

## Chapter 2

### Literature Review

Chapter 2 reviews research in the field of discourse typology, boundaries and cohesiveness, and prominence, as well as studies on Classical Greek language and on Herodotus' *Histories*. The texts surveyed here provide background for the analysis, and significant findings are adapted into the methodology of this thesis.

#### 2.1 Genre and Typology issues

This section explores relevant issues of genre in the field of discourse analysis, classical Greek, and Herodotean studies which shed light on genre classification of the Scythian account.

##### 2.1.1 Discourse Analysis: Longacre

Longacre (1996) discusses criteria for studying the typology of a text according to “etic” features (universal, overall characteristics) and the “emic” structure (specific form in a particular language and text). Four possible features aid in determining the etic type.

“Contingent temporal succession” describes events that are presented in temporal order. Later events are dependent upon earlier ones. Texts which do not exhibit temporal succession are structured in another manner, e.g. according to “logical organization” (1996:8-9).

Secondly, a text which displays “agent orientation” focuses on some participant or group which is referenced throughout the text. A text which is lacking in agent orientation has a different focus; for example, “thematic organization” centers around a topic rather than a person (1996:9).

“Projection” is a third criterion, referring to an action that is “projected” in that it has not occurred at the time of text composition.

The final parameter is the presence or lack of “tension” in the text (1996:10).

Within the actual discourse itself, two important criteria are “chronological linkage” vs. “logical linkage” and “agent reference” vs. unity of theme or activity (1996:11). Narrative text is characterized by punctiliar past-tense verbs, and expository by “existential and equative clauses” such as the “be” verb (1996:12).

### **2.1.2 Classical Greek Studies: Burridge**

Richard Burridge’s *What are the Gospels? A Comparison with Graeco-Roman Biography* (2004) offers valuable insight into the concept of genre from a Classical perspective. The purpose of the book is to compare and contrast the features of ancient literary works, especially Greek and Latin biography and often referring to history. Burridge explains that “genre” acts as a “set of expectations” and a “contract” between the writer and the reader (2004:105); the audience at the time that the work was written will have generally “unconscious,” preconceived ideas in mind about the features to expect in various types of work (2004:43). Examples of kinds of “genre” in Burridge’s terminology include epic, historiography, biography, story (for entertainment), and political polemic.

Burridge cites Fowler who explains that the development of a genre is an evolutionary process, beginning often with an oral form. A “primary stage,” however, is the first time that authors write in this mode (an example in Greek is Homer’s epic poetry); in the “secondary stage,” other authors follow the first models, perhaps adding some features, but staying close to the original type ; finally, the “tertiary stage” occurs when writers significantly modify some features, e.g. changing the style or tone, such as in satire (Fowler 1974:83-8, 90; 1984:160-162, 164-7 in Burridge 44-45).

Burridge, writing about the genre of Graeco-Roman biography, explains that the boundaries of the genre are somewhat fluid. Ancient writers commonly mixed attributes of various genres, and a particular biographical work may exhibit some features of several genres, but remain closest in characteristics to the genre of Graeco-Roman biography (2004:63-64).

The literary and linguistic criteria that Burridge compiles for analyzing the genre of ancient Greek literature provide a broad and thorough method for identifying genre. Using two terms from Wellek and Warren (1982:231 in Burridge 2004:41), Burridge explains that some criteria concern the “outer form” (language and structure) and others, the “inner form” (content, topic); however, there is overlap between the two.

“Opening features” include the title and opening remarks, from which the reader would acquire certain expectations (108-9). However, relying on the preface is not advised; it is more important to consider the actual contents of the entire work (Burridge 2004:60-61).

The “Subject” criterion involves how the participants (or “corporate subjects” such as the Persians) are being referenced, in terms of percentage of sentences that contain that person and how he or she is being discussed. This is of more importance for biography than for other genres (2004:111-2).

“External features” include the mode in which the work was intended to be presented (oral or written); poetry or prose; and voice. Other features relevant to this thesis include how the work is structured (drama, uninterrupted narrative, etc.) and arranged (chronologically or by topic or location). The scale or range of the content covered may be broad or narrow. The types of units included, such as preface, conversation, stories, and descriptions, will aid in determining the genre of a work. It is also helpful to note the types of sources used by the author (2004:113, 115-6).

The final set of criterion for determining genre involves “internal features” such as setting, particular motifs, and style of language (high, educated, low). The internal features also include the tone (e.g. serious); mood (which is related to the actions of the participants, such as triumphant); attitude of the author to the participants and to the reader (respectful, oppositional, informing); and the values that the author communicates. Final considerations are the setting in which the work was to be read or delivered, and the purpose (or multiple purposes) of the writer (Burridge 2004:117-122).

### **2.1.3 Herodotus Studies**

This section examines the work of Herodotean scholars in relation to several key concepts of genre analysis: 1. the historical context of Herodotus; 2. audience and mode; 3. purpose; and 4. oral and written features.

#### **2.1.3.1 Historical Context**

Exploring the genre of Herodotus’ work is an interesting endeavor since it is unique to its time period. Boedecker (2002), Thomas (2000, 2007), Bakker (2002), and

Lateiner (1989) examine the issue of genre in light of Herodotus' past and present literary environment.

Boedecker (2002) investigates the influence of the tradition of the epic oral poets such as Homer on the style of Herodotus and details numerous examples to demonstrate this influence. Similarities with Homer's *Iliad* and *Odyssey* include the proem (introduction), which states the intention to preserve so that great deeds will not be forgotten; long listings of ships before battle; dreams as omens from the gods, and use of mythology. Other parallel items include lengthy speeches by participants in the narrative; some phrases and idioms; and even a bit of epic poetic hexameter (usually in speeches) (2002:99-104).

