

# ALLUSION IN A NUTSHELL

---

Dr Audrius Valotka  
Vilnius University  
Faculty of Philology  
Department of Lithuanian Language  
[audrius.valotka@flf.vu.lt](mailto:audrius.valotka@flf.vu.lt)

**Keywords:** *intertextuality, allusion.*

## Problem statement

When it comes to an object which is a part of a wider group, we designate one place or another in a hierarchical and horizontal setup of that group. But every new generation of researchers, taking a critical approach, rearranges that intellectual heritage and redraws the boundaries by prioritising one type of realias and their definitions and marginalising others. In his article “La rhétorique restreinte”, French literary theorist Gerard Genette overviews a shrinking of the “territory” of rhetoric from Antiquity to the 20th century. The author, with a touch of irony, mocks the title of the notable work “Rhétorique générale” by the [Groupe μ](#) which, indeed, covers only a small fragment – a chapter on rhetorical figures. Aristotle’s Rhetoric, as pointedly observed by Genette, did not claim the right to be called “general”, although it was just that. Contraction of an object of rhetoric from a classical canon to scrupulous cataloguing of figures was followed by, according to Genette, the competition among the terms of metaphors, metonymies and synecdoches which was finally, without reservation, triumphed over by the metaphor which devoured its “rivals” and became a “trope of the tropes”.

Similar processes, it seems, take place in the domain of intertextuality in which allusion, in its own way, competes against its neighbours – reference, indication, updated phraseology – by sometimes even claiming its rights to becoming a synonym to intertext.

## Perception of allusion in a scientific discourse

The question “What is allusion?” may, at first sight, seem redundant. We have known for a long time that allusion is a “saying reminding of a well-known fact”<sup>1</sup>, “one of stylistic figures: a hint at a well-known historical event or literary work, for example, “Herostratic fame”, “crossing the

---

<sup>1</sup> Soviet Lithuanian Encyclopedia, I, 158. Mokslas, 1974.

Rubicon”, “Veni, vidi, vici”<sup>2</sup>, “saying one thing in a way reminding of another thing”<sup>3</sup>, “covert, implied, or indirect reference”<sup>4</sup>. Specialised or subsequent encyclopaedias set out the structure of allusion in more detail by defining it as an “involvement of recognisable elements from the other source”<sup>5</sup>. Allusions<sup>6</sup> have, as the tropes, always been the focus of a rhetoric and literary discourse (here we mean a domain whose search in “Google Scholar” gives some 388,000 links for the word “allusion” alone!), yet there are few publications intended for them. It is not by chance that William Irwin, in his article “The Aesthetics of Allusion” (Irwin 2002), feels that there is a dearth of scientific literature on allusions, in particular, the works on the theory of allusion. Let alone the scientific harvest of Lithuanian scholars, which gives a thousand times fewer links by the very same Google Scholar, yet we still have zero publications on the theoretical analysis of allusions.

In Lithuania, the allusions have been studied from multiple perspectives by Regina Koženiauskienė, Silvija Papaurėlytė-Klovienė, Irena Smetonienė, Aurelija Leonavičienė, Irena Ragaišienė, and some other authors (see the list of references).

In the comprehensive monography *Rhetoric: stylistics of eloquence* by R. Koženiauskienė (Koženiauskienė 1999), the allusion had not been associated with intertextuality yet and it had been interpreted in this context: there are three types of a text – a story, description and reasoning, whereas the allusion is one of particular subtypes of a story, ways of conveying an idea which complement the conventional typology (Koženiauskienė 1999, 155), which falls under the same category as an anecdote, a digression, recollection, conversation, and dialogism<sup>7</sup>. “Allusion <...> is a distinctive form of recollection. It is a reference to an expression by a well-known author, a catchphrase, line from a poem, quote of the wisdom of the Bible, psalm, prayer or antiquity authors, event, or image <...> it may partially contain certain elements of free citation” (Koženiauskienė 1999, 158). Years later, the study *Rhetorical and Stylistic Analysis of Publicist Texts* by R. Koženiauskienė (Koženiauskienė 2013) described the allusions in the context of intertextuality<sup>8</sup> and defined them as a “saying reminding of any famous saying, work, idea, fact, or event”.

---

<sup>2</sup> Краткая литературная энциклопедия, I, 161, Москва, Советская энциклопедия, 1962.

<sup>3</sup> “Façon de parler qui consiste a dire une chose pour en evoker une autre, eveiller l’idée d’une autre”, 1980 edition “Dictionnaire alphabétique et analogique de la langue française” (Le Robert).

<sup>4</sup> “Covert, implied, or indirect reference”, Oxford English Dictionary.

<sup>5</sup> The New Princeton Encyclopedia of Poetry and Poetics, 1993. Orig. “a brief reference, explicit or indirect, to a person, place, or event, or to another literary work or passage” (M. H. Abrams, *A Glossary of Literary Terms*, cit. from Irwin, 288).

<sup>6</sup> Allusion is not merely an object of literary, linguistic or rhetorical research. This phenomenon is so far-reaching that we need to draw the boundaries of its perception and analysis. The concept of intertextuality, suggested by J. Kristeva, which, in time, became so abundant and inclusive that J. Kristeva herself replaced it with the term of transposition, is therefore not discussed here (since this term has been frequently understood in the banal sense of “source criticism”, we now prefer in its place the term *transposition*. – Julia Kristeva, *La Révolution du langage poétique: l’avant-garde à la fin du XIX siècle: Lautréamont et Mallarmé*, 1974. Cit. from Pucci, 3). We are referring to a local phenomenon of the text, a fragment (with certain reservation which will be referred to later in the article) which connects the target text with the earlier text (phenomenon). We look at intertextuality from the linguistic perspective, i.e. we treat it as a reasonable and conscious process prone to a rhetorical analysis rather than an unconscious revelation of collective subconsciousness.

<sup>7</sup> The author later makes reservation that the allusion is a completely autonomous way of conveying ideas and it can be inserted in all types of the texts (Koženiauskienė 1999, 178).

<sup>8</sup> “Intertextuality means the elements of the content or form of the other authors, other texts used in the author’s text” (Koženiauskienė 2013, 60).

Rūta Marcinkevičienė defines the allusion as an encoded message which needs background knowledge to understand it (Marcinkevičienė, 73).

