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MODEL OF COMMUNICATION ACT IN ART BY JU. M. LOTMAN.

In this article a genesis of Ju. M. Lotman's scientific approach to the model of communication act at perception of art work was analyzed. There were specified the factors which affected Lotman's deny from the semiotic model of communication act by R. O. Jakobson and his finding on polyglottical model of communication act. These changes in scientific approach of Juri Lotman were influenced by ideas of M. M. Bahtin: dialogism and polyphonism in communication act. Also, three communicative functions according to Lotman, which are present in any artistic text, were investigated in the article. At the end of the article an application of Lotman's polyglottical model in cinematograph was demonstrated on the example of «Kuleshov effect». Thereby, we point at applicability of Lotman's polyglottical model all over the art.

Key words: model of communication, dialogism, polyglottism, Kuleshov effect, Lotman.

Art plays an important role in life of the mankind. One of the strong sides of art is its effect on people. A communication act between an art work and a man perceiving it arises from the mentioned influence. The one of sciences which studies communication act is semiotics. Ju. M. Lotman defines the latter as a science on communication systems and signs which are used by people in the process of communication¹. Also, Juri Lotman defines art as a mean of communication connecting those who transmit a message with a person receiving it². In this article we will analyze a communication act at perception of art work on the basis of Lotman's scientific approach in various periods of his activity. As well, at article's ending we will demonstrate the way these all models are embedded in artistic text as in the art work on example of film text.

A communication act where sender, information and information recipient are present may be considered as semiotic model of communication act. In the first period of his activity Lotman while analyzing communication act in art and culture has used R.O. Jakobson's functional model of the act of communication 1960 (except Lotman's autocommunication which is not a subject of this article).

Jakobson's model was based on the model of information theory founder, a mathematician Claude Shannon (1916–2001), who in 1949 together with electronic engineer Warren Weaver (1894–1978) has published it in the small book «The Mathematical Theory of Communication»³. This model is called Shannon and Weaver information-coding model of communication. It must be admitted that it is relevant for transmission of technical information (signals). Hence, the main goal of Shannon and Weaver was a full transmission of undistorted information from the addresser (sender) to the addressee (recipient). At that it was possible to monitor qualitative features of message (information) transmission and identify the factors affecting transmission's quality.

R.O. Jakobson applied ideas of K. Shannon in linguistics and semiotics. In his article «Linguistic and poetics» (1960), he distinguished that six factors participate in verbal communication, which form his communication model: The ADDRESSER sends a MESSAGE to the ADDRESSEE. To be operative the message requires a CONTEXT or «referent» and to be graspable by the addressee, and either verbal or capable of being verbalized; a CODE fully, or at least partially, common to the addresser and addressee; a CONTACT, a physical channel and psychological connection between the addresser and the addressee, enabling both of them to enter and stay in communication (*text highlighted by author*)⁴. Fig. 1.

¹Лотман, Ю.М. (2000). *Люди и знаки. Семиосфера: Культура и взрыв; Внутри мыслящих миров; Статьи и Исследования; Заметки*. Санкт Петербург, 6.

²Lotman, Ju.M. (1977). *The Structure of the Artistic Text*. University of Michigan, Department of Slavic Languages and Literatures, 7.

³Shannon, C.E. & Weaver, W. (1949). *The Mathematical Theory of Communication*. University of Illinois Press.

⁴Jakobson, R. (1960). Closing Statement: Linguistics and Poetics. *Style in Language*, 353.

**Fig. 1.**

Jakobson stated that for each model's element «a specific function of language corresponds»¹. He indicated six functions: The EMOTIVE or «expressive» function; the CONATIVE function; The PHATIC function; The METALINGUAL (i.e., glossing) function; the POETIC function; the referential function (*text highlighted by author*)².

In the message, as a rule, several functions are apparent, which are interconnected in certain hierarchy and that is why verbal messages constitute an interaction of these functions with one of them dominating³. So, speaking about poetry, Jakobson defines dominant function depending on poetry genre: «The particularities of diverse poetic genres imply differently ranked participation of the other verbal functions along with the dominant poetic function. Epic poetry, focused on the third person, strongly involves the referential function of language; the lyric, oriented toward the first person, is intimately linked with the emotive function; poetry of the second person is imbued with the conative function and is either supplicatory or exhortative, depending on whether the first person is subordinated to the second one or the second to the first»⁴.