Thomas, on the other hand, warns of taking too narrow a view of the genre of the work—Herodotus is not merely telling epic stories, in the custom of Homer. To simply categorize Herodotus as the product of a succession of oral storytellers in the tradition of the poet Homer and later Ionian tale-tellers is to misrepresent the intellectual atmosphere of the fifth century and thus imply that Herodotus was “old-fashioned” for his time (2000:5). In her Introduction to *The Landmark Herodotus* (2007), Thomas points out that by Herodotus' time, some writers were indeed using prose to distinguish themselves from epic poetry, to make more serious inquiries into the order of the world. Herodotus, Thomas explains, deliberately distances himself from Homer in his assertion that “only the recent past ... could properly be known as a subject of real knowledge” and that his information comes from his own travels and conversations (2007:xix).

Thomas explains that Herodotus created a new genre unknown to the Western world before his time and the first work which modern readers would regard as “history” (Thomas 2007:ix). Indeed, the word “history” derives from Herodotus' own description of his work in his introduction. The term he uses, ἱστορία [historia], was used for scientific investigation which was beginning to flourish in his time—investigation into such realms as medicine, philosophy, and the natural world (2007:xv, xx).

Herodotus may have been the first to use it for research that included past human actions. Its appearance in his opening sentence was surely meant to signal to his audience that here was no rehash of the old myths, no mere uncritical retelling of stories, but a modern work of critical inquiry (2007:xv).

Thomas asserts that an understanding of the historical, social, and philosophical context of Herodotus' time (fifth century BCE Greece) is therefore essential; she believes that the *Histories* is best understood in the context of the Ionian (East Greek) scientific thinkers of the time—Hippocrates and his medical followers originated nearby, as did well-known mathematicians; traveling intellectuals and philosophers, many from Ionia, collected followers from Greek cities (2000:12-16).

In many ways Herodotus shows his immersion not only in the traditions of his times but also in the most exciting intellectual developments of the latter part of the fifth century ... His methods of inquiry and his own awareness of them reveal that he is very much a product of this intellectual climate (Thomas 2007:xx).

Thomas provides such an example related to the Scythian account: Hippocrates wrote on the climate of Scythia and theorized that the weather there contributed to greater illnesses; this indicates that Scythia was a subject of scientific speculation in Herodotus' time (2007:xx).

Bakker (2002) examines the conflicting perspectives of oral poet vs. contemporary investigator and explains that the key phrase to be unlocked and correctly interpreted is a particular phrase in his proem (introduction) whose meaning has been debated: ἱστορίας ἀπόδειξις ἦδε [historia apodexis hēde], 'this is an exhibition of inquiry.' To some, Herodotus is a scientist writing in the current scientific thought of his time; on the other extreme, he is an oral storyteller in the tradition of the epic poets (Bakker 2002:10-11). Bakker's view is that neither extreme is correct, but rather, "he is both, using the vocabulary of the latter to revolutionize the practice of the former" (2002:28-29), making a "scrutiny" into the past and traditions, "instead of receiving and accepting them wholesale" (2002:15). Bakker interprets the pronoun ἦδε [ēde] 'what follows/this is' to indicate that, just as monuments in ancient times contained inscriptions to be read and remembered by all who passed by, Herodotus had current and future audiences in mind when he wrote *Histories*: the audience is essentially standing before his "monument" (his work): "we also are cast in Herodotus' own role ... asked to do what Herodotus did himself: to listen critically, to question, and to judge ..." (2002:32)

Lateiner in *The Historical Method of Herodotus* gives further evidence of the unique nature and difficulty of classifying Herodotus' work as he explains that the style differs from that of later historiography. "Herodotus is fond of divesting himself of the historian's omniscience, and assuming a winning fallibility" (Denniston

4:1934 in Lateiner 1989:31). Lateiner discusses how Herodotus allows for other points of view in his work, which is uncharacteristic of most historical styles (1989:31).

### **2.1.3.2 Audience and Mode of Presentation**

John Marincola's *Introduction* to de Selincourt's translation (revised 2003) provides an insightful hypothesis about the audience for which Herodotus wrote and the probable delivery method of the text. Marincola envisions the audience as "pan-Hellenic" in that generally, no particular perspective or city-state's view is endorsed above another, and a variety of customs and philosophies are presented (2003:xi-xii). Marincola discusses the mode of performance as well. Most Greeks at the time were not skilled readers but relied mostly on oral communication (Thomas 1992 in Marincola xii). Thus Herodotus likely "published" his work by performing recitations or readings at religious or intellectual gatherings in Greece (Marincola 2003 xii). Marincola explains that the first few books contain "performance pieces," which could have been easily read on their own. Such pieces fit a popular fifth-century style of writers of philosophy and medicine, in which the writer denounces/disparages past perspectives on a matter and dramatically introduces his own, wiser, interpretation or story. Such speeches and debates were commonly delivered in public and before colleagues. Two instances of such style are the flooding of the Nile (Book 2, chapters 19-27) and Herodotus' version of the Trojan War (Book 2, chapters 113-20) (2003:xii).

### **2.1.3.3 Purpose**

Two works cited here reveal the close relationship of purpose to genre. De Jong (2004) and Moles (2002) provide perspectives on the purpose of *Histories*.

De Jong (2004) demonstrates the necessity of examining the purpose in determining the genre. De Jong explains that Herodotus follows in the footsteps of Homer with the purpose of guarding the stories of past men (2004:101). Herodotus is "an intriguing mixture of an epic storyteller and a historian," states De Jong (101).

John Moles (2002) theorizes that Herodotus' purpose is hortatory: a political-ideological warning to the Athens of Herodotus' era. Statements and stories in the text (both explicit and more latent) extol the idea of freedom and caution against tyranny (enslavement to a particular leader or other nation), explains Moles (2002:49-52). In particular because of the current times, Herodotus wished to warn

the city-state Athens, whom he commends in many parts of *Histories* for championing freedom and defeating the Persians (2002:42-43, 49-52). Athens had enjoyed democracy but was rapidly turning itself into the capital, at least in the Athenians' view, of a Greek empire, and Herodotus warns them of the dangers of tyranny (2002:36, 52). He explains that certain characters and people groups in the text represent Athens and serve as warnings to the people. However, there is also a wider intent: Athens represents the rise of any great entity, and if Herodotus does not succeed in alerting Athens, future audiences may learn from these mistakes (2002:50-52).