Eloquent definitions are appropriate for encyclopaedias, but when confronted with extensive research material they often raise more questions than give answers, therefore one more way to define an object is employed – presenting it as an element of a classification whose members are A, B, C <...> Z. The member N, then, can be defined by a process of ruling out: “N is not A, not B, not C...”<sup>9</sup>. In the scientific discourse, the allusion is always perceived as a member of a group of intertexts, for example, R. Koženiauskienė comes up with the following nomenclature of intertexts: a) quotations, b) direct speech, c) indirect speech, d) quasi-direct discourse, e) quasi-dialogue, f) paraphrase, g) updating phraseology, h) parody, i) indication (mention), j) allusion to a known text, k) reference<sup>10</sup>. In that group, the allusion will not be a quotation, not direct speech, not a paraphrase, not parody..., but something that remains having eliminated all the other members of the group of intertexts. Thus, if we know what the intertext, quotation, direct speech, etc. is, we should, ideally, know what the allusion is at the end of the said process of exclusion.

But this is only one of the plausible classifications. Rūta Marcinkevičienė classifies the intertexts differently: a) quotation, b) paraphrase, c) free reported speech, d) mention/indication, e) allusion<sup>11</sup>.

The foreign literature contains the different division of the intertexts, let us say, in the classification by G. Roux-Faucard, the allusion is one of the four manifestations of intertextuality: a) *citation* (literal, clearly marked borrowing of the text), b) *reference* (liberal, i.e. non-literal, borrowing with a reference), c) allusion (liberal, unmarked borrowing), d) literal borrowing of a part of the text without referring to the source text (Roux-Faucard, 2006:102-103)<sup>12</sup>. That division may be illustrated by a matrix:

	Marked (with a reference)	Unmarked (without a reference)
Literal	<b>Quotation</b>	<b>Literal borrowing</b>
Liberal (rephrased)	<b>Reference</b>	<b>Allusion</b>

Thus, the uniform classification of the intertexts does not exist, which means that their form is perceived differently as new classification entails yet different “demarcation lines” of the same form.

This problem does not go unnoticed: “[T]he cases of unmarked intertextuality are more difficult to identify and distinguish from one another, as it is sometimes impossible to see and clearly define the boundaries between the authorial and non-authorial speech, between a brief anonymous quotation and its paraphrase or perhaps simply an allusion or reference running through the reader’s mind” (Koženiauskienė 2013, 61), and: “It is difficult to understand, at times, if it is truly a reference: for instance, where it is only a syntactic structure of a saying that concords, whereas the content is completely different.” (Koženiauskienė 2013).

<sup>9</sup> Cf. “Tuesday – a day of the week which is not Monday, not Wednesday ... not Sunday”.

<sup>10</sup> Koženiauskienė 2013, 60-61.

<sup>11</sup> Marcinkevičienė 2008, 73.

<sup>12</sup> Roux-Faucard G., 2006. Intertextualité et traduction. *Meta*, 51,1, 98-118. Cit. from Leonavičienė 2013, 99.

A similar dispersion of the terms is encountered not only in Lithuania, since, as observed by Gregory Machacek, “a number of critics find intertextuality as a synonym for allusion”<sup>13</sup>. Expansion of the meaning of allusion and its (partial) identification with a concept of intertextuality comes from the English-speaking world. “. For example, the entry of the term “agitprop” in the dictionary *Merriam-Webster’s dictionary of allusions* begins as follows: **agitprop** *Political propaganda, and, more specifically, propaganda spread by means of literature, drama, music, or art* and is illustrated by the following example: *Bertha refused to obey any of the rules. She was a true believer, and literature, for her, was about refusing all categories. She could no more write agitprop than she could give up women and start raising rug-rats for some macho stud.* The example given in a Lithuanian literary tradition would surely not be an allusion, in fact, it would hardly fall under a category of intertextual figures.

Varying definitions of intertexts lead to differences in interpretations and confusions. In her article “Strategies for the interpretation of intertextuality in the European Parliament”, Neringa Terleckaitė defines the allusion as a “reference or indication to certain realias, events, persons and actions” (Terleckaitė, 45). No, that is not an allusion, as it misses the fundamental feature – a reference must be indirect, covert. Perhaps this is the turning point leading to a misinterpreted specific material: the collocation “European road” in the sentence “The Eastern Partnership countries, despite the complicated situation and economic and political pressure from Russia, prefer the European road which is currently more difficult but, in the long run, more stable both economically and politically” is treated as an allusion.<sup>14</sup> Is it truly an allusion? We would think not, as what is the second obligatory element of the allusion then – the text *in absentia* (the *precedent text* in the author’s text) that the covert reference leads to? That could possibly be a lexicalised allusion (cf. *good Samaritan, French disease*), but only in the case where the relations of that collocation with the text *in absentia* had diminished or completely languished. Another example “Poverty and social exclusion is a complete **eyesore**” (Terleckaitė, 48) from the same article cannot be called an allusion as well.

One more example: A. Leonavičienė defines the text “Wake up and pray: Father, no longer ours, do not give us this day our daily bread – give us cake” a “modified allusion” (Leonavičienė 101). R. Koženiauskienė describes this kind of modification in the chapter *Paraphrasing (updating, modifying) the novel titles, lines of the Holy Scriptures and poetry, verses of the songs, catchphrases, proverbs and sayings*: “The Lithuanian folksong “Oh brothers, saddle your steeds...” is originally adapted to the television: *Oh agents, saddle the tarantula* <...>. Only the word *saddle* remained from the song lyrics, but the syntax, word order and even the place of the address are as in the original, the modification is therefore recognisable.” (Koženiauskienė 2013, 76). Hence, what is called updating phraseology by R. Koženiauskienė is seen as the allusion by A. Leonavičienė.

How should this problem – varying perception of allusion – be addressed? The attempt to copy the definitions of allusion applied in the foreign citations could hardly be successful not only because it likewise lacks the uniform opinion, but also because there is a steady nomenclature of intertexts in Lithuania which differs from both the Anglo-Saxon and Russian ones. It is therefore time to bring a broader **description, a model** of the allusion that would encompass the essential

---

<sup>13</sup> Machacek 2007, 523.

<sup>14</sup> Terleckaitė 2015, 45.

features of allusion and would entrench clearer boundaries between the allusion and its neighbours. Allusion is a wide and complex domain, as are the tropes, for which reason we will not insist on suggesting the answers and will leave room for discussion.

### Structure of allusion

a) A **binary structure** is a fundamental feature of an allusion as its existence is grounded on two texts: one of them is expressly presented in the author's work, the other one is covert and the reader needs to presuppose it. The first text is called the text *in praesentia*, the second is the text<sup>15</sup> *in absentia* (synonyms – *activated text*, *revived text*, *text-donor*, *source*, *referent*, *referent text*, *precedent text*, *object of allusion*, etc.).