As was mentioned afore, according to Jakobson the sender (addresser) and receiver (addressee) of information must know and possess absolutely identical codes for occurrence of communication process. As far as, according to Jakobson, a code determines language, this means that these two participants of communication must know language-code (in synchrony) on which the information is transmitted. The purpose of such communication model is a reception by addressee of precise information sent by addresser in the same form as it was sent by addresser. Everything new deems as undesirable. That is why any change of original information at receive is determined as noise and disturbances, consequently it is undesirable.

As we mentioned before, Jakobson based his model on Shannon's model. Shannon's communication model was elaborated for technical transmission of information in one direction: from the addresser to the addressee. This feature is typical also for Jakobson's model: return communication is absent (even according to Lotman theoretically there is a possibility of complete return transfer of information from the receiver to the sender)⁵.

Yet, before Jakobson wrote the article «Linguistics and poetics» in 1960, Michael Bakhtin (1895–1975) has pointed on such particularity of communicative process as *dialogueness* explaining it on the example of Dostoevsky's works analysis, and called it as *polyphony*. As per Bakhtin, a word is oriented on interlocutor from certain social group. That is why an existence of abstract interlocutor is impossible, because it would not be possible to find a common language with such interlocutor⁶. Bakhtin stated that a word is a two-sides action expressing interrelation between the addresser and the addressee⁷. The most important feature of Bahtin's communication model is bidirection or dialogism, i.e. there is no addresser (speaker) if addressee (hearer) is absent⁸. Besides dialogism Bakhtin stressed that structure

¹ Jakobson, R. (1960). Closing Statement: Linguistics and Poetics. *Style in Language*, 353.

² Jakobson, R. (1960). Closing Statement: Linguistics and Poetics. *Style in Language*, 353-357.

³ Jakobson, R. (1960). Closing Statement: Linguistics and Poetics. *Style in Language*, 353.

⁴ Jakobson, R. (1960). Closing Statement: Linguistics and Poetics. *Style in Language*, 357.

⁵ Lotman, Ju.M. (1990). *Universe of the Mind: A Semiotic Theory of Culture*. London & New York, 14.

⁶ Voloshin, V.N. (1973). *Marxism and the Philosophy of Language*. Harvard University Press and the Academic Press Inc., 85.

⁷ Voloshin, V.N. (1973). *Marxism and the Philosophy of Language*. Harvard University Press and the Academic Press Inc., 86.

⁸ Voloshin, V.N. (1973). *Marxism and the Philosophy of Language*. Harvard University Press and the Academic Press Inc., 102-103.

of communication act totally determined by social situation and social environment where this communication occurs¹. Hence, the social event of verbal interaction realized by utterance and utterances makes a reality of language and speech. And this reality does not constitute an abstract system of «something», as structuralism insists². Consequently Bakhtin indicates that any statement obtains sense only in context, at precise time and in a specific place, because language lives in concrete and personal verbal communication³.

Speaking about communication act, Bakhtin introduces notion of the «*Reported Speech*». «Reported speech is speech within speech, utterance within utterance, and at the same time also *speech about speech, utterance about utterance*»⁴ (according to Lotman this is «The text within the text»).

Dialogism (dialogical relations including speaker's treatment of his own word⁵) Bakhtin also investigated in the work on Dostoevsky and introduced a notion «metalinguistics» for its studying, as far as for him dialogical relations are out-linguistic. Herewith, these relations anyway cannot be extracted from domain of the word, i.e. from the language as specific comprehensive phenomenon. Language exists only at dialogical communication of persons using this language, that is why a dialogical communication is an original area of language life. So, analyzing Dostoevsky's novels, Bahtin characterized them as «polyphonical»⁶.