#### 2.1.3.4 Oral and written features

A number of scholars note that Herodotus uses oral language components in his writing style; a few emphasize the written features. This section reviews current research of oral and written strategies used by Herodotus, and hypothesizes about the historical context out of which he wrote.

Slings (2002) discusses the presence of oral features, such as repetition, in *Histories*. One specific type of repetition he cites is Herodotus' abundant use of tail-head linkage, in which the verb of one clause is repeated in the next clause as a preposed (before the main clause) participle; such a tight linkage style is common in oral communication (2002:56).

Macan (1895) explains that Herodotus uses a mixed register of both oral language and language used for written text. The work, believes Macan, is "manifestly and explicitly a written work" but Herodotus often uses wording common to an oral style as well as the language of writing (e.g. γραφω [grafō] 'write') and some "ambiguous" words (Macan 1895:lxv).

Rösler in his article *The Histories and Writing* (2002) believes that Herodotus initially gathered and imparted the information in *Histories* orally to audiences, and then, late in his life, put the epic in writing so that it would be preserved for posterity (2002:93-94). Rösler cites evidence that the *Histories* is too well-organized to have been merely cut and pasted from oral stories (2002:86); furthermore, oral performers did not customarily read from a written text (2002:84). Rather, Rösler states that our written version of *Histories* was intended to be read, not performed without a script. Some scholars cite the use of λεγειν [legein] 'to speak' in the *Histories* as evidence that the historian was reciting the text; however, asserts Rösler, the verb γραφειν [grafein] 'to write' is also used many times, and an oral storyteller

would not have used this word at all. Therefore, Rösler believes that λεγειν [legein] and γραφειν [grafein] are interchangeable in meaning in the text (2002:88-89).

#### 2.1.4 Summary and Application

It has long been surmised that Herodotus intended his work to be read aloud, and numerous oral features are apparent, as illustrated by Slings (2002), Lateiner (1989), and Macan (1895). The view of Rösler (2002) that Herodotus wrote the text later in life to be preserved and read gives a compelling perspective which appears to fit the evidence in the text, since *Histories* does display a degree of organization and also uses language of writing. However, if Marincola's view (2003) is correct that Greek intellectuals commonly shared their texts orally through recitations and readings, then it is plausible that Herodotus did read his work aloud. Therefore, it seems likely that the text, which uses both oral and written style, was performed aloud, not in its entirety but one account at a time, by Herodotus. In addition (whether later, or at the same time period of the performances), Herodotus could have organized the accounts into the first version of the larger work that comprises *Histories*.

Research specific to Herodotus on his audience, purpose, and style also clarify how to classify his work. Burrige's (2004) explanation of the fluid boundaries and mixing of genres for Graeco-Roman biography allows for the possibility that ancient writers of other types of literature may also have blended characteristics from a variety of genres. Boedecker (2002) casts light on the Homeric influence, while Thomas (2000 and 2007) emphasizes the contemporary scientific atmosphere. Bakker (2002) convincingly merges the two views, asserting that both are important to Herodotus' style and purpose.

Just as an author is inspired by a variety of influences in the environment, so also the author is likely to have multiple purposes in mind when writing; thus the views of de Jong (2004) and Moles (2002) are not mutually exclusive. However, one or two main purposes should be identified. The nature of the narratives, which are diverse, often dramatic, and at times amusing, indicate an aim of entertaining a listening audience. Another reasonable conjecture as to purpose is to examine Herodotus' own words in the proem (introduction); both are discussed further in Chapter 3 of this thesis.

Burrige (2004) investigates a genre (Graeco-Roman biography) which is similar in time period and language and contains overlapping typology features of *Histories*. Thus, Burrige's criteria for the identification of genre is adapted to the analysis in



Chapter 3. Longacre (1996) provides more general, foundational criteria for text type identification which is also applied in the examination of typology in Chapter 3.

## 2.2 Structure

Longacre (1996) examines discourse structure in terms of two layers—the surface (linguistic) structure and the notional (plot) structure. Thomas (2007) and De Jong (2002) discuss the relationship of embedded segments to the structure of *Histories*.

### 2.2.1 Discourse Analysis: Longacre

Longacre (1996) explains the concepts of notional and surface structure and the relationship between the two. “Notional structure” is the deep structure of the narrative involving the events in the plot. This plot structure is manifested linguistically through features on the narrative’s surface, in the form of a “surface structure” (1996:2, 33). A narrative must exhibit “progress” in that the events are headed in some direction. In most cases, the plot progresses toward a climax (1996:33-34).

The first notional structure section of a narrative is the exposition, which presents setting information such as place and time (1996:34). At the inciting moment, the plot with its conflict begins. The inciting moment instigates the use of the tense which forms the storyline through the rest of the narrative (1996:37). Developing conflict episodes build the conflict in the plot until it reaches a climax. The denouement section affects the beginning of a solution to the conflict (1996:35, cf. Longacre 2003:4). In the final suspense, the plot continues toward a solution (35). Dooley and Levinson, who give a summary of narrative structure, explain that the conclusion, called “result or resolution,” resolves the question, “So what finally happened?” (2001:105).

The narrative often begins on the surface with a title and a prescribed aperture, which is an opening statement, e.g. “once upon a time” in English for many fairy tales (1996:34). Then, a stage section, corresponding to the exposition in the notional structure, presents background facts. Expository material, whether a paragraph or longer, is often included with the stage (35-37).

The beginning of the prepeak episodes (called the “inciting moment” in the notional structure) often exhibits characteristics of the peak (Beavon 1979 in Longacre

1996:37). Prepeak episodes are characterized by events and/or dialogues which happen in temporal order (1996:36).

