpretation; f) combines the colloquial style of b) with the literary and rhetorical language of d). Referring to Vinogradov directly, Rozhdestvensky concludes that all of these: 'illustrate the creation of an image of the author with multiple planes and multiple facets, like a series of actors' "masks"; this exchange of different authorial personae, which tell the story and seem to be in dialogue with each other' (p228/pp34/5).

An example of the *image of the author* is now briefly explored through an English poem, ‘The Adventures of John Gilpin’ by William Cowper. A few verses of this still popular poem are quoted here:

JOHN GILPIN was a citizen Of credit and renown, A train-band captain eke was he Of famous London town.	Stanza 1
John Gilpin’s spouse said to her dear, ‘Though wedded we have been These twice ten tedious years, yet we No holiday have seen.	Stanza 2
.....	
For saddle-tree scarce reached had be, His journey to begin, When, turning round his head, he saw Three customers come in.	Stanza 12
So down he came; for loss of time, Although it grieved him sore, Yet loss of pence, full well he knew, Would trouble him much more.	Stanza 13
’Twas long before the customers Were suited to their mind, When Betty screaming came down stairs, ‘The wine is left behind!’	Stanza 14
‘Good lack,’ quoth he—‘yet bring it me, My leathern belt likewise, In which I bear my trusty sword, When I do exercise.’	Stanza 15

The poet demonstrates that he is a dramatist and prosodist. He deals with his subject in a humorous manner. This is already three *images of the author*. He presents material so that there is a complicity between the poetic *image of the author* (and perhaps this relationship involves the *image of the reader*) and the humour arises from these two positions being the same. However, Stanza 13 indicates a distancing of the poet’s irony from the hero – John Gilpin. This use of the *image of the author* results in us, the reader/listener knowing more about John Gilpin than he does himself and is a change in the source of humour. Although this poem is much simpler than Pushkin’s ‘The Bronze Horseman’, the variety of the authorial image is still manifest, although, unlike ‘The Bronze Horseman’ it is relatively consistent throughout the poem and Cowper does not shift in tone and use

of language, as Pushkin does. It provides an example of poetry which is closer to *skaz* than the more intricately wrought poem by Pushkin.

A further system of analysis is to consider whether the *image of the author* is a metonymic tropic analysis, or a metaphoric one? It can be argued that these *images of the author* are contiguous within the context of the poem and that they are therefore metonymic not metaphoric. The complexity of Pushkin's poem is far superior to that of the ballad by Cowper but this example proves that the *image of the author* need not be a sophisticated or rarified trope to provide poetic and dramatic effect. However, as indicated above, the *image of the author*, with reference to the Pushkin example, appears to be metaphoric through its quality of identification – between the reader and author. Is this a kind of 'double' trope? The poem produces metonymic sequences of *images of the author*, but the totality of these sequences becomes metaphoric in the reader's capacity to understand the *functional style* of the author. Is this a possible explanation why terms used in Narratology are essentially metonymic in character - the narrator has either one characteristic position or another - but there is no label which describes the *image of the author* as a combination of voices which provide a cohesive, artistic and cultural, (or as Vinogradov would say) a 'spherical' whole?

Vinogradov's theory of the *image of the author* developed and changed throughout his lifetime. His theoretical sources partly derived from the linguistic theory of Saussure and were indebted to Jakobson, amongst many others. The synchrony and diachrony of both these theoreticians are crucial to Vinogradov's work. The linguistic emphasis of Saussure was not sufficient to encompass the sign system which he perceived in his theory of the *image of the author*. Firstly he understood that the diachrony existed on more than one level, not only within the linguistic structure of the word or sentence, but also that of the development of literary history – including both the writers and readers in this process. He stated that readers from every generation will perceive the *image of the author* differently. Secondly he understood diachrony to develop within the author's own work during his/her lifetime and thirdly he understood that words were polysemic, they are symbols and as such, especially when considering poetry, the meanings of these words were far greater than their literal meanings. The meaning of the poetry has to reach through many levels simultaneously in order for its full range of interpretations to be understood. This is a synchronic process not a diachronic one. This paper posits that the *image of the author* therefore a metaphoric process rather than a metonymic one.

Vinogradov spent many years defining words as symbols but eventually found that this categorisation was not extensive enough to embrace the polysemic meanings that arise from the use of words in poetry. Polysemic means ‘having many meanings’, and it is used in English as a linguistic and semantic term. For Vinogradov, if I am correct, polysemy is understood to encompass how words can construct many different levels of meaning. It’s not just that the word itself has different meanings but that words are used to construct patterns (as in poetry) and the words, in conjunction with each other, and by different poets, through the passage of time, provide different meanings, meanings other than their separate usage would indicate; and certainly more than a linguistic analysis would provide. Professor Paul Cobley, whose presentation we welcome here today, draws attention to this multi-levelled definition in his book *Semiotics and Linguistics* (2001). He notes that: ‘When extended to the level of larger texts and **discourse**, polysemy undoubtedly becomes more complex. In these cases, specific understandings of texts’ potential meanings might be the result of a restriction of polysemy by **speech communities** or by the particular kinds of composition of texts (for example....a given **genre**)’ (p238). With reference to the Pushkin poem, used by Rozhdestvensky, it is the poetic *image of the author* which expresses the polysemy.

