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DIALOGUE THEORY OF A LITERARY WORK

Situation in literary studies is highly paradoxical. On the one hand, a growing interest in dialogue and dialogicity has been observed, on the other hand, the theory which has little in common with dialogicity seems to be maintained. Bakhtin has been glorified and his works quoted but among the current theories of a literary work of art the dialogue theory, which his works include, is not mentioned, as a rule. Bakhtin, however, is neither the founder of the dialogue theory nor the only researcher engaged in developing it; it is Plato who should be considered the founder. In the 20th century, independently of Bakhtin or his school rather, the Polish researcher Stefania Skwarczyńska has contributed considerably to the theory.

Dialogue theory of a literary work has been based on a definite—also dialogical—theory of thinking and speech, which is clearly seen in Platos papers and Voloshinov's *Marksizm i filozofia języka*¹ (*Marxism and the Philosophy of Language*), and the conclusions which emerge from the above are following:

1. The concept of dialogue as understood by the dialogue theory of a literary work is very wide. It is no longer a complex of replicas but an extremely common phenomenon, which constitutes an integral part of the process of thinking and speaking, as well as a means of learning truth about the world. It is also the means of communication among human beings. According to Bakhtin "dialogue is a universal phenomenon inseparable [...] from anything sensible and meaningful."²

2. The concept of literature is no less comprehensive. For instance,

¹ V. N. Voloshinov, *Marksizm i filozofija jazyka* (*Marxism and the Philosophy of Language*), Leningrad 1929. Since the original editions of some works discussed in the paper were not available to the present writer, nearly all bibliographical notes refer to their respective Polish editions. Additionally, the English translations are given in brackets.

² M. Bakhtin, *Problemy poetyki Dostojewskiego* (*The Problems of Dostoyevsky's Poetics*), transl. by N. Modzelewska, Warszawa 1970, p. 64.

Skwarczyńska claims that "any meaningful verbal compound"³ falls within the province of literature. The dialogue theory, however, does not want to overlook the essential differences holding among various literary genres. And this is the reason why so much room in Bakhtin's considerations as well as Skwarczyńska's has been given to genological problems.

3. The dialogue theory views a literary work as a reply (replika) which a) participates in the dialogical process, b) whose internal structure is highly dialogized. In accordance with the above explication of the concept of dialogue, dialogicity of a literary work is considered multi-dimensional and multi-level so that to embrace many of its aspects.

4. Since dialogue is the objective of many scientific disciplines, the dialogue theory of a literary work, by its nature, is interdisciplinary and places poetics among the sciences different from those postulated by the remaining theories.

The above remarks are essentially significant for the dialogue theory of a literary work of art, their complexity, however, would require a more detailed and extensive discussion. In this paper, we shall be concerned with certain aspects of the theory only: viz. we shall attempt to answer the following questions: 1) what are the relations that obtain between the literary work of art and other elements of the dialogical process?, and 2) what is the nature of the internal dialogization of a literary work and how is it manifested?

To answer them, we shall consider the works of the authors mentioned earlier. For the sake of brevity, this paper will be confined to presentation of conclusions which follow from the works in question, the argumentation being postponed until another time.

1

Three types of relations that combine a literary work with other elements of the dialogical process can be mentioned: subjective relations (relacje podmiotowe), contextual relations (relacje kontekstowe), and objective relations (relacje przedmiotowe).

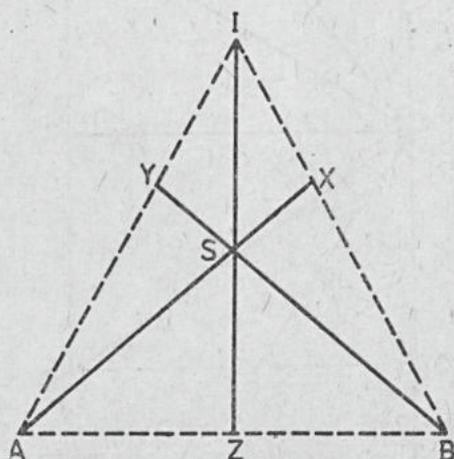
Subjective relations refer to a literary work in its consituational plane. By consituation (konsytuacja) we mean, in general, a historically specified social situation in which the dialogue takes place. Since consituation is an extremely comprehensive and many-strata entity, hence resistant to embracing as a whole, the dialogue theory takes into account its part most closely bound with a literary work, i.e. subjective situation (sytuacja podmiotowa). The latter can be regarded either diapartite, i.e. consisting of two subjects called "I" and "you," or tripartite, i.e. with one more element added to the two subjects. It is a kind of a third subject

³ S. Skwarczyńska, *Wstęp do nauki o literaturze* (Introduction to Knowledge of Literature), vol. I, Warszawa 1954, p. 68.

which we shall call "others." "Others" may participate in the dialogue as 1) interlocutors when directly engaged in it; 2) witnesses who are present but do not participate in the dialogue directly; 3) instances that do not influence the course of the dialogue because they do not participate directly and are not present. Readers, listeners or spectators (in the theatre) constitute a peculiar group of "others." The diartite situation is the minimal requisite for the dialogue but as it is not a typical situation, it is rarely encountered. The tripartite situation is the model situation and makes it possible for the complete dialogue to take place.