Longacre explains that the peak of a narrative is often marked by certain uncharacteristic forms and techniques (although sometimes there are no special peak signals). The peak may correspond to the notional structure unit of climax or the denouement (1996:36-37). Possible peak signals include a crowded stage, in which all the major participants are placed together in an episode; a change in verb tense; or the use of special particles or onomatopoeia (1996:40). Another possibility is a change in point of view, for example, from general to more specific, viewing the story through the eyes of one particular character (46). A sequence of several participles in a row, creating a long, suspenseful sentence, may mark peak in Greek (1996:44-5). A switch from straight narrative to direct quotation, or the reverse, may occur, or there may be another type of embedded segment at the peak (1996:42, 45). A later, more minor peak, perhaps correlating with the denouement, may also be marked; this would be called "peak prime" (1996:37). The ultimate signal of the Peak is that it contrasts in language from the 'normal' language of the narrative up to that point.

Characteristics of postpeak episodes are similar to those of prepeak; the special markings found in the peak generally disappear as the intensity diminishes (1996:36). "The final suspense (in the notional structure) encodes as one or more postpeak episodes while the conclusion is more likely to have special marking in the surface structure—often some nonnarrative paragraph or discourse" (1996:38). The non-narrative closure may make some type of morality statement (1996:38). Finally, some narratives end with a prescribed "finis" (1996:38), for example, "The End" in English.

### **2.2.2 Herodotus Studies**

Scholars hold a wide range of interpretations as to the structure of *Histories*, particularly regarding the purpose of the numerous embedded segments which some researchers term "digressions." Thomas (2007) and De Jong (2002) explain that the embedded segments are an integral component of the text of *Histories*. Thomas explains that Herodotus himself gives a short comment about his method in book 4 when he says "My account goes searching from the start for extra material' [literally 'additions']... The searching for extra information is part and parcel of the wide-open nature of his inquiry" (Thomas 2007:xvii).

Addressing the wide and contradictory views about the structure of *Histories*, De Jong (2002) argues that a cohesive structure is indeed found. But first, she explains, the student of Herodotus must take into account the fact that “ancient literary taste does show a greater tolerance towards—indeed an appreciation of—the episodic, ephrastic [descriptive digression], and digressional” (2002:246).

Building upon theories by several other researchers, de Jong explains that the embedded segments which some characterize as “digressions” are, in fact, useful background to the main text. The embedded narrative sections serve to explain the present, main narrative (2002:253-4). One phrase or clause in the main narrative may serve as the “trigger” for the embedded narrative (2002:264). These are usually pertinent to the main story in explaining causes; adding to a theme; or functioning as background, as a footnote would today (2002:265-6).

Regarding the other embedded types, namely the ethnography and geography sections, De Jong cites Hamon (1993) who explains that these are usually useful for understanding the narrative; in the Scythian account, these portions help explain why the Persian conquest against Scythia did not succeed (Hamon 1993:9-36 in de Jong 2002).

### 2.2.3 Application

A cohesive unity is found within the Scythian account in the form of a progressive plot structure (described in Chapter 3). Longacre’s (1996) criteria for identifying surface and plot structure features provides a useful framework for interpreting the structure of the Scythian narrative, as the main story was found to contain most of the elements in the structure of a climactic narrative. Peak-like markings were found at the climax and at other moments of tension in the story related in this narrative.

The unity of the text of the Scythian account is also revealed by the use of tail-head linkage (called “overlap statements,”) explained in Chapter 4. De Jong’s (2002) observation about the usefulness of the embedded segments was found to be supported in the Scythian text, as nearly every embedded section relates to the story at hand. In addition, the Scythian account relates to the greater *Histories* theme of the Greco-Persian wars in that the Scythian account tells of an attempted conquest of the Persians, and the character of Persian rulers, before the more significant war with Greece.

## 2.3 Boundaries and Segments

This section reviews methods for examining the unity and segments of texts in general, of texts in Classical Greek, and of *Histories*.

### 2.3.1 Discourse Analysis

Discovering the segments of a text involves examining the cohesive methods used. Dooley and Levinsohn (2001) provide an introduction to the concept of continuity and discontinuity. One way that an author gives coherence to his or her text is by employing cohesive features to aid in interpretation. Cohesive methods include such features as repetition, references to previously mentioned topics, and relations between propositions (2001:27-32).

Cognitive science researchers contend that humans process and store great quantities of information in “chunks” or sections, explain Dooley and Levinsohn. Within a text, each chunk (section) exhibits “tight” internal unity. The different chunks are divided or separated by the changes, or discontinuities, which appear (2001:36). The authors cite Givon’s (1984) discussion of “thematic continuity and thematic discontinuity.” Givon gives four common dimensions of continuity and discontinuity, as depicted in Table 1 below.

**Table 1: Four Dimensions of Continuity and Discontinuity**

(from Dooley and Levinsohn 2001:37, based on Givon 1984:245)

Dimension	Continuity	Discontinuity
Time	events separated by at most only small forward gaps	large forward gaps or events out of order
place	same place or (for motion) continuous change	discrete changes of place
action	all material of the same type: event, nonevent, conversation, etc.	change from one type of material to another
participants	same cast and same general roles vis-à-vis one another	discrete changes of cast or change in relative roles

A section of text generally exhibits continuity in all of the four areas. A discontinuity in one or more areas indicates that the author has started a “new thematic grouping”

(2001:37). In narrative, time is the most significant indicator of unity and of discontinuity; temporal phrases and clauses are often found at the commencement of a new grouping. Dooley and Levinsohn observe that it is a common method across languages (2001:37-39) to use preposed temporal or locative phrases to mark a discontinuity, since preposed items are frequently used to link the subsequent section with what has preceded. When a temporal or locative marker is found in some other position in the sentence, a major discontinuity is not being indicated (2001:38-39). Examples of change in action include a switch from reported speech to non-speech, or from an event (using an event verb) to items which are not considered eventline (such as thoughts) (2001:39).