In spite of Bakhtin's negative attitude to structural-semiotic approach as such, it makes a significant impact (direct and indirect) on Ju.M. Lotman. Peter Grzybek in his article «Bakhtin's semiotic and Moscow-Tartu school» (1995) defines the concept of Bahtin's semiotic, namely of the notions «code», «text», «utterance» and compare them with the same notions at representatives of Moscow-Tartu Semiotic School, specifically in Lotman's views as founder and chairman of this school. By this comparison German researcher demonstrates evolution of mentioned notions at Ju.M. Lotman interpretation, notably their approximation to Bakhtin's comprehension⁷. The author of the article also quoted Lotman's direct letter to Bakhtin: «No «monologic» (Le. monoglot) apparatus could produce messages that are in principle new (thoughts), i.e. could be called a thinking apparatus. A thinking apparatus must have in principle (in the minimal schema) a dialogic (bilingual) structure. This deduction, incidentally, gives new meaning to the prophetic ideas of M.M. Bakhtin about the structure of dialogic texts⁸«. Here, we may conclude that main Bakhtin's influence on Lotman resulted on understanding that in communication act (as well as in artistic text) it is important to have at least two languages in act structure for creation of new meaning.

Avtonomova N.S. speaking about Lotman's attitude towards Bakhtin stated that Lotman had a different from Bakhtin understanding of dialogue, however bakhtin's ideas served as impetus for development of lotman's ideas. Speaking about polyglottism in communication act, Lotman suggested on cultural codes, but not on Bakhtin's «voices»¹⁰.

Juri Lotman himself also made a statement on importance of Bakhtin's ideas for semiotics. It is about his report «Bakhtin's heritage and actual problems of semiotics». In the report Lotman compares Bakhtin's method with concepts of F. de Saussure and points at two important distinctions: 1) dynamic vision of signal systems by Bakhtin in contrast to «statical» vision by Swiss linguist; 2) Bakhtin opposes an idea on dialogism to previous «monological» concepts¹¹. Here Lotman answers to bakhtin's comprehension

¹ Voloshin, V.N. (1973). *Marxism and the Philosophy of Language*. Harvard University Press and the Academic Press Inc., 85.

² Voloshin, V.N. (1973). *Marxism and the Philosophy of Language*. Harvard University Press and the Academic Press Inc., 94.

³ Voloshin, V.N. (1973). *Marxism and the Philosophy of Language*. Harvard University Press and the Academic Press Inc., 94.

⁴ Voloshin, V.N. (1973). *Marxism and the Philosophy of Language*. Harvard University Press and the Academic Press Inc., 115.

⁵ Bakhtin, M.M. (1984). *Problems of Dostoevsky's Poetics*. University of Minnesota Press, Minneapolis, 182.

⁶ Bakhtin, M.M. (1984). *Problems of Dostoevsky's Poetics*, University of Minnesota Press, Minneapolis, 6.

⁷ Гржибек, П. (1995). *Бахтинская семиотика и Московско-Тартуская школа*. Лотмановский сборник 1. Москва, 247–248.

⁸ Lotman, Ju.M. (1979). *Culture as collective intellect and the problems of artificial intelligence*. O'Toole, Oxford: Holdan Books, 94.

⁹ Гржибек, П. (1995). *Бахтинская семиотика и Московско-Тартуская школа*. Лотмановский сборник 1. Москва, 249–250.

¹⁰ Автономова, Н.С. (2009). *Открытая структура: Якобсон – Бахтин – Лотман – Гаспаров*. Москва, 23

¹¹ Lotman, Ju.M. (1984). *Bachtin — sein Erbe und aktuelle Probleme der Semiotik*. Jena, Friedrich-Schiller-Universität, 33.

of «dialogue» and provides his own interpretation of such: «Now we know how to define a notion «dialogue» as a method of information transmission between different coding systems. <...> Dialogue precedes language, but not language precedes dialogue. There is a situation where two persons are interested in exchange and so language appears. <...> We have a complicated semiotic situation with double transmission, with key commitment to outsider word, with intention to include foreign word in own language and by doing so to create a possibility of dialogue. <...> [Dialogue is – *M.K.*] a mechanism of new information adoption. This is the information, which has not been yet present before dialogical contact start, but appeared during it»¹. Notably, dialogism leads to the creation of new meaning in the message.

Starting from Bakhtin's «dialogism» Lotman arrives at a postulate on the «necessity for culture of two and more languages supplementing each other: verbal and figurative languages, of literature and theatre, literature and cinema, etc. One of the greatest psychophysiological discoveries of XX century on identification of distinctions between functions of two cerebral hemispheres is also included in this conclusion»².