If the *image of the author* is accepted as a polysemic term then how does this fit in with the discipline of Narratology? As recently as this current year, Professor Peter Hühn from Hamburg University wrote about ‘Unreliability in Lyric Poetry’ in the newly published book *Narration and Trustworthiness*. The polysemic authorial position in lyric poetry is unfortunately hampered by using the negative word ‘unreliable’ in conjunction with narrator (a well established term in Narratology). The analysis also refers to the ‘complication of levels’ when analysing the poetic text and it seems as if the polysemic complications of the poetic text are more than Narratological terms can encompass. Perhaps the concept of the *image of the author* would be a helpful addition in providing a polysemic dialectic structure for Narratological poetic analysis, rather than the more static deictic categorisation of authorial placing currently used.

With reference, once again, to Vinogradov Rozhdestvensky establishes how the levels, the polysemy of the *image of the author* works: on one level, the particular use of the *image of the author* by an author makes his or her work unique and then on the level of the body of the author’s work and then again on the level of a particular form of literature.

He wrote: ‘Within the field of philology, the study of the author’s activities when creating a fictional text is done within the framework of the *theory of the image of the author* in fiction’ (p225/30). He goes on to use Vinogradov’s theory to establish a theory of functional style:

The *image of the author*, as a central semantic and stylistic fictional category is studied by V. V. Vinogradov not only in opposition to historical predecessors of fiction, but also in relation to other types of literature. This opposition is described in the *functional style* theory.... Functional style represents a general standard of style, which characterizes a type of literature (business style, literary style, everyday conversational style, etc.). Functional styles have numerous differentiations or subdivisions, and each of the narration styles is also a stylistic formation, which approaches a type of standard (p226/31).

With reference, once again, to Vinogradov he establishes how the levels, the polysemy of the *image of the author* works: on one level, the particular use of the *image of the author* by an author makes his or her work unique, then, on the levels which include the body of an author’s work, and then again on the levels which include the corpus of a particular form or author:

The *image of the author* is revealed in the individual selection, individual use and non-use of syntactic and lexical units. Besides, lexical and syntactical fields are interpreted more broadly, not just as words and sentences, but also as text fragments, which act as “aesthetic pointers” in an original, internal “dialogue” between different parts of the text (p227/31).

Rozhdestvensky also notes the rhetorical origin of the *image of the author*:

The *image of the author* is offered to the text researcher as a type of narration chosen by the author. As a result of this choice the reader has an illusory representation about the writer as a person with particular, recognizable thought processes.//The *image of the author* historically originates in the *image of the orator* (rhetorician), and which was introduced by rhetoric (p228/35).

The following quote clearly demonstrates Vinogradov’s diachronic understanding of the polysemic interpretation of the *image of the author*. Rozhdestvensky is quoting directly from Vinogradov:

The content of fiction is not unique, it’s polysemic to such a degree, that we can talk about multiple contents, which alternate with one another in the process of the work’s existence....Probably the first ever reader interpreted “the poet’s conception” in his own way to the poet’s great indignation, and the following generations of readers have in turn rearranged the thoughts and norms that glimmered in the historically given work to fit their own interpretation (p228/36) [Vinogradov ref 21, p7].

It is important to note that the *image of the author* forms only one part, albeit a very important one, of the theory of *functional style* mentioned earlier in this paper. Rozhdestvensky provides the following key information on the reader’s contribution to theory:

The *image of the author* is the central *symbol* of fiction, and due to its polysemy is understood by different readers in a different way and consequently ensures a wide audience in the history of the text’s existence. From here, the *image of the author* is a consequence of the author’s relation with the *reader’s image* (p229/36).

It should be noted that this introduces diachrony into the definition of the *image of the author* and of course implicitly incorporates the principle of dialectic as well.

Rozhdestvensky provides a seven point summary of Vinogradov's theory of the *image of the author* (see pp 37/8 and 230/231). Its polysemy is welcomed as an aspect of the theory which increases the enjoyment of poetry, as is demonstrated in Rozhdestvensky's example in this chapter. It is also noteworthy that he refers to this theory as part of the academic discipline of Philology.

Using Vinogradov's categorisation, he summarizes how the *image of the author* expresses seven characterisations. Very briefly: the *image of the author*: 1. expresses the author's attitude to the events of the text; 2. provides its individual characteristics; 3. expresses the author's attitude to the reader who in turn concurrently considers the subject of the text, ideas contained within it which he/she refers back to both the construction of the *image of the author* and the situation described in the text; 4. provides the social context constructed in the text as part of the literary and linguistic whole; 5. represents the polysemic structure which permits wide ranging interpretations from different categories of readers at different times; 6. provides links between the author and the actor's role in the theatre; 7. that the *image of the author* provides four categories: a) that there is aesthetic alienation between the author's personality and the *image of the author*; b) the text develops in consideration of the laws of aesthetics; c) that it provides 'suspension of disbelief' so that the reader feels familiar with the author without actually being so; d) that there is acceptance of the imaginary in the reader's awareness (pp229,230/37,38).