The relations holding between the replica and the elements of the subjective situation can be represented in the form of the following scheme:

- S — replica (a literary work)
 A — subject "I"
 B — "you"
 I — "others"
 Z — relations between "I" and "you"
 Y — relations between "I" and "others"
 X — relations between "you" and "others"



The dialogue theory emphasizes the dia-directionality of relations. In the relation *AS* the reply is not only the expression, revelation and self-determination of the subject, but also addresses the subject and actively effects it. The essence of the *BS* relation is that, on the one hand, *S* is formed with respect to the subject "you" and consequently by this subject, on the other hand, the replica corrects, brings up and, as Plato says, cures the subject "you." Relation *IS* shows that "others" effect the shape of replica, co-create it and thus are a part of it, and that a given replica addresses "others," influences and changes them or at least modifies. Relation *SZ*, *SY*, and *SX* inform that there is a strict dependence of a reply on the kind of relations which obtain among the participants of the subjective situation, but the reply influences these relations too, and maintains them or transforms.

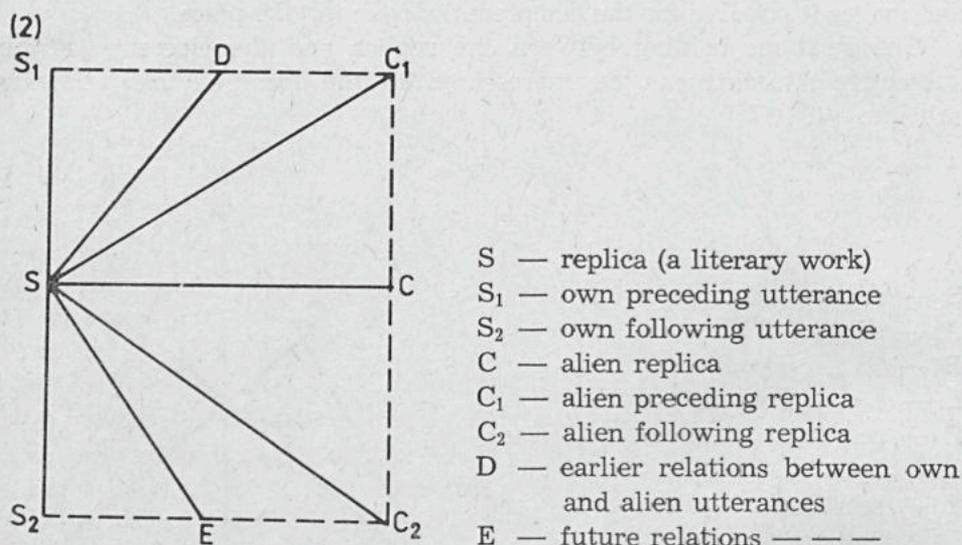
In the light of the above dependencies and relations a literary work must be treated as:

- a) multisubjectal
- b) interindividual

- c) closely connected with consituation
 d) dynamizing (modifying, transforming) the consituation.

The scheme also reflects the social character of a literary work.

The second type of relations, contextual relations, combine a given reply with other replies which cooccur in the dialogical process. Again, for the sake of clarity only the closest context and the most distinct connections are considered. The network of relations is following:



The dialogue reply occurs in a double context of its own and alien utterances. A given reply *S* relates dialogically to previous utterances *S*₁ of the same subject, to alien replies *C*₁, preceding *S* and indirectly to *D* relations which obtained between own utterances and alien ones before. Dialogically means here dialectically, because every reply is determined by the previous utterances and relations among them, and simultaneously turns to them and effects in a certain way. The influence may be manifested in various ways: the reply *S* can complete *S*₁ and *C*₁, explain or obscure, accept or reject them. In other words it can, partially or completely, change their sense. The essence of *SC* relations is that replica *S* as if requires alien replica *C*, foresees and implies it, in a way. Expecting somebody else's utterance, reply *S*, though occurring earlier, presupposes in its structure the other utterance and thus answers it. This kind of anticipation is not confined to one reply only: it is evident in our scheme that utterance *S* projects the future utterances (own and alien) and also future relations among them, it "thinks" in advance of what the course of the dialogical process will be, and behaves according to its forecasts.

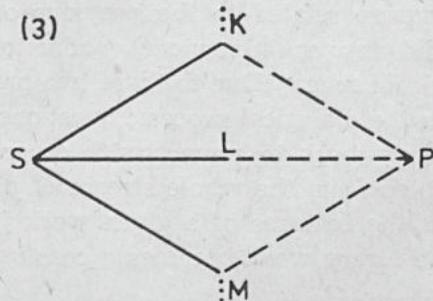
The above system of verbal reactions in the dialogical process forms the context (kontekst).

The third type of relations—objective relations—relate a literary work *S* to object *P*, about which *S* talks. In other words, objective relations refer to the thematic level of a literary work and inform about its peculiar focusing on the object. These relations are dialogical because the utterance does not “touch” the object directly, though directed towards it, because the object is not alone. It is not in the state it was on the first day of creation but remains aware of itself, in the light of the opinions on it. Bakhtin writes: “It is always the case that every single word refers to a particular subject which has already been discussed, doubted, evaluated, obscured or on the contrary—disambiguated by the previously uttered words. It is interwoven with general thoughts, views, other peoples judgements, accents.”⁴ An utterance, in order to approach the subject must break through this arraya of thoughts, views, it must solidarize and sympathize with some of these approaches and polemize with others. While pronouncing a view on a certain theme it is not possible to avoid entering the dialogical contact with the preceding statements on the subject, and not to assume any attitude towards the known and already said.