The text *in absentia* is always the earlier text as the allusion is a form of recollection, and we remember things that already happened. A diachronic aspect of the allusive connection is so obvious that it has been largely overlooked, except for two mentions that we discovered. The first one is W. Irwin's exclamation that "only a divine author, outside of time, would seem capable of alluding to a later text" (Irwin 2001, footnote 22) and that Shakespeare alludes to the Bible but the Bible does not contain allusions to Shakespeare. The second case is an exotic interpretation by Jason Holt stating that the question "Do you know that in about thirty-five years more we'll be dead?" put in the mouth of the character, treated as the authors' stand-in, in Ernest Hemingway's novel *The Sun Also Rises* is Hemingway's covert reference to his suicide in 1961. Allusions to the future texts are called *ex ante* allusions by H. Holt as the opposition to the conventional *post facto* allusions. In our view, the allusive references to the texts which are non-existent at the time of a creative act (we could call them the texts *in posteritatem* or *in spe*) are only possible in vague prophecies, but we will surely refrain from such risky contemplations.

A number of citations define allusion as a reference possessing certain properties, but we specifically emphasize that the object of the definition of the allusion is the *text* as the standards of terminology do indicate that the intensional definitions<sup>16</sup> must state the intension of a superordinate concept which in turn shows which system of the concepts the given superordinate concept is attributed to. The allusion is a part of the following hierarchy (other alternatives are also plausible):

***Texts***

***Intertexts***

***Allusions***

***Local allusions vs structural allusions***

That is why the correct definition of allusion should contain the hyperonym *intertext* or *text*, for example:

***Allusion – intertext [whose properties are x, y, z].***

<sup>15</sup> In this context, the text is used in a broader sense: "phenomenon", "fact", "extratextual source".

<sup>16</sup> Intensional definitions describe the intension of a concept by stating the superordinate concept and the delimiting characteristic(s).

Perception of the allusion as a text but not a reference fully correlates with the definitions of some other intertexts, for example, the authors always define the quotation as an “element of the text”. Direct speech, according to R. Koženiauskienė, is the “use of the exact words” (Koženiauskienė 2013, 64), thus, the same applies to the text element, whereas updating phraseology means the “insert of the text” (Koženiauskienė 2013, 72). Once we understand that an allusion is a text, we can construct the instrumental definition of allusion which reveals the algorithm of the phenomenon in question and analysis. For the sake of comparison, when a trope is defined as a “word used in a figurative sense<sup>17</sup>”, a researcher referring to that definition will act as follows: a) will look for the text elements which he or she calls the words, and b) will look into their meanings, and c) word correlations. But when the allusion is defined as a reference having certain characteristics, we are forced to begin the analysis with the second stage of the algorithm – search for the reference – instead of the discovery of the text fragment *in praesentia*.

When we consider the co-existence of two texts as a prerequisite for intertextuality, we can no longer include the polyglossia – quasi-direct speech, quasi-dialogue – in this field.

b) **The text *in praesentia* is unmarked.** The unmarkedness of the allusion is obvious, the term *marked allusion* would be an oxymoron as in the *open secret*.

The contraposition of markedness/unmarkedness is not that simple as it may seem, since it creates confusion in the conventional classification of intertexts. As is correctly noted by R. Koženiauskienė, it is sometimes difficult to establish the boundaries between a short anonymous quotation and allusion (Koženiauskienė 2013, 71). We support that view and believe that the anonymous quotation is, in its nature, closer to the allusion than to a classical or undocumented quotation. The anonymous quotations, which is a nightmare for honest translators, are probably most common in the Anglo-Saxon novels as graphically unmarked quotations from the Bible which the reader notices in the text, therefore the quotation, as the allusion, is the author’s test to the reader which can be properly passed only when the reader’s background knowledge is concurrent with the knowledge of the author. This means that the only difference between the anonymous quotation and allusion is that the allusion is a *modified* fragment of the text *in absentia*, and the anonymous quotation is not. But if we presume that the context of the text *in praesentia* surrounding the anonymous quotation is a transformant *per se* (see below), the number of differences between the two forms of the intertext in question decreases even further. For example, one of the paragraphs of “Imaginary Astronomies” by U. Eco ends like this: “In other words, the specter evoked by some scribe inclined to forgery (a highly respectable literary genre at the time) was used as an excuse for expanding the Christian world toward Africa and Asia, a friendly gesture in supporting the white man’s burden”<sup>18</sup>. It is obvious that U. Eco, with the last three words of that quotation, was referring to the poem *The White Man’s Burden* by R. Kipling. Is this element of the text an anonymous quotation or an allusion? We may think that the quotation is an exact extract of one text in the other text, and the reader is well capable of distinguishing the author’s text from the other text. But let us have another look at the extract and we will see that those three words are not just a copied segment, it is rather a way of unearthing the whole of a gigantic cultural, philosophical

---

<sup>17</sup> Pikčilingis 2010, 425.

<sup>18</sup> Eco 2011, 239.

and historical context that revolves around R. Kipling's work and merging it with U. Eco's thoughts. Furthermore, if U. Eco had decided to bluntly quote R. Kipling and had separated the words with quotation marks, the quotation would have had a sarcastic sound to it.

In addition, if we then consider that the allusion is often perceived as a riddle, as an intellectual task for the reader, the anonymous quotation, in that respect, is even more demanding as the recognition of the allusion and its adequate interpretation are grounded on common background knowledge of the author and reader, on the unity of the tradition, whereas the anonymous quotation requires much more – the exact knowledge of the text fragment and the memory of it.

c) **The text *in praesentia* contains a covert (indirect, implied) reference to the text *in absentia*.** The presence of the covert reference to the other text is the main distinctive feature of the allusion. The author does not veil the reference to the extent that it confuses the reader, only that it evokes the thoughts on such a possibility.

The allusive reference is sometimes described as “evoking associations”, thus it becomes an “associative reference”. The revelation of the psychological mechanism of allusion is interesting alongside the descriptions that an allusion is a “particular form of recollection”<sup>19</sup>, “reading the tradition” and “nostalgia for the lost events” (Stewart 1980, 1128), nevertheless, those could hardly be considered the distinctive features of the allusion.

If the allusive reference must be indirect and covert, it is worth considering whether the metacomments provided by the author destroy the allusion. For example, the text *in absentia* concealed in the headline “Crisis is at the gates? So what!” is disclosed in the very first sentence of the article: “Hannibal ad portas”, which means that the allusion becomes marked, the covert reference disappears. The same applies to the authorship of the precedent text. Irrespective of R. Marcinkevičienė's view that “intertextual inserts may or may not contain explicit references to the authorship”, the reference to the authorship of the text *in absentia*, in the case of allusion, is marginal and is rarely called upon in metacomments, where the author has doubts if the reader would notice the allusion or, if so, would interpret it according to the author's intent<sup>20</sup>. It could be interpreted that the allusions supplemented with metacomments are comparable to the quotations, but that should be the object of a more profound study by discussing, at the same time, such marks as quotation marks, cursive font, use of the other language, etc. Allusions which are distinguished and supplemented as mentioned afore are sometimes called overt allusions (Claes 1988, 69) or “poor allusions” (Irwin 2001, 287).