In the middle of 1970 Lotman slowly budge from Jakobson's model, considering as we mentioned above, that it explains ideal (abstract) variant of communication act when speaker and hearer possess absolutely identical codes in equal measures and at that there is no place for misunderstanding between them which is treated as undesirable and appears in result of noises and disturbances. In contrary, Lotman evaluates such as a source for creative initiative (creation of new texts-messages). Speaking about Jakobson's model, Lotman arrives at conclusion that this model does not perform the main task of communication (specifically in art) – *creation of new texts-messages*³. Juri Lotman sees in this an essence of communication act. For its realization, in Lotman's opinion, «intersection of language space of the speaker and hearer» is required, and he shows this by graphical display, Fig. 2.

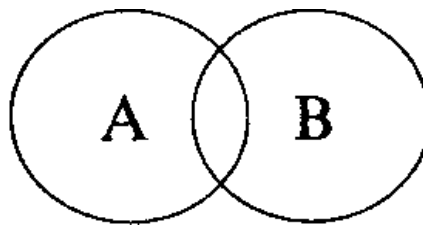


Fig. 2.

«In a situation where there is no intersection, communication appears to be impossible, whilst a full intersection (where A and B are deemed identical) renders communication insipid. Thus, whilst a specific intersection between these spaces is admitted, at the same time an intersection between two contradictory tendencies appears: the struggle to facilitate understanding, which will always attempt to extend the area of the intersection, and the struggle to amplify the value of the communication, which is linked to the tendency of maximally amplifying the difference between A and B. <...> It appears that the value of dialogue is linked not to the intersecting part, but to the transfer of information between non-intersecting parts. This places us face-to-face with an insoluble contradiction: we are interested in communication in the very sphere which complicates communication and, in actual fact, renders it impossible. Moreover, the more difficult and inadequate the translation of one non-intersecting part of the space into the language of the other, the more valuable, in informative and social terms, the fact of this paradoxical communication becomes. You could say that the translation of the untranslatable may in turn become the carrier of information of the highest value»⁴.

Processes of communication themselves Lotman understands as a process of text translation from the language of speaker to the language of hearer, which are, usually, not identical, but have a lot

¹Lotman, Ju.M. (1984). *Bachtin — sein Erbe und aktuelle Probleme der Semiotik*, Jena, Friedrich-Schiller-Universität, 37-38.

²Егоров, Б.Ф. (1999). *Жизнь и творчество Ю.М. Лотмана*. Приложение 1: Бахтин и Лотман. Москва, 246-247.

³Lotman, Ju.M. (1979). *Culture as collective intellect and the problems of artificial intelligence*. O'Toole, Oxford: Holdan Books, 86-87.

⁴Lotman, Ju.M. (2009). *Culture and Explosion*. (Semiotics, Communication and Cognition 1.) Berlin–New York, 5-6.

in common: «The very possibility of such a translation is determined by the fact that the codes of both participants in the communication, although not identical, form intersecting sets»¹.

As a result in the process of communication act a new text is created which is different from the original one (speaker's). New text Lotman determines as follows: «A new text we understand to be a message that does not coincide with an initial text, and which cannot be automatically deduced from it»². In such a way, speaking about act of art communication at the art work perception, Lotman points on the necessity of the following «...the author's code and the reader's code must form intersecting sets of structural elements. For example, the natural language in which the text is written must be comprehensible to the reader. Non-intersecting parts of the code form that province which is distorted, creolized, or by any other method reorganized in the passage from writer to reader»³. By this virtue, a new meaning is created, which is especially typical for artistic text.

Following all afore mentioned on communication act in art, we may conclude that Lotman's polyglottical model of communication act is more relevant for description of communication in art, than Jakobson's model. However, in semiotics it is generally accepted that art works communicate according to Jakobson's model. It is not correct, in our opinion, because Jakobson's model is not able to transmit a key communicative importance of art which is a creation of new meanings (senses), as Ju.M. Lotman established. Along with this, Lotman reserves certain space for Jakobson's model in communication act of art work (artistic text) perception. For instance, in the article «Three functions of the text» (1986), Juri Lotman determined three functions exerted in any artistic text: 1) transmission of constant information which corresponds to Jakobson's model; 2) generation of new senses – creative function which corresponds to polyglottical model of Lotman; 3) memory function which also may be called as cultural tradition; this function is necessary for previous function, namely generation of new senses⁴, and has a polyglottical structure⁵.