Plato emphasizes the logical character of these relations. To approach truth one has to put out hypotheses and to check them. Since the value of truth obtained through discussion is temporal and hypothetical, it should be put to continual trials and tests. A hypothesis is valid until new arguments prove it to be false. What remains from the dialogical clash with all possible counterarguments, points of view and attitudes will be the ultimate truth. As long as this ideal state does not follow we have to deal with statements rather than truth on a given theme, which ought to be verified.⁵

In Bakhtin's as well as in Plato's theory, objective relations are similar. Schematically, they can be represented as follows:

S — as above
 P — the object on which S
 comments
 K, L, M — statements about the ob-
 ject P previous to S



⁴ M. Bakhtin, *Słowo w poezji i słowo w prozie* (*Word in Prose and Word in Poetry*), transl. by J. Walicka, „Literatura na świecie” („Literature in the World”), nr 6 (26), p. 15.

⁵ Cf. Plato's *Gorgias*, transl. by W. Witwicki, Warszawa 1958, p. 509 A-B.

Actually, the three types of relations that we have mentioned above characterize every „live” statement, with the reservation however, that every kind of statement realizes these relations in a particular way. And thus Plato claimed that they are best harmonized in a dialectic conversation. In a sophistic discussion and in various kind of talks, however, some of them undergo considerable transformations and even reductions. This reduced model of dialogue is eagerly utilized in poetry. Bakhtin shares Plato’s view in this respect, his classification, however, being slightly different: prose can be best dialogized, less drama and even less poetry.

As we have already mentioned, the dialogue theory emphasizes diadirectionality of relations. Diadirectionality does not mean here a sequence of two directions in time but it is identified with simultaneity. This problem has been stressed by Skwarczyńska in her theory of discourse.⁶ Diadirectionality necessarily provokes subjectivization of all participants of a dialogue, which is of considerable significance for poetics, because the dialogue theory erases the division into addresser and addressee. The addresser stops to be the addresser for he becomes the addressee. The addressee stops to be the addressee because he assumes many of the addresser’s roles. Consequently, instead of a addresser and addressee only interlocutors (rozmówcy) can participate in the dialogue.

The conviction that a literary work is not autonomous emerges from the dialogue theory. It means that the work 1) is not completed but continually becoming, 2) is not closed but open (open not in the sense of Eco⁷), 3) it is not a whole in itself but is always a part. Subjective relations convince that it is a part of the consituation, contextual relations indicate that it is a part of the context and finally, objective relations prove that it is a part of the knowledge about a given object expressed verbally. On other words, it is a part of the knowledge of a given theme.

It follows from the dialogue theory that a literary work has one more feature related to the previous ones, i.e. property of question (pytanie) and answer (odpowieź), understood here as the principal type of dialogical replicas. Due to these two properties a literary work a) gets involved in the dialogical process; questions and answers make it possible for a literary work to contact with other elements of the process, b) gets separated from the whole stream of dialogue, because questions and answers, as the features of a given work juxtapose it to all other features. Thus, a literary work becomes a constituent of a bigger entity: dialogical proc-

⁶ S. Skwarczyńska, *Próba teorii rozmowy (Towards a Theory of Discourse)*, [in:] *Szkice z zakresu teorii literatury (Sketches in Theory of Literature)*, Lwów 1932.

⁷ U. Eco, *Dzieło otwarte. Forma i nieokreśloność w poetykach współczesnych (The Open Work. Form and Indefiniteness in Contemporary Poetics)*, transl. by J. Gałuszka and al., Warszawa 1973.

ess which creates a great stream of speech, as Voloshinov says, is only a moment of a social process and social praxis, and simultaneously, a literary work does not vanish in all this but is preserved in its definite, though constantly changing place. Another advantage of the fact that a literary work has the property of question and answer is that it activates the reader as well as the author, but neither the former nor the latter is permitted to dispose the work freely. According to the dialogue theory the author, the work, and the reader together participate in the dialogue which gives them some freedom but also creates interdependencies and limitations, and thus preventing the author and the reader from an arbitrary treatment of the work of art. By restricting the freedom of all participants of the literary dialogue, the dialogue theory enables to treat a literary work objectively.

The way these dialogue properties are reflected in the internal structure of the literary work will be presented below.

2

In Voloshinov's and Bakhtin's works, internal differentiation conflicts and tensions, penetration of what is external in a dialogue into the interior of the work and finally the coexistence of the dialogical elements within the work have been revealed. Let us begin with Voloshinov.