The text *in praesentia* may sometimes become a link in the **allusive chain**. For example, a reader familiar with the Russian literature will see the popular phrase “to be left with the broken wash-tub” as the allusion to A. Pushkin's “The Tale of the Fisherman and the Fish” which, in turn, is the allusion to the tale by the Brother Grimm “Vom Fischer und seiner Frau”; meanwhile, the end of the latter (the wife wants to become a pope) is linked to the legend about Pope Joan. Theoretically, such connections could be endless, therefore the chain of allusions, as a rhetorical phenomenon,

---

<sup>19</sup> Koženiauskienė 1999, 158.

<sup>20</sup> For example, in the phrase “love between the president and the conservatives that lasted for three years, as it was supposed to according to F. Beigbender, has ended”, the author explains the connection between the text element “love <...> that lasted for three years” and the novel “Love Lasts Three Years” by F. Beigbender.

brings them closer to intertextuality as it is perceived by Bachtin, Kristeva and Barth who state that all texts are the compilations of the earlier texts, a mosaic of the earlier texts, or a new tissue of old quotations.<sup>21</sup>

The feature of a covert reference is with reservations applicable to lexicalised allusions. These are fossilised collocations, such as *Achilles' heel*, *Damocle's sword*, *Pandora's box* which have already become phraseologisms, and their allusive connection is either very weak or completely forgotten.

d) **The texts *in praesentia* and *in absentia* are linked by the same or very similar (identifiable) elements** as the allusion would go unnoticed otherwise. But to make the connection not that obvious, the transformation of the text *in absentia* is required. The elements (features) of allusion which link both texts and enable the identification are called **representants**. Those could be the words, text structure, versification, etc. The text elements which change the text *in absentia*, attach new meanings to it and, at the same time, hinder recognition are in turn called **transformants** (Кузнецова 2008, 9-14). For example, the phrase *The government that raised the price of beer will last forever* is the allusion to the wisdom of the good soldier Shveik *The government that raises the price of beer is destined to fall*. The text elements “government”, “raised the price”, “beer” and the sentence structure are the representants, whereas the word “forever”<sup>22</sup> which generates a new allusive meaning serves as the transformant.

The said example prompts us to introduce an amendment to the classification of intertexts – to give up updating phraseology as an autonomous group of intertexts, since the sole distinctive feature they have is the *nature* of the text *in absentia*. Therefore, in our view, updated phraseology should be treated as a sub-group of allusions alongside the allusions to folklore, Bible, cinema, history, literary works and other texts.

e) **Locality vs structural nature of allusion** defines the scale of the effect of the text *in absentia* on a new text. The dictionaries of terminology usually define the allusion as a local element, for example, “[allusion means] a poet’s deliberate incorporation of identifiable elements from other sources”<sup>23</sup>. Only an effect of the text *in absentia* on a selected part of the text *in praesentia* is called local. Let us say, the sentence “In those times, specifically, the court’s punishment meant nothing to the nobility, as it was usually the aggrieved party which had to comply with the judgment. Which was exactly what was suggested to L. Stankūnaitė by our Sun Queen” contains the covert allusion to Louis XIV which links this specific passage only with the precedent text. An allusive connection is called structural when the relations between the elements of the text *in absentia* affect the relations between the elements of the text *in praesentia* (Boesewinkel, 9). In that case, we have *pastiche*, *parody*, or *continuation* depending on the author’s intentions. To prevent the term

<sup>21</sup> Which is why it probably would not be such a grave sin to introduce the terms of hypoallusion and hyperallusion (cf. *hyponym* and *hyperonym*).

<sup>22</sup> We would like to draw your attention to the fact that J. Kuznecova applies the terms of representant and transformant to the text of allusion on an immanent basis only. Sometimes, however, the allusion is identified from the context only when, for instance, the allusion is the quotation from the Bible. In that case, the quotation would serve as a representant, and the context as a transformant.

<sup>23</sup> The New Princeton Encyclopedia of Poetry and Poetics, 1993.

*structural nature* used by C. Koster from creating confusion, the alternative term *syntagmism* could be probably employed.

The citations dealing with allusions often suggest that the text *in praesentia* is brief<sup>24</sup>. Indeed, the dictionaries of allusions are abundant in brief allusions but brevity, as an element of the definition, should be considered with caution as, first of all, we failed to find an explanation of what “brief” means and, second of all, there are quite lengthy, sentence-long allusions. For example, *Thanks to 4 parties and the Government* is the allusion to the Soviet slogan *Thanks to the party and the government!*, whereas *The government that raised the price of beer will last forever* is the explicit allusion to the wisdom of the good soldier Shveik *The government that raises the price of beer is destined to fall*. In both cases, the length of the allusion in the text *in praesentia* coincides with the length of the sentence, but neither definition of a sentence included brevity as one of the distinctive features of a sentence. We could possibly discuss the relative economy of the allusion, eloquence of the text *in praesentia* instead of its brevity when it comes to the informative and cultural layers lying in the text *in absentia*.

The discussion of the structure of allusions has led us to note that the structural differences alone do not suffice in distinguishing the allusion from some other close intertextual forms, for example, parody, plagiarism, pastiche that we suggest treating as a subtype of allusions – structural (syntagmatic) allusions characteristic of certain functions:

Types of allusion	Function
Plagiarism	Secret imitation
Parody	Irony
Pastiche, continuation	Open imitation

### Generating new meanings

Insertion of allusion in the text carries out several functions, including the said functions of nomination, a playful function, a function of the password or recognition of a cultural circle. All of them are possible only because the allusive device generates new meanings. “Allusion is creating an additional meaning in the text which results from integration of the other, already existing, text” (Ragaišienė 2008, 45). “They [allusions] are integrated in the text so as to add another layer of meaning to it” (Weizman 2004, 587). It must be noted that all forms of intertextuality add new meanings to the text *in praesentia*, but the farther we go from the quotations in the list of the forms of intertextuality and move forward to allusions, the narrower become the boundaries of imitation, the more expanse becomes interpretation. Quotations, direct and indirect speech are more into copying and moving the meanings, whereas the allusion generates new meanings by sometimes bringing extensive possibilities for interpretation. The formula *quotation vs allusion = copying vs interpretation* defining the relation between the citation and allusive process sounds categoric and leaves room for discussion; however, in our view, it reflects the common trend.