Last two functions are principal in artistic text. Also Lotman indicates that the first function basically has a possibility of return transmission of received message from receiver (addressee) to sender (addresser). This message will contain original view as at the delivery from addresser to addressee. The second function has no ability of return transmission at all, because created in the result new sense of message is not contained in the sent by addresser original message.

Here we would like to demonstrate an action of Lotman's second function at the creation of motion sense during sticking of two frames at the so called «Kuleshov effect». According to Lotman a frame is a minimal element of motion language (as a word in language). If we would take two frames and montage (stick) them together, we will get a new meaning which was absent either in the first, or in the second frames separately. Juri Lotman defines such montage effect as «the lowest level» of narrative⁶. This new motion meaning is a «Kuleshov effect», which was described for the first time by Lew Kuleshov in the book «Art of cinema/ (My experience)» in 1929⁷. At the beginning he filmed actor Mozhukhin, a plate of a soup, a child in coffin and a young lady laying on the sofa. After that he made three cuts: 1) actor + a plate of a soup = a hero is hungry and admire about food (plate of soup); 2) actor + child in coffin = a hero is sadden by child death; 3) actor + young lady laying on the sofa = a hero thinks about woman (see Fig. 3).

The meaning obtained at combination of two frames may not be transformed back in the same frames, it created as a new one and does not exist in combined frames. In his book «Dialogue with screen» (1994) Lotman describes Kuleshov effect defining the connection between combined (adhered) frames as *dialogue*⁸. As we have already mentioned afore, the dialogue is a necessary precondition for Lotman's

¹ Lotman, Ju.M. (1979). *Culture as collective intellect and the problems of artificial intelligence*. O'Toole, Oxford: Holdan Books, 91.

² Lotman, Ju.M. (1979). *Culture as collective intellect and the problems of artificial intelligence*. O'Toole, Oxford: Holdan Books, 86.

³ Lotman, Ju.M. (1977). *The Structure of the Artistic Text*. University of Michigan, Department of Slavic Languages and Literatures, 25.

⁴ Lotman, Ju.M. (1990). *Universe of the Mind: A Semiotic Theory of Culture*. London & New York, 18.

⁵ Lotman, Ju.M. (1979). *Culture as collective intellect and the problems of artificial intelligence*. O'Toole, Oxford: Holdan Books, 95.

⁶ Лотман, Ю.М., Цивьян, Ю.Г. (2014). *Диалог с экраном*. Арго, Таллинн, 201.

⁷ Kuleshov, L.V. (1974). *Art of The Cinema. Kuleshov on Film: Writings of Lev Kuleshov*. University of California Press, 55-56.

⁸ Лотман, Ю.М., Цивьян, Ю.Г. (2014). *Диалог с экраном*, Арго, Таллинн, 135-136.