Table 2 details the major features to take note of when examining a text for linguistic signals:

**Table 2: Linguistic Markers of Discontinuity**  
(adapted from Dooley and Levinsohn 2001:40)

Feature	Common position in thematic grouping
Preposed expression, esp. time, location, topic	Initial
Particle, or lack of expected	Initial
Conjunction, or lack of expected	Initial
Participant as full noun phrase	Initial
Change in verb tense/aspect	Initial or Final
Summary or evaluation	Initial or Final

It is also important to note that at the beginning of a new thematic grouping, dimensions which have not changed from before may still be made explicit in the text (“updated”). Thus, a participant may be referred to by a full noun phrase even though this same participant is still in focus (2001:41). Dooley and Levinsohn cite Chafe to also point out that these discontinuity signals (“changes of orientation,” as Chafe calls them) are not merely present or absent at a particular point in the text, but are rather a matter of degree (Chafe 1980:45 in 2001:41).

Barnwell (1980:237-239) discusses the two broad categories of criteria which can be used to mark sections of a text. If events happen within the “same time, same place,” with the “same topic, and same participants,” they signal internal unity (1980:240) (according to Givon (1984) above, a type of “continuity”). Elements which mark a boundary show a break in the communication unit (in Givon’s terms, a “discontinuity.”) Signals such as grammatical markers; change in place, time or participants; and introduction of a new topic indicate boundaries (1980:237-239). Other criteria, elements which show internal coherence, indicate the unity within a particular unit (1980:237).

### **2.3.2 Conjunctions in Greek**

Reed (1999) explains the concept of cohesion from a discourse perspective and applies the concept to cohesion in Koiné Greek. Helpful to this thesis is Reed’s extensive chart of types of textual relationships and the Greek conjunctions (1999:34-35) which are commonly used to convey these ideas. For example, in a relationship of “extension” between linguistic words, clauses, or paragraphs, the second component may “add to” the first. This sub-category, termed “addition,” defines the Greek conjunction *καί* ‘and’ as well as some uses of the conjunction *δέ* [de] ‘and, but, then.’ Another type of extension is the “adversative,” which explains a usage of *ἀλλά* [alla] ‘but’ and some uses of *δέ* [de]. In another relationship, “elaboration,” the second component gives more information about the first. A sub-category of elaboration is “clarification,” which has a further sub-category, called “summative,” used when the second component serves to summarize the first (as in the Koiné Greek *οὖν* [oun] ‘in conclusion’ (1999:34).

The Greek studied by Reed is newer than the Ionic Greek of Herodotus. However, the most common conjunctions between segments in the Scythian account which are mentioned in Reed’s chart were found to have similar functions. Additional conjunctions not mentioned in Reed’s chart were also noted. Reed’s model proved helpful for assigning categories and functions to these conjunctions as well.

### **2.3.3 Herodotus Studies**

In his discussion of the rhetoric of Herodotus, Lateiner (1989) mentions two valuable observations about specific particles: the reason particle *γάρ* [gar] ‘for’ is commonly used for short asides, to give reasons, causes, and background information and series of *δέ* [de] ‘and, but, then’ “suggest that a story rushes the

author along too fast to stop in order to put the details together with a more careful articulation of sequence or clause.” An example from book five (5.119-21) is given in which δέ [de] is found eleven times in ten sentences (1989:31).

In her article *Narrative Unity and Units* (2002), Irene de Jong provides several useful labels for cohesive strategies used in *Histories*. Herodotus frequently makes use of repetition of important words within a section to provide cohesion, and he often gives a brief reminder-summary of an embedded story he has already reported (2002:259). “Presentation markers” indicate what is ahead, such as *τάδε ἐγίνετο* [tade egineto] ‘the following things happened ...’ or what was just presented, such as *οὕτω ἔσχε* [outō esche] ‘it happened in this way.’ A “headline” makes known the contents of the next event, and a “conclusion” reiterates or summarizes the event (2002:259).

### 2.3.4 Application

The focus of Chapter 4 of this examination is an exploration of features that comprise a segment of narrative in the Scythian account. A sound starting point is the cohesive features of time, place, action, and participant, as described by Dooley and Levinsohn (2001), Givon (1984), and Barnwell (1980). In Chapter 4, clauses of the Scythian account which maintain most of the above four features are arranged together to comprise a narrative episode.

A change in two or more of these features may signal a new episode. These possible boundary points are then examined for linguistic features which may further reinforce the boundary demarcation—for example, conjunctions, the participant referenced with a noun phrase, temporal words, or special clause types. Reed’s explanation of cohesion and conjunctions for Koiné Greek (1999) is adapted to categorize conjunctions which transition between episodes.

The Scythian account was examined for De Jong’s (2002) cohesive devices of “presentation,” “headline,” and “conclusion” markers; such devices were found to be rare in the main narrative but abundant in the embedded segments (called “preview” and “summary” statements in Chapter 4 of this thesis). Lateiner’s (1989) observations about the particle δέ [de] ‘and, but, then’ proved helpful, as δέ [de] was found to be the most common conjunction between episodes of the Scythian account. The use of the conjunction γάρ [gar] ‘for’ is also further explored in Chapter 4. Several additional types of boundary signals in the text of *Histories* are examined in Chapter 4.

## 2.4 Models for Analysis of Foregrounding/Backgrounding and Salience Scheme

Bakker (1991, 1997) and Longacre (1996, 1999b) offer theories and models for the examination of mainline prominence in the Scythian account. Genette (1980) writes about different modes used by writers of narrative fiction, and Boedecker (2002) describes Herodotus' narratives as "dramatic," and "mimetic." Campbell (2007) observes that the imperfect tense can be found on the mainline of a narrative along with the more commonly used aorist. Loney (2005) provides a useful example of the application of Bakker's (1997) theory to another Greek dialect and text.

### 2.4.1 Definition of Foregrounding/Backgrounding of Narrative Events

Bakker's 1991 analysis of the temporal adverbial clauses in a short story in Herodotus' *Histories* makes important points about the definition and role of foregrounded narrative clauses.

Bakker cites the groundbreaking work of Hopper (1979) in contributing to the understanding of foregrounding. Hopper defines foregrounded events in a narrative as those which relate actions in temporal sequence. In addition, Hopper observes that

... only foregrounded clauses are actually NARRATED. Backgrounded clauses do not themselves narrate, but instead they support, amplify or COMMENT ON the narrative. In a narration, the author is asserting the occurrence of events. Commentary, however, does not constitute the assertion of events in the story line but makes statements which are CONTINGENT and dependent on the story-line events (Hopper 1979:215-216 in Bakker 1991:228-229).