<sup>24</sup> For example, “a brief reference, explicit or indirect, to a person, place, or event, or to another literary work or passage” (M. H. Abrams, *A Glossary of Literary Terms*, cit. from Irwin 2001, 288); Москвин 2011, 111.

The fact that a recognised allusion is able to bring entire cultural layers concealed in the referent text to light would allow us to contemplate the similarity of an allusion to a partial synecdoche, where “a name of a part is given instead of a whole” (Koženiauskienė 1999, 226).

### Roles of an author and a reader

Allusion has a dialogic nature, thus celebrating an act of communication as one of the essential features of allusion is highly important, since in its background the discussion over the role of an author and a reader takes place. “Allusions are attempts to communicate”, claims W. Irwin (Irwin 2001, 521), which is why the creation of allusion equals the initiation of communication between the author and reader. “This is a two-way process (“every text of such sort [intertext] is a component of a two-way communication process” (Bitinienė 2005, 68)), which means that it has two subjects – the author and the reader – as its participants (“the use of an allusion presupposes a certain participation of a text recipient”, Leppihalme 1997, 4). Some authors hold even a stronger position: “If a text remains unrecognised, the function of a precedent text is not realised. An audience simply fails to perceive part of information; therefore, such an act of communication is fruitless” (Papaurėlytė-Klovienė 2007, 30).

a) As for the role of the first member of the communicative act – **the author** – the lances of perception have been broken for quite some time now, although, at first glance, it is very clear: the author inserts an allusion in a text and sets it free. But the situation is actually more complicated, as the author can be unaware of the presence of allusion in the text (let us remember the statements that all texts are just a mosaic of the earlier texts), and that is pointed out in a number of studies: “allusions used by the author consciously or unconsciously” (Gale 2000, 5), “conscious or unconscious use of the texts written before” (Aitken 1997, 205). For example, in the text “But midway upon the journey of one’s life, one may find unexpected realities and challenges which change an understanding of the very final aim of the process”, a reader with a broader literary horizon may see the allusion to the lines of Canto 1 from Dante’s “Inferno” translated by A. Churginas. But did the author see that too?

Comprehension of the author’s role separates the positions of intentionalists and internalists. The **intentionalists** believe that for an allusion to exist, it only takes the author’s intention to include a reference in a written text which is considered the allusion by the author. According to Stephanie Ross (Ross, 60), “one art work alludes to another only if the artist of the first intended to allude to the second and incorporated a reference to it in her work”. Other authors (e.g. Irwin 2002; Miner 1993; Ricks 2002) also share the opinion that the author’s intention is a prerequisite for the allusion. The advantage of the intentionalist approach is that it eliminates the accidental allusions beyond the author’s will. For the infinity of texts (let us remember J. L. Borges’ library in his short story “The Library of Babel”) will always have some concurrent fragments of texts. The boundaries of the term “recognition” then blur, as the allusion recognised by the reader may be simply an accidental manifestation of intertextuality and not an allusion at all; the intentionalist approach is therefore the author’s protection to some extent as it allows ignoring the accidental intertextual coincidences or treating them as *lapsus calami*. It might seem that finding an allusion based on the intentionalist approach is very simple: the reader sees a fragment which might conceal a reference to an earlier text, and then asks the author if it is really an allusion, and receives either a positive or

a negative answer. We probably sound a little sarcastic, but, unfortunately, the authors are often inconsistent, inclined to change their opinions, forget their previous intentions or newly interpret them for, let us say, ideological reasons. According to Monroe Beardsley, the author is not necessarily the best reader of his poem<sup>25</sup>. The same applies to the author of allusion, as in our practice we have come across a situation when the author newly interprets the allusion that he generated himself several years ago (Valotka 2016, 12). Let alone the fact that the majority of authors are deceased...

But we would argue that this perception of the author as the last instance is insufficient and inconsistent with the fact that the allusion is an act of communication which requires the reader's response. If we rely entirely on the author's claim that the work contains an allusion, yet we fail to see another evidence, we will not have an instrument to verify the success of the author's intention. Therefore, if we rely solely on the intentionalist approach, we could without reservation trust the author only when he claims that the text is devoid of allusions. Moreover, a categorical and consistent intentionalist approach would narrow down a field of research as it would rule out the structural analysis and investigation of the reader's role. There would no longer be a point for the scholars to analyse the mechanism of the allusive connection, since it is the author's intention that proves the presence of the allusive connection and not the concurrence of the elements in the texts *in praesentia* and *in absentia* anyway.

The **internalists** (supporters of the second approach) are not satisfied with the celebration of the author's role promoted by the intentionalists. They believe that for an allusion to exist, it is enough that one text – the author's work – possesses inward qualities which would evoke the thoughts on the inward qualities of the other – precedent – text. For example, in the phrase "I am not the Prince of Denmark" we see the allusion to a famous work by W. Shakespeare where the main character, as we know, is Hamlet, Prince of Denmark. The text element "Prince of Denmark" is sufficient to link both texts, which is why the author's intention is as though irrelevant here.

Indeed, the internalist approach establishes a prerequisite for the existence of allusion (a possibility to link the inward qualities of two texts). The problem with that is that those characteristics may be also similar in the case of imitation of the same text: for when two epigones are copying the same authority, the lines which sound similarly or identically by no means will entail their allusive correlation (this applies to all fields of art, for example, music, painting, architecture). A purely internalist approach defies the author's view on it being an accidental coincidence, for it can actually be the case that the author has neither seen nor heard of the precedent text seen into by the reader (as was the case in the above example of the (alleged) allusion to Dante's work).

A **compromise approach** treating the juxtaposition of the intentionalist and internalist positions as an erroneous dilemma would be the most productive one (W. Irwin calls it a *hybrid view*, see Irwin 2001, 289). The allusion, for it to exist, needs the concurrence of the inward qualities of the texts, whereas recognising the author's intention solves the issue of accidental concurrences, therefore the author's intention is yet an additional prerequisite for the existence of allusion. The compromise approach is expressly declared by G. Hermerén: (1) the artist intended to make beholders think of the earlier work by giving his work certain features, (2) beholders

---

<sup>25</sup> Beardsley 1958, 26.

contemplating his work make associations with that earlier work, (3) these beholders recognize that this is what the artist (among other things) intended to achieve<sup>26</sup>. This is reflected by the existential minimum of allusion suggested by W. Irwin: indirect reference, author's intent and the possibility of detection (Irwin 2001, 294).

b) The perception of the **reader's role** has always, in its own way, correlated with the recognition of the author's role. At times when the author was still the God of the text, it was almost indecent to speak of the reader's participation in the process of creation. In his study "The Role of the Reader. Explorations in the Semiotics of Texts", U. Eco mentions C. Levi-Strauss's response to U. Eco's "L'œuvre ouverte"<sup>27</sup> which fully rejects the concept of the openness of the text<sup>28</sup>. According to C. Levi-Strauss, the author's work has the "stiffness of a crystal" and researchers need to just bring into evidence these properties, thus the creative role of the reader is absent whatsoever (Эко 2016, 5).