Rozhdestvensky now examines the role of the reader. The reader relates to the text itself which provides a discourse similar to speaker and listener and it is accepted that the action of the text does not really take place and this provides the framework for the working of the imagination – both by the author and the reader (p230/38). This is an "aesthetic game" and might also be referred to, as in response to drama, the suspension of disbelief. Rozhdestvensky moves the theory of the *image of the author* forward by arguing that it is an essential component of fiction:

What is required of the author is the creation of an individual style with its central category, the *image of the author*, which for each reader creates the possibility of picturing the image of a certain individual conversation partner. Thus, a literary, imaginative text embodies the rule: a text cannot be fiction without the *image of the author*' (p232/38).

The private or individual conversation, and the 'aesthetic game' together, create the *image of the author* as a symbol (which as we know from the above is polysemic): 'Another rule is thus explained: the *image of the author* cannot be constructed without multiple aspects of its semantics'

that is, its typological components (p232/39). He identifies the personal and individual relationship the reader has with the author and text as a conversation. Added to this is the idea is that the author as a *symbol*, a polysemantic construction, and this is arrived at through the reader's powers to analyse the various meanings in a text. The polysemy is further explained by Rozhdestvensky in the following paragraph:

The consequence of these two rules is that the *image of the author* is, on the one hand individual, and on the other, has multiple aspects. These two requirements differentiate the *image of the author* from the *literary persona of the author*, which in turn can be juxtaposed to each other. Thus, the *image of the author* is presented in the fictional text, and the *literary persona of the author* is the summation of his or her written, literary, and verbal texts with their typical content and relationship to him or her (p232/39).

Rozhdestvensky provides final analysis of this complex structure by stating that:

the reader has an ambivalent relation with the text: on the one hand, he searches in the text for didactics, homilies, and entertainment, and, on the other hand, like a "game" partner, he examines the ideas of the text and its connection with the *image of the author* as a referee, and evaluates the author's work in creating the text. The combination of these three requirements is reconciled by the author by describing a concrete case, one that reflects issues important to society and comments on them from the *image of the author* perspective. As a result, the reader perceives some (not his own) type of personal relation with the narrated events through the *image of the author* (p233/39,40).

This is both a direct and a mediated relationship between the reader and the author. This double or polysemic relationship is entirely understood and acceptable to both author and reader. The theory of the *image of the author* is based on empirical study. It develops through the course of this study and is determined by an aesthetic which prioritises the word as a stylistic combinatory form which supersedes the analysis of the lexical unit. Vinogradov's theory is scientific, there is a requirement for empirical examples – for phenomenology. His theory was focussed on particular works of fiction and poetry) and also, with reference to another influence, that of Gustav Shpet (1879-1937). Chudakov noted that:

There is no question that it was from Shpet – with his distinction between the collective social subject which expresses itself in the common language (the object of social psychology) and the "creative persona" (the subject of literature) - that Vinogradov drew his acute theoretical impulse towards a general philosophical explanation of the category of the "image of the author" (Chudakov p137.)

The issue as to the relationship between the *image of the author* and the English term, *persona*, especially in relation to its usual definition, is now explored and explained. The difference between these two terms was a question which Professor Maria Polski specifically raised during the conference (for further discussion, please see Appendix II). Briefly, the *image of the author* is the study of the author and his text; the *persona* is the study of the character/s in the text, which may

lead to an understanding and appreciation of the author. In Rozhdestvensky's summary of Vinogradov's (pp230/1 pp37/8) seven categories of the *theory of the image of the author*, the term *persona* is not used but category six states: 'the *image of the author* as a stylistic, semantic construction, is created intentionally by the author like the actor's role in theatre' (p231/p37). From this, it is clear that *persona* is one aspect of the *image of the author*. It is impossible within the scope of this paper to cover the full complexities of the differences between these terms as Vinogradov is here provided as a secondary source. The following sentence provides a key: 'The image of the author historically originates in the orator (rhetorician) and was introduced by rhetoric' (p228/p35). T.S.Eliot's fear was that if the poet does not talk to himself he will be writing only pure rhetoric, it is therefore of interest to note that conversely, the *image of the author* cannot be confined to the purely fictional category when it comes to understanding its function within poetry and fiction. Also, as noted above, the term *persona* is used by Vinogradov and Rozhdestvensky ('Thus, the *image of the author* is presented in the fictional text, and the *literary persona of the author* is the summation of his or her written, literary, and verbal texts with their typical content and relationship to him or her' (p232/39)). It would be very interesting to read what both Vinogradov and Rozhdestvensky had to say about the *persona* with regard to poetry and fiction elsewhere in their work. On page 215/18 Rozhdestvensky refers to how the reader of fiction does not 'need to know how to divide the text into fragments, or be an author of a new composition of fragments...The reader is required by that medium "to merge his heart with the author's," i.e. to accept an "integral persona"'. Further discussion of these two terms will be possible when more of Vinogradov's and Rozhdestvensky's material becomes available in English.

This paper began with the aim of interpreting Rozhdestvensky's work in such a way that Western European ideas could 'decode' the theoretical position that his work explores. With reference to this chapter it emerges that there is a requirement to understand new terms. 'Diachronic Philology' is one, the *image of the author* is another. Understanding the term 'Textology' and the nature of the Russian and European continental definition of 'scientific' as a phenomenological study of literary as well as scientific texts are two further terms which need to be clarified. It is with regret that Rozhdestvensky's important contribution: the Theory of Culture, has not been examined more fully in this paper. This is a theory very much in need of further research.