Every utterance and thus a literary work too is at least dual. It consists of alien speech (*c*), which occurs in a given utterance, and a reaction of a speaker, i.e. the author's speech (*mowa autorska*) (*a*). As a result, we obtain the following pattern:

$$(4) \quad S = c + a$$

Alien speech should not be identified with alien utterance, external to a given work, according to our earlier notations *C*, *C*₁, or *S*₁, *S*₂ or *C*₂. It is—Voloshinov says—“utterance within utterance” and at the same time “utterance about utterance.” In other words it is the speaker's presentation of alien utterance. Alien speech constitutes a kind of trace of alien utterance, which occurs in a given literary work and simultaneously is the way of existence of that utterance in a new context and a new environment. Examining alien speech, Voloshinov deals among others, with what it assimilated from other utterances—the aspect “what” as well as the aspect “how.” He investigates the relation

$$(5) \quad c : C(C_1, S_1 \dots)$$

Naturally, it is only one level of alien speech called by Voloshinov “utterance about utterance” or „speech about speech.” He does not pay much attention to it, in fact. His chief concern is the second level, that is “utterance within utterance” or “speech within speech.” Then, alien speech is considered in relation to the author's speech by which it is surrounded and accompanied. It is concerned with the limits of alien

speech and author's speech and the ways of concatenating the two speeches into one unity in a given work, that is with what is represented by "+" in pattern (4).

As it was said before the author's speech is the reaction of a speaker to alien speech, but it is a complex reaction. The author's speech consists of the factual commentary (*k*) (komentarz rzeczowy) and answer (*o*) (odpowiedź). The commentary provides additional information and remarks on alien utterance, resulting from the speaker's understanding and evaluation of it, supplies alien speech with question marks, exclamatory and reference marks, in short, it puts the statement into a new context which enables active and understanding reception (odbiór). Alien speech and commentary are closely bounded up because they result from the understanding of alien utterance. This understanding is so active that it does not want to stop at this level but moves towards the answer. From this point of view alien speech and commentary constitute a phase gradually leading to the answer. The evaluative element is attributed a significant role in the commentary. It seems that the answer includes what the speaker has to offer on a given subject or theme.

After these explanations we are in a position to modify pattern (4) as follows:

$$(6) \quad S = c + k + o$$

It should be emphasized that this pattern, like pattern (4), refers to the utterance in the dialogical situation in which subject *A* conveys *S* to his interlocutor *B* (listener, reader) what he heard from somebody else *I*. Thus

$$(7) \quad I(C) \rightarrow A(S) \rightarrow B \quad C \text{ stands for any alien utterance}$$

Voloshinov analyzes utterance *S* juxtaposing it not so much to what *B* will say, but to what *I* said in utterance *C*. He analyzes then in the message, the phenomenon or aspect of reception. He is mainly concerned with the question: „how is alien speech received?, how does the utterance behave in the consciousness of a particular receiver?, how is it actively transformed?, how is the following speech of the receiver himself related to it?”⁸ The utterance *S* is treated as the answer to the utterance of subject *I*. A detailed analysis of *S* indicates that the attitude of the author of *S*, i.e. of subject *A*, to what *I* said plays the principal role. More precisely, we mean answering *C*, which, even if not a question for *A*, assumes some of its characteristics because it requires an answer.

Alien speech is peculiar in that it is capable of transforming every alien utterance into a question. Shifting alien utterance to the context of the author's speech, it provides it with a question mark. In other words alien speech is a translation of alien utterance into the language of

⁸ Voloshinov, *op. cit.*; quotation from the *Rosyjska szkoła stylistyki (Russian School of Stylistics)*, ed. M. R. Mayenowa and Z. Saloni, Warszawa 1970, p. 420.

questions. The translation is not, however, literal. Not everything can be and should be transformed into questions. Alien speech or more precisely the author of the utterance *S*, before transforming *C*, makes a careful selection. What is irrelevant or rather untranslatable is eliminated and commented upon. What is essential, or can be transformed into a question or what can be asked about, is left unchanged.

If we were to represent this process of "translation" as in (8):

(8) $C = \text{elements } C + ?$ (where ? stands for question transformation), we should remember that the interrogative element is included in alien speech, which is conspicuous in (8), giving it a definite character. No wonder then that alien speech, due to this character, constitutes the questional part (część kwestjonalna) of *S*. But *S*, as a whole, is an answer in which the questional part plays an extremely, as if auxiliary, important role. It forms questions in order to answer them. That the answer *o* is the target point and the climax carefully prepared by alien speech and commentary in utterance *S*, as analyzed by Voloshinov, is caused by an attempt to find and formulate the answer.

In particular utterance this part need not occur. It is dependent on the „target directionality” of the utterance; whether the tendency to formulate the answer or the tendency to extend the factual commentary is dominant. Voloshinov notices this fact but it concerns the way literary genres are realized. In a live talk, we seldom repeat our interlocutors words, and similarly alien speech and the questional part of the utterance become reduced or more precisely, elipted. The process of understanding of alien utterance (proces rozumienia) is different. Only the so-called “philological understanding”, basically passive, excludes—in Voloshinov’s opinion—the answer. “Every genuine understanding is active and becomes the beginning of the answer.”⁹ In every active understanding, the answer is implicit and every utterance is an answer to something else. The most general model of utterance must take into account not only individual or collective realizations that may serve various purposes and thus may omit the answer *o*. It is the basic process of reception and understanding that should be taken into consideration. According to this model, we view our utterance as an answer while we treat alien one as a question.