Through R. Barthes, however, the Author-God was dethroned and it was reminded that the reader also had the right to and the power of interpretation, thus the creation. Subsequently, the reader's role, the creative rights were increasingly recognised, but the views still vary. For example, W. Irwin argues that "we may judge an allusion as successful if it is understood by its intended audience, or at least by some of that audience" (Irwin 2001, 292) and "we cannot deny that the reader must play a vital role in his or her own understanding of an allusion" (Irwin 2001, 293). Is this not a celebration of the role of the reader? Yes, but the researcher makes reservation right here: "that understanding, however, if it is to be genuine, must be in accord with the author's intent" (Irwin 2001, 293). That already reminds of H. Ford's famous phrase that any customer can have a car painted any colour that he wants so long as it is black.

Other authors make stronger implications of the fundamental role of the reader in generating the meaning of allusion. "Only the reader <...> is in a position to (or not to) interpret or appreciate the allusion" (Shie, 44); "anything perceived by readers as an allusion can be treated as such" (Shie 2011, 44), [T]his dialogue ensures that the reader assumes complete interpretive power over the allusive moment – and at the expense of author, whose power evanesces" and "[A]llusive meanings exist only in the mind of the reader" (Pucci 1998, 43).

Part of the researchers consider the active role of the reader, which manifests itself through the **recognition of allusion**, as one of the existential conditions of allusion. J. Kuznecova claims that "[A]llusion <...> can function on one condition only – if a reader/listener is able to recognise and adequately interpret it during the process of communication" (Kuznecova 2008, 5), which is assented to by R. Pasco: "allusion that is not recognized does not function" (R. Pasco 1994, 18). There is quite a distance between those two quotations, which may appear similar at first glance, by

---

<sup>26</sup> Orig. "(1) The artist intended to make beholders think of the earlier work by giving his work certain features. (2) As a matter of fact, beholders contemplating his work make associations with that earlier work. (3) These beholders recognize that this is what the artist (among other things) intended to achieve." Hermerén, Göran. 1992. "Allusions and Intentions". In: *Intention and Interpretation*, edited by Gary Iseminger, 203–220. Philadelphia: Temple University Press. P. 211.

<sup>27</sup> Eco U. *L'œuvre ouverte*. Paris: Seuil, 1966.

<sup>28</sup> Conversazioni con Lévi-Strauss, Foucault, Lacan / A cura di Paolo Caruso. Milano: Mursia, 1969. Cit. according to Эко 2016, footnote No 5.

R. Pasco and J. Kuznecova, since “interpreted allusions” give the reader a creative freedom of interpretation, whereas “its adequate interpretation” means no more than understanding the author’s intentions.

The role of the reader is realised through several stages: he or she (a) notices (recognises) the allusion, (b) connects it with the text *in absentia*, (c) interprets it<sup>29</sup>. If the reader links the allusive text *in praesentia* with the text intended in the author’s intent, the reader can adequately perceive the author’s idea but interpret it differently. But if the text *in praesentia* is linked with another text, it is considered a creative process, supplementing the allusion with the new interpretations not intended by the author.

While we consistently recognise the creative role of the reader, we should go back to the statements on the structure of allusion and clarify that any new interpretation created by the reader entails the link with different texts *in absentia*, which is why the number of the latter is theoretically unlimited. If we distance ourselves from the categorically intentionalist position, we will have to admit that all interpretations of allusion (or most of them) are correct. The author substantiates his or her intent, the reader has own arguments as well. In the absence of an opportunity to ask the author which text was borne in mind and which new meaning the allusive connection generated (which is typically the case), why should we then think that the reader is wrong? We usually leave the interpretations which do not correspond to our interpretation out. But if we are not aware of the explicit view of the author, the truth can then only be established during the discussion, yet, once again, the question arises: who is the arbiter?

We believe that at least some of the said issues concerning the role of the author and reader will constantly be the subject of discussion and we do not intend to go into more detail here; we just want to remind of E. Hellgren’s compromise analogy defining the balance between the role of the author and reader – allusion is more of a wave of a hand in the approximate direction, rather than the exact coordinates on the map (Hellgren 2007, 9).

c) The problem of the reader’s role sometimes relates to the **openness vs closeness of allusion**, for if we agree that the reader has the right to take part in the creation of allusion, it does not have, according to C. Levi-Strauss, the “stiffness of a crystal” for it is incomplete in its way and open to interpretations<sup>30</sup>. If, in this view, we compare the allusion with the close(r) intertexts, for example, quotations, the analogy from the field of fine arts could probably apply, namely, realism and abstractionism. Realistic art aims at exactly conveying the reality, quote it with leaving almost no space for interpretation to a spectator. Abstractionism, on the contrary, encourages spectators to interpret, add something to a painting through their fantasy till the line at which the author suggests no forms to spectators is reached, just like in suprematic works “Black Square” and “Black Circle” by K. Malevich. When we say that allusion yields a covert reference, it means that we have little information and multiple choices. The quotation in turn produces a lot of information, thus there are fewer interpretive possibilities. It is exactly the same as looking at K. Malevich’s black square when

---

<sup>29</sup> There have been more attempts to describe the allusive process, of course, including the ten-stage allusive process of C. Perri (Perri 1978, 300).

<sup>30</sup> We find S. Stewart’s idea interesting as to how the enthymeme gives more options of allusive interpretations (Stewart xxxx, 1135; Valotka 2016 (2), 4-5).

our freedom of interpretation is restricted by nothing other than perhaps black colour (therefore, the spectators' words that they see a white lamb would not sound convincing). If the artist had split the painting into black and red, that is to say, had given more information, the number of potential interpretations would be reduced.