The overall metaphoric nature of the theory of the *image of the author* perhaps provides a clue as to why Western European Narratology has wrestled with more metonymic and deictic terms to describe authorial position in relation to the text and the reader/listener. The above paper has done

little more than scratch the surface of this complex work. Rozhdestvensky's masterly summary and codification of Vinogradov's theories enable the reader of this newly translated chapter of Rozhdestvensky's work to initiate comprehension of terms and theory which have hitherto not been accessible. In conclusion it is noted that Rozhdestvensky's Theory of Culture has been explored in this paper through the theory of the *image of the author* and that this has suggested new terms for, amongst other disciplines, Literary Poetics, Narratology and Philology. I am sincerely grateful to you all here for attending and making this work available for discussion. Thank you.

Bibliography

- BAL, M (2009) *Narratology: An Introduction to the Theory of Narrative* (C van Boheemen, Trans.) Toronto, University of Toronto Press [1985]
- BOOTH, W (1991) *The Rhetoric of Fiction* London, Penguin (originally published by University of Chicago Press 1983)
- BÜHLER, K (1990) (Donald Fraser Goodwin, Trans.) *Theory of Language: The Representational Function of Language* Amsterdam/Philadelphia, John Benjamins Publishing Company [1934]
- CHATMAN, S (1990) *Coming to Terms: The Rhetoric of Narrative in Fiction and Film* Ithaca, Cornell University Press
- COBLEY, P (2001) *The Routledge Companion to Semiotics and Linguistics* London, Routledge
- CHUDAKOV, A P (1985) V.V. Vinogradov and the Theory of Literary Language in the First Third of the Twentieth Century IN *Soviet Studies in Literature* vol. 21, No. 3-4, pp 91-151
- CUDDON, J (1999) *The Penguin Dictionary of Literary Terms and Literary Theory* London, Penguin
- ELIOT, T S (2009) 'The Three Voices of Poetry' IN *On Poetry and Poets* New York, Farrar, Strass and Giroux [1943]
- HÜHN, P (2017) 'Unreliability in Lyric Poetry' IN *Unreliable Narration and Trustworthiness: intermedial and Interdisciplinary Perspectives* Ed. Vera Nünning, Berlin, De Gruyter
- JAKOBSON, R (1984) *Russian and Slavic Grammar* (L Waugh and M Halle, Eds.) Berlin, New York, Amsterdam, Mouton
- JAKOBSON, R (1987) (K Pomorska and S Rudy, Eds.) *Language in Literature* Cambridge MA, Belknap Press
- LOSEV A F (1976) The Problem of the Symbol and Related Literary Categories IN *Soviet Studies in Literature* vol. 12, No. 3, pp46-69
- LOTMAN, Y (1976) *Analysis of the Poetic Text* (D Barton Johnson, Trans.) Ann Arbor, Ardis
- MATTHEWS, P (2005) *The Oxford Concise Dictionary of Linguistics* Oxford University Press, Oxford
- OLIVER, D (1989) *Poetry and Narrative in Performance* Basingstoke, Macmillan
- PREMINGER, O AND BROGAN, T.V.F. (1993) *The New Princeton Encyclopedia of Poetry and Poetics* Princeton, Princeton University Press
- PROPP, V (2003) *Morphology of the Folktale* (L Scott, Trans.) Austin, University of Texas Press [1968 and 1927]
- RIMMON-KENAN, S (2002) *Narrative Fiction: Contemporary Poetics* London, Routledge (originally published by Methuen 1983)
- ROZHDESTVENSKY, Y (1996) *General Philology*, "Novoye Tysjacheletie" Moscow, The "New Millennium" Foundation (Ю. В. Рождественский, (1996) *Общая филология*, Москва, Фонд "Новое тысячелетие")

- SAUSSURE, F de (2008) *Writings in General Linguistics* (S. Bouquet and R Engler, Eds. and C Sanders et al. Trans.) Oxford, Oxford University Press
- SCHMID, W, (2013) "Skaz", Paragraph 42. In: Hühn, Peter et al. (eds.): *The Living Handbook of Narratology*, Hamburg, Hamburg University Press.
 URL = hup.sub.uni-hamburg.de/lhn/index.php?title=Skaz&oldid=1994
 [view date: 19 Aug 2017]
- TODOROV, T (1981) *Introduction to Poetics* (R Howard, Trans.) Minneapolis, University of Minnesota Press [Brighton, Harvester]
- VINOGRADOV, V. V. (1969) *The History of the Russian Literary Language from the Seventeenth Century to the Nineteenth: A Condensed Adaptation into English with an Introduction by Lawrence L. Thomas* (L.L. Thomas, Trans.) Madison, Milwaukee, & London University of Wisconsin Press
- VINOGRADOV, V.V. (1978) 'The Problem of Stylistics', (trans. Martin P. Rice) *Russian Literature Triquarterly* vol.12. pp235-50 [1925]
- WALES, K (2001) *A Dictionary of Stylistics* (2nd edition) Harlow, Longman

Appendix I

Diagram I shows the table as represented in the original Russian text of *General Philology*