Voloshinov considers the utterance dialectically: it is a question and answer at the same time, relative to the utterance involved. The utterance may be an answer for its author, for somebody else (interlocutor, listener, reader) it will be a question. Crucial to this dialectical process is reception, because it is in reception (active of course) that alien utterance is transformed into question and a new utterance, which will undergo further metamorphoses, is worked out.¹⁰

⁹ Voloshinov, *op. cit.*, p. 122.

¹⁰ *Ibid.*, p. 87.

It is evident from Voloshinov's considerations that apart from being an answer, the utterance is also „exposed to alien answer,”¹¹ but the author does not draw any essential conclusions. Whenever he discusses the structure of the utterance, he usually points out three features: 1) internal dialogization of the utterance, 2) its responsal character, 3) transformational properties of alien speech. But the answer when addresses somebody and expects an answer from him, stops to be an answer only—even from its author's point of view. It becomes interrogative (charakter pytajny).

Needless to say that the interrogative character is basically different from the questional component about which we talked before. Voloshinov has distinguished the questional component of the utterance and juxtaposed it, on the one hand, with alien utterance, on the other, with the author's speech, i.e. commentary and answer. Interrogative character has not been distinguished as a linear constituent and thus it has no place in the sequence of utterance but is contained in the utterance itself, and more precisely, in its specific directionality. It is this directionality that makes it unsatisfactory and temporal to some extent. The answer which asks for an answer from others and expects this answer, is not complete and suspended: the boundary between the answer and the question obliterates. What is more, the answer is the question. The same applies to every dialogical answer. This property follows from the fact that dialogical utterance is but the element of the dialogical process, that it is the replica in this process.

This heterogeneity and hybridity of the dialogical utterance does not effect in an essential way the scheme of dialogical process which we have presented and the internal structure of replica. Anyway, Voloshinov does not draw such conclusions. The above statement, however, has other consequences: it provides more acute and deeper insights into the essence of dialogical answer and reply and consequently the whole speech.

It is a commonplace to say that question can modify the answer in many different ways, with the borderline between the two varying accordingly. Voloshinov emphasizes that in various epochs the degree of authoritativeness and dogmatism of the word and thus of the answer varied considerably. It was different in the Middle Ages or in Renaissance and it is still different in our times. In our epoch, Voloshinov observes the following: 1) increase of alien speech and simultaneous decrease of the author's speech, 2) the formal aspect of the utterance, not the semantic one, becomes its objective; “created word” not uttered word, “how” and not “what”, and finally 3) the author of the utterance withholds his judgement or he subjectivizes it, thus he lowers the answering character of the author's speech and points out its interrogative character. The answer is deprived of its status and becomes not certain of its existence.

¹¹ L. c.

Though formally the answer, it reminds of a question rather. We even often observe how it stops to be the answer and turns to question.

In this way the answer approaches its other pole, i.e. the question pole. Possibly, we have to do with a process reverse to the one which has formulated rhetorical question. In this stylistic figure, we notice that the question remains formally a question but it has lost its interrogative character and has become, Voloshinov would say, a declaratory word which the answer supports or, in extremal cases, functions as an answer. Similarly to rhetorical question which supports the view that the question contains the answer, the question answer proves that the answer includes the question, though we do not find an analogical stylistic figure. These two facts indicate that such polarity is the principal mechanism of every replica, whose two most distinct variants are questions and answers and similarly it applies to all dialogical utterances, including, possibly, all fictitious works.

If the complexity of the utterance is taken into account, the structure of *S* can be modified as follows:

$$(9) \quad S = c + k + \frac{o}{p}$$

That the conclusions emerging from Voloshinov's considerations on the structure of the utterance apply to all other literary works is evident because, in contrast to other researches that he quotes and polemizes with, the author of *Marksizm i filozofia języka* demonstrates his theses exclusively on the examples taken from fiction (Dostoyevsky, Pushkin) and the results of his analyses he generalizes to the phenomenon of speech. He is allowed to proceed along the above lines because he does not analyze literature as fiction but as an instance of utterance. Therefore, his conclusions apply to literature understood not as a separate kind of discourse but as an example of utterance and possibly its reflection which clearly points out its peculiarities and tendencies, not always observable in a non-artistic text.

A different situation holds in work *Problemy poetyki Dostojewskiego* (*The Problems of Dostoyevsky's Poetics*) where Bakhtin shows the dialogical essence of a particular artistic structure that is Dostoyevski's work, how it is manifested and on which levels it occurs. It follows from the analysis that Dostoyevski's output is relatively homogenous: it presents one type of dialogue, in fact. Nevertheless, we learn about some other types of dialogue. Some of them have been discussed more extensively.

The first type that we mention here is the objectified dialogue (dialog uprzedmiotowiony). Although it is not the focus of Bakhtin's interest, the researcher analyzes it in a relatively detailed way in order to indicate the opposition for the dialogue which occurs in Dostoyevski's works. Most generally, the objectified dialogue is not the dialogue of „two superior points of view” but of two or more characters presented by the author for the sake of presentation of his own point of view. The author's point

of view is, in a way, obligatory for the whole work. The author does not get involved in a dialogue with anybody and he does not care for anybody. Having no partner, he is a god and master for himself. The objectivized dialogue takes place on the lower level of the work and does not embrace the whole of it, but its part only. Thus, it cannot destroy the homophonic unity of the work which does occur on its ideological and stylistic levels.