## Conclusions

The essential features of allusion, its “existential minimum”, are as follows:

- a) Two texts: *in praesentia* and *in absentia*. The text *in absentia* is understood in a broad sense: as a work of art, historical fact, person, etc. It is always an earlier text.
- b) The texts *in absentia* and *in praesentia* are linked by a covert, unmarked reference whose purpose is to connect both texts and create an allusive connection.
- c) The relation between the texts *in praesentia* and *in absentia* is enabled by the same or similar elements – the representants. The elements of the text *in praesentia* hindering the recognition of the text *in absentia* are the transformants. The context may also serve as the transformant.
- d) Where the text *in absentia* affects only a part of the text *in praesentia*, the allusion is called *local*. Where the intrinsic relations of the text *in absentia* affect the intrinsic relations of the text *in praesentia*, the allusion is called structural (*continuation, pastiche, parody, plagiarism*).
- e) Parody, plagiarism, pastiche, and continuation are not, from a structural point of view, autonomous intertexts, as only the functions make them different from allusions (irony, secret imitation and open imitation), which is why they are to be treated as the variations of the allusion.
- f) The meanings of allusion are generated by both author and reader. If the author and reader have background knowledge in common, the reader recognises the allusion and is able to interpret it according to the author's intent. In the case of different background knowledge, the reader fails to notice the allusion and interprets it in the own way.

The study suggests the other conclusions as well:

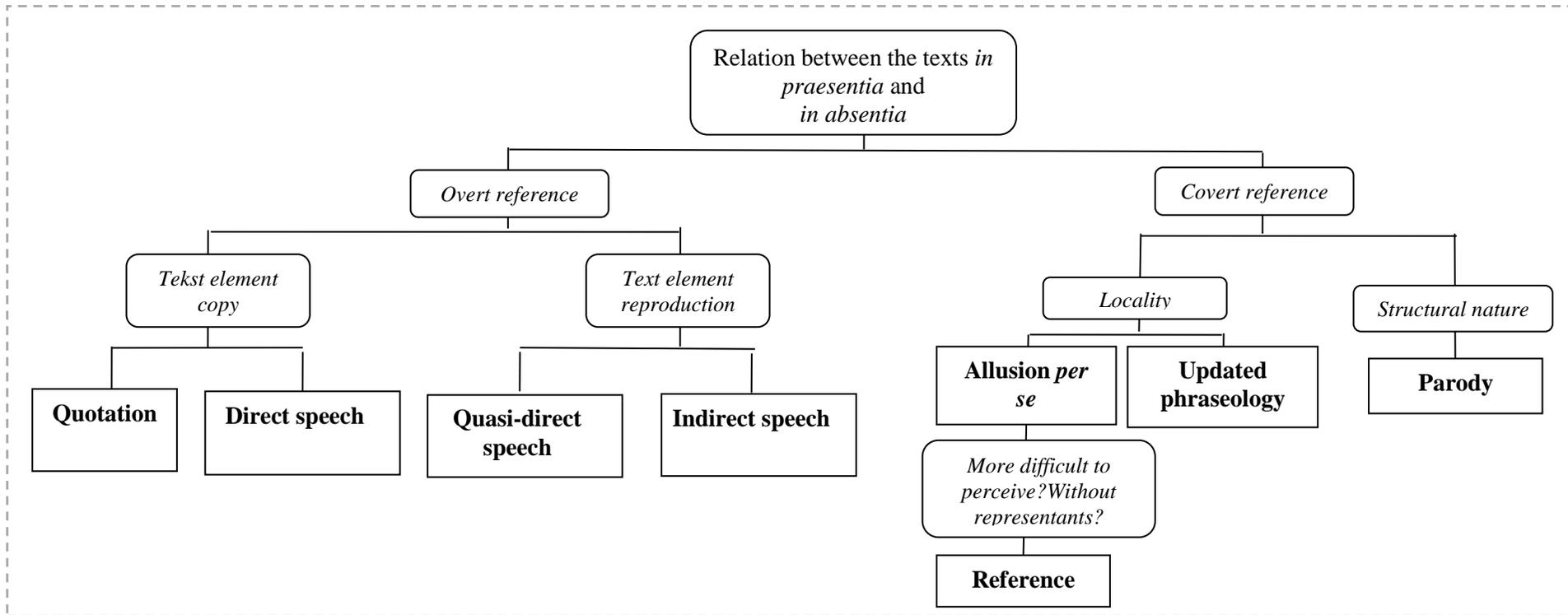
- draw the demarcation lines between the quotations, allusions and other rhetorical modes with the properties of intertextuality with caution. We should care less about the boundaries of nomenclature of intertexts.

**Allusion is an element of a text containing a veiled reference to another text.** This definition applies to both parody and pastiche, if we make reservation that the scope of the text element may concur with the entire text.

We suggest leaving the conventional breakdown of intertexts into two groups by opposition of markedness/unmarkedness, yet calling the second group simply allusions characteristic of functions x, y, z and setting it out as follows:

<b>UNMARKED INTERTEXTS</b>	<b>Functions</b>	<b>Structural features</b>	<b>Concurring elements (representants)</b>
Allusion <i>per se</i>		Local	Obligatory
Reference		Local	Optional
Indication		Local	Optional
Updated phraseology		Local	Obligatory
Anonymous quotation	Imitation		Obligatory
Plagiarism	Secret imitation	Structural	Obligatory
Parody	Irony	Structural	Obligatory
Pastiche, continuation	Open imitation	Structural	Obligatory

	Quotation	Direct speech	Free discourse (direct, indirect, dialogue), paraphrase	Updated phraseology	Allusion	Reference, indication	Pastiche, parody, continuation
Binary structure: texts <i>in praesentia</i> and <i>in absentia</i>	+	+	-	+	+	+	+
Relation between the texts <i>in praesentia</i> and <i>in absentia</i>	+	+	-	+	+	+	+
Covert reference				+	+	+	+
Locality vs structural nature	loc	loc	loc	loc	loc	?	struct.
Act of communication: is there room for feedback?	-	-	-	-?	+	+	-
Author's role (intentionalism, etc.)							
Background knowledge	-	-	-	?	+	+	+



It seems that with the increased popularity of the intertextual approach to culture and its texts, part of the rhetorical modes were attempted to be subsumed under the umbrella of intertextuality. The train of thought is completely understandable: if it is declared that all the texts relate to the earlier texts, the rhetorical analysis starts focusing on intertextual relations, but the former nomenclature – quotations of all types, mention, indications, allusions, references, parody, etc. – remains unchanged. Similarly, the structural analysis adapted to the fairy-tales by A. Propp, which revealed the syntagmic whole of that group of tales, penetrated, as a method, the other genres of folklore – folktales, riddles, paroemies; it, nevertheless, did not refute the earlier nomenclature of the folklore texts. It pertains to any new method of science – suggest a new view, new angle of approach with respect to the long-established genres which may sometimes be defined by the light of nature. When the method exhausts its possibilities and cedes ground to the other method, we go back to the old nomenclature and dissect it by way of new means.