Bakker discusses Hopper's definition in relation to a particular clause type inserted into indirect discourse narrative. However, Bakker believes that a better definition of a foregrounded event is that which "moves narrative time" or "advances the plot" (as per Dry 1981, 1983 and Kalmar 1982 in Bakker 1991:239) than simply an event which is "sequentially ordered." A clause, particularly a dependent clause, may be a temporally-sequenced action but not move the plot forward (1991:241). This concept will be applied in the thesis to preposed temporal and participle clauses, to determine whether the event conveyed by a particular dependent clause should be considered storyline (Band 1) or backgrounded (Band 2). As Chapter 5 explains, the



dependent clauses in the Scythian account (except for one participle example) were all found to not advance the plot forward but rather to give background detail.

## 2.4.2 Saliency Scheme and Foregrounding

Longacre (1996 and 1999b) explains the process of deriving a saliency scheme of a narrative. Of the concept of saliency, Longacre writes, “for any language, each type of text has a mainline of development and contains other material which can be conceived of as encoding progressive degrees of departure from the mainline” (1989 in 1996:23). Thus the development of a saliency scheme is a way of distinguishing the more foregrounded versus the more backgrounded elements of a narrative.

Longacre’s saliency model flows from the information type studies of Grimes (1975) and the transitivity criteria of Hopper and Thompson (1980). A major factor in analyzing the saliency of a particular clause is examining the tense and aspect of the verb (Longacre 1999b:169). The mainline, which Longacre terms “storyline” for narrative, is considered more salient, or foregrounded. In English, the main storyline is typically carried by the tense of simple past, communicating events which are “dynamic,” “sequential,” and “punctiliar” (Longacre 1996:25-26; cf. Longacre 2003:17). Other information types are less salient, i.e. more backgrounded. Table 3 is Longacre’s “Etic saliency scheme for narrative,” based on his analysis of at least two dozen languages. Each numbered level is considered a band (e.g. Band 1 is Primary storyline). Any particular language and culture is not likely to employ all of the bands in its various genres of narrative.

**Table 3: Longacre’s “Etic saliency scheme for narrative” (Longacre 1996:28)**

1. Pivotal storyline (augmentation of 1)
  1. Primary storyline (S/Agent > S/Experiencer > S/Patient)
  2. Secondary storyline
  3. Routine (script-predictable action sequences)
  4. Backgrounded actions/events
  5. Backgrounded activity (durative)
  6. Setting (exposition)
  7. Irrealis (negatives and modals)
  8. Evaluations (author intrusions)
  9. Cohesive and thematic

In his analysis of discourse features of the Koiné Greek text of Mark Chapter 5, Longacre regards the aorist indicative to be the primary tense for conveying the storyline (1999b:177). Postposed participial clauses which follow the main verb clause are grouped in the same band (Band 1 of the salience for Mark 5) with the aorist indicative main clauses. Participial adverbial clauses which are preposed before an aorist indicative are of somewhat lesser salience (Band 1.2). Imperfect indicative clauses express background information (Band 3, after a Band 2 consisting of Historical Present verbs), frequently conveying “ongoing activity” (1999b:177-179).

Tehan (2002), in a short, preliminary research paper on storyline in the Koiné text of Matthew Chapters 8 and 9, places postposed event participles on the storyline along with their aorist indicative antecedents (Band 1). Present indicatives, generally of Jesus’ speech, are also put on the storyline (also Band 1). Imperfect indicative verbs and the postposed participle clauses which follow are placed in the “background” band, along with preceding participles (Band 2), which in the described text are usually verbs of motion (2002:2).

Levinsohn (2000) also makes observations about the importance of information conveyed by dependent participle clauses. The use of a preposed adverbial participle marks that the clause is “of secondary importance” and the material backgrounded, relative to the main clause (2000:183). The postposed participle, however, may be of lesser or even greater importance than the main clause. This information is not expressed by the structure but needs to be interpreted from context (2000:185-186).

### **2.4.3 Genette: Mood and Point of View**

Another element which is essential to the discussion of foregrounding and salience for the Scythian account is point of view. It will be shown in Chapter 5 that two different narrative styles or modes are found in the Scythian account, and the verb type of the foregrounded clauses differs within each mode. The difference in mode is a distinction in the point of view from which the particular narrative segment is being told. Gerard Genette’s *Narrative Discourse* (1980) provides a helpful introduction to the two different modes, or moods, of narration which are found in some types of literature. Genette’s chapter on “Mood” describes the types of “mood” which relate to the point of view taken by the storyteller. The first type, “diegesis,” is “pure narrative” (1980:163). The story is told from the perspective of an outside narrator. The second is “mimesis,” a term taken from the dramatic performances of

the classical world. Plato is the first to describe mimesis, explaining that mimesis is narrating “as if the poet were someone else” (*Republic*, Book III in Genette 1980:166). Plato takes an example from Homer’s *Iliad* which is mimetic in mood and transforms it to a more diegetic style (which Plato preferred). The changes which Plato makes, Genette observes, include using fewer words (“condensation”), less repetition, less vivid descriptions, and less “picturesque” words (1980:163-165). The mimetic mode, explains Genette, tells a story from the perspective of one inside the narrative. The narrator is not present (1980:166); more details are given, and the story seems more “alive” (1980:164). In the diegetic mode, the narrator is more “distant” from his story. More indirect discourse is used, versus more direct quotations of speech and thought in mimesis (which would be more similar to the theater) (1980:163).

Integral to the understanding of the two modes is the concept of “focalization.” The common type of mimetic mode in which the narrator writes from the viewpoint of a character in the story, Genette terms “internal focalization” (1980:189). “Scene,” a designation used by the theater, may more accurately describe a mimetic episode; indeed, the major piece of literature upon which Genette focuses his description of narrative discourse is a French narrative (*A la recherche du temps perdu*, by Proust) made up mostly of “scenes” (1980:167). Some scenes in Proust’s work relate to events which happen once on the timeline, while other scenes are “iterative,” describing one time an event which actually happened a number of times to the character in focus (1980:166).