Схема 1. Роды, виды и разновидности словесности

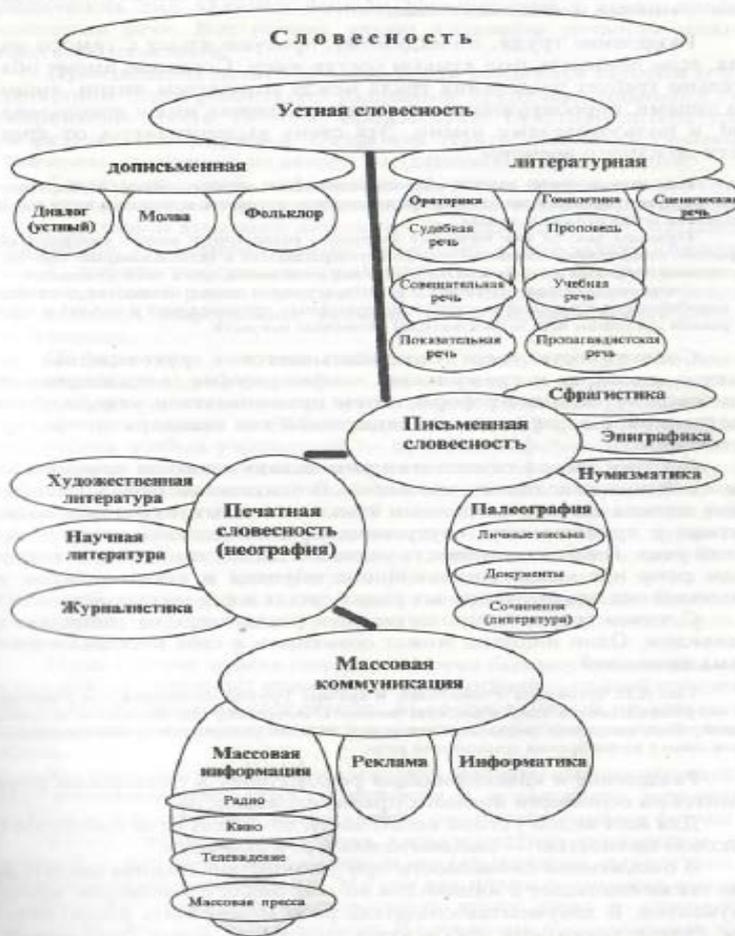


Diagram 2 shows the English version of the same table (with thanks to Professor Marina Subbotina).

Types of slovesnost	Subtypes of slovesnost			
1. Oral speech	1.1. Pre-written oral speech	1.1.1. Folklore		
		1.1.2. Rumour		
		1.1.3. Dialogue		
	1.2. Literary oral speech	1.2.1. Oratory		Judicial speech
				1.2.1.2. Advisory speech
				1.2.1.3. Demonstrative speech
1.2.2. Homiletics		1.2.2.1. Sermon		
		1.2.2.2. Propaganda		
		1.2.2.3. Academic speech		
	1.2.3. Scenic Speech			
2. Written speech	2.1. Paleography and neography	2.1.1. Personal correspondence		
		2.1.2. Documents		
		2.1.3. Essays		
	2.2. Sphragistics			
	2.3. Numismatology			
2.4. Epigraphy				
3. Printed speech	3.1. Belles-lettres and literature (fiction)			
	3.2. Scientific literature			
	3.3. Journalistic literature			
4. Mass communication	4.1. Mass information	4.1.1. Newspapers		
		4.1.2. Radio		
		4.1.3. Television		
		4.1.4. Cinema		
	4.2. Advertising			
4.3. Informatics	4.3.1 Information systems			

Slovesnost ≈ 'the totality of works of literature'

Appendix II

Persona

The original Latin term *persona* means 'a character in a play'. Matthews in *Oxford Concise Dictionary of Linguistics* states that the term is defined by there being certain characteristics of speech or appearance appertaining to a participating character by which he/she is recognised and known by the audience. Cuddon in *Literary Terms and Literary Theory* uses the original Latin

meaning of the term as a ‘mask’ which derives from those originally worn by actors in classical times. From this derives the wider, more recent, definition of *persona* as an ‘alter ego’, i.e. ‘the person who speaks in a poem or novel or other form of literature’, essentially a narrator.

The NPEPP (Preminger and Brogan, pp900/1) is more expansive, stating firstly that the term *persona* provides the distinction between the poet’s own voice and that of the characters in the poem, or less specifically that of the ‘voice’ within the poem. This distinction refers back to Aristotle and Plato¹⁰. The poem is a little ‘drama’ and the poet creates a fictional character which can be perceived by reader as closely allied to the poet him/herself – this is identified as a ‘mask’. This provides a vehicle for poets to explore ideas which are not necessarily their own. It also provides rich source material for the critic to delve into the subjective intentions of the poet as well as their own, rather than an examination of the text in itself. Twentieth century critics accept *persona* as polysemous:

Modern critics distinguish the voices of the real-life author, the implied author, the narrator, and dramatized characters...It is unusual for a poem to present the utterance of only a single speaker (Bakhtin has suggested the term “heteroglossia” to refer to the multiple voices or languages heard in literary works) (p901).

This approach prioritises the notion of the poet’s ‘true self’ or aspects of the self as a historical or subconscious self.