The scheme of a work based on the principle of the objectivized dialogue can be represented as follows:

$$(10) \quad S = a(sb_1 + sb_2 + sb_3 + \dots)$$

The principal dialogical function is performed by the objectified word (utterance) which is, most frequently, the character's word and that is why we symbolize it as *sb*. It is distinguished by the fact that it is focused on an object and at the same time constitutes an object for the author. The author shows it to the reader as the word characteristic, marked, reflecting and presenting the character's individuality. At the same time the word behaves in the work as if it were not a subject to the author's manipulations. It considers itself a fully meaningful and autonomous word, exclusively focused on the object and expressing the principal idea of a work. It is not the case, however. The objectivized word of a character functions as a jugglers prop because the author shows it and uses it in his programme, according to his goals. The author's power is, however, limited. He is allowed to use the objectivized word only as a whole, not disturbing its integrity. It means that the author cannot change its meaning and contour. He cannot enter the scope of the word. On the other hand, the word which pretends to be not conscious of the existence of the author cannot become involved in a dialogue with him. Thus, the dialogical tension of a work decreases: the objectivized dialogue is a weakened dialogue.

The second type of dialogue is the polyphonic dialogue (dialog polifoniczny). Its tension is highest. It is found in Dostoyevski's output and constitutes Bakhtin's greatest interest. That is why it has been precisely discussed. The polyphonic dialogue assumes different forms and different degrees of tension, from stylization until implicit dialogue. We are interested in the most general properties only. And here are some of them.

1. Unlike the objectivized dialogue, the polyphonic dialogue is internal in character, not external. It takes place within the text not between texts. Bakhtin says that it may even occur within a single word (the so-called microdialogue). Dialogization takes place in the domain of alien speech where it conveys the author's intentions (this situation holds in stylization and in parody) or in the domain of the author's speech, which is entered or effected only by the active alien speech as it happens in hidden polemics or hidden dialogue.

2. Not word but voice (*głos*) becomes the basic unit of the polyphonic dialogue. Word belongs rather to stylistic order of a work while voice is

manifested in its style, but belongs to its ideological order. Bakhtin writes about voice-consciousness, voice-attitude, voice-point of view. The polyphonic dialogue, in which voices participate, is different in character from the objectivized dialogue and proceeds in a different plane of a work.

3. In Voloshinov's schemes as well as in the objectivized dialogue, a whole was the sum of elements, the elements had more or less clearly specified extremes in the text, the whole lot constituting a linear system with the beginning and the end. In the polyphonic dialogue the voices exist in such deep layers of the text that they observe neither linear sequence nor the limits of its linear constituents. It is attested by the micro-dialogue or stylization that voices may occur in the text simultaneously. The entity formed by the polyphonic dialogue is an interrelation of voices:

$$(11) \quad S = \text{voice 1} : \text{voice 2} : \text{voice 3} \dots$$

4. Among the voices, we do not find more or less privileged ones. They are all partners in the polyphonic dialogue because they are of equal status and ideologies. The author is not alone with his point of view. His text (work) includes various points of view which are in a constant clash, in the struggle for better. Characters, who are the author's partners in the dialogue, occupy many of these competing positions.

5. The polyphonic dialogue proceeds on the highest level of the work: on the author's plane and his attitude to heroes. This is the reason, perhaps, for which it embraces the whole work and is not concerned with one particular plane, excluding all other planes. We might say that the polyphonic dialogue is a total dialogue. In comparison with the objectivized dialogue, which is played for the audience and hence false in a sense, the polyphonic dialogue is deep and authentic.

We shall call the third type of dialogue the suspended dialogue (*dialog zawieszony*). Bakhtin mentions it when he talks about Tshernyshevski's idea of writing the so-called objective novel and everywhere else, when he talks on Shakespeare's works, particularly when he polemizes with Lunatcharski. As far as we may conclude from his remarks, in a work based on the suspended dialogue the author is not present. His absence is manifested in that the author a) withholds his opinions about the characters, does not evaluate their behaviour, b) they are not his spokesmen, the characters are independent enough to speak for themselves, c) he does not get involved into the dialogical contacts with his characters as it happens in the polyphonic novel.

Tshernyshevski who saw the principle of the suspended dialogue in Shakespeare's plays wrote that: "Othello says yes, Jago says no—Shakespeare is silent and unwilling to give or refuse his permission to these yes and no."¹² Various explanations for the author's silence could be offered. Sometimes he wants to avoid telling truisms. This was the explanation

¹² Quoted after Bakhtin, *Problemy*, p. 100.

of the author's behaviour in Tshekhov's works: "You expect me to say that something is evil, while presenting rustlers. But this has been known for long."¹³ The author's silence in the suspended dialogue results from something different, however. It does not mean his resignation of self-assurance, but shows that the author is not ready yet to formulate his opinion on a given subject. The dialogue is sufficiently advanced here for the author to doubt the sense of his earlier convictions, primitive and naïve, but not advanced enough to make him assume a different view. It is a highly critical moment in the dialogical process, which is attested by the fact that in Plato's dialogues, Socrates' interlocutors often stop talking and at the same time it is the moment of the highest creative tension for the participants of the dialogue.