On the other hand, an episode characterized by “zero focalization” exhibits the point of view not of any character within the story, but rather the narrator who is outside the narrative (1980:189); this describes the diegetic mode.

Longacre’s description of peak features (noted in 2.2.1 above) includes a possible change in point of view at the peak (1996:46). Thus, if two different modes are found in the Scythian account, the peak in particular should be examined for modal type. As will be shown in Chapter 5, most of the peak section and the two peak prime segments are written in the mimetic mode, which is the more vivid, dramatic mode, and utilizes the internal perspective of someone inside the story.

Genette’s description of diegetic versus mimetic is picked up and developed by Bakker (1997), who relates the concept of the two modes to foregrounding and backgrounding in Greek narrative in the discussion below. The verb type used for

foregrounded clauses in the diegetic mode is a different type than the verb used for foregrounded mimetic clauses, as Bakker explains next.

#### 2.4.4 Verbal Aspect and Mode

The traditional view on the aspectual difference between two Greek verb tenses/aspects, the aorist and the imperfect, is that the aorist is typically a punctiliar past tense and the imperfect, typically a durative past tense. An event expressed by the aorist happens at a specific point of time, much like the simple past in English. It is generally believed that one major use of the imperfect is to describe durative action, in that the event occurred in the past for some period of time; this is comparable to the past progressive tense in English.

Bakker (1997) proposes a different view on aspect and foregrounding, questioning the aorist-punctiliar and the imperfect-durative distinction. His article focuses on a text by Thucydides, who authored *The History of the Peloponnesian War* about one generation after Herodotus' *Histories* was written. Bakker addresses the puzzling question of why parts of the narrative use the aorist tense for the foregrounded, plot-advancing event verbs (typical Band 1 narrative), but other narrative segments use the imperfect for the foreground.

Bakker details numerous examples of texts, both in Thucydides and other Greek writers including Herodotus, in which the aorist-punctiliar, imperfect-durative theory does not sufficiently explain the meaning of the verbs. A summary follows:

...a perspectival, 'modal' difference between the imperfect and the aorist may be posited. Whereas the latter [aorist] presents an event as relevant with respect to a given vantage point (usually, but not necessarily, a speaker's 'now, '), the former [imperfect] locates an event in the past. In narrative, this means that whereas imperfect verbs locate a chain of events in the past, an aorist may have the effect of taking the speaker (and the reader or hearer) out of that chain, into the present of the narrator and his communication with his readers or hearers (1997:26).

Bakker discusses Chafe's examination of discourse and consciousness and the distinction between two modes of consciousness: the immediate vs. the displaced mode (Chafe 1994:195-201 in Bakker 1997:17). For Ancient Greek, Bakker provides evidence that writers used the aspectual distinction to depict narrative in two different modes, often alternating between these two modes (at times even within

the same episode). In the mode of the “speaker,” termed “diegetic” by Bakker, the speaker is telling the story to the audience and giving factual information with reference to the speakers’ “now.” The diegetic mode is “near” with respect to the consciousness of the speaker and the audience who is listening to or reading the text. In this mode, writers used the aorist tense to foreground the “historical facts,” generally events in temporal sequence. The imperfect was used for backgrounded material such as explanations (1997:27, 29, 31-32).

In Bakker’s second mode, the “mimetic,” the writer in effect *walks into* the scene of the narrative, describing events as they occur from the perspective of an observer “on the spot” (1997:29, 37). The imperfective aspect, realized in the imperfect tense and imperfective participles and infinitives, is foregrounded and creates an effect that the audience, along with the speaker, is “far” into the past, into the narrative— “far” with reference to the current time of the storytelling (1997:37-43).

Bakker calls the mimetic mode “foregrounded description” (1997:29) or “discourse of the observer” (1997:37). The mimetic may be “told” by the writer from the perspective of the writer himself as if he were at the scene of the event— “not as the knower of facts but as an observing distal consciousness” (1997:29). Alternatively, the writer may relate the event from the viewpoint of one or a group of participants in the episode. Of the latter, Bakker gives the example of the lengthy paragraph in Thucydides’ History (Chapter 8.1-2) describing the shock and fear of the Athenians as they find out that their military was destroyed in a battle in Sicily (1997:29).

In the mimetic, the aorist provides backgrounded information in the form of events presupposed to have occurred before the time in which the mimetic scene is unfolding before the observer. At times the diegetic mode, portrayed by aorists, “intrudes” into the mimetic as an embedded segment, such as when the writer needs to give a parenthetical explanation in the middle of portraying the narrative in the mimetic mode (1997:43). An aorist is also employed for actions “that can only be observed *post factum*, or whose very nature lies in being ‘completed’” (1997:42). Bakker provides an example: in a mimetic discourse dominated by imperfective verbs, the aorist indicative *ανεθαρσησαν* [anetharsēsan] ‘they took courage’ is used (Thucydides Book 7 Chapter 71.3), since this event may only be viewed after it happens.

Bakker explains that the mimetic mode creates a vivid, descriptive, often dramatic effect (1997:7), vs. the “factual” perspective of the historian in the diegetic mode who gives “facts” and is “objective” (1997:34-35).

Examples are provided of both modes from a variety of ancient writers, but Bakker asserts that in Thucydides, the use of the mimetic reaches its height.

An important caveat, Bakker notes, is that the modes are not “mutually exclusive.” Although Bakker discusses the modal distinction and provides examples of the clear use of one or the other, he notes that “an in-depth analysis of longer stretches of Thucydidean narrative would reveal a more subtle interplay of “knowing” and “observing” than a mere differentiation of these two modalities in the form of the two modes would suggest” (1997:29).