Katie Wales in *A Dictionary of Stylistics* provides further links of the use of this term *persona* within Narratology (p294). ‘It has been borrowed into LITERARY CRITICISM to refer to the ROLE constructed by the NARRATOR or IMPLIED AUTHOR of a text:’ (p294). Also - quoting J Lyons *Semantics* (1977) - the term is used to refer to the classification of pronouns, thus placing pronouns in both the deictic and dramatic brackets (p294). Quoting the Narrative theory of Genette the term *persona* is used to define autodiegetic, and heterodiegetic narrators, in the former the narrator is inside the story, in the latter, outside.

In what sense therefore, is *persona* differentiated from the term the *image of the author*? It is here argued that neither the original Latin nor the Narratological usage, provide the range and complexity which is provided by the *image of the author*. Aristotle’s statement the ‘the poet should say as little as possible in his own voice, as it is not this that makes him a mimetic artist’ seems in antithesis to the *image of the author*. In the example quoted of ‘The Bronze Horseman’ the poet is indeed speaking in his own voice but that this ‘voice’ has many facets, it has both a varied range of

intentions towards the subject matter and the reader, and also a varied range of semantic and linguistic language usage. If analysis of this poem were to be based on intradiegetic or heterodiegetic Narrative theory this leads to confusion. The poet is both inside and outside the narrative and intends to be. There is a conversation going on between the poet and his ideas and the reader/listener which goes through a gamut of semantic and tropic expression.

In the analysis of the differing positions of the author in the 'The Bronze Horseman', quoting Vinogradov, Rozhdestvensky writes about the 'authorial personae'. This phrase is a direct interpretation of the original meaning of 'persona' as the mask of an actor – and these can be multiple masks:

an image of the author with multiple planes and multiple facets, like a changing series of actors' "masks"; this exchange of different authorial personae, which tell the story and seem to be in dialogue with each other, defines A.S. Pushkin's originality of style and composition of the *image of the author*. The *image of the author* is offered to the text researcher as a type of narration chosen by the author (p228/34 and p35).

Here it is explained that the *image of the author* contains attributes (for example the masks) of the *persona*. The actor with his mask or dramatization transforms the individual actor and character into a symbol (polysemous interpretation). So the audience perceive both the person as enacted (*persona*) and the actor as interpreter of the dramatic form.

These are "transformations" from the particular into the general, into a "symbol", from multi-semantic into individual, from a single person into a generalization. This explains the use of notions such as "playacting", the author "actor's mask" etc., in the *theory of the image of the author* (p232/p39).

And as posited in the paragraphs above there is the progression of the theory through the perception of the author as an individual creator of an individual text and the ideation of his work as participating in a historical, cultural entity. The author, going back to Vinogradov's sphere, not only constructs his/her own individual text but also portrays his/her cultural heritage and constructs the cultural future. The author also constructs his/her own development of immanent ideas:

This way "transformation" of the *literary persona of the author* and the *image of the author* is a dual process: a) it presents the content of ideas and subjects, and b) it shapes the relationship between the *image of the author* and the content of ideas and subjects (p232/p39).

The *image of the author* is demonstrated through the qualities of the text and is epic, colloquial, humorous etc – the skill of the poet is demonstrated in relation to the poem. The *image of the author* is just that – we are seeing facets of the author's skills and qualities, and therefore his

empathy with both his subject and audience. It is therefore fluid – the communicative function is paramount. The *image of the author* is about what the author can do. With the *image of the author* we know that we are listening to the poet or reading the author’s words. There is a double response going on at all times. We read the author and the text. The author is constantly exploring how to engage his reader/listener and portray his subject at one and the same time. This is not Eliot’s ‘first voice’ because the desire to communicate is inherent in the construction of the text. Perhaps Vinogradov, when he states that ‘I’ is not a name but a pronoun, provides a key for the fundamental difference between the term *persona* and *image of the author*.

The *persona* is the voice of the poet and may adopt the voice of a particular character – it’s the position of the poet in relation to the poem. *Persona* is the expression of a role and therefore a position in relation to the text. The *persona* is whoever the poet constructs as the voice for his poetry. With *persona* we know that our first response is to character as in a plot or drama. These are Eliot’s second and third voices – ‘the voice of the poet addressing an audience’ and the creation of ‘a dramatic character’. This third voice closely expresses the classical interpretation of the term *persona*. And it is interesting that Eliot refers to the three poetic voices, not three personae. Any direct response to the author’s creative motivation is understood to be a literary critical response rather than a response to the text in itself.

Ultimately the *image of the author* is the study of the author and his or her text; the *persona* is the study of the character/s in the text, leading to an appreciation of the author. *Persona* is one aspect of the *image of the author*.