## References

1. Aitken, S. C. 1997, Analysis of texts: armchair theory and couch-potato geography, in *Methods in human geography*, Essex, UK: Longman. Cit. from Hellgren 2007.
2. Beardsley Monroe 1958, *Aesthetics. Problems in the Philosophy of Criticism*, Hackett Publishing Company, Indianapolis, Cambridge.
3. Bitinienė Audronė 2005, Mokslinis stilius ir jo intertekstualumas, *Man and the World (Žmogus ir žodis)*, 2005, I, 68-72.
4. Boesewinkel Inge 2010, *Intertextuality generates meaning: the translation of allusions and quotations in David Lodge's Nice Work*, Master of Arts Thesis.
5. Claes Paul 1988, *Echo's echo's: de kunst van de allusie*, Amsterdam: De Bezige Bij. Cit. from Boesewinkel 2010.
6. Christopher Roy 2011, *Use Your Allusion: Culture in the Age of Digital Remix*, <http://www.remixthebook.com/use-your-allusion-culture-in-the-age-of-digital-remix-by-roy-christopher>
7. Eco Umberto 2011, *Inventing the Enemy: Essays on Everything*, Vilnius: Tyto Alba.
8. Gale M. R. 2000, *Virgil on the Nature of Things: The Georgics, Lucretius and the Didactic Tradition*, Cambridge University Press. Cit. from Shie 2011.
9. Hellgren Esko 2007, *Translation of Allusions in the Animated Cartoon The Simpsons*, University of Helsinki.
10. Holt, Jason 2015, Ex Ante Allusions, *Aesthetic Investigations* Vol 1, No 1 (2015), 14-22.
11. Irwin William 2001, What is an Allusion, *The Journal of Aesthetics and Art Criticism* 59:3 Summer 2001.
12. Irwin William 2002, The Aesthetics of Allusion, *The Journal of Value Inquiry* 36: 521–532, 2002.
13. Koster Cees 2000, *From World to World*, Amsterdam: Rodopi. Cit. from Boesewinkel 2010.
14. Pikčilingis Juozas 2010, *Stilistikos darbu rinktinė*, Vilnius: Science and Encyclopaedia Publishing Institute.
15. Koženiauskienė Regina 1999, *Retorika: iškalbos stilistika*, Vilnius: Science and Encyclopaedia Publishing Institute.
16. Koženiauskienė Regina 2013, *Retorinė ir stilistinė publicistinių tekstų analizė*, Vilnius: Publishing House of Vilnius University.
17. Leonavičienė Aurelija 2013, Lietuvių literatūros kūrinių intertekstinių reikšmių interpretacija ir vertimas į prancūzų kalbą, *Respectus Philologicus*.
18. Leppihalme Ritva 1997, Culture Bumps: An Empirical Approach to the Translation of Allusions, *Multilingual Matters*, Clevedon.
19. Machacek Gregory 2007, Allusion, *PMLA*, Vol. 122, No. 2 (Mar., 2007), 522-536.
20. Marcinkevičienė Rūta 2008, *Žanro ribos ir paribiai*, Versus Aureus.
21. Miner E. 1993, *Allusion*, in A. Preminger and T.V.F. Brogan (eds) *The New Princeton Encyclopedia of Poetry and Poetics*, pp. 38–40. Princeton, NJ: Princeton University Press. Cit. from Shie 2011.
22. Papaurėlytė-Klovienė Silvija 2007, Lingvokultūrinė precedentinių tekstų specifika, *Man and the World (Žmogus ir žodis)*, 2007 / I, 31-36.

23. Pasco A. H. 1994, *Allusion: A literary graft*, Canada: University of Toronto Press. Cit. from Christopher 2011.
24. Perri C 1978. On Alluding, *Poetics* 7.
25. Pucci Joseph 1998, *The full-knowing reader: allusion and the power of the reader in the Western literary tradition*, Yale Univ. Press, New Haven and London.
26. Ragaišienė Irena 2008. Intertekstualumo ir kultūrinės informacijos perteikimo problemos Helenos Fielding Bridžitos Džouns dienoraščio vertime į lietuvių kalbą. *Studies About Languages (Kalbų Studijos)*, issue: 13 / 2008, 44-50.
27. Ricks C. 2002, *Allusion to the Poets*, Oxford University Press. Cit. from Shie 2011.
28. Ross Stephanie 1981, Art and Allusion, *The Journal of Aesthetics and Art Criticism*, Vol. 40, No. 1 (Autumn, 1981), 59-70.
29. ROUX-FAUCARD G. 2006, *Intertextualité et traduction*, *Meta*, 51,1, 98-118. Cit. from Leonavičienė 2013.
30. Shie Jian-Shiung 2011, Allusions in New York Times and Times Supplement news headlines, *Discourse & Communication*, 2011 5: 41. Online access <http://dcm.sagepub.com/content/5/1/41>
31. Stewart Susan 1980, The Pickpocket: A Study in Tradition and Allusion, *MLN*, Vol. 95, No. 5, *Comparative Literature* (Dec., 1980), 1127-1154.
32. Terleckaitė Neringa 2015, Intertekstualumo vertimo žodžių strategijos Europos Parlamente, *Translation Studies (Vertimo studijos)* 8 (2015).
33. Valotka Audrius 2016, Intertekstų suvokimas ir kultūrinio rato atpažinimas Rimvydo Valatkos publicistikoje, *Lithuanian Language (Lietuvių kalba)* 10 (2016).
34. Valotka Audrius 2016 (2), Kūrybinis adresato vaidmuo aliuzijose, *Lithuanian Language (Lietuvių kalba)* 10 (2016).
35. Vaskelienė. Jolanta 2007, *Trumpas teksto lingvistikos žinynas*, Šiauliai: Šiauliai University Publishing House.
36. Webber Elizabeth, Feinsilber Mike 1999, *Merriam-Webster's Dictionary of Allusions*, 1999.
37. Weizman Elda 2004, Allusions and quotations as translation problems, *Übersetzung: ein Internationales Handbuch zur Übersetzungsforschung (Translation: an International Encyclopedia of Translation Studies/ Traduction: Encyclopédie Internationale de la Recherche sur la Traduction)*, Vol. 1. Kittel, Harald (ed.). Berlin: De Gruyter, 2004, 587-592. Cit. from Boesewinkel 2010.
38. Кузнецова Екатерина 2008. Обучение навыкам идентификации, интерпретации и формирования аллюзий русского языка студентов-иностранцев высокого продвинутого уровня.
39. Москвин В. П. 2011, *Интертекстуальность: понятийный аппарат, фигуры, жанры, стили..* – М.: URSS.
40. Эко Умберто 2016, *Роль читателя. Исследования по семиотике текста*, Москва: CORPUS.