In the works based on the suspended dialogue, the reader plays an extremely important role. Now he realizes he is demanded so much, and expected such activity. Even the polyphonic dialogue includes the author's view in which we may and ought refuse such confidence, but it will still remain a landmark, to some extent. Here, there is no landmark at all. The reader must depend solely on himself, no matter if his way runs through Hell or Heaven. The world of the suspended dialogue is the world visited without a guide.

Although Bakhtin does not mention other types of dialogue, he does not exclude their existence. On the contrary, it follows from his considerations on the tradition of the polyphonic novel, that we have to deal with a diverse organization of dialogue and works dialogized in various ways.

On the basis of Bakhtin's discussion, the fourth kind of dialogue, the cognitive dialogue (*dialog poznawczy*) can be mentioned. It is characterized by a particular construction of character. As in Dostoyevsky's novel, the character and the reality surrounding him, do not become what they are, but are the objectives of his cognition, a puzzle which the character attempts to solve. The fate of such a character is, in fact, full of dramatic clashes process of search for truth about the world and about himself. The most important element in the construction of such a character, Bakhtin says, is his self-knowledge. The hero himself as character is distinguished not only for his self-knowledge and his ardent desire to approach truth, like Plato's Socrates, but also for his inner state of unreadiness, hesitation or, to use Witkiewicz's formula, constant insatiability which makes the character rage, as if in a cage.

This process of cognition and self-cognition has the form of the dialogue. In this case, the dialogue, in contrast to the polyphonic dialogue, does not reach higher than, for example, the level of the author, but stops at the construction of character, thus creating a peculiar situation:

¹³ Quoted after V. V. Vinogradov, *O języku chudożestwiennej literatury* (*On the Language of Artistic Literature*), Moskwa 1959, p. 147-148.

the work is, apparently, homofonic, and at the same time vibrates with dialogue.

It seems that S. I. Witkiewicz's works would best exemplify the principle of cognitive dialogue (Bakhtin mentions German expressionists).

The distinctive features for the above types of dialogue can be summed up in four points: 1) each of them takes place at a different plane of the work, 2) organizes the rest of planes viz. the whole work, in a characteristic for itself way, 3) they are modulations, or variants of the general scheme of replica, which Voloshinov discussed, 4) as a consequence, they constitute a detailment and development of the theory of dialogical replica (utterance) formulated in his *Marksizm i filozofia języka*.

3

Still different concept of dialogity of a literary work is offered by Skwarczyńska who distinguishes two types of dialogization. The first she calls genre instrumentation (instrumentacja rodzajowa), the second, stylization (stylizacja).

We have to deal with genre instrumentation when a work is diversified in respect of genre, i.e. is based on more than one genre structure. The complex coexistence of principles derived from various genres in a work is called genre instrumentation.

Bakhtin was very close to this approach when he discussed genre tradition of the polyphonic novel. Skwarczyńska's proposal is different because it does not refer to genre but to a single work. If Bakhtin could apply his remarks to Dostoyewsky's poetic, Skwarczyńska shows the dialogue of genre structures in one work only, for example *Genezis z Ducha* by Słowacki¹⁴ or in *Hymn na dzień Zwiastowania N. P. Maryi* by Mickiewicz.¹⁵ Still another difference is that in Skwarczyńska's conception a work has different structure. She distinguishes in a work its genological aspect, called genre structure, which Bakhtin seems to have ignored. The genre structure is not analogical to those planes of the work which Bakhtin enumerated, but enhances them all; it is the principle according to which all planes and elements are organized.

Stylization may also be manifested in various planes of the work: a stylistic plane, thematic plane and in the structure of the presented reality. It is signalled by the occurrence of patterns of stylization which introduce from outside to the work, elements of alien origin. Patterns of

¹⁴ S. Skwarczyńska, *Struktura rodzajowa „Genezis z Ducha” Słowackiego i jej literacka tradycja* (Genre Structure of „Genezis z Ducha” by Słowacki and Its Literary Tradition, [in:] Juliusz Słowacki. W stopięćdziesięciolecie urodzin (Essays on the Occasion of His One Hundred Fiftieth Birth), Warszawa 1959.

¹⁵ S. Skwarczyńska, *Rozważania genologiczne nad dwoma utworami Mickiewicza* (Genological Considerations of Two of Mickiewicz's Works), [in:] *Pomiędzy historią a teorią literatury* (Between History and Theory of Literature), Warszawa 1975.

stylization may be derived from either single works or from more complex phenomena such as (in case of *Stowo i cialo* by Parnicki) Greek epistolography, associatory style, language of lower classes, philosophy and Jewish literature. In the work, those patterns may form various complexes.¹⁶

Stylization confirms the fact evident in genre instrumentation: while Bakhtin emphasized the purely inner character of dialogue, Skwarczyńska views a work more broadly, as a place of clashes of various external phenomena. In consequence, in Skwarczyńska's conception, the boundary between the external and the internal dialogical relations almost obliterates. Dialogue opens the work from inside.

It seems that Skwarczyńska, in her theory of dialogue, has pointed out different aspects than Bakhtin. The latter was mainly interested in the static side of dialogue. It was stopped and the process was grasped momentary. Skwarczyńska, like Plato, is concerned rather with the processual side of dialogue.