Appendix III

Dr Mary Coghill is a Visiting Research Fellow at the Institute of English Studies, SAS, University of London and a Fellow of The London Metropolitan University. Her Phd explored the semiotic and poetic theory of Roman Jakobson. Her papers on Roman Jakobson are available at www.academia.edu ; and see the entry on Roman Jakobson for the new Wiley *International Encyclopedia of Communication Theory and Philosophy* (2017); She arranged for the work by Yuri Rozhdestvensky - Chapter 5 ‘Printed Literature’ from ‘*General Philology*’ (2017) to be translated from the Russian for the first time: available at <http://sas-space.sas.ac.uk> ; her latest book is *Assay of Blood and Gold: London Poems* (2017) www.cityofpoetry.co.uk

Professor Paul Cobley is Professor in Language and Media at Middlesex University. As author and editor, his books include *The Communication Theory Reader* (1996), *Communication Theories* 4 vols (2006) and *Cultural Implications of Biosemiotics* (2016). He is co-series editor of ‘Handbooks of Communication Science’ (de Gruyter) and ‘Semiotics, Communication and Cognition’ (de Gruyter)”

Professor Tatiana Dobrosklonskaya is Doctor of Philology, Professor of the Faculty of Foreign languages and Area studies of the Moscow State Lomonosov university; author of more than 100 publications on language in mass media, media discourse and intercultural communication, among them two books “Language of Mass Media” (Yazyk SMI) and “Media linguistics” (Medialingvisika); Honorable professor of Beijing International Studies University.

Professor Olga Hazanova gives courses in English Literature and rhetoric at Moscow State Pedagogical University. Her research interests include comparative literary studies, modern criticism and literary education. She earned her Ph.D. in linguistics from Moscow State Lomonosov University, under the supervision of Dr Yuri Rozhdestvensky, and she is involved in publishing his books in Russia

Professor Maria Polski received her Ph.D. in Linguistics at Moscow Lomonosov University, under the direction of Yuri Rozhdestvensky. She teaches Linguistics and Humanities at East-West University, Chicago IL. Her research interests include theory of culture (the structure, growth and selection of cultural phenomena), communication theory (the structure, growth and accumulation of communication media, and the influence of media on the audience), and introducing the Anglophone scholarly community to the Russian tradition of studying culture and communication

Paul and Elena Richard translators of the Rozhdestvensky chapter presented at this conference: Chapter 5 ‘Printed Literature’, from *General Philology* (1996) by Yuri Rozhdestvensky www.sas-space.ac.uk; based in Nuremburg and Moscow

Professor Marina Subbotina Yakovlev Chuvash State Pedagogical University, Cheboksary: studied the philosophy of language, rhetoric and stylistics at the Lomonosov Moscow State University and at the Pushkin State Russian Language Institute; she has defended doctoral dissertation "Intercultural metaphor in Russian art discourse." Among her publications – there is the monograph “Russian-Turan metaphor: Arhitektonika Russian art discourse in the cultural and historical aspect” (2004)

Qiaoyun Peng from the Universities of Glasgow and Tartu: Qiaoyun Peng received her BA in Russian Language and Literature from Beijing Foreign Studies University. She is currently pursuing her Master’s double-degree from the Universities of Glasgow and Tartu. Her research focuses on Mayakovsky studies, post Soviet area studies from a cultural semiotics perspective, and the Baltic States

Chancellor Emma Volodarskaya Moscow Institute of Foreign Languages, President of the Russian Academy of Linguistics, Editor-in-Chief of the ‘Journal of Philology’

Conference Programme (21.10.2017)

9.30-10.15 am Dr Mary Coghill: (Institute of English Studies, School of Advanced Studies, University of London): Russian Evolution: Rozhdestvensky and the ‘*image of the author*’ explored with reference to his book *General Philology* (1996) Moscow

10.15-11.00 am Professor Olga Hazanova: (Moscow State Lomonosov University): Yuri Rozhdestvensky on Semiotics of Literature and Modern Literary Process

11.00-11.15 am: Coffee Break

11.15-12.00 noon Professor Paul Copley: (Middlesex University, London) Rozhdestvensky and Communication Theory

12.00-12.45 pm Professor Tatiana Dobrosklonskaya: (Moscow State Lomonosov University): Yuri Rozhdestvensky’s Theory of ‘Rhetoric’

12.45-1.45 pm: Lunch Break

1.45-2.30 pm Professor Marina Subbotina: (Yakovlev Chuvash State Pedagogical University, Cheboksary): Contiguity of the research works by Roman Jakobson and Yuri Rozhdestvensky in terms of method and material

2.30-3.15 pm Professor Maria Polski: (East-West University, Chicago) Rozhdestvensky's Theory of Culture compared to American and Canadian Media Ecology

3.15-3.30pm: Tea Break

3.30-3.40 pm Paul and Elena Richard: Translators from Nuremberg and Moscow: Information Details

3.40-4.25pm Qiaoyun Peng: (Universities of Glasgow and Tartu): The opening of the ROSTA Windows: 'Mayakovsky style' and the culture of Soviet posters

4.25-5.10pm Chancellor Emma Volodarskaya: (Chancellor of the Moscow Institute of Foreign Languages, Moscow) Vinogradov's Image of the Author and its Place in the Theory of Literature

Endnotes

¹ Yuri Rozhdestvensky, *General Philology*, "Novoye Tysjacheletie" – The "New Millennium" Foundation, Moscow, 1996.

Ю. В. Рождественский, *Общая филология*, Фонд "Новое тысячелетие", Москва, 1996.