Boedecker does not discuss the concept of verbal aspect or a specific view of mode, but she supports a view of Herodotus' *Histories* as vivid narrative, using the term “mimetic” to describe the narrative style of Herodotus (2002:106). Boedecker explains that *Histories* is similar to Homer's works in that it “not only records the results of past actions, but presents an imaginative, dramatic recreation of how and why the actions took place” (Fornara (1971) 35-6, Strasburger (1972) 38-9 in Boedecker 106). Examples of the mimetic style include speeches which show the intentions and personality of the participants and depiction of “non-verbal communication” such as “gestures, sounds, postures” (Boedecker 106).

Thus far, a distinction between two modes, the diegetic and the mimetic, have been described. Bakker (1997) has found that such a distinction exists in many Greek texts, and that the difference in mode correlates with a shift in the tense/aspect of verbs in a segment. Boedecker (2002) observes that *Histories* does have a “dramatic,” “mimetic” style in speeches and in the way that unspoken actions are described.

Bakker's description of the imperfect as a tense used for “far” storytelling is not generally used in traditional explanations of the imperfect tense; however, Campbell (2007), discussed below, attempts to reconcile the “far” sense and the imperfect aspect of this verb tense.

#### **2.4.5 Aspect in two Koiné Greek Analyses**

Campbell (2007) examines issues of interpretation of aspect in Koiné Greek narrative. In the chapter on the imperfect tense, Campbell seeks to combine the view of the imperfect as a “far” tense with its interpretation as an incomplete aspect. Campbell explains two features of the imperfect: imperfective aspect (described as the primary feature and function), and “spatial remoteness” (2007:84, 101). Its imperfective aspect allows it to be used for background information, which is the

main function of the imperfect. In addition, however, the imperfect is found together with the more common aorist on the mainline in Koiné texts (Band 1 in Longacre's 1999 analysis of Mark 5). On the mainline, its "remote" feature enables the imperfect to be used "in remote-perfective contexts," in order to "provide an imperfective contrast" with the aorist (2007:98).

Loney (2005), building upon the work of Bakker (1997) and other ancient and Koiné Greek researchers, explains the Koiné Greek text of Luke in terms of a diegetic-mimetic modal distinction. Loney explains that mimetic statements are placed strategically to contribute to the narrative structure as well as provide a "contrastive prominence" and a vividness or "*enargeia*" (2005:3, 8). Boundaries between segments of the book are generally marked by contrastive aorist verbs which provide facts and vivid, imperfective statements which bring the audience into the narrative. Loney calls these transition point clauses "cadences" (2005:18). Loney focuses on chapter four of Luke; the majority of the text is diegetic in mode, but diegetic and mimetic contrasts form transitions, and the mimetic mode frequently depicts the excited response of the crowd in the narrative.

#### **2.4.6 Application**

Bakker's description of foregrounded clauses as those which are "plot-advancing" (as per Dry 1981, 1983 and Kalmar 1982 in Bakker 1991) will be employed for the analysis of the storyline of the narrative.

A preliminary examination of the Scythian account revealed a plethora of both aorist and imperfective verbs to depict temporally ordered events. Thus, Bakker's (1997) presentation of a distinction in two modes, the diegetic and the mimetic, was explored as a possible explanation. As Chapter 5 shows, Bakker's theory fits well with the evidence of the verbal aspect distinction in the Scythian account.

Longacre's salience model (1996) provides a framework for developing a salience scheme in order to describe the foregrounding and types of backgrounding of the Scythian account in greater detail. Longacre's observation that the imperfect is generally a backgrounding tense in Koiné Greek does not entirely fit the Scythian text, since imperfects are frequently found in foregrounded, temporally sequenced clauses. The mimetic and diegetic analysis of Bakker (1997) is particularly relevant to the Scythian text and explains the reason for the foregrounded imperfects. Therefore, it seems that an appropriate salience model for the Scythian text must include two narrative salience schemes, the first for the diegetic mode (which fits

with Longacre's 1999b Koiné text analysis) and the second for the mimetic mode as described by Bakker (1997) and Loney (2005).

In determining the salience of participial preposed and postposed clauses, Longacre (1999b) and Levinsohn (2000) do not mention a relationship between the aspect of the participle and its foregrounding or backgrounding; the importance is its position relative to the main verb clause. Loney (2005) and Bakker (1997) consider the participle's aspect, whether perfective (aorist) or imperfective (present), essential to determining its foregrounding or backgrounding function and to interpreting the stylistic mode; generally, for Bakker and Loney, the imperfective participles combine with indicatives to provide foregrounding for mimetic mode segments, and perfective (aorist) participles contribute to foregrounding in diegetic mode segments. For the Scythian text, the position and the aspect of the participles are examined to understand the mode of a segment and to derive a general salience scheme. Initially, both preposed and postposed adverbial participles were considered as possible candidates for Band 1 (storyline), along with indicative verbs; however, analysis of each participle within context showed only one possible example of a Band 1 participle clause in the Scythian account. Further detail of the role of indicative verbs and participles in the salience schemes of the Scythian account are explained in Chapter 5.

Boedeker (2002) provides some evidence that *Histories* is presented in a vivid, mimetic style. The description by Genette (1980) of mimetic and diegetic modes details particular features to look for in the Scythian account to determine the presence or absence of a modal distinction. A mimetic "scene" will likely contain more direct discourse and word in general, and use greater vivid description and detail. Mimetic scenes may describe one-time events or repetitive, regular action. Episodes in the diegetic mode will be less descriptive, perhaps more concise, and convey a more distant point of view.

In addition, Bakker's (1991) inventory of possible functions of adverbial clauses gives a useful framework for understanding the role of such individual clauses in the Scythian text.

The explanation of Campbell (2007) offers a model for integrating to some extent the two contrasting views of the imperfect. Loney (2005) applies Bakker's theory to a newer Greek text. Loney's analysis of contrast in mode at transition points ("cadences") is useful for the examination of similar features in other Greek texts. The boundaries between segments of the Scythian account were found to also



contain interesting diegetic-mimetic clause sequences which in Chapter 5 are termed “mimetic action sentences.”

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