But still the knowledge of dialogue as a process is poor. Particularly little is known about the segmentation of the dialogical process. On the basis of Skwarczyńska's research and also on the basis of Plato's dialogues (in particular his theory) we propose the following hypotheses:

1. The basic and independent unit of the dialogical process is its portion, which we call dialogem. The attitude of the participants of subjective situation to what is talked about will be the principal criterion for distinguishing it. More precisely, evolution of this attitude throughout the dialogue, direction of change (kierunek zmian).

2. The direction may be from an established conviction (R) to its questioning or negating (Q), called questional direction and represented as ($R \rightarrow Q$); or from lack of conviction about a given subject or negation (Q) to a definite conviction or positive thesis (R): this direction we call solving direction and represent as $Q \rightarrow R$. Accordingly, two types of dialogem may be distinguished. One is called questioning (kwestionowanie) ($R \rightarrow Q$), the second solving (rozwiązywanie) ($Q \rightarrow R$).

3. Dialogems follow one another and form the dialogical string (łańcuch dialogowy). Dialogue develops according to this principle. The strings may consist of homogenous dialogems:

1) ($R \rightarrow Q$) + ($R \rightarrow Q$) + ...

2) ($Q \rightarrow R$) + ($Q \rightarrow R$) + ...

or of heterogenous dialogems:

3) ($R \rightarrow Q$) + ($Q \rightarrow R$) + ...

4) ($Q \rightarrow R$) + ($R \rightarrow Q$) + ...

¹⁶ S. Skwarczyńska, *Stylizacja i jej miejsce w nauce o literaturze (Stylization and Its Place in the Theory of Literature)*, [in:] *Wokół teatru i literatury (On Theatre and Literature)*, Warszawa 1970.

4. Strings 3) and 4), consisting of two dialogems, form a higher independent unit called dydialogem which is often equivalent to a work, for instance Plato's *Faidros* is a work based on dydialogem.

5. It follows from the structure of the dialogem that it is similar to replica with the characteristic polarity of the latter. Similarly, there exist distinct analogies between types of dialogem: questioning and solving, and forms of reply: question and answer. Possibly, we are allowed to talk of the isomorphism of dialogical structures of reply and dialogem.

6. More complex replies may include many portions of dialogical strings.

In conclusion, we want to justify the generality of the model of dialogue which we have sketched above. Since our primary objective was to show what the dialogue theory of the literary work is, what perspectives it opens and what it offers to theory of literature, we found it appropriate to avoid certain irrelevant details.

Translated by *Michał Post*

DIALOGOWA TEORIA UTWORU LITERACKIEGO

STRESZCZENIE

Wśród rozlicznych teorii dzieła literackiego jedna zasługuje dziś na szczególną uwagę i przeżywa swoisty renesans — jest to teoria dialogowa. Za jej twórcę możemy uznać Platona. W wieku XX była rozwijana zwłaszcza przez szkołę Bachtina i w pracach Skwarczyńskiej. Opiera się ona na dialogowej teorii myślenia i mowy oraz dysponuje określonymi modelami (teoriami) dialogu. Do cech szczególnych należy zaliczyć szerokie rozumienie dialogu i literatury oraz ujmowanie utworu literackiego jako repliki, która uczestniczy w procesie dialogowym i sama jest od wewnątrz maksymalnie zdialogizowana.

Artykuł charakteryzuje trzy typy relacji, jakie wiążą utwór z innymi elementami procesu dialogowego: relacje podmiotowe lokują utwór w płaszczyźnie konsytuacji, relacje kontekstowe łączą utwór z innymi replikami (utworami), relacje przedmiotowe odnoszą go do przedmiotu, o którym mówi się w utworze. W wyniku tych powiązań utwór musi być rozpatrywany jako wypowiedź: wielopodmiotowa, likwidująca role nadawcy i odbiorcy, międzyindywidualna, ściśle związana z konsytuacją, dynamizująca ją, nieautonomiczna w tym sensie, że traktuje utwór jako niegotowy, otwarty, stanowiący zawsze część większej całości. Podstawowym mechanizmem włączania i wyłączenia utworu z procesu dialogowego jest mechanizm pytania i odpowiedzi.

Wszystkie te własności odbijają się na „wewnętrznej” budowie utworu, który jest pytaniem i równocześnie odpowiedzią. Ma przeto charakter dwubiegunowy i hybrydyczny. Dialog wewnątrz utworu literackiego może przyjmować różny kształt w zależności od tego, jaki typ dialogu realizuje. Za Bachtinem i Skwarczyńską wyróżniamy następujące typy: dialog uprzedmiotowiony, dialog polifoniczny, dialog zawieszony, dialog poznawczy, dialog zwany instrumentacją rodzajową oraz dialog zwany stylizacją.

Artykuł wysuwa także pewne hipotezy na temat segmentacji procesu dialogowego: 1) podstawową jednostką procesu dialogowego jest dialogem, który może mieć postać albo kwestionowania, albo rozwiązywania, 2) struktura dialogemu jest podobna (izomorficzna) do struktury podstawowej repliki dialogowej, 3) rozbudowane repliki (utwory) mogą zawierać w sobie nie tylko pojedynczy dialogem, lecz wiele odcinków łańcucha dialogowego, który składa się z następujących po sobie dialogemów.

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