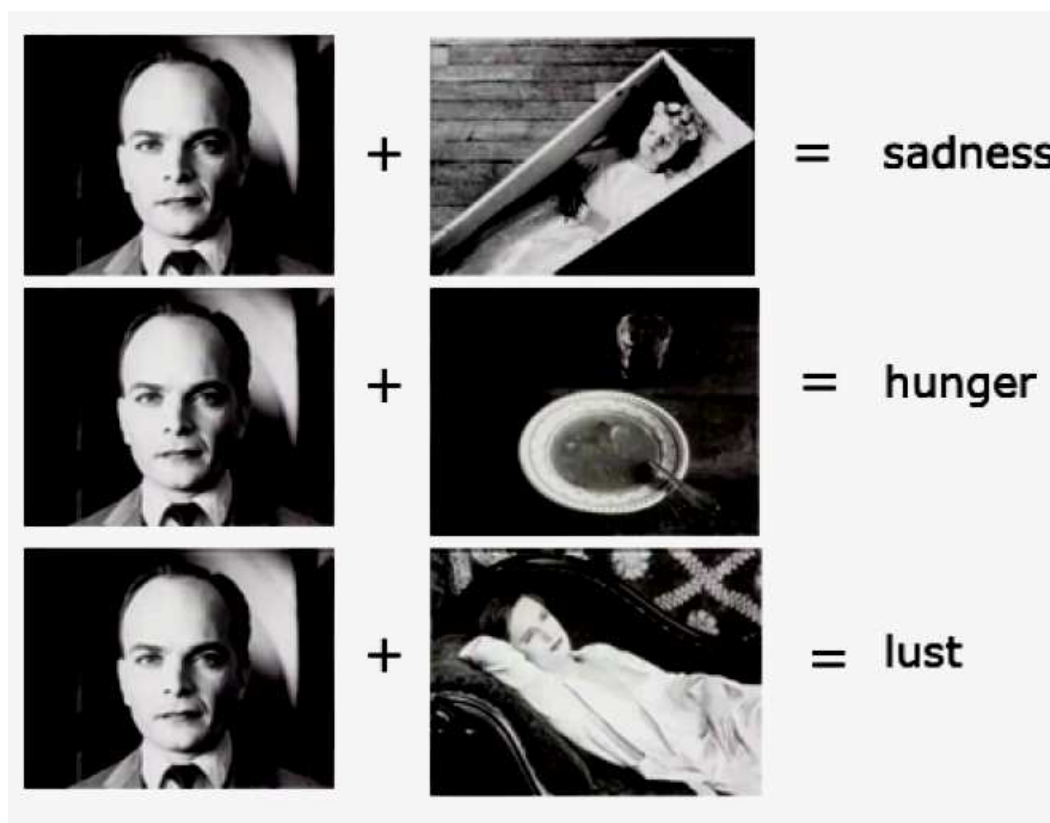


Fig. 3.

polyglottical communication model. Creation of new meaning at sticking of two frames (montage) is an essence of Kuleshov effect. Following the before said we may conclude that dialogical form of communication exists in motion meaning, film editing, movie, as well as in all art, and it operates on the basis of Lotman's semiotic polyglottical communication model, which expresses the sense of communication act in art, namely *a creation of new meaning at art work perception*.

Jakobson's communication model which Lotman did not deny at artistic text perception, but considered it as missing to express an art sense, is also present in Kuleshov effect. Jakobson's model as the first function of Lotman is observed at transmission of external factors of filming object: external features of actor's face, of laying lady, of the plate with soup, of the coffin with a child, etc. External factors of objects itself are not changed at montage and information on them is contained in adhering frames. This function in the motion text we will call as photographic. If theoretically we would transform received by us photographic motion message from one frame to a tangible medium, at the result we will get an original film image sent to us by moviemaker which corresponds to the Jakobson's model. Photographic function of the film image creates an illusion of screen film world reality. At that Lotman states that this function created many complications for establishment of cinema and art¹. However, this is already a subject for another our article.

Hence, a specific feature of communication in art is a creation of new senses which demands dialogism in the structure of artistic text. This feature is typical for all types of communication acts researched by Lotman: autocommunication; canonic and non-canonic text; discrete and nondiscrete languages in one artistic text, asymmetry in communication. Through the dialogism Lotman reached to mythologism in artistic text which is considered by him as a type of nondiscrete text. Principle of dialogism brings Lotman to the top of scientific idea: a creation of semiosphere where peripheral processes are in dialogue with central (core) processes of culture and society. On the basis of dialogical principle also built up a model of ternary structure of society, on which all western civilizations are grounded nowadays, and Lotman thoroughly analyzed this model. Consequently, it may safely be said that starting from 1970 dialogism became a core principle in Ju.M. Lotman's scientific approach. We may observe that one

¹ Lotman, Ju.M. (1976). *Semiotics of Cinema*. University of Michigan Press, 15-16.

of the first sources of dialogical principle of Juri Lotman is his dialectic approach to the research of structure which he introduced in the soviet semiotics¹.

As well dialogism enables certain structure or science to broad its boundaries or sometimes even completely dissolve them, which leads to new paradigm in art or world view, for instance – to postmodernism and further to proteism which shows current condition of human society and world view².

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¹ Lotman Ju.M. (1977). *The Structure of the Artistic Text*. University of Michigan, Department of Slavic Languages and Literatures, 190-194.

² Эпштейн М. (2004). *Знак пробела: О будущем гуманитарных наук*. Москва.