Introduction (pp19-26) and Chapter 5. 'Printed Literature' (pp201-238)

² Translators: Elena D. Richard elena.richard@gmail.com Paul J. Richard pauljude_richard@yahoo.com

³ Chapter 5. PRINTED LITERATURE

5.1. General features of printed literature 201

5.2. The main requirements for printed literary works 206

5.3. Relationships between participants in printed communication 211

5.4. The means of reproduction of printed texts and types of printed literature 213

5.5. The main semantic and style particularities of scientific literature. The image of science 216

5.6. The main semantic and stylistic characteristics of fiction. The image of the author 225

5.7. The issue of literature in magazines 233

⁴

	<i>Context/Referential</i>	
Addresser/ <i>Emotive</i>	<i>Message/Poetic</i>	Addressee/ <i>Conative</i>
	<i>Contact/Phatic</i>	
	<i>Code/Metalingual</i>	

Jakobson 'Linguistics and Poetics' 1960 in *Language and Literature* 1987 Harvard UP Cambridge MA

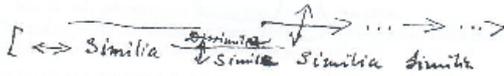
⁵ **Viktor Vladimirovich Vinogradov** ([Russian](#): Виктор Владимирович Виноградов; 12 January 1895 [[O.S.](#) 31 December 1894] – 4 October 1969) was a [Soviet linguist](#) and [philologist](#) who presided over Soviet [linguistics](#) after [World War II](#).



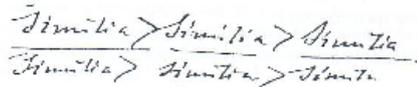
⁶ **Schmid, Wolf: "Skaz"**, In: Hühn, Peter et al. (eds.): *The Living Handbook of Narratology*. Hamburg: Hamburg University Press URL = hup.sub.uni-hamburg.de/lhn/index.php?title=Skaz&oldid=1994

⁷ This photo, with apologies for the poor quality image, is a reproduction of Saussure's original diagrams from 1910/11: p240; please see: SAUSSURE, F de (2008) *Writings in General Linguistics* (S. Bouquet and R Engler, Eds. and C Sanders et al. Trans.) Oxford, Oxford University Press

what is exchangeable ... If we consider on one hand the exchangeable, and on the other the co-systematic terms, no relationship is perceptible. The role of *value* is to relate these two things. It relates them in a way which defeats the mind, it being impossible to tell whether it considers these two sides of value to differ, or how. The one incontrovertible fact is that value follows these two axes, is determined by the two axes simultaneously:

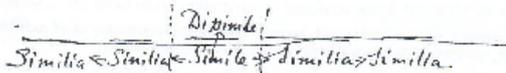


It is not crucial to observe that each of the *similia* naturally has a corresponding *dissimile*, and that the correct presentation would be:

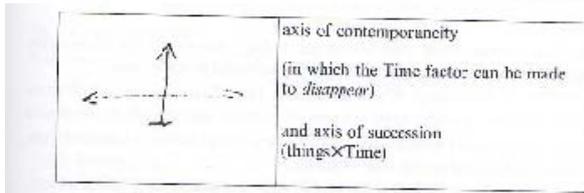


In fact, it is this last, somewhat trivial diagram which portrays value as a *thing* having its own inner rule, and wrongly conjures up some idea of an absolute reality.

Diagram to keep, in any event



The relationship *simile* : *dissimile* is something quite different from the relationship *simile*—*similia*, and yet this relationship nonetheless goes elusively and profoundly to the heart of the notion of value.



⁸ See Iu. V. Rozhdestvenskii, "O rabotakh V. V. Vinogradova po istorii russkogo iazykoznaniiia," in *Istoriia russkikh lingvisticheskikh uchenii*, by V. V. Vinogradov (Moscow, 1978), pp. 22-23. ["On the Works of V. V. Vinogradov about the History of Russian Linguistics" in "The History of Russian Linguistic Studies" by V. V. Vinogradov

⁹ Context/Referential
 Addresser/ Message/Poetic Addressee/
 Emotive Contact/Phatic Conative
 Code/Metalingual

Jakobson 'Linguistics and Poetics' 1960 in *Language and Literature* 1987 Harvard UP Cambridge MA

¹⁰ Aristotle *Poetics* Loeb p121/123

'Homer deserves praise for many other qualities, but especially for realising, alone among epic poets, the place of the poet's own voice. For the poet should say as little as possible in his own voice, as it is not this that makes him a mimetic artist. The others participate in their own voice throughout, and engage in mimesis only briefly and occasionally, whereas Homer, after a brief introduction, at once "brings onto stage" a man, a woman, or other figure (all of them rich in character).'

Plato *Republic III* Loeb p227-229

'...the poet himself is the speaker [of these verses] and does not even attempt to suggest to us that anyone but himself is speaking. But what follows he delivers as if here were himself Chryses and tries as far as may be to make us feel that not Homer is the speaker, but the priest, an old man. And in this manner he has carried on nearly all the rest of his narration about affairs in Ilion, all that happened in Ithaca, and the entire *Odyssey*....But when he delivers a speech as if he were someone else, shall we not say that he then assimilates thereby his own diction as far as possible to that of the person whom he announces as about to speak?...In such case then, it appears, he and the other poets effect their narration through imitation...If Homer, after telling us

that Chryses came with the ransom of his daughter and...had gone on speaking not as if made or being Chryses but still as Homer, you are aware that it would not be imitation but narration, pure and